

## CENTRAL TOOLING DEPARTMENT

# Supplier Tooling Control & Purchase Order Audit Document

CT0399-



Company Appraised:-

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**CENTRAL TOOLING DEPARTMENT**

**Supplier Tooling Audit Document**

**To confirm compliance of component Suppliers Tooling Control to: -  
 Central Tooling Document CT0101**

***SECTION 1: Supplier tooling purchase order audit document.***

- *Check Use/Flow of CT0101*
- *Check Database for Listed Purchase Order/Tools*
- *Verify Tool List Against Suppliers C of C's*
- *Sub-Tier supplier validation*
- *Check Location on Database*
- *Verify Store/Shop Location*
- *Check Tool Identities*
- *Assess Tooling Against Potential Component Requirements*

***SECTION 2: Supplier tooling control audit document***

- *RFQ & Tooling P/O's*
- *Records*
- *Tool Design*
- *Identification*
- *Storage & Maintenance*
- *Icy Control*
- *Tool Standard*
- *Audit Trail*

**COMPANY:**

.....

**Document No.:**                      **CT0399**

**Audit Date:**                      .....

**Audit carried out by:** .....

.....

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**SUPPLIER DATA**

**COMPANY PROFILE**

**Company:**

**Address:** .....  
 .....  
 .....  
 .....

**Contact/s:**

.....	Position: .....
.....	Position: .....
.....	Position: .....
.....	.....

**AUDIT SCOPE:-**     *Section 1:*

.....  
 .....  
*Section 2:*  
 .....  
 .....

## **SECTION 1:**

### ***Supplier tooling purchase order audit document.***

#### **INTRODUCTION**

##### **Purpose**

The purpose of this Supplier Purchase Order Control Audit Document is to assess and review the Suppliers conformance to manage AWLtd's Tooling Purchase Order is in compliance with Component Suppliers Tool Control Document CT0101.

##### **Scope**

This audit document will be used to audit Suppliers. An audit will be instigated against any Purchase Order AWLtd Central Tooling deem necessary.

##### **Status**

The Audit shall establish the following Compliance Criteria:

- ***Payment Authorised:***

Suppliers in this category will have demonstrated their compliance with evidence of conformance to all questions. Payment will be authorised.

- ***Payment Not Authorised:***

Suppliers in this category will be deemed to have failed to demonstrate compliance with one or more of the questions. A non-compliance report will be issued to the company with a completed Audit document.

Payment shall be withheld until the Supplier provides evidence to Central Tooling indicating clearly that all non-conformances have been addressed and the non-compliance

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## **CHECK LIST**

### **Use/Flow of CT0101**

1. Has CT0101 been flowed to relevant departments, i.e. Quality, Commercial and Tooling Departments including Outsource Tooling Suppliers?

### **Purchase Order**

2. Is the Purchase Order recorded on the Supplier's system?

### **Listed Tools**

3. Are the tools listed on AWLtd's Purchase Order identified on the Supplier's system?

### **Listed Tools**

4. Is the C of C correct in accordance with AWLtd Purchase Order?

### **Sub-Tier Suppliers**

5. Where a sub-tier Supplier is used, has this been identified on the tool record? (N/A acceptable)

### **Tool Transfer**

6. Are records of despatch documentation held? (N/A acceptable)

### **Tooling Supplier**

7. Are sub-tier tool manufacturer's C of C's held? (N/A acceptable)

### **Location Data**

8. Is the location of each tool recorded on the database?
9. Have tool locations been verified by viewing the tooling?

### **Tool Identification/Part Marking**

10. Do tools carry the AWLtd Part Number, Tool Number, Issue and Inspection Stamp (where practical)? See CT0101 for clarification.

### **Calibration Identification Labels**

11. Are tool calibration labels attached where applicable? (N/A acceptable)

### **Tooling Standard**

12. Is the tooling of a standard to achieve the required production requirement?
13. Are the tools deemed value for money?

### **Tooling Payment**

14. Can payment be made? YES / NO



**AUDIT TRAIL CHECK LIST**

<b><u>Purchase Order No.</u></b>	Question 1	Question 2	Question 3	Question 4	Question 5	Question 6	Question 7	Question 8	Question 9	Question 10	Question 11	Question 12	Question 13	Question 14
450000														
450000														

**Note:**

1. All questions must be answered YES to validate payment with the exception of Question 13, which is for Central Tooling reference only.
2. If a Sub-Tier Supplier is not used then input N/A for Q5, Q6 and Q7.
3. If No to the above questions further checks required using section 2 of this document in the relevant area. Payment will be with held until observations are rectified.
4. If payment is authorised, but it has been identified during the audit trail any areas of concern regarding the management and safeguard of tooling assets then section 2 of this document must be completed and non-conformance raised.

**Status:**

**Verdict:**

**PAYMENT AUTHORISED** .....

**SECTION 2 REQUIRED** .....

**Signature**

**Review Date**

## **SECTION 2:**

### ***Supplier tooling control audit document***

#### **INTRODUCTION**

##### **Purpose**

The purpose of this Component Supplier Audit Document is to assess and review the Suppliers conformance to manage the tooling contract in compliance with Component Suppliers Tool Control Document CT0101. This document records the Supplier's compliance, or where non-compliance is identified, a Conditional or Not Acceptable status is recorded with follow up corrective action review date.

##### **Scope**

This audit document will be used to audit Suppliers. An audit will be instigated for high value Contracts, complex products, a new Supplier or where Suppliers have historically not complied with the tooling requirements.

##### **Status**

The Audit shall establish the following Compliance Criteria: -

- **Acceptable**  
Suppliers in this category will have demonstrated their compliance with evidence of conformance to all questions in heavy fonts.
- **Conditional**  
Suppliers in this category will have achieved compliance to the majority of questions in heavy fonts. The Supplier shall be required to conform within an agreed timescale and either provide evidence or that a follow up visit should be programmed.
- **Not Acceptable**  
Suppliers in this category will not have been able to demonstrate compliance with any question in heavy fonts. The Supplier shall be required to conform within an agreed timescale and then provide evidence with a follow up visit programmed.
- **Milestone Review**  
Where a Milestone Review is conducted then this document will still apply with elements of conformance recorded with appropriate follow up programme where final compliance will be ascertained.
- **Non-Compliance Report CT0399/**  
A report will be issued to the company with a completed Audit document to identify any non-compliance. These non-compliance reports will be reviewed with the supplier to ensure that all corrective actions are acceptable. The non-compliance report will be closed.

**SUPPLIER DATA**

<b>Contact/s:</b>	.....	<b>Position:</b>	.....
	.....	<b>Position:</b>	.....
	.....	<b>Position:</b>	.....

**AUDIT SCOPE:-**

.....

.....

.....

.....

**REVIEWS**

**Initial Review**

.....

**Follow up Review**

.....

## **AUDIT GUIDELINES – RFQ & TOOLING P/O's**

### **Use / Flow of CT0101**

*Has CT101 been flowed to relevant departments, i.e. Quality, Commercial and Tooling Departments including outsource tooling suppliers?*

### **Response to RFQ's (request for quotation)**

*Request supplier to demonstrate how RFQ response is generated where tooling is a requirement.*

*Supplier to demonstrate minimum AWLtd requirements "Identified on RFQ"? to raise tooling P/O*

### **Tooling Purchase Orders**

*Supplier to demonstrate how AWLtd tooling P/O criteria loaded to system.*

*Supplier to demonstrate how tooling P/O is flowed down to internal & external tooling dept and tools are loaded to tooling database.*

*Supplier to demonstrate how AWLtd tooling requirements are flowed to tool makers and or in house tool room, to ensure CT0101 requirements are being met.*

*Sample check tooling C of C's*

**RFQ's & TOOLING P/O's**

**Use / Flow of CT0101**

Supplier to demonstrate the flow down of CT0101.

.....  
 .....  
 .....

**Response RFQ's (request for quotation)**

How does the supplier raise tooling quotation?

.....  
 .....

Check criteria used in tooling quotations (AWLtd requirements)

.....  
 .....

**Tooling Purchase Orders**

How is AWLtd tooling P/O raised to suppliers system?

.....  
 .....

Tooling requirements flowed to internal / external toolmakers & loaded to database.

.....

How is CT0101 flowed to internal / external toolmakers?

.....  
 .....

Sample check, tooling C of C's

.....  
 .....

**Conformance:**

Interrogate RFQ & PO to confirm compliance:

**Acceptable / Unacceptable / Conditional**

## **AUDIT GUIDELINES - RECORDS**

### **Register**

*The register should preferably be computer based or maybe a written document/card index but shall be capable of being specific to AWLtd.*

*For Non Compliance the action and date for completion shall be identified.*

*The register must record the Owner as AWLtd with the tool number, issue, tool description and location. Other data is a benefit.*

### **Sub Tier Suppliers**

*These Suppliers who hold tools in support of a AWLtd contract shall have their tools recorded on the main Supplier's register.*

### **Data Submission**

*The availability and/or submission of the register to AWLtd shall be ascertained. Where the data is PC based then a "back up system", duplicated copy or separate fire proof holding facility shall be demonstrated. Similar provisions should apply as practical to manual paper based systems.*

### **Status**

*There must be subjective evidence that the tools and designs (where applicable) are AWLtd owned.*

*The status of the register to record changes, amendments, modifications and the process, e.g. hand written ticket, PC based shall be verified.*

### **Tool Transfer**

*The transfer of tooling must be clearly annotated.*

### **Accountability**

*Identify who is responsible for updating the register, their authority and approval record. Note approved personnel only shall have access to computer data, stores/production personnel may have access but only to amend certain fields, e.g. tool location/dates etc.*

### **Conformance**

*Select a % of Tool Numbers to ascertain compliance.*

**RECORDS**

**Register**

**Is there a separate register for tooling?** .....

If NO state remedial action: .....

**What data is recorded?** .....

**Sub Tier Suppliers**

**Is sub-tier supplier tooling included on the register?** .....

If NO state why and what remedial action is planned: .....

**Is the Sub Tier Supplier audited by Prime Contractor?**

If NO state why and what remedial action is planned: .....

**Data Submission**

**Has the register been submitted to AWLtd?** .....

If NO then state when: .....

Register back up provision: .....

**Status**

**Does the register clearly show that tooling and designs are owned by AWLtd?** .....

Register status procedure: .....

**Tool Transfer / Movement**

**Are records of despatch documentation held?** .....

Does register record destination and date? .....

If NO, agree timescale: .....

**Accountability to register**

**Personnel Accountabilities** .....

**Conformance**

Interrogate register and confirm compliance:

**Acceptable / Unacceptable / Conditional**

**AUDIT GUIDELINES**  
**TOOL DESIGN**

**Status**

*Check that the Tool Design issue status is correctly assigned on the Tool register.*

*Sub Tier Suppliers tool designs should be recorded by the main Supplier.*

**Data Submission**

*Establish if copies of the Tool Designs have been submitted to AWLtd. If not, confirm that they are held and maintained and available for inspection or supply to AWLtd.*

**Conformance**

*Select a % of Tool Designs to establish conformance.*

**IDENTIFICATION**

**Part Marking**

*Make sure the tools carry the AWLtd Part Number, Tool Number, Issue and inspection stamp.*

*Check that the tools are correctly recorded ref. WSTD02-03 and WSTD02-04.*

**Calibration**

*Where tools shall be subjected to regular calibration, e.g. Tools controlling Major Aircraft interfaces, interchangeability features or Master Media, check fixtures, gauges etc. they have to have re-calibration labels with calibration period identified.*

*All tools shall have an inspection stamp (if not practical, then vibro etched facsimile).*

**Conformance**

*Select a % of Tools to establish conformance with the register. Does the tooling identification/ calibration align with the records?*



**TOOL DESIGN**

**Status**

Tool Designs issue status correct on the tool register? .....

Sub Tier Supplier held Tool Designs recorded? .....

**Data Submission**

Tool Designs submitted to AWLtd? .....

If NO confirm availability: .....

**Conformance**

Review samples of Tool Designs and confirm compliance:

**Acceptable / Unacceptable / Conditional**

**IDENTIFICATION**

**Part Marking**

Are Tools correctly Part Marked? .....

Are Tools, where practical, identified with AWLtd labels? .....

**Calibration**

Tool calibration compliance labels attached? .....

Are Tools clearly endorsed with a quality/inspection stamp? .....

**Conformance**

Review a sample of Tools:

**Acceptable / Unacceptable / Conditional**

**AUDIT GUIDELINES**  
**STORAGE & MAINTENANCE**

**Location**

*Establish the location of tools when not in use. Are they held in the Production area on racks/floor etc. or in a Stores Control area?*

*If tools are held in an open sided building or lean too; are they protected e.g. greased or covered with a tarpaulin.*

*Check that the tool storage arrangements adequately conform to WSTD 03-08 & 03-10*

*Review the tool register/stores location records to establish traceability when the tool is in use/out of use.*

*NO TOOLS shall be stored in an external environment.*

**Maintenance**

*Establish if there is a procedure to check that the tools are visually assessed for damage/wear prior and after storage and that rectification is pursued.*

*Again, are tools/vulnerable features coated with protective treatment where the storage environment could lead to corrosion? A good stores facility would preclude this requirement.*

**Conformance**

*Select a % of Tools to establish conformance to storage requirements.*

**STORAGE & MAINTENANCE**

**Location**

Location of tools when not in use? .....

.....

Are tools ever stored in an open environment? .....

.....

**Does tool storage comply with WSTD 03-08 & 03-10** .....

If NO state what remedial action is planned: .....

How does the company identify tool location? .....

1) When the tool is in use: .....

2) When the tool is in storage: .....

**Maintenance**

Are tools inspected/checked PRE & POST storage? .....

.....

Are tools protected? .....

If NO state what remedial action is planned: .....

.....

**Conformance**

Review a sample of Tools:

**Acceptable / Unacceptable / Conditional**

**APPRAISAL GUIDELINES**  
**INTERCHANGEABILITY CONTROL**

**Status**

*Make sure that any ICY Media or gauges have been supplied to the Supplier relevant to the tooling being procured.*

*Where the Supplier is retaining gauges or media either supplied by AWLtd or the Supplier, then a re-certification procedure must be demonstrated in conformance with ISO 13.*

*When not in use have they been provided with appropriate storage boxes in accordance with WSTD 03-08 & 03-10*

**Conformance**

*Select a gauge or item of ICY Media and check that the tools have been co-related (check documented evidence), review re-certification procedure and storage.*

**TOOL STANDARDS**

**Specification**

*The suite of tools have to be of a sufficient standard of robustness and appropriate level of controlling features to achieve both output and repeatability of product standard.*

*If not of a sufficient standard then those tools which fail to meet the requirements shall be the subject of rework/replacement at the Supplier's expense. Payment for the tooling will be held until a satisfactory standard has been achieved and agreed.*

**INTERCHANGEABILITY CONTROL**

**Status**

Has relevant ICY Media been supplied by AWLtd? .....

.....

Retained Gauges and Media re-certification procedure: .....

.....

Storage in accordance with AWLtd tooling standard WSTD 03-08 & 03-10 .....

If NO, identify remedial action: .....

.....

**Conformance**

Select a Gauge and review:

**Acceptable / Unacceptable / Conditional**

**TOOL STANDARDS**

**Specification**

**Are the tools of a suitable design and capable of achieving the envisaged production requirements?** .....

If NO, identify remedial action: .....

.....

**AUDIT GUIDELINES**  
**AUDIT TRAIL**

**Selective Check**

*To establish that the procedures and processes are operating effectively select one element or more and conduct an audit trail to establish compliance.*

*For example, select at random a tool number and check through from records, status, location, ownership, identity, storage standard and ICY compatibility.*

*Record the checks and observations performed.*

**AUDIT RECOMMENDATIONS**

**Status**

*The auditor will evaluate the assessment questions in bold fonts and if are all in the affirmative then an Acceptable audit status will be assigned.*

*Where a small number of questions in bold fonts could not be confirmed then a Conditional status will apply. Given that a commitment to conform with a timescale may permit the invoice to be cleared. An acceptable status will be accorded when evidence is provided to AWLtd and/or when a follow up establishes conformance.*

*If many of the assessment questions in bold fonts cannot be confirmed then a Not Acceptable status will be recorded with specific corrective action agreed and invoice payments withheld.*

**AUDIT TRAIL**

**Checks performed**

**AUDIT RECOMMENDATION**

<b><u>Status</u></b>	<b><u>Verdict</u></b>	<b><u>Signature</u></b>	<b><u>Review Date</u></b>
<b>Acceptable</b>	.....	.....	.....
<b>Conditional</b>	.....	.....	.....
<b>Not Acceptable</b>	.....	.....	.....

**FOLLOW UP REVIEW**

**AUDIT RECOMMENDATION**

<b><u>Status</u></b>	<b><u>Verdict</u></b>	<b><u>Signature</u></b>	<b><u>Review Date</u></b>
<b>Acceptable</b>	.....	.....	.....
<b>Conditional</b>	.....	.....	.....
<b>Not Acceptable</b>	.....	.....	.....



## **NON-COMPLIANCE REPORT**

<i>Company Name:</i>	<i>Date:</i>
<i>Company Representative:</i>	<i>Signature:</i>
<i>Auditor Name:</i>	<i>Signature:</i>
<i>Audit Date:</i>	
<i>Non Compliance Details:</i>	<i>Cause Code:</i> 01 – RFQ & PO's 02 – Records 03 - Tool Design 04 – Identification 05 - Storage / Maint 06 - ICY Control 07 - Tool Standard
<i>Corrective Action:</i>	
<i>Corrective Action Owner:</i>	<i>Target Date:</i>
<i>Preventive Action :</i>	
<i>Preventive Action Owner:</i>	<i>Target Date:</i>
<i>Verification Name:</i>	<i>Date:</i>
<i>Signed:</i>	
<i>NCR Closed Name:</i>	<i>Date:</i>
<i>Signed:</i>	