SCHAEFFLER

We pioneer motion

Modification approval / special release for suppliers

Basic principles

Content

1. Scope

This document provides information for suppliers of the Schaeffler Group in order to coordinate changes or a special approval with Schaeffler at an early stage in the case of different specifications.

It describes how the supplier applies for a special release/modification in the case of deviating product characteristics or changes to the product, process, material, tool or production site (storage space or production site) – also in the case of sub-suppliers – to Schaeffler after the initial sample has been released.

2. Purpose

This procedure is intended to ensure that the supplier coordinates changes to the product, the manufacturing process, tools or production location (relocation) or deviations from drawings or specifications with Schaeffler at an early stage. This also applies to changes at its sub-suppliers.

This standard is to be applied by all suppliers in the event of a deviation or change, unless Schaeffler explicitly waives this in writing.

If the supplier has a template with the same content, he can request its use from Schaeffler in writing.

3. Definition

The terms used in this document are explained here. This should help the supplier to select the right application for every possible deviation/change.

3.1 Special release

If the deviation will only be in use for a limited time, this requires a special release. Reasons for a special release can be:

- Products out of specification limits
- Using alternative gauges
- Using alternative packaging
- Using a different production unit
- Using a different supplier.

This means that a special release can be given for already produced parts and/or parts which will be produced in future.

3.2 Self-notification

If the supplier only detects defects after delivery of the goods and informs Schaeffler of these defective parts before the defect is detected by Schaeffler, this is considered as self-notification by Schaeffler and is not taken into account negatively in the supplier evaluation (see brochure “Supplier evaluation”).

3.3 Process change

If there is a deviation from the manufacturing process used during the initial sampling (PPAP / VDA PPA) without affecting the product specification, this is to be understood as a process change.
For example:

- Elocation of production
- Using a different supplier for input material
- Using a different production machine
- Change in production sequence
- Change in production technology
- Changed tooling (only form giving tools as moulding, forging, ...)
- Changed inspection process, changed inspection frequency

4. Application procedure

The application is made by sending in the completed form (Appendix 1 or Appendix 1 and 2) to the contact person at Schaeffler indicated on the order.

A manual signature on this form is not required, the submission of an application by a representative of the supplier is understood as sufficient authorisation.

4.1 Special release

A special release is to be understood as a time-limited deviation from the target state. A special release can also be requested for the period until the introduction of a requested change.

In the case of a deviation from the drawing or specification, a special release must be obtained from the contact person at Schaeffler indicated on the order before the product is delivered to Schaeffler.

This also applies if there is to be a shortterm deviation from the approved series process, e.g. use of an alternative process or machine.

When applying for a special release, the reason for the occurrence of this deviation shall be stated. In order to correct the deviation(s), the supplier shall plan suitable corrective measures and list them in the application with responsibilities and deadlines.

Cause and corrective action can also be taken by using an 8D Report attached to the application (see brochure “Complaint process for suppliers”).

Depending on the circumstances, a special release is limited either to a specific delivery period or to a specific delivery quantity / lot size. The implementation period of the defined corrective measures also serves to define this limit.

Before delivery of the relevant products, the supplier must have received Schaeffler‘s approval in written or electronic form. The parts concerned should be separated from other parts and being specially marked. For this purpose, a copy of the special release must be enclosed with the delivery documents and additionally visibly affixed to the packaging units.

Delivery of defect parts without an approved special release will cause a supplier claim, which is negatively influencing the supplier evaluation (see brochure „Supplier evaluation“).

4.2 Self-notification

If the supplier only detects deviations from the agreed scope of delivery after the goods have been delivered to Schaeffler, the supplier must immediately inform the receiving Schaeffler plant of this matter.

In this case, Schaeffler will create a complaint in the form of a defect notification to record all additional costs incurred.

This notice of defects is then not taken into account in the supplier evaluation.
The supplier will be charged with the recorded additional costs.

In the event of a self-notification, it is also necessary to provide information about the root cause and the planned corrective measures.

4.3 Product modification

If the supplier wishes to make changes to the specification, a product change must be applied for.

Furthermore, the supplier must define suitable measures for the introduction of the product change, specifying the responsible persons and dates, and attach them to the application. Only after checking the effect of these changes and approval by the responsible Schaeffler departments may the supplier introduce the changes.

Schaeffler‘s approval must be received by the supplier in written or electronic form before the change is introduced.

4.4 Process change

If the supplier wishes to make permanent changes to the process, these must be described in detail before implementation and applied for using the application form according to Appendix 1.

After Schaeffler has checked the application, the supplier will be informed of the decision and, if change approval has been granted, of the procedural next steps.

4.5 Production transfer

A planned relocation must be notified in sufficient time before it is carried out by the supplier to the contact person at Schaeffler indicated on the order with the application form according to Appendix 1 and, for the presentation of the relocation planning, additionally with the relocation checklist, Phase 1 – Project Preparation according to Appendix 2.

After Schaeffler has checked the application and the checklist, the supplier will be informed of the decision and, if change approval has been granted, of the procedural next steps.

With the introduction of the change, a new initial sampling or change sampling must be carried out (s. brochure “Production process and product approval for suppliers”).

5. Procedure for completing the application form

To provide help for editing the form, it is shown with numbers. The explanations for the numbers are listed below the figure.

5.1 Form

Antrag für / Request for
(Zutreffendes bitte auswählen / Please check applicable)

☐ Änderung an Produkt-Spezifikation (z. B.: Produktzeichnung) / Modification of Part Specification (i.e. drawing) (1)
☐ Änderung am Herstellprozess oder Werkzeug / Modification of Production Process or Tooling
☐ Sonderfreigabe / Special Release

Kunde / Customer (2)	Abnahmewerk / Customer site (3)	Betroffene Menge / Affected quantity	(9)
Name Lieferant / Supplier (4)	Produktionsstandort / Production site (5)	Liefermenge / Total quantity	(10)
Technische Ausführung / Index / Technical execution / Index	(6) ___/_____/___/__ (ECV-Nummer / ECV-number) (Teildokument / Document part) (Index / Index)	Charge / Lot no.	(11)
		Sonstiges / Others	(12)
Produktzeichnung / Version / Product drawing / Version	(7) ___/_____/___/__ (Zeichnungstyp / Drawing type) (Zeichnungsnummer / Drawing number) (Teildokument / Document part) (Version / Version)	Bezeichnung / Description	(8)
SAP Material Nr. / no		Bestellnummer / Purchase Order No.	

Beschreibung und Begründung / Description and reasons (13)

Ursache / Root Cause (14)

Geplante Korrekturmaßnahmen / planned corrective actions

Maßnahme / corrective actions (15)	Verantwortlich / responsible	Termin / target date

Antragsteller / Applicant (16) Telefon / Phone Datum / Date

Hinweis:
Diese Genehmigung entbindet den Lieferanten in keiner Weise von seiner vertraglichen Verpflichtung, alle nicht von dieser *Änderungsgenehmigung / Sonderfreigabe* betroffenen Merkmale oder Produkteigenschaften einzuhalten, die in Lastenheft / Spezifikationen und/oder anhand bereits früher getesteten und genehmigten Mustern festgelegt sind. Der Lieferant trägt die Verantwortung für die beantragten Änderungsgenehmigungen bzw. Sonderfreigaben, wenn die ursprünglich genehmigte Funktion und/oder Eigenschaften des Produktes negativ beeinflusst werden.

Remark:
This approval does not absolve the supplier in any way from his contractual obligation to achieve all of the features or product characteristics that are unaffected by this *Modification Approval* or *Special Release* and which are defined in the design requirements/specifications and/or have been achieved by samples which have been tested and approved previously. The supplier bears responsibility for the requested modification approvals and special releases if they have a negative influence on the function and/or on the characteristics of the originally approved product.

(17) **Wird vom Kunden ausgefüllt** [nur verwenden, wenn kein SAP-EP1 Ausdruck verfügbar ist]
To be completed by the customer [only use when there is no SAP-EP1 print out available]

Referenznummer des Kunden / Customer reference no.

Entscheidung / Decision

☐ Freigabe / Release
☐ Freigabe mit Auflagen / Conditional approval
☐ Bis / Until
☐ Menge / Quantity
☐ Charge / Lot no
☐ Abgelehnt / Rejected

Auflagen/Begründung bei Ablehnung / Conditions/reasons in case of rejection

Name	Abteilung / Department	Datum / Date	Telefon / Phone	E-Mail

5.2 Numbers explanation

1. What type of application it is.
2. Identification of the receiving Schaeffler plant.
3. Name of the receiving plant (e.g. IWS, delivery address).
4. The name of the company that manufactures this product.
5. Name of the production site where the part is manufactured.
6. The ECV no. which is stated on the order.
7. The drawing number that is on the production drawing itself.
8. Designation of the product as indicated on the drawing.
9. Quantity of affected parts to be initially delivered.
10. Quantity of how many parts are requested to be delivered in total.
11. Identification of the batch that will be delivered (Lot #, traceability ID).
12. Other important notes for the recipient about the shipment(s) (e.g. color coding, type of pallet, fragile).
13. The description of the planned change(s) to the product or process or deviation(s) to the product with a corresponding justification as to why these changes/deviations were necessary/occurred.
    If an 8D Report is also sent, please only provide a reference to the enclosed 8D Report, which contains this and additional information.
14. Equally important is the root cause analysis as to why the change(s) or deviation(s) is/are necessary/occurred.
    The supplier can also add an 8D Report, possibly with 3x5-Why/Ishikawa etc.
    It is important to ensure that the date of the form and the other methods match.
    Do not enter any corrective measures here yet.
15. It is also very important to name the planned changes to the product or process with the person responsible for the measures and the expected date of implementation of the measures.
    The supplier can also add an 8D Report, possibly with 3x5-Why/Ishikawa etc. It is important to ensure that the date of the form and the other methods match.
    In the event of a relocation/change of location, reference can be made here to Appendix 2, which was filled in and sent by the supplier.
    For a special release, appropriate corrective measures with the person responsible and the planned date for the implementation of the measures must always be named.
    Attention: The special release expires on the date mentioned here. If deviating parts are received in goods receipt after the deadline, a complaint will be made about them.
16. As the applicant, enter the contact person to whom any questions about this application can be addressed.
17. These fields are filled out by Schaeffler and sent back to the supplier as a reply letter.

If points 13-15 are not filled out correctly enough, the application will be rejected and must be submitted again.