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Inhalt und Format von Erstmuster Inspektions- Berichten (ISIR)

Contents and format of Initial Sample Inspection Reports (ISIR)

Ersetzt
Replaces

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English Version

Ausgabe für Lieferanten der Grohe AG

Handout for Grohe AG suppliers

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1. General

1.1 Purpose

The existing Procedural Instruction (PI) describes the content and the format of written Initial Sample Inspection Reports (ISIR), as well as the documentation of the report in SAP and on the central Grohe server.

This PI is valid for all purchased materials, including production material (incl. varnish coats, surface coatings as well as every external processing) and also for purchased complete products (so-called "commodities").

The ISIR process procedure is defined in QS-Plan Z-71-10-03 „Implementation of initial samples within Grohe AG“.

1.2 Scope of application

This PI is valid for all Plants and departments of Grohe AG worldwide.

1.3 Definition

1.3.1 Initial Sample Inspection Reports (ISIR)

The Initial Sample Inspection Report (ISIR) – also known as ISIR in the German language for the purpose of standardization – is a form of reporting in order to primarily convey the level of fulfilment of Grohe's requirements by means of its products to the supplier and in order to document this particular status. An ISIR always refers to a combination of 3 types of core data: material number + revision status (SAP) + supplier (number in SAP). It contains the decision for the release of material with or without restrictions/requirements or non-release. **The report must be completed in ENGLISH if a non German plant is involved.**

1.3.2 On-site Check

The on-site check serves the purpose of a preliminary decision during sampling and is carried out at the supplier location. It is divided into the **On-site Sample Check** and the **On-site Pre-Release**.

The **On-site Sample Check** is intended as a pre-check for sample parts which are to be sent to the sampling Plant. The aim is to avoid unnecessary test-grinding on unsuitable samples. The On-site Check does not mean a release, although the results of the test are documented in the On-site Release Report 96.162.

The **On-site Pre-Release** is a positively completed pre-sampling of sample parts at the supplier location. The aim is the pre-release of a production batch, whereas the safeguarding of the financial residual risk of scrapping or rework by means of an "Approval of initial Ramp-up Orders" with details of the cost center must be safeguarded. The results of the test are documented in the On-site Release Report. The minimum requirement of an approved pre-release: 1.) Dimensions ok; 2.) Surface visually ok; 3.) Corrosion test (SO₂) ok.

Procedure and documentation of the On-site Checks are described in PI TQ-062/internal.

1.3.3 Inspecting departments

The inspecting departments in the sense of this PI are the departments of Quality Management suppliers of all Plants, Logistic Centers, central laboratories of Grohe AG and laboratories of suppliers approved by Grohe, as well as defined external testing/inspecting institutes.

1.3.4 Critical components

Critical components are parts that will induce hazard to life or physical condition in case of function failure. The determination as to whether components are critical is made by MF and TQ.

Regarding the initial sampling of critical components, the Development Department must be involved in the initial sample release process; the required tests must be carried out in a TQ laboratory, at MFE or in a Grohe-approved external laboratory. Critical parts must be marked in SAP MM03 under the classification „F-parts“ and therefore clearly defined.

1.4 Responsibility

The respective inspecting departments of the Plants are responsible for the preparation of the ISIRs. ISIRs must be prepared and distributed in accordance with this instruction.

TQO - Corporate Quality On-site Release in China is responsible for the preparation of On-site Release Reports. As no products cannot be released under the On-site Sample Check, these can also be carried out by the SQE (Service Quality Engineers) from the procurement team in China (also see PI-TQ 062/internal).

1.5 Documentation

The documentation consists of the completed forms 96.067 (see attachment) in written form on paper or in electronic form (Microsoft Word *.doc or Adobe Acrobat *.pdf). The distribution will only take part in PDF format.

These documents must be retained in a suitable way for a period of minimum 10 years.

The documentation is carried out at 3 central departments.

TQ/.. of the respective Plant (SAP) is responsible for the documentation. The ISIR will be sent to the supplier by Procurement.

1.5.1 Documentation in SAP

The ISIR Reports must be saved in the SAP transaction **QI02** as a PDF file in **QM info record under „Object Services→ attachment→ create attachment – special releases** must also be saved there.

1.5.2 Documentation in QM info record of the LSP Plants (0299, 0253 ...)

Furthermore the ISIRs will be saved in QM info record of the LSP Plants (0299, 0253 ...) with the use of the material number, also under transaction **QI02** in „Object Services → attachment → create attachment“.

1.5.3 Documentation on Grohe Server/maintenance of the table

The aim of this documentation on the server is to allow the tracking of the current qualification status of a specific material within the sampling throughout Grohe and to have the possibility of reading a previously saved ISIR (sampling report). The table can be found in the following data file: "Projects and Teams".

„Projects and Teams / ISIR/ ISIR Status Overview“.

The fields included in the table should be completed according to the ISIR sampling procedure. The report should be saved on the defined server under the data file name/report number after the completion of the sampling. A hyperlink will allow access to the table on the server.

1.5.4 ISIR data file name/report no.

The data file name for the ISIR consists of the following information and icons:

1. ISIR + <space>
2. <Material no.> + <space>
3. <Supplier name> + <space>
4. <Plant abbreviation> (2 letters, exception: Logistic Center PW = LZPW) + <hyphen>
5. <year> (2 digits) + <hyphen>
6. <running no.> (3 digits) + <hyphen>
7. <Status>

Example: ISIR 09391638 Seagull LA-08-039-YES

Meaning of abbreviation:

ISIR = Initial Sample Inspection Report

Plant ID:

LZ	= Logistic Center Hemer	(0201)
HE	= Plant Hemer	(0202)
LZPW	= Logistic Center Porta Westfalica	(0203)
AL	= Plant Albergaria	(1702)
MI	= Plant Mississauga	(5102)
KL	= Plant Klaeng	(5201)
PW	= Plant Porta Westfalica	(7301)

Possible status:

- YES** – everything OK, no restrictions/requirements
YES_IMP – **Samples released**, improvements for series delivery by **supplier** required; inspection of **initial series delivery** necessary

SR = Special Release incl. TQ + MC **required, if deviation if customer-relevant** (see PI-TQ 012).

SRP = Special Release Plant (release of deviation by Plant) **possible if deviation is not customer-relevant**.

- YES_CON** - **Release sample**, deviation is acceptable or adjustment of the Grohe documentation with SAP, due to permanent specification deviation.

SRP = Special Release Plant (release of deviation by Plant) **possible if deviation is not customer-relevant**.

New sampling after expiry of special release not required.

Minimal tolerance limit exceeded/tool release.

Deviations for existing tools (as results in ISIR report) accepted to this scale.

- NO** – **Sample not released** -> C = correction required, **new sampling required**.

The ISIRs can be viewed on the central server under „Projects and Teams/ ISIR“.

2. Procedural description – reporting/completion of form

The inspection requirements are described in PI TQ-062 (see other applicable documents).

2.1 Page 1

2.1.1 Header – Page 1

When preparing the report, the most recent version of the form/master in accordance with Attachment 1 must be used.

Contact details such as address and telephone number should be changed in the field „sender - recipient“ according to the respective inspecting department (see page 11, field c)) in the attachment).

The page number and total number of pages as well as the supplier name and address must be added under the header (see page 11, field b)).

A report number (also see 1.5.4), must also be noted and a running number in front of the title, i.e. "2. Initial sample inspection report" if "1." is not ok (see page 11, field d)).

By means of the content on the first page, it should be perfectly clear on which basis the report has been prepared (see details under 2.1.2). If the standard fields are not big enough, in order to achieve clarity, it is recommendable to insert additional text fields in the header field of page 1 i.e. ...-time sampling with ISIR no., new electroplating plant or change version according to Change Notification (see page 11, field a)).

2.1.2 Middle block - page 1 (see page 11, field e))

All fields of the middle block, with the exception of the order no., date and samples invoiced, should be considered as mandatory fields. The non-mandatory fields should, as far as known, also be completed. *Important: the Change Notification no. refers to the drawing and not to the material.*

If the samples are released based on the functionality, that means a normal dimension (1.) and function test (5.) on the bottom left on page 1 is crossed, the tool release can be crossed with **yes**, otherwise **no** must be crossed. In order to make this decision, it often makes sense to involve Industrial Engineering and/or Development.

2.1.3 Lower fields on left side of page 1 (see page 11, field f))

These fields are completed by the inspector/report originator. The delivery date is important and the deliver note no. of the initial samples (sample receipt – incoming goods no.), as well as the date and signature of the inspector. Further details on the left side

refer to the results of the inspection which are illustrated on page 3 ff as well as the results of the summary on page 2.

A decision ("Release", "Release with changes" or "No release") must be made regarding all features 1 to 6 which are crossed/selected in the column "Required Tests".

The decision fields are divided into the following categories:

1. Measurements
2. Surface according to GSO 409.1.001 to .005 (visual inspection)
3. Material test(s)
4. Long-term use suitability (requirements of life cycle=Life Test)
5. Functionality test(s)
6. GSO (bom, packaging, etc.)

The required tests for the fulfilment of the requirements are carried out in accordance with this division and documented in the ISIR (form 96.067).

2.1.4 Lower field on right side of page 1 (see page 11, field g))

If the samples are released without restrictions/changes, then the following must be carried out on page 2:

☐ no deviation → release → ISIR - Yes

must be crossed – or if refused then on page 2

☐ deviation(s) → no release → ISIR - No

must be crossed - therefore „OK of initial samples, an additional OK of the first series delivery is required“. Cross **no**.

If the samples are released limited, this means that on page 2

☐ minimal deviation(s) → release with restrictions/requirements → ISIR - IMP or ISIR - CON

must be crossed – therefore **yes** must be crossed for „OK of initial, an additional OK of the first series delivery is required“.

2.1.5 Signature fields on page 1 (see page 11 field h))

At least one responsible of the inspecting department must countersign the results of the inspector. In cases in which changes must be made to drawings and/or special releases are approved, the responsible industrial engineer should also sign and in the case of critical components the responsible member from the development must also sign.

2.2 Preparation of report - page 2 (see page 12, field i))

Only one of the fields on page 2 should be crossed according to the following guidelines:

2.2.1

☐ no deviation → release → ISIR - Yes

= **Requirements completely fulfilled**, no restrictions/changes, the process to be carried out for the production of these samples is released, produced parts which correspond to these samples can be used.

2.2.2

☐ deviation(s) → no release → ISIR - No
Re-sampling necessary ☐ Yes

Requirements not fulfilled - new samples to be presented, the process to be carried out for the production of these samples is not released, and produced parts which correspond to these samples can not be used.

2.2.3

☐ Minimal deviation(s) → Special Release → ISIR - IMP or
→ ISIR - CON

or → Special Release Plant → ISIR - IMP or
→ ISIR - CON

Requirements not completely fulfilled, the process to be carried out for the production of these samples is not released and must be optimized, and parts already produced which correspond to these samples can be used under a limited release.

During the special release, a decision will be made between **customer relevant and not customer relevant**.

Customer relevant means that claims/complaints can occur: in this case a **Special Release** with the approval of Category Management - MC and Corporate Quality Management - TQ is required.

Should a deviation not be customer relevant (i.e. a shape or dimensional deviation which is not visible from the outside, without influence on the functionality), the plant can approve a limited deviation approval by means of a **Special Release Plant** (without the involvement of other functional departments).

2.3 Preparation of report page 3 and ff.

2.3.1 Inspection types

The respective inspection type regarding the main features (1.-6.) on this page must be crossed.

The type of inspection type to be used is dependent on the requirements of the part (drawing, GSOs). The choice of inspection type is decided by the respective Plant Q-Management (see page 13, field k.)). The results must be entered in the respective fields 1-6 on page 4 ff. In addition, the weight of the part should be recorded.

For tools with more than 1 nest, a minimum of 1 part per nest must be inspected. Nest identification or numbers are recorded in the inspection report.

2.3.2 Decision key (see page 13, field l.))

The following decision key is used:

- C = correction (by supplier)
- SR = Special Release (by Grohe)
- SRP = Special Release Plant
- D = Drawing adjustment/change (by Grohe)

If mixed inspections are carried out which are dependent on the nest of partially independent, more than one column next to each other can be linked in order to show that the independent test results apply to all nests (i.e. corrosion tests, thickness layer determination or material analyses).

Test results should preferably be documented with measurement details. Attributive results are only allowed when purely visible (surface), measureable gauges (thread, interlocking) or comparable tests (relating to a material analysis) can be carried out. If several measurements are carried out on one part during the measure test (dimension, hardness or similar), then both the max. value and min. value must be documented, and not only the average.

Should additional information belong to a ISIR (drawing with measuring points MP, material analysis, laboratory report, pictures with visual failure), then these should be integrated in the report as far as possible and in any case be attached.

2.3.3 Decision (see page 13 ff., field m.))

The respective decisions for the main features (1.-6.) must be selected according to the decision key (see 2.3.2) and with the aid of a pull-down list in each of the fields.

The following decisions can be selected from the pull-down list:

- Evaluation/features:

- ok
- not ok

- Decision

- ok
- D
- C
- SR
- SRP

2.3.4 Remarks (see page 12, field j.))

This field can be used to record written comments of additional information in the form of a text.

3. Effective documents

QS Plan Z-71-10-03 Implementation of initial sampling within Grohe AG

PD 800 QM-Procurement

PD 899 QM-basic data, logistic-core data, testing plan

VA TQ-062 „Guideline for initial sample inspections of Grohe AG“

OR73/3 „GIP – Grohe Innovation Process“



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1. Bemusterung: (SIR...

Blatt
Page

von
of

Empfänger: / to:

Absender: / from:

Erstmuster-Inspektionsbericht / Nr
Initial Sample Inspection Report

Benennung des Teils Product name	Lieferanten-Nr. Supplier no.	Material-Nr. Material no.	Änderungs-Mitt.-Nr. Change no.
Zeichnungs-Nr./GS-Nr. Drawing/specification no.	Lieferant Supplier	Bestell-Nr. PO no.	Frei-gabe done
Werk Plant	QS/Abteilung QS/Department	Telefon-Nr. Phone no.	Musterbericht Lieferant liegt vor: Supplier inspection Report received

Musterbeschreibung / Description of samples

Neuteil New part	Geändertes Teil Modified part	Neues Verfahren oder Werkzeug New process or tooling	Rohteil Casting or forging	Halbfertigteil Semifinished part	Handelsware Trade good
Kritisches Teil Critical component	ja yes	nein no	Werkzeugkosten abhängig von Freigabe Tool cost depend on sample approval	ja yes	nein no

Mustereingang / Arrival of sample
Wareneingang Nr.: / Delivery no.

Datum Date	Unterschrift Signature	Erstmusterfreigabe muss mit Freigabe der ersten Serienlieferung bestätigt werden Initial sample approval must be supplemented by approval of first production shipment			
Entscheidung Decision	Erforder- liche Tests Necess test	Freigabe approved	Freigabe Auflagen concess.	Keine Freigabe rejected	Werkzeugfreigabe Tool release

1. Dimension dimension					Datum Date	Unterschrift (nach Bedarf) Signature (as needed)
2. Visuelle Prüfung decorative surface						
3. Material Test material test					Datum Date	Unterschrift Prüfer WE Signature Inspector GR
4. Life tests durability tests						
5. Funktionstest function test					Datum Date	Verantw. Unterschrift der Grohe AG QS/ Signature of authorized QA by Grohe AG
6. GSO specification + packaging /verpackung						

Verteiler / Distribution Einkauf/Procurement, MFP, KPA, TI/., TQ/..

96.067/11/06/TOP

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ISIR-Entscheidung / Decision:

i)

☐ **keine Abweichung(en)** → **Freigabe**
No deviation(s) → **Release** → **ISIR- YES**

☐ **Geringe Abweichung(en) / Minor Deviation(s)**
Nach Korrekturen darf in Serie geliefert werden → **Freigabe mit Auflage(n)**
After corrective action(s) series deliveries can be started → **Release with concession(s)**

Kein Reklamationsrisiko / no complaint risk:

Verwendung von Use of	Stück/ bis Datum pieces / until date	mit SRP with SRP		
<input type="checkbox"/> Optimierung des Prozesses des Lieferanten erforderlich Optimization of process of supplier necessary			→	ISIR- IMP
<input type="checkbox"/> Änderung / Anpassung der Grohe Zeichnung / GSO erforderlich Change / optmization of the Grohe drawing / GSO necessary			→	ISIR- CON
<input type="checkbox"/> Kleine Toleranzüberschreitungen / Werkzeugfreigabe Small tolerance deviations / Tool release Abweichungen für bestehendes Werkzeug (wie Ergebnisse im ISIR Bericht) in dieser Größenordnung akzeptiert Deviations for parts from consisting tool (like results in ISIR-report) accepted a on such a scale			→	ISIR- CON

Bei SRP: Formblatt Special Release nicht erforderlich
At SRP: Form: Special Release not required

Geringes Reklamationsrisiko / low complaint risk:

Verwendung von Use of	Stück / bis Datum pieces / until date	mit SR (TQ, MS) with SR (TQ, MS)		
<input type="checkbox"/> Optimierung des Prozesses des Lieferanten erforderlich Optimization of process of supplier necessary			→	ISIR- IMP
<input type="checkbox"/> Änderung / Anpassung der Grohe Zeichnung / GSO erforderlich Change / optmization of the Grohe drawing / GSO necessary			→	ISIR- CON

Bei SR: Formblatt Special Release (VA TQ-012)
At SR: Form: Special Release (VA TQ-012)

Neue Bemusterung erforderlich ☐ Ja ☐ Nein
New ISIR samples necessary Yes No

☐ **Abweichung(en)** → **Keine Freigabe**
Deviation(s) → **No Release** → **ISIR- NO**

Neue Bemusterung erforderlich ☐ Ja ☐ Nein
New ISIR samples necessary Yes No **(keine weiteren Lieferungen)**
(no further deliveries)

Achtung:

Eine Erstmusterfreigabe entbindet den Lieferanten nicht von der Verpflichtung spezifikationskonforme Produkte zu liefern. Sollten bei nachfolgenden Prüfungen Abweichungen von den Spezifikationen festgestellt werden, auch wenn diese Abweichungen im Zuge der Erstmusterprüfung nicht erkannt worden sind, so ist der Lieferant verpflichtet entsprechende Maßnahmen einzuleiten, so dass die geforderten Spezifikationen dauerhaft sichergestellt werden. Abweichungen von den ursprünglichen Spezifikationen werden nur dann akzeptiert, wenn die Abweichungen ausdrücklich als für die Serienprodukte (Sonderfreigabe) zulässig erachtet werden, und die Zulässigkeit durch den Erstmusterinspektionsbericht dokumentiert wird.

Important:

This first off sample release does not affect the responsibility of the supplier to supply parts in conformance with the specification. If deviations to the specification are found in following deliveries then the supplier is required to implement the necessary corrective measures to meet the specification even if these faults were present in the first off samples. Deviations to the specification are only permissible if they have been specifically approved as acceptable (special released) for the following production and are documented as such in this first off sample report.

Bemerkungen / Remarks

j)

[illegible]

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2. Sichtprüfung / Oberfläche
optical inspection / surface

	Bewertung Merkmale result	Entschei- dung decision
	00101	00101
	00102	00102
	00103	00103

3. Material Test
material test

	Bewertung Merkmale result	Entschei- dung decision
	00101	00101
	00102	00102
	00103	00103

4. Life tests
durability tests

	Bewertung Merkmale result	Entschei- dung decision
	00101	00101
	00102	00102
	00103	00103

5. Funktionstest
function test

	Bewertung Merkmale result	Entschei- dung decision
	00101	00101
	00102	00102
	00103	00103

6. GSO specification +
packaging /Verpackung

	Bewertung Merkmale result	Entschei- dung decision
	00101	00101
	00102	00102
	00103	00103

Hier bitte die Gewichtsangabe machen:
 Please insert the weight of the product.

g

Bei elektronischen Produkten Angabe zur CE Kennzeichnung und Konformitätsklärung erforderlich:
 Is declaration of CE-labelling and conformance of electronic products required

ja

☐