Rockwell Automation
Quality Management System

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Our Quality Policy

Rockwell Automation is committed to a global quality system focused on customer solutions. We achieve this through superior products and services, rapid customer support, technical expertise, supplier partnerships, and industry leadership. Our quality and business objectives are designed to challenge the organization through continual improvement, innovation, and a passion for results.

(900-20-01 Quality Policy)

Rockwell Automation

1.0 PURPOSE

To document the top level Rockwell Automation (RA) Quality Management System (QMS) in support of RA Quality Policy 900-20-01 and provide a public summary of the RA internal documents. The actual RA Quality Manual is a collection of many manuals and documents at various levels of detail. This document is meant only as a summary of the requirements of the Quality Manual (similar to the internal procedure 900-20-02 Quality Management System). It is not a policy or procedure to be followed, it is strictly a high level view of the structure of the Quality Management System. Specific internal documents are available for review by request and during customer or agency audits. To request documents, contact the Director of Quality Management Systems (Keith Seibert, kwseibert@ra.rockwell.com)

2.0 SCOPE

This document is intended to demonstrate the Quality Mangement System of Rockwell Automation (RA) facilities worldwide. Implementation of specific tasks will vary depending on the functions and processes within a given facility. The Quality Management System is based on ISO 9001. Many sites within RA are ISO 9001 certified but the Quality Management System requires conformance to ISO 9001 requirements regardless of certitification.

3.0 RESPONSIBILITY

3.1 Vice President Quality

Has the defined authority and responsibility for ensuring that all policy requirements are documented, implemented and maintained.

3.2 Director Quality Management Systems

Has the delegated responsibility and authority for implementing this policy.

3.3 Business Units

Have the responsibility for developing and implementing processes and procedures to support this policy.

3.4 Functions/Departments

Have the responsibility for completion of duties specified in support of this policy.

4.0 EXHIBIT

Exhibit A – Cross-reference between the sections of this document and the ISO 9001:2000/2008 clauses.

5.0 DEFINITIONS

Business Unit	A group, business, facility, function or other organizational structure within RA.
Business Unit Management	The functional leadership of the RA Business Unit.
Continual Improvement	The process of enhancing the Quality Management System to achieve improvements in overall quality performance in support of RA Policy.
Corrective Actions	Actions taken to eliminate the root cause of an existing nonconformance and to prevent its reoccurrence.

Customer Property	Customer owned or supplied material parts, product returns, and intellectual property.
Effectiveness	Extent to which planned results are realized and achieved.
Impact Assessment	An evaluation that is performed by individual(s)/organization(s) utilizing equipment that was found to be unsatisfactory during calibration. The purpose of such evaluation is to assess the situation and if appropriate drive corrective actions after determining that the use of the equipment may have affected the quality or accuracy of past measurements/tests.
Infrastructure	Buildings, workspace, associated utilities, process equipment (both hardware and software), and other supporting services such as transport, communications or information systems.
Management Representative	The assigned quality representative appointed by Business Unit Management to ensure that the processes needed for the Quality Management System are established, implemented and maintained, to report on the performance of the Quality Management System and any need for improvement and to ensure the promotion of awareness of customer requirements throughout the organization.
Objective Evidence	Data supporting existence or verification of something.
Preventive Actions	Actions taken to eliminate a potential root cause of a potential problem that has not occurred.
Process	A set of interrelated resources and activities that transforms inputs into outputs. The process will be suitable and documented for the Business Unit's plan for product realization.
Product	Result of a process including service, software, hardware or processed materials.
Product Realization	The set of processes used to bring a product into being from an idea to a final product.
Product Reliability	The ability of products to perform their intended design functions consistently over time.
Quality Documentation	Any document, data or record that could affect the safety, reliability and/or quality of RA products and services. Quality documentation includes documents of external origin such as customer drawings and standards, when applicable.
Quality Management System (QMS)	The part of the overall management system that includes organizational structure, planning activities, responsibilities, practices, procedures, processes and resources for developing, implementing, achieving, reviewing and maintaining RA Quality Policy.
Quality Objective	A strategic goal arising from RA Quality Policy that the Business Unit sets to achieve and is quantified.
Quality Records	Records that demonstrate the achievement of the required quality or substantiate operation of the Quality Management System. Quality records shall be controlled as defined in RA corporate level procedure 900-20-33 Records Retention.
Traceability	The ability to trace the history or application of an activity, item (material or product) by means of recorded identification. (Traceability requirements should be specified for some stated period of history or to some point of origin).
Training	Type of action to satisfy employees competency needs.

6.0 POLICIES

6.1 Documentation Requirements

Each Business Unit is responsible for meeting all requirements of the Quality Management System policies and the supporting 900 level documents. The 900 level documents may require the Business Unit to establish supporting procedures, forms, or work instructions. Those documents that address such specific 900 level requirements must reference the applicable 900 level procedure. The Business Unit may also create additional local documents to support or clarify the requirements of the 900 level documents. Documents may be maintained either in hard copy or electronic form. Figure 1 below shows the structure of the RA Quality Management System.

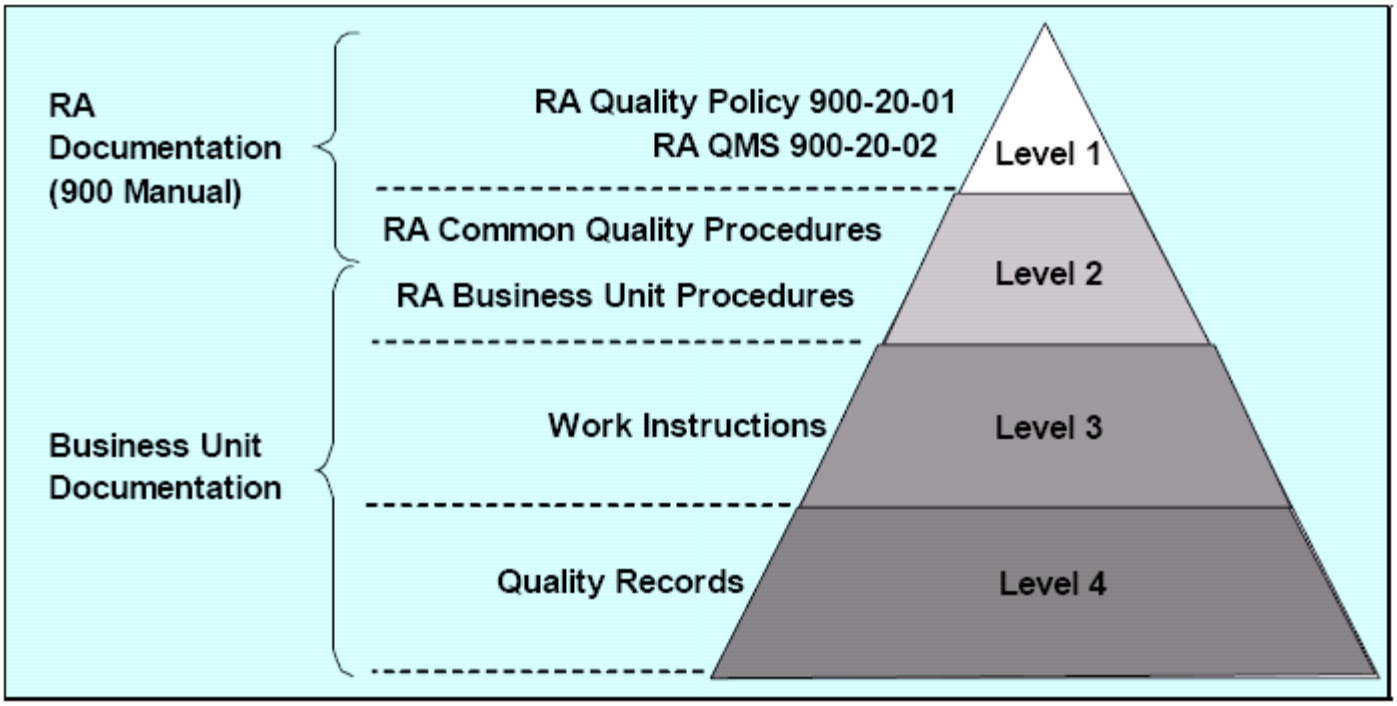

Figure 1: RA Quality Management System (QMS) Structure.

RA corporate level (900 Manual) procedures are controlled by 900-10-01 Quality, Environment, Safety, Security and Product Safety Policies & Procedures Management

Each RA Business Unit will establish and maintain documented procedures to identify and control documents (including data, documents and records of external origin) that relate to the requirements of the RA Quality Management System.

Control of documents includes approval, review, revision, status, indentification, availbility, maintaining legibility, and preventing unintended use of obsolete documents.

RA Business Units may submit to HQ Quality a request for an exemption or modification from applicable quality policies or procedures.

6.2 Quality Records

Quality records will be maintained to demonstrate achievement of the required quality objectives and effective operation of the Quality Management System.

Quality records must be legible, readily identifiable, and retrievable to the product/process involved. Records must be stored, protected and disposed of in such a way as to meet the retention scehdules and maintain security. Quality Records can be in the form of hard copy media, electronic or other. Quality records will be traceable as appropriate to the activity product or service involved.

Compliance to RA corporate level procedure 900-20-33 Records Retention is required.

6.3 Quality Planning

Business Units will prepare quality plans and measurable objectives and manage change to maintain the integrity of the Quality Management System with the aim of promoting continual improvement and awareness of customer requirements and improving customer satisfaction.

6.4 Responsibility, Authority and Communication

6.4.1 Responsibility and Authority

The responsibility, authority and the interrelation of personnel, who manage, perform and verify work affecting quality and/or any processes of the Quality Management System will be defined, documented and maintained.

The Quality Management Representative of each RA Business Unit is responsible to the Senior Vice-President or appropriate Business Unit Management.

6.4.2 Internal Communication

RA Business Unit Management will establish communication processes between its various levels and functions regarding the Quality Policy and the Quality Management System and its effectiveness.

6.5 Management Review

Business Unit Management with responsibility and authority for the Quality Management System will review the quality results and overall effectiveness of the Quality Management System. This will be done to demonstrate the continuing suitability, adequacy and effectiveness in satisfying RA Quality Policy, objectives and the continual improvement of the Quality Management System. The process is further defined in RA corporate level procedure 900-20-03 Quality Management Review.

6.6 Provision of Resources

It is the responsibility of Business Unit Management to provide and maintain adequate resources and competent personnel to perform activities as defined in the Quality Management System. These resources include workspace, equipment, personnel, supplies and supporting services such as information systems, along with any other human or physical factors that would affect the ability to comply with the procedures or quality plans.

6.7 Human Resources

6.7.1 Awareness, Competency and Training

Competency requirements or equivalent are defined in job descriptions and procedures.

RA Business Units will provide training or take other actions to satisfy competency needs. New and existing employee minimum training requirements, process and procedure will be defined.

6.7.2 Evaluation

Personnel performing specific assigned tasks will be deemed competent on a continual basis through appropriate education, training, experience, and demonstrated skills. RA Business Units will verify competence using objective evidence.

RA Business Units will define and implement methods to evaluate training effectiveness.

6.8 Planning of Product Realization

Processes needed for product realization will be planned and developed. Planning of product realization will be consistent with the requirements of other processes of the Quality Management System.

Planning of product realization will include, but not be limited to: setting objectives and requirments, establishing processes and documents, providing resources, setting acceptance criteria and providing methods and equipment to meet that criteria.

The Rockwell Production System (RPS) provides the framework for achieving process and production excellence in manufacturing facilities. RPS brings the strategies of Manufacturing Operating Rhythm, Built-In Quality, Lean and Six Sigma, Safety and Culture together under one umbrella, engaging people in a continuous improvement culture, defining and implementing standard processes, and driving accountability. It guides management and employees in working together to achieve business goals and better serve customers. RPS is further defined in RA corporate level procedure 900-20-45 Rockwell Production System (RPS) Policy.

6.9 Determination of Customer Requirements and Contract Review

RA Business Units will provide methods for initial review and subsequent changes of customer specifications and contracts for control of special quality, reliability, product safety, service and process requirements, to provide a documented record of these requirements and to communicate these requirements to all appropriate departments/functions and customers.

RA Business Units will develop, implement and maintain procedures to ensure an adequate understanding of the needs and expectations of the customer or other interested parties.
For additional contracts review and approval requirements, reference 700-01-13 Sales Contracts Review and Approval Policy.

6.10 Design and Development

RA Business Units will implement the design control requirements necessary to develop and maintain a product throughout its life cycle. These requirements will assure that the product meets defined requirements and objectives for functionality, manufacturability, product safety, quality, reliability, serviceability, and customer satisfaction. This policy applies to RA design control activities regardless if the work is performed internally by RA personnel or externally by suppliers or contractors under the direction of RA. Required development and design records regardless of origin will be maintained or accessible within RA to demonstrate conformance. This includes records associated with work performed externally by suppliers or contractors.

The design process includes the defined processes for addressing design planinng, inputs, outputs, review, verification, validation, and control of changes. The Common Product Development (CPD) process defines the standard RA development practice, reference procedure RA corporate level procedure 900-20-36 Common Product Development.

6.11 Purchasing/Supplier Quality

RA Business Units will establish a system to ensure that materials, products and services purchased by RA Business Units conform to specified requirements.

6.11.1 Supplier Evaluation and Selection

Suppliers will be evaluated, selected and re-evaluated based on their ability to meet specified requirements. These specifications will be documented.

Selected and approved suppliers will be included on an approved supplier list which will be maintained by the Business Unit.

Materials, products and/or services that affect the quality, product safety, reliability or customer satisfaction of RA products and services will be purchased from approved suppliers. Exceptions to this will be approved by the Quality function of the Business Unit or by customer request.

For additional requirements, reference RA corporate level procedure 900-20-25, Supplier Evaluation and Qualification.

6.11.2 Purchasing Documents

Purchase orders will be reviewed and approved prior to release to ensure that pertinent drawings, specifications, and other necessary information are listed and the sources of supply have the data required. This data will define appropriate quality requirements (if required), including the title number and issue of the appropriate standards.

6.11.3 Control of Purchased Material, Product and/or Services

Purchased material, products and/or services for use in RA products and/or services will be controlled/verified to ensure compliance to the purchase order requirements or customer requirements, as applicable.

6.12 Process Control

The Business Unit will identify the quality system processes and controls needed for product and/or service realization.

The Business Unit will determine, provide and maintain the infrastructure and work environment needed to support the process controls necessary to achieve conformity to product and/or service requirements.

Processes that have a direct affect on product and/or service quality will be carried out under controlled conditions. There will be written procedures covering the planning and control of manufacturing quality including applicable reference standards/codes and quality plans.

Documented work specific procedures that define the methods of production, test and installation will be prepared for processes where the absence of such instruction would adversely affect quality.

The characteristics of processes, products and services will be identified, monitored and controlled to ensure compliance with specified requirements. The results obtained from the monitoring activity will be subject to analysis using valid statistical methods for identifying opportunities for improvement.

Documented procedures will exist that specify the qualification requirements for new and revised processes, products, services and equipment.

Workmanship standards will exist and apply to RA products and services, except as required by contract or documented exception. Acceptance standards for workmanship and product characteristics will be defined in written standards, representative samples, or by other means.

Production equipment that directly affects product conformance will be controlled, maintained, and calibrated in accordance with an established control and maintenance system, to ensure continuing process capability.

When processes are used in the monitoring and measurement of specified requirements, the ability of computer software to achieve the intended application will be verified.

6.13 Inspection and Test

Each RA business unit will establish a system to ensure that various verification activities are performed as required by plans, documented procedures, or contractual agreements.

6.13.1 Received Products/Materials

Received product or materials will not be used or processed (except when released for urgent production purposes as outlined below) until such products/materials have been verified as conforming to specified requirements. Verification will be in accordance with Quality Plans, documented procedures and contractual requirements.

6.13.2 In-Process Verification

Products passing through the manufacturing process will be inspected, tested, and identified at pre-determined points as defined by the Quality Plan, documented procedures and contractual requirements.

6.13.3 Final Verification

The Quality Plan or other documented procedures for final inspection and testing will require that specified inspections and tests have been carried out including those specified either on receipt of product or in process. Evidence of conformity with the acceptance criteria will be documented. Records will indicate the authority responsible for release of product for delivery to the customer.

Note: Product may be released prior to meeting the above requirements if specifically approved by the customer.

6.13.4 Inspection and Test Records

Inspection and test records will be maintained to provide evidence of product conformity and those elements of the quality plan or documented procedures have been completed. Product that does not meet the criteria will be considered non-conforming and dispositioned accordingly.

6.14 Product Identification, Traceability and Status

RA Business Units will establish systems to positively identify materials and product at all stages of production, packaging, installation, repair, modification, and use when required by customer and/or contract. When traceability is required by contract, codes, or regulations, items will be traceable to a specified source and have a unique identifier. RA Business Units will also establish, implement, and maintain systems to identify the status of product throughout the production, installation and servicing of that product.

6.15 Customer Property

RA business Units will exercise care with customer property, including intellectual property and personal data, while it is under RA Business Unit control or being used by the RA Business Unit. The RA business Unit will identify, verify, protect and safeguard customer property. If any customer property is lost, damaged or otherwise found to be unsuitable for use, it will be reported to the customer and records maintained.

6.16 Handling, Storage, Packaging, Preservation and Delivery

RA Business Units responsible for manufacturing, material control, stockrooms, warehouses, and any other function that handles, stores, packages or delivers products (including Customer Supplied Material and materials being received and awaiting assembly or being transferred to another facility) will be responsible for ensuring that documented systems exist to control the handling, packaging, preservation, shipping, and storage of material to prevent damage, deterioration during manufacturing and transit, and the safety of the handlers and users.

6.17 Control of Monitoring and Measuring Devices

The RA Business Units will establish effective systems to maintain accuracy of measuring and process equipment and tooling and to control the selection, maintenance, and calibration of equipment used to verify that products, services, and/or processes conform to specifications.

Refer to RA corporate level procedure 900-20-39, Preventive Maintenance and Calibration.

6.17.1 Inspection, Measuring and Testing Devices

Calibration will be traceable to National, International and/or Industry Standards. Where no standards exist or alternative specifications are required, the basis used for calibration will be documented, approved by appropriate authority, and communicated to the personnel performing the calibration.

All equipment used for the acceptance of product will be identified with a calibration label visually displayed on the equipment or on the equipment container or reference document for equipment too small for a label.

An exception to this label requirement is when the calibration is part of a greater preventive maintenance (such as a single gauge on a large, stationary machine). In such cases the individually calibrated parts do not require labels. The PM record for the machine may be consulted for proof of calibration.

When measuring, monitoring, tooling, or process equipment is found not to conform to a requirement, appropriate action will be taken on the equipment and any product effected. An Impact Assessment will be performed to determine if remedial or corrective actions are required. Rationale for action or inaction will be documented. Records of the results of the calibration and verification will be maintained.

6.18 Monitoring and Measurement

Monitoring, measuring, analysis, verification activities, and improvement processes will be performed to demonstrate conformity of the product and/or service, ensure conformity and effectiveness of the Quality Management System, and drive continual improvement.

Business Units will secure input from customers regarding their perception to ensure customer needs and expectations are determined and met.

6.19 Internal Quality Audit

Each RA Business Unit will develop, document and implement an Internal Quality Audit program to determine whether the Quality Mangement System conforms to requirements and is effectively implemented and maintained.

The audit program should define the programs, systems and procedures to be audited, the scope of the audits, the schedules, the personnel who will conduct the audits, the process of documenting and acting on results.

RA corporate level procedure 900-20-30 defines the responsibilities and requirements for planning and conducting quality audits, establishing records and reporting results.

6.20 Control of Nonconforming Material

RA Business Units will establish systems to identify basic activities required for controlling the identification, documentation, segregation, disposition and notification to affected parties of non-conforming materials.

Materials/products which do not conform to RA Business Unit requirements will be identified and segregated to prevent further processing, delivery, installation or inadvertent use from receiving through shipping until proper disposition has occurred.

6.21 Analysis of Data

Data collection systems will exist to provide data to the function/department responsible for analyzing and reporting issues related to the effectiveness of the Quality Management System and overall quality improvement. The system will include methods for analyzing the information collected and extracting specific details for monitoring and performing corrective and preventive actions.

Data generated as a result of monitoring and measurement and from other relevant sources will provide information relating to:

- Customer satisfaction
- Conformity to product or service requirements
- Characteristics and trends of processes and products including opportunities for preventive action
- Suppliers

6.22 Corrective and Preventive Actions

Each Business Unit will establish, document and maintain systems for identifying non-conformities (including customer complaints) and initiating corrective and preventive actions. The level of management involved in a given action will be determined by the magnitude of the problem and the risks encountered. A documented procedure will be established to define requirements for:

- Investigating the cause of (potential or actual) non-conforming products, processes or services.
- Determining and implementing actions in a reasonable time period to eliminate the non-conformities root cause and to ensure non-conformities do not occur or recur.
- Reviewing effectiveness of the actions taken
- Maintaining records of the actions taken.

7.0 REFERENCES

- 900-20-01 Quality Policy
- 900-20-02 Quality Management System
- 900-20-03 Quality Management Review
- 900-20-25 Supplier Evaluation and Qualification
- 900-20-30 Internal/Peer Quality Audits
- 900-20-33 Records Retention
- 900-20-36 Common Product Development
- 900-20-45 Rockwell Production System (RPS) Policy
- 900-20-39 Preventive Maintenance and Calibration
- 700-01-13 Sales Contracts Review and Approval Policy

EXHIBIT A:

Cross-reference between the sections of this document and ISO9001:2000/2008 clauses

ISO 9001 Clause	Quality Manual Section
4.1, 4.2.1, 4.2.2	1.0
4.2.3	6.1
4.2.4	6.2
5.1	2.0, 3.0
5.2	1.0, 6.9, 6.15, 6.21
5.3	1.0, 6.1
5.4	6.3
5.5.1, 5.5.2	6.4.1
5.5.3	6.4.2
5.6	6.5
6.1	6.6
6.2	6.7
6.3	6.12
6.4	6.12
7.1	6.8
7.2	6.9
7.3	6.10
7.4	6.11
7.5	6.12
7.5, 7.4.3	6.13
7.5.3	6.14
7.5.4	6.15
7.5.5	6.16
7.6	6.17
8.1, 8.2	6.18
8.2.2	6.19
8.3	6.20
8.4	6.21
8.5	6.22

REVISION HISTORY

REV	REASON	OWNER
Feb 2006	Initial creation	Corp Quality (Charyl Fines)
Feb 2007	Roles and Responsibility of CI org	Corp Quality (Keith Seibert)
Feb 2009	Roles and Responsibility, ISO 9001:2008 release	Corp Quality (Keith Seibert)
June 2009	Updated cross reference and references to additional 900 level procedures	Corp Quality (Keith Seibert)