Lot Control Standard

【Core】

1 General Provisions

1.1 Purpose

The purpose of this standard is to ensure traceability of products in order to identify the root causes and range of nonconformity found in products during the production stage or after shipment, as well as taking prompt actions, by defining basic requirements for lot control.

1.2 Scope

This standard applies to Honda brand products (includes Acura brand and OEM products; the same applies hereinafter) and parts designated as specified lot control parts.

1.3 Definitions of Terms

Definitions of terms used in this standard are as follows:

No.	Term	Definition
1	Traceability	Ability to trace the history, application, location or whereabouts of a product or service by means of recorded identifications.
2	Lot	A group of products which have been produced or assumed to be produced under the same conditions.
3	Lot control	Confirm and manage lots and its history by forming lots.
4	Manufacturing history	The following records corresponded to lot identification information: (1) Date of manufacture and number of units manufactured (2) Manufacturing condition of lots and quality characteristic results based on standards such as process quality control table, etc. (3) Any change in process that might affect product quality, other than those mentioned in paragraph (2), along with the taken actions and its results.
5	Lot forming process	Process requiring formation and confirmation of lots to control tracking of manufacturing history of parts or products from critical levels of quality characteristics, process layout, equipment, process capability, etc.
6	Key Process	A representative process for identifying the lot when there are multiple lot forming processes.
7	Product Identification number	Number composed of type, production sequence number, etc., used to identify individual products, such as finished products, engines or transmissions throughout stages of manufacturing, sales, and distribution in the market.

2 Procedures

2.1 Roles and Responsibility

2.1.1 Procedure flow for lot control is outlined in Attachment-1 "Lot Control System."

2.1.2 The person responsible for operations of lot confirmation and control is the head of the section responsible for operation.

2.1.3 The responsible person of identification and lot control of the facility is the quality representative.

2.2 Parts Designated by Lot Control

2.2.1 Parts designated by lot control are critical safety parts (includes process plan, etc. specified by the facility for outsourced manufacturer based on specified critical safety parts of production drawing) specified in product drawings based on Honda Engineering Standard (HES A 3050); and new parts or parts other than critical safety parts specified based on the quality, etc.

2.2.2 When specifying parts other than critical safety parts as parts designated by lot control, refer to the following:

(1) At the production preparation stage, the new model promotion section specifies parts designated by lot control parts after discussing with the related sections and directs lot control to the manufacturing section of its facility using the forms specified by the facility.
For suppliers, the purchasing section specifies them the parts designated by lot control.

(2) At the production stage, the quality section discusses, designates parts by lot control with the related sections and directs lot control to the manufacturing section of its facility by using the prescribed forms.
For suppliers, the purchasing section specifies parts designated by lot control.

2.3 Lot Control Direction for Suppliers

The purchasing section directs lot control to suppliers by providing guidelines or briefing sessions, etc.

2.4 Basic Requirements for Lot Formations

Lot formations are established within the range of lots formed or assumed to be formed under the same conditions, based on the following table:

However, the maximum size of a lot will be equal to or less than the production volume of the day.

No.	Classification	Lot formation criteria
1	Material	Form a lot with respect to each material charge number or batch.
2	Method	Form a lot for each process changeover.
3	Equipment	Form a lot for each change made to facilities, etc. in case where more than one machine, equipment, mold, production line, etc., is used for processing and assembly.
4	Work shift	Form a lot for each work shift.

2.5 Control in Production Preparation Stage

2.5.1 Basic requirements for lot control are as follows:

(1) Unit, process and key process of lot formation

(2) Maintaining method of first-in, first-out (hereinafter referred to as “FIFO”).

(3) Display method of lot information (lot number structure, identification on a carrier, container, etc., language, barcode display, etc.)

(4) Method of recording lot control (recording method of manufacturing history, receiving and releasing between processes, etc., associated with correspondence of lot identification)

(5) Control method of product identification numbers of completed products, engines, transmission, etc., corresponding to lot information or manufacturing serial numbers

2.5.2 Basic requirements for lot control are discussed among the following sections:

(1) If within the facility, it is discussed and decided by the manufacturing section and the new model promotion section.

(2) If for suppliers, it is discussed and decided by the manufacturing section and the purchasing section.

(3) Regarding supplying of parts to other facilities (includes oversea; the same applies hereinafter), the supplying facility discuses and decides the receiving facility.
Imported parts, etc., are similarly discussed and decided by the receiving section and the related sections.

2.5.3 Method of displaying lots is established taking consideration of the following:

(1) Display on the carrier or container the necessary information such as part name, part number, name of the sender, released date, released quantity, name of the receiver lot number, etc.

(2) When displaying lot information or manufacturing serial numbers on individual parts, which its processes are connected through belt conveyors in order to have parts released in sync with the production plan, lot display on carriers or containers, etc. may be omitted upon agreement with the receiving section.

(3) Taking into account of quality influence, it is required to discuss with the product engineering section to determine the designated area and methods of displaying if they are not provided in product drawings or specifications, nevertheless required to display the lots or sequential manufacturing number on each part.

2.5.4 The manufacturing section develops a method for recording manufacturing history and receiving and releasing operations for each process.

2.5.5 The manufacturing section standardizes and clarifies methods of lot control and display through specified forms (Lot Display Details, etc.; hereinafter referred to as Lot Display Details, etc.)

The following information is included in the specified form (Lot No. Display Details, etc.):

(1) Part number (part number of parts)

(2) Part name (name corresponding to part number)

(3) Name of the manufacturing section (for in-house, the name of the section implementing lot control; for supplier, the name of supplier)

(4) Lot number structure (year, month, date in western calendar and lot sequence number)

(5) Designated area to display the lot information (specify the area to place lot control number on the product)

(6) Display method (specify methods for lot information identification)
Example: stamping, labeling, etc.

(7) Lot control record (lot number, release date, quantity, etc.)

(8) Signature of the issuing section (person in charge, responsible person) and issuance date

・For in-house, signatures of the person in charge and the head of the lot control section.

・For supplier, signatures of the person in charge and the quality representative of the supplier.

・Responsible person of the issuing section specifies the issuance date.

(9) Signatures from the quality section (new model promotion section during the production preparation stage).

・Person in charge: signed by the person in charge of the quality section

・Confirmed person: signed by a person of the senior associates of the quality section

・Responsible person: signed by the head of the quality section

・Person in charge of the quality section specifies the date of when the head of the section verified it

2.5.6 Upon necessity, the new model promotion section or the quality section, requests submission of specified form (Lot Display Details, etc.) from the manufacturing section and suppliers for verification.
For suppliers, the purchasing section requests them to submit the form.

2.5.7 The new model promotion section and related sections are evaluated on lot control systems through evaluation events during or upon completion of the production preparation stage.

2.6 Control in Production Stage

2.6.1 The manufacturing section implements lot control based on the preparation result for lot control outlined in paragraph 2.5 “Control in Production Preparation Stage.”

2.6.2 The manufacturing section identifies and separates the concerned lots, if any process change that has the possibility of affecting quality in lot forming unit has been found during the Production Preparation Stage and records its manufacturing history.
Note: “any process change that has the possibility of affecting quality” refers to changes such as adoption of initial production parts, and troubles caused during the process.

2.6.3 Receiving and releasing of parts between processes are implemented on a FIFO basis in order to prevent lot dispersions and mixings between lots.

2.6.4 The manufacturing section records both the manufacturing history and receiving and releasing of parts, with respect to each process and lot, in a manner that can identify the lot.

2.6.5 The manufacturing section implements display on individual carriers or containers as outlined in paragraph 2.5 “Control in Production Preparation Stage” and releases parts accordingly.

2.6.6 The section receiving parts from suppliers, other Honda facilities, accepts parts upon inspecting documents such as delivery slip, invoice, distribution tag, etc. and records results of such inspections as well as releasing parts on a FIFO basis.

2.6.7 The section releasing parts to the assembly section releases the parts in sync with the assembly sequence schedule on a FIFO basis.

2.6.8 The assembly section records the following topics corresponding to product identification numbers as assembly history:

(1) Date of assembly

(2) Type and consecutive product identification number, if installing an engine or transmission.

(3) Assembly records of parts which require records associated with the corresponding product identification number (SRS airbag, seat belt pretensioner, etc.).

(4) Confirmation result of manufacturing conditions and quality characteristics during assembly based on standard documents such as process quality control table.

(5) Any changes to process that might affect quality, other than those listed above.

2.6.9 The completion inspection section records the completion inspection results corresponding to product identification number of each completed product.

2.6.10 The product shipping section records information such as shipping destination and date corresponding to product identification number.

2.6.11 The section shipping parts to other facilities releases parts lot on a FIFO basis and maintains records in a manner that can identify the lot.

2.6.12 The manufacturing section, receiving and releasing section and logistics section release parts on a FIFO basis and maintain results, even for parts other than regular parts in production flow.

2.6.13 If there is a need to change the conditions specified in paragraph 2.5 “Control in Production Preparation Stage,” the section implementing change takes the appropriate action upon consultation with related sections, such as quality sections.

2.7 Verification

2.8.1 The quality section confirms whether lot control is properly implemented within its facility by performing in-house quality audits, etc.

2.8.2 The purchasing section, procurement section or quality section confirms whether or not lot control is properly implemented by the supplier by performing supplier quality audits, etc.

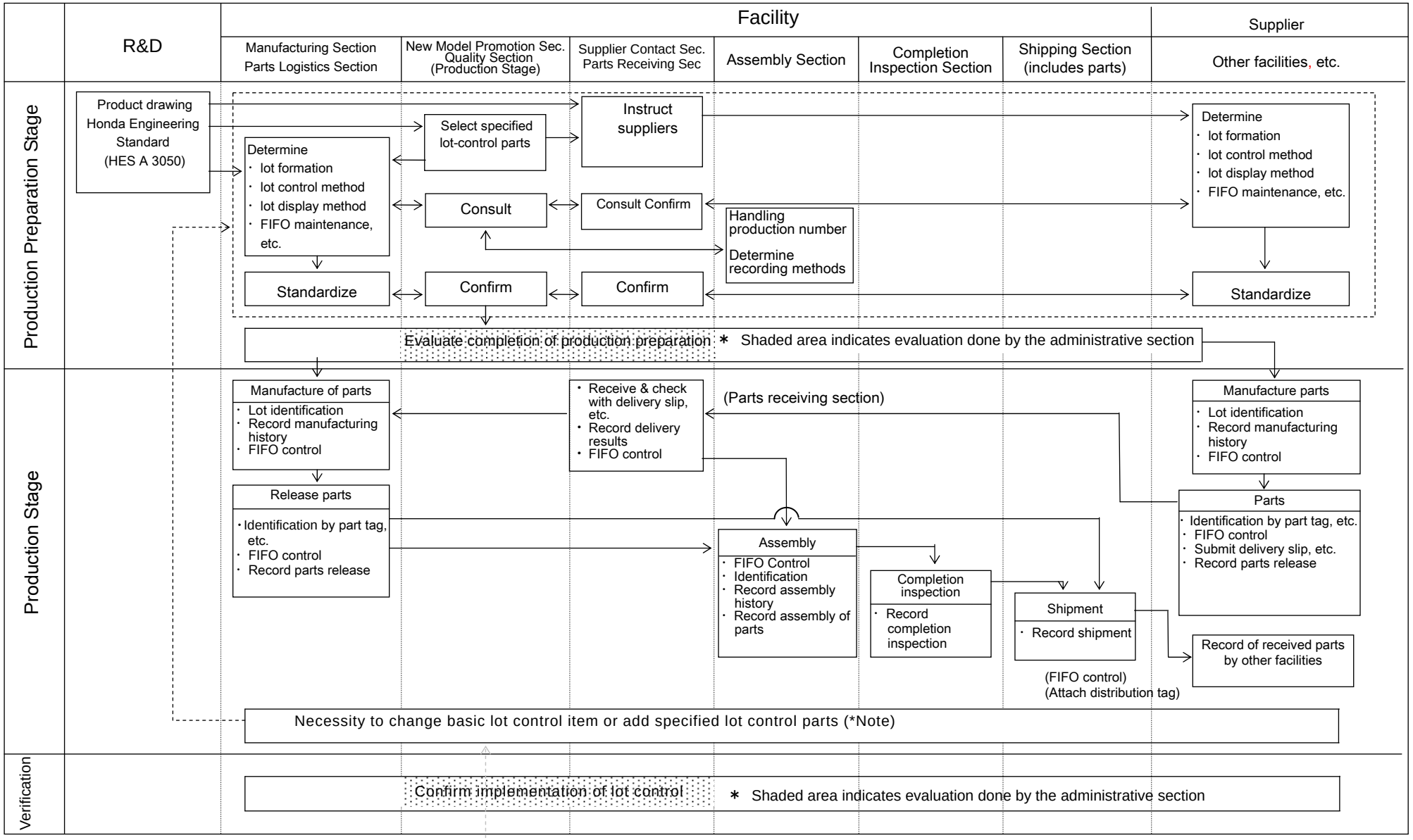
3 Supplementary Provision

3.1 Application of the Standard

Matters relating to establishment, revision and implementation of this standard are outlined in G-HQS [Quality Management Standards Control Standard].

Attachment-1 (Related to Paragraph 2.1)

Lot Control System



(*Note) Changes for production stage are determined by the section implementing change, after consulting with the related sections such as quality sections.

Establishment and Revision

Date of Establishment, Revision or Enactment (MM/DD/YYYY)			Description (MM/DD/YYYY)	Approved by:
0	Estab. Enact.	03/24/2010 04/01/2010	First issue. This document becomes effective as of 04/01/2010.	Y.Otobe (Signed on original)
1	Revised Enact.	03/01/2012 04/01/2012	Revision associated with moving paragraph 2.7 “Sales and Service Management” into G-HQS S1001 [Market Service Standard].	T. Sonoda (Signed on original)