

DEFENCE COMPANIES INDEX (DCI) ON ANTI-CORRUPTION AND CORPORATE TRANSPARENCY 2020

FINAL ASSESSMENT

ALMAZ-ANTEY

The following pages contain the detailed scoring for this company based on publicly available information.

The table below shows a summary of the company's scores per section:

Section	Number of Questions*	Score Based on Publicly Available Information
1. Leadership and Organisational Culture	4	0/8
2. Internal Controls	6	0/12
3. Support to Employees	7	0/14
4. Conflict of Interest	4	0/8
5. Customer Engagement	7	0/14
6. Supply Chain Management	5	0/10
7. Agents, Intermediaries and Joint Ventures	10	0/20
8. Offsets	4	0/8
9. High Risk Markets	4	1/8
10. State-Owned Enterprises	5	1/10
TOTAL		2 / 112
BAND		F

*This column represents the number of questions on which the company was eligible to receive a score; i.e. where the company did not receive a score of N/A.

1. Leadership and Organisational Culture

Question
1.1. Does the company have a publicly stated anti-bribery and corruption commitment, which is authorised by its leadership?
Score
0
Comments
There is no evidence that the company makes a public commitment to ethical or anti-bribery and corruption standards.
Evidence
No evidence found.

Question
<p>1.2. Does the company have a comprehensive anti-bribery and corruption policy that explicitly applies to both of the following categories:</p> <p>a) All employees, including staff and leadership of subsidiaries and other controlled entities; b) All board members, including non-executive directors.</p>
Score
0
Comments
There is no publicly available evidence that the company publishes an anti-bribery and corruption policy.
Evidence
No evidence found.

Question
1.3. Does the board or a dedicated board committee provide oversight of the company's anti-bribery and corruption programme?
Score
0
Comments
There is no publicly available evidence that the company has a designated board committee or individual board member responsible for its anti-bribery and corruption programme.
Evidence
No evidence found.

Question
1.4. Is responsibility for implementing and managing the company's anti-bribery and corruption programme ultimately assigned to a senior executive, and does he or she have a direct reporting line to the board or board committee providing oversight of the company's programme?
Score
0
Comments
There is no evidence that a specific senior employee has ultimate responsibility for implementing and managing the company's anti-bribery and corruption programme.
Evidence
No evidence found.

2. Internal Controls

Question
2.1. Is the design and implementation of the anti-bribery and corruption programme tailored to the company based on an assessment of the corruption and bribery risks it faces?
Score
0
Comments
There is no evidence that the company has a formal risk assessment procedure which is used to inform an anti-bribery and corruption programme.
Evidence
No evidence found.

Question
2.2. Is the company's anti-bribery and corruption programme subject to regular internal or external audit, and are policies and procedures updated according to audit recommendations?
Score
0
Comments
There is no evidence that the company's anti-bribery and corruption programme is subject to audit or review.
Evidence
No evidence found.

Question
2.3. Does the company have a system for tracking, investigating and responding to bribery and corruption allegations or incidents, including those reported through whistleblowing channels?
Score
0
Comments
There is no evidence that the company has a publicly stated procedure for dealing with bribery and corruption allegations, incidents or whistleblowing reports.
Evidence
No evidence found.

Question
2.4. Does the company have appropriate arrangements in place to ensure the quality of investigations?
Score
0
Comments
There is no evidence that the company assures itself of the quality of its internal investigations.
Evidence
No evidence found.

Question
2.5. Does the company's investigative procedure include a commitment to report material findings of bribery and corruption to the board and any criminal conduct to the relevant authorities?
Score
0
Comments
There is no publicly available evidence that the company has an investigative procedure which includes a commitment to report material findings.
Evidence
No evidence found.

Question
2.6. Does the company publish high-level results from incident investigations and disciplinary actions against its employees?
Score
0
Comments
There is no evidence that the company publishes any data on ethical or bribery and corruption investigations or disciplinary actions involving its employees.
Evidence
No evidence found.

3. Support to Employees

Question
3.1. Does the company provide training on its anti-bribery and corruption programme to all employees across all divisions and geographies, and in all appropriate languages?
Score
0
Comments
There is no publicly available evidence that the company provides anti-bribery and corruption training to its employees.
Evidence
No evidence found.

Question
3.2. Does the company provide tailored training on its anti-bribery and corruption programme for at least the following categories of employees: a) Employees in high risk positions, b) Middle management, c) Board members.
Score
0
Comments
There is no evidence that the company tailors its anti-bribery and corruption training to employees based on an assessment of their role and exposure to corruption risk.
Evidence
No evidence found.

Question
3.3. Does the company measure and review the effectiveness of its anti-bribery and corruption communications and training programme?
Score
0
Comments
There is no evidence that the company measures or reviews the efficacy of its anti-bribery and corruption communications or training programme.
Evidence
No evidence found.

Question
3.4. Does the company ensure that its employee incentive schemes are designed in such a way that they promote ethical behaviour and discourage corrupt practices?
Score
0
Comments
There is no evidence that the company's incentive schemes for employees incorporate ethical or anti-bribery and corruption principles.
Evidence
No evidence found.

Question
3.5. Does the company commit to and assure itself that it will support and protect employees who refuse to act unethically, even when it might result in a loss of business?
Score
0
Comments
There is no evidence that the company publicly commits to support or protect employees who refuse to act unethically.
Evidence
No evidence found.

Question
3.6. Does the company have a clear policy of non-retaliation against whistleblowers and employees who report bribery and corruption incidents?
Score
0
Comments
There is no evidence that the company has a publicly available policy of non-retaliation against whistleblowers or employees who report bribery and corruption incidents.
Evidence
No evidence found.

Question
3.7. Does the company provide multiple whistleblowing and advice channels for use by all (e.g. employees and external parties), and do they allow for confidential and, wherever possible, anonymous reporting?
Score
0
Comments
There is no evidence that the company provides whistleblowing or advice channels for its employees to raise concerns or seek advice about anti-bribery and corruption.
Evidence
No evidence found.

4. Conflict of Interest

Question
4.1. Does the company have a policy defining conflicts of interest – actual, potential and perceived – that applies to all employees and board members?
Score
0
Comments
There is no publicly available evidence that the company has a conflict of interest policy.
Evidence
No evidence found.

Question
4.2. Are there procedures in place to identify, declare and manage conflicts of interest, which are overseen by a body or individual ultimately accountable for the appropriate management and handling of conflict of interest cases?
Score
0
Comments
There is no publicly available evidence that the company has procedures to manage conflict of interest or their oversight.
Evidence
No evidence found.

Question
4.3. Does the company have a policy and procedure regulating the appointment of directors, employees or consultants from the public sector?
Score
0
Comments
There is no evidence that the company has a policy regulating the employment of current or former public officials.
Evidence
No evidence found.

Question
4.4. Does the company report details of the contracted services of serving politicians to the company?
Score
0
Comments
There is no evidence that the company reports details of the contracted services of serving politicians.
Evidence
No evidence found.

5. Customer Engagement

5.1 Contributions, Donations and Sponsorships

Question
5.1.1. Does the company have a clearly defined policy and/or procedure covering political contributions?
Score
0
Comments
There is no evidence that the company has a policy to regulate corporate political contributions.
Evidence
No evidence found.

Question
5.1.2. Does the company publish details of all political contributions made by the company and its subsidiaries, or a statement that it has made no such contribution?
Score
0
Comments
There is no evidence that the company publishes any details of its corporate political contributions.
Evidence
No evidence found.

Question
5.1.3. Does the company have a clearly defined policy and/or procedure covering charitable donations and sponsorships, whether made directly or indirectly, and does it publish details of all such donations made by the company and its subsidiaries?
Score
0
Comments
There is no evidence that the company has a policy and/or procedure covering both charitable donations and sponsorships.
Evidence
No evidence found.

5.2 Lobbying

Question
5.2.1 Does the company have a policy and/or procedure covering responsible lobbying?
Score
0
Comments
There is no evidence that the company has a policy or procedure on lobbying.
Evidence
No evidence found.

Question
5.2.2 Does the company publish details of the aims and topics of its public policy development and lobbying activities it carries out?
Score
0
Comments
There is no evidence that the company publishes any information on its lobbying aims, topics or activities.
Evidence
No evidence found.

Question
5.2.3 Does the company publish full details of its global lobbying expenditure?
Score
0
Comments
There is no evidence that the company provides any details about its global lobbying expenditure.
Evidence
No evidence found.

5.3 Gifts and Hospitality

Question
5.3.1 Does the company have a policy and/or procedure on gifts and hospitality to ensure they are bona fide to prevent undue influence or other corruption?
Score
0
Comments
There is no publicly available evidence that the company has a policy on gifts or hospitality.
Evidence
No evidence found.

6. Supply Chain Management

Question
6.1. Does the company require the involvement of its procurement department in the establishment of new supplier relationships and in the oversight of its supplier base?
Score
0
Comments
There is no evidence that the company requires the involvement of its procurement department in the establishment and/or oversight of its supplier base.
Evidence
No evidence found.

Question
6.2 Does the company conduct risk-based anti-bribery and corruption due diligence when engaging or re-engaging with its suppliers?
Score
0
Comments
There is no evidence that the company conducts anti-bribery and corruption due diligence on its supply chain.
Evidence
No evidence found.

Question
6.3 Does the company require all of its suppliers to have adequate standards of anti-bribery and corruption policies and procedures in place?
Score
0
Comments
There is no evidence that the company ensures that its suppliers have anti-bribery and corruption policies in place that meet a high standard.
Evidence
No evidence found.

Question
6.4 Does the company ensure that its suppliers require all their sub-contractors to have anti-corruption programmes in place that at a minimum adhere to the standards established by the main contractor?
Score
0
Comments
There is no evidence that the company takes steps to ensure that the substance of its anti-bribery and corruption programme and standards are required throughout the supply chain.
Evidence
No evidence found.

Question
6.5 Does the company publish high-level results from ethical incident investigations and disciplinary actions against suppliers?
Score
0
Comments
There is no evidence that the company publishes any data on ethical or anti-bribery and corruption investigations relating to its suppliers, or the associated disciplinary actions.
Evidence
No evidence found.

7. Agents, Intermediaries and Joint Ventures

7.1 Agents and Intermediaries

Question
7.1.1 Does the company have a clear policy on the use of agents?
Score
0
Comments
There is no evidence that the company has a policy covering the use of agents.
Evidence
No evidence found.

Question
7.1.2 Does the company conduct risk-based anti-bribery and corruption due diligence when engaging or re-engaging its agents and intermediaries?
Score
0
Comments
There is no evidence that the company conducts anti-bribery and corruption due diligence on its agents or intermediaries.
Evidence
No evidence found.

Question
7.1.3 Does the company aim to establish the ultimate beneficial ownership of its agents and intermediaries?
Score
0
Comments
There is no evidence that the company aims to establish the beneficial ownership of its agents.
Evidence
No evidence found.

Question
7.1.4 Does the company's anti-bribery and corruption policy apply to all agents and intermediaries acting for or on behalf of the company, and does it require anti-bribery and corruption clauses in its contracts with these entities?
Score
0
Comments
There is no evidence that the company has an anti-corruption policy which applies to agents and intermediaries, or that the company includes anti-bribery and corruption clauses in its contracts with agents and intermediaries.
Evidence
No evidence found.

Question
7.1.5 Does the company ensure that its incentive schemes for agents are designed in such a way that they promote ethical behaviour and discourage corrupt practices?
Score
0
Comments
There is no evidence that the company considers incentive structures as a risk factor in agent behaviour, nor is there evidence that the company's incentive structures for agents are designed to minimise risks of anti-bribery and corruption.
Evidence
No evidence found.

Question
7.1.6 Does the company publish details of all agents currently contracted to act with and on behalf of the company?
Score
0
Comments
There is no evidence that the company publishes any details of the agents currently contracted to act for or and on behalf of the company.
Evidence
No evidence found.

Question
7.1.7 Does the company publish high-level results from incident investigations and sanctions applied against agents?
Score
0
Comments
There is no evidence that the company publishes any data on ethical or bribery and corruption-related investigations, incidents or the associated disciplinary actions involving to agents.
Evidence
No evidence found.

7.2 Joint Ventures

Question
7.2.1 Does the company conduct risk-based anti-bribery and corruption due diligence when entering into and operating as part of joint ventures?
Score
0
Comments
There is no evidence that the company conducts anti-bribery and corruption due diligence on its joint ventures.
Evidence
No evidence found.

Question
7.2.2 Does the company commit to incorporating anti-bribery and corruption policies and procedures in all of its joint venture partnerships, and does it require anti-bribery and corruption clauses in its contracts with joint venture partners?
Score
0
Comments
There is no evidence that the company commits to establishing or implementing anti-bribery and corruption policies or procedures in its joint ventures.
Evidence
No evidence found.

Question
7.2.3 Does the company commit to take an active role in preventing bribery and corruption in all of its joint ventures?
Score
0
Comments
There is no evidence that the company commits to take an active role in preventing bribery and corruption in all of its joint ventures.
Evidence
No evidence found.

8. Offsets

Question
8.1 Does the company explicitly address the corruption risks associated with offset contracting, and is a dedicated body, department or team responsible for oversight of the company's offset activities?
Score
0
Comments
There is no evidence that the company addresses the corruption risks associated with offset contracting and there is no evidence that a dedicated body, department or team is responsible for monitoring of its offset activities.
Evidence
No evidence found.

Question
8.2 Does the company conduct risk-based anti-bribery and corruption due diligence on all aspects of its offset obligations, which includes an assessment of the legitimate business rationale for the investment?
Score
0
Comments
There is no evidence that the company has formal procedures in place to conduct risk-based anti-bribery and corruption due diligence on its offset obligations.
Evidence
No evidence found.

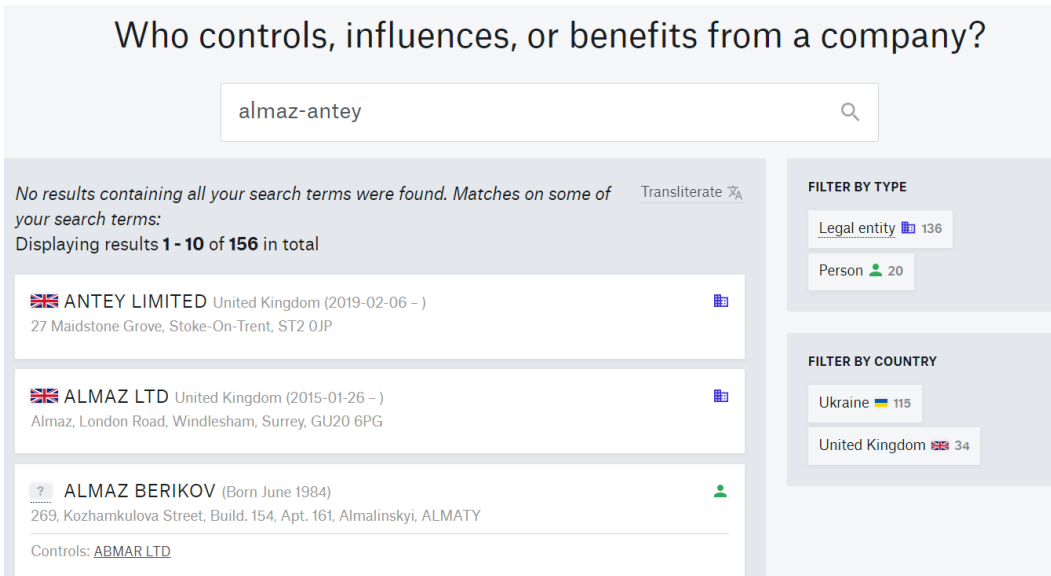
Question
8.3 Does the company publish details of all offset agents and brokers currently contracted to act with and/or on behalf of the company?
Score
0
Comments
There is no evidence that the company publishes any details of the offset agents, brokers or consultancy firms currently contracted to act with and on behalf of its offset programme.
Evidence
No evidence found.

Question
8.4 Does the company publish details about the beneficiaries of its indirect offset projects?
Score
0
Comments
There is no evidence that the company publishes any details of its indirect offset obligations or contracts.
Evidence
No evidence found.

9. High Risk Markets

Question
9.1 Does the company have enhanced risk management procedures in place for the supply of goods or services to markets or customers in countries identified as at a high risk of corruption?
Score
0
Comments
There is no evidence that the company acknowledges the corruption risks of operating in different markets, or that risk assessment procedures are used to inform the company's operations in high risk markets.
Evidence
No evidence found.

Question
9.2 Does the company disclose details of all of its fully consolidated subsidiaries and non-fully consolidated holdings (associates, joint ventures and other related entities)?
Score
0
Comments
There is no evidence that the company publishes information on its subsidiaries or affiliated entities.
Evidence
No evidence found.

Question
9.3 Does the company disclose its beneficial ownership and control structure?
Score
1
Comments
<p>There is some evidence to indicate that the company is a state-owned enterprise owned by the Russian Federation. However, the company receives a score of '1' because it does not provide publish clear information to indicate that the Russian government is its sole beneficial owner, nor does it publish a statement that no individual owns 25% or more of shares or voting rights. There is no information available in a publicly available and freely accessible companies register, nor is the company listed in the global beneficial ownership register Open Ownership.</p>
Evidence
<p>[5] History – English (Webpage) Accessed 05/09/2020 http://www.almaz-antey.ru/en/istoriya/ Established in 2002 under the Presidential Decree and the Decree of the Government of the Russian Federation, the Almaz-Antey Corporation united dozens of enterprises, engaged in development and production of anti-aircraft missile systems of small, medium and long ranges, and main types of radar reconnaissance and automated control systems, including factories, research and production associations, design bureaus and research institutes. Later, in 2007, the Corporation underwent enlargement, and as of today, more than sixty enterprises from eighteen regions of the country are consolidated in its structure.</p> <p>The Corporation became the first large holding created within the framework of the "Defense Industrial Complex Reformation and Development (2002-2006)" Federal Target Program. On its share fell a pioneer function of solving problems of corporate management system and equity capital formation.</p> <p>[...]</p> <p>On February 5, 2015, the President of the Russian Federation Vladimir Putin signed a decree on renaming the Almaz-Antey Air Defense Corporation to the Almaz-Antey Air and Space Defense Corporation. The same Decree approved the increase of the charter capital of the Corporation.</p> <p>[1] Open Ownership Search (Webpage) Accessed 05/09/2019 https://register.openownership.org/search?utf8=%E2%9C%93&q=almaz-antey</p>  <p>The screenshot shows the Open Ownership Search interface. At the top, it asks 'Who controls, influences, or benefits from a company?'. A search bar contains 'almaz-antey'. Below the search bar, it states 'No results containing all your search terms were found. Matches on some of your search terms:'. It then displays 'Displaying results 1 - 10 of 156 in total'. The results are listed in a table with columns for company name, location, and date. The first three results are: ANTEY LIMITED (United Kingdom, 2019-02-06), ALMAZ LTD (United Kingdom, 2015-01-26), and ALMAZ BERIKOV (Born June 1984). To the right of the results, there are filters for 'FILTER BY TYPE' (Legal entity: 136, Person: 20) and 'FILTER BY COUNTRY' (Ukraine: 115, United Kingdom: 34).</p>

Question
9.4 Does the company publish a percentage breakdown of its defence sales by customer?
Score
0
Comments
There is no evidence that the company publishes any information about its defence sales by customer.
Evidence
No evidence found.

10. State-Owned Enterprises (SOEs)

Question
10.1 Does the SOE publish a breakdown of its shareholder voting rights?
Score
0
Comments
There is no evidence that the company publishes any details of its shareholders or their voting rights.
Evidence
No evidence found.

Question
10.2 Are the SOE's commercial and public policy objectives publicly available?
Score
1
Comments
<p>The company publishes some information about its objectives, which primarily include servicing the needs of the Russian armed forces and supporting the domestic defence industry. However, the company receives a score of '1' because there is no clear evidence that these objectives are updated on at least an annual basis.</p>
Evidence
<p>[2] Стратегия / Mission Statement (Webpage) Accessed 05/09/2019 http://www.almaz-antey.ru/strategiya/ Стратегия</p> <p>Миссия и главные цели Концерна</p> <p>В соответствии с Военной доктриной Российской Федерации основной задачей развития оборонно-промышленного комплекса является обеспечение его эффективного функционирования как высокотехнологичного многопрофильного сектора экономики страны, способного удовлетворить потребности Вооруженных сил Российской Федерации в современном вооружении, военной и специальной технике и обеспечить стратегическое присутствие Российской Федерации на мировых рынках высокотехнологичных продукции и услуг.</p> <p>Концерн видит себя как ведущую компанию российского оборонно-промышленного комплекса, вертикально интегрированную структуру, являющуюся лидером сегмента систем воздушно-космической обороны в Российской Федерации, активно развивающую и наращивающую свое присутствие на международных рынках продукции военного назначения и смежных рынках продукции двойного назначения, продукции гражданского назначения.</p> <p>Миссия Концерна</p> <p>Обеспечение текущих и перспективных потребностей государства в создании, поддержании и развитии эффективной системы воздушно-космической обороны в интересах безопасности и обороноспособности Российской Федерации и союзников.</p> <p>Миссия Концерна реализуется достижением целей по следующим направлениям:</p> <p>Главная стратегическая цель</p> <p>Создание научно-технических основ системы ВКО в целом и ее элементов путем разработки, производства и поставки, сервисного обслуживания и ремонта, утилизации ВВТ, проектирования и строительства объектов ВКО</p> <p>Обеспечивающие стратегические цели</p> <p>Обеспечение устойчивого развития Концерна</p> <p>Обеспечение непрерывности и эффективности функционирования Концерна</p> <p>Translation:</p> <p>Strategy</p> <p>Mission and main goals of the Concern</p> <p>In accordance with the Military doctrine of the Russian Federation the main task of the development of the military-industrial complex is to ensure its effective functioning as a high-tech diversified sector of the economy that can</p>

meet the needs of the Armed forces of the Russian Federation in modern armament, military and special equipment and to ensure a strategic presence of Russia on the world markets of high-tech products and services.

The concern sees itself as a leading company of the Russian military-industrial complex, a vertically integrated structure that is the leader of the segment of aerospace defence systems in the Russian Federation, actively developing and increasing its presence in the international markets of military products and related markets of dual-use products, civilian products.

Concern's Mission

Ensuring the current and future needs of the state in the creation, maintenance and development of an effective system of aerospace defence in the interests of the security and defence capabilities of the Russian Federation and allies.

The mission of the Concern is realized by achieving the goals in the following areas:

Main strategic goal

Creation of scientific and technical foundations of the EKO system as a whole and its elements through development, production and supply, maintenance and repair, utilization of VVT, design and construction of EKO facilities

Providing strategic goals

Ensuring sustainable development of the Concern

Ensuring the continuity and efficiency of the Concern's operations

[3] Управление Качества / Quality Management (Webpage)

Accessed 05/09/2019

http://www.almaz-antey.ru/sistema-menedzhmenta-kachestva/index.php?sphrase_id=29228

Система менеджмента качества (СМК) входит в общую систему менеджмента АО "Концерн ВКО "Алмаз - Антей".

Одной из стратегических целей Концерна является стремление занять лидирующие позиции в области создания высокотехнологичных систем и средств воздушно-космической обороны, активно развивать и наращивать своё присутствие на мировых и национальных рынках продукции военного, двойного и гражданского назначения для обеспечения государственных нужд и в интересах иностранных заказчиков, что возможно при условии создания результативной и эффективной системы менеджмента качества.

С момента создания в 2002 году в Концерне СМК организованы и на постоянной основе проводятся работы по ее совершенствованию.

В соответствии с правилами, принятыми в сфере добровольной сертификации, СМК Концерна ежегодно проходит инспекционный контроль и один раз в три года ресертификацию.

В 2017 году СМК Концерна успешно прошла оценку соответствия, по результатам которой подтверждено действие полученных в 2015 году сертификатов соответствия СМК:

в системе добровольной сертификации "Военный регистр", сертификат соответствия № ВР 15.1.9259-2015, со сроком действия по 18.08.2018, удостоверяющий, что система менеджмента качества, распространяющаяся на разработку, производство, испытания, установку, монтаж, техническое обслуживание, ремонт, утилизацию и реализацию применительно к продукции в соответствии с заявленными кодами ЕКПС соответствует требованиям ГОСТ РВ 0015 – 002 – 2012 г., ГОСТ ISO 9001 – 2011 г.

в системе сертификации "ГОСТ Р", сертификат № РОСС RU.ИФ61.К00190 со сроком действия по 15.07.2018, удостоверяющий, что система менеджмента качества применительно к проектированию и строительству зданий и сооружений соответствует требованиям ГОСТ ISO 9001 – 2011 г.

В связи со структурными изменениями и внедрением в Концерне ГОСТ Р ИСО 9001-2015, в январе 2018 года введены в действие новые редакции Политики и Целей в области качества, откорректированы организационно-правовые документы (положения о структурных подразделениях, должностные инструкции работников) и документированные процедуры СМК Концерна.

В целях улучшения координации деятельности Концерна и его дочерних обществ (ДО) по вопросам повышения качества и надёжности изделий вооружения, военной и специальной техники (ВВСТ),

поставляемых по государственному оборонному заказу и иностранным заказчикам, начиная с 2013 года ежегодно проводятся научно-практические конференции на базе передовых ДО Концерна, выпускающих финальную продукцию.

В октябре 2017 года была организована и проведена на базе ПАО "НМЗ" (г. Нижний Новгород) научно-практическая конференция на тему "Современные подходы в управлении качеством продукции на предприятиях интегрированной структуры АО "Концерн ВКО "Алмаз – Антей", в которой приняли участие работники Концерна, ДО, представители Департамента оборонной промышленности при Правительстве Российской Федерации и других организаций.

В ходе конференции состоялось посещение производственных площадок АО "НЗ 70-летия Победы" (г. Нижний Новгород), где участников конференции ознакомили с современным производством, автоматизированным технологическим и испытательным оборудованием, новейшими технологиями. Там же была организована работа тематических секций по направлениям:

приёмочный контроль продукции отделом технического контроля;
метрологическое обеспечение производства, аттестация испытательного оборудования;
проведение испытаний сборочных единиц ВВСТ, испытание готовой продукции в испытательном центре и др.

Участники конференции получили на электронном носителе доклады с методическими материалами по вопросам в области менеджмента качества.

По результатам проведённых в декабре 2016 года организационно-штатных изменений служба качества Концерна преобразована в департамент управления качеством. В структуру департамента управления качеством включены служба менеджмента качества и вновь созданная инспекция по качеству.

Основными задачами департамента управления качеством являются:

создание, обеспечение функционирования и совершенствование СМК Концерна;
создание, обеспечение функционирования и совершенствование СМК интегрированной структуры Концерна;

создание и совершенствование системы управления качеством продукции и надёжностью технологических систем и организация действенного контроля качества производимой продукции;
управление качеством продукции, надёжностью технологических систем;
стандартизация, нормализационный контроль технической документации, документированных процедур СМК, организационно-правовых документов;
учёт, хранение и обращение технической документации, документированных процедур СМК и организационно-правовых документов.

В целях реализации задачи по построению СМК интегрированной структуры Концерна (ИС Концерна) в 2016 году был сформирован Координационный совет в области менеджмента качества ИС Концерна, который направляет свою деятельность на решение следующих основных задач:

выработка корпоративной политики в области качества и рассмотрение предложений по установлению и последующему принятию целей в области качества ИС Концерна, контроль их реализации;
развитие и совершенствование систем менеджмента качества Концерна и ДО на основе повышения эффективности и результативности координации работ в этой сфере деятельности;
развитие методики и методического аппарата комплексного подхода к управлению качеством продукции в рамках ИС Концерна в целях выполнения заданий государственного оборонного заказа и удовлетворенности требований потребителей;
управление разработкой корпоративных документированных процедур СМК и их внедрения в интегрированной структуре АО "Концерн ВКО "Алмаз – Антей";
выработка предложений и рекомендаций по повышению качества и надежности вооружений, военной и специальной техники, поставляемой потребителям. Выработка предложений и рекомендаций по снижению рисков производства некачественной продукции на всех этапах жизненного цикла;
совершенствование процедуры и выработка решений по проблемным вопросам рекламационной и претензионной деятельности и управления качеством при осуществлении поставок ВВСТ;
выработка рекомендаций по решению проблемных вопросов менеджмента качества в области разработки, производства, технического обслуживания, ремонта и обеспечения эксплуатации продукции военного назначения;

рассмотрение вопросов внедрения методов и технологий менеджмента качества и выработка предложений в целях повышения эффективности функционирования СМК Концерна и ДО; выработка рекомендаций по мерам, направленным на снижение количества дефектов выпускаемой продукции на всех этапах жизненного цикла.

В целом Концерн координирует деятельность ДО в области менеджмента качества на основе анализа представляемых отчетных и статистических данных о качестве и надёжности изделий военного и гражданского назначения, как в ходе производства, так и по результатам эксплуатации, а так же проведения плановых инспекторских проверок ДО в области менеджмента качества.

По результатам анализа отчетных и статистических данных, инспекторских проверок принимаются и реализуются решения и рекомендации, направленные на совершенствование кадрового потенциала, производственно-технологической и научно-технической базы ДО Концерна.

Политика в области качества АО "Концерн ВКО "Алмаз - Антей"

АО "Концерн ВКО "Алмаз – Антей" (далее – Концерн), созданное в целях участия в обеспечении обороноспособности и безопасности Российской Федерации и развития военно-технического сотрудничества с иностранными государствами, стремится занять лидирующие позиции в области создания высокотехнологичных систем и средств воздушно-космической обороны для обеспечения государственных нужд и в интересах иностранных заказчиков и активно развивать и наращивать своё присутствие на мировых и национальных рынках продукции военного, двойного и гражданского назначения.

Высшее руководство Концерна считает приоритетным в области менеджмента качества – добиться высокой результативности и качества реализации процессов разработки, производства, испытаний, технического обслуживания и ремонта, установки, монтажа и утилизации вооружения и военной техники в целях обеспечения конкурентоспособности создаваемой и поставляемой продукции и удовлетворения её самым высоким требованиям и ожиданиям заказчиков.

Достижение указанных целей высшее руководство Концерна намерено осуществлять, реализуя следующие основные направления деятельности:

развитие научно-технического и производственного потенциалов Концерна и дочерних обществ (ДО), что является основополагающим фактором экономического роста;

совершенствование научно-технической и производственной деятельности Концерна и ДО в целях обеспечения качества и надёжности продукции, сроков выполнения государственного оборонного заказа, контрактных обязательств в рамках военно-технического сотрудничества и мероприятий федеральных целевых программ, что гарантирует неоспоримые конкурентные преимущества на внутреннем и внешнем рынках.

Высшее руководство обязуется добиваться результативной и эффективной деятельности по этим направлениям на основе:

применения принципов менеджмента качества на базе реализации процессного подхода и риск-менеджмента и обеспечения поддержания в работоспособном состоянии и улучшения системы менеджмента качества, отвечающей требованиям ГОСТ Р ИСО 9001 и ГОСТ РВ 0015–002;

повышения операционной эффективности и учёта затрат на реализацию мероприятий по обеспечению качества и надёжности продукции;

внедрения инструментов и методов бережливого производства;

дальнейшего укрепления социальной политики, развития кадрового потенциала, создания сбалансированных систем мотивации, вовлечения работников в процесс управления качеством, стимулирования их творческих возможностей и профессиональной переподготовки.

Высшее руководство Концерна обязуется следовать заявленной Политике в области качества и требовать этого от всех работников, полагая, что выпуск качественной и надёжной продукции – это конечный результат коллективных усилий, источник развития и роста их благосостояния.

Высшее руководство уверено, что реализация Политики в области качества, достижение установленных Целей в области качества и выполнение взятых обязательств позволит Концерну достичь устойчивого успеха в конкурентной борьбе в условиях рыночной экономики.

Translation:

The quality management system (QMS) is part of the General management system of JSC Concern VKO Almaz - Antey.

One of the strategic goals of the Concern is the desire to take a leading position in the field of high-tech systems and means of aerospace defence, to actively develop and increase its presence in the world and national markets of military, dual and civilian products to meet the needs of the state and in the interests of foreign customers, which is possible if you create a productive and effective quality management system.

Since its inception in 2002, the QMS Concern has organized and continuously carried out work on its improvement.

In accordance with the rules adopted in the field of voluntary certification, the QMS of the Concern is annually inspected and recertified once every three years.

In 2017, the QMS of the Concern successfully passed the conformity assessment, the results of which confirmed the validity of the QMS certificates of conformity received in 2015:

in the system of voluntary certification "Military register", certificate № BP 15.1.9259-2015, with a validity of at 18.08.2018 certifying that the quality management system, covering design, manufacture, testing, installation, commissioning, maintenance, repair, utilization and implementation for products in accordance with the stated codes ETUC meets the requirements of GOST RV 0015 – 002 – 2012 G., GOST ISO 9001 – 2011.

in the certification system "GOST R", certificate no. ROSS RU.ИФ61.K00190 with a validity of at 15.07.2018 certifying that the quality management system for the design and construction of buildings and structures meets the requirements of GOST ISO 9001 – 2011.

In connection with structural changes and the introduction of the Concern GOST R ISO 9001-2015, in January 2018 the new edition of the Policy and Goals in quality, revised legal documents (regulations on structural units, job descriptions of all employees) and documented procedures of the QMS of the Group.

In order to improve the coordination of activities of the Concern and its subsidiaries (DO) on improving the quality and reliability of weapons, military and special equipment (vvst) supplied by the state defence order and foreign customers, since 2013, scientific and practical conferences are held annually on the basis of advanced DO Concern, producing final products.

In October 2017 was organized and held on the basis of PJSC "NMZ" (Nizhny Novgorod) scientific and practical conference on " Modern approaches to product quality management at the enterprises of the integrated structure of JSC "Concern VKO "Almaz – Antey", which was attended by employees of the Concern, DO, representatives of the Department of defence industry under the Government of the Russian Federation and other organizations.

During the conference, a visit to the production sites of JSC "NZ 70th anniversary of Victory" (Nizhny Novgorod), where the conference participants were introduced to modern production, automated technological and testing equipment, the latest technologies. There was also organized the work of thematic sections in the following areas:

acceptance inspection of the production control Department;
metrological assurance of production, certification of test equipment;
testing of vvst Assembly units, testing of finished products in the test centre, etc.
The participants of the conference received on electronic media reports with methodological materials on issues in the field of quality management.

As a result of organizational and staff changes carried out in December 2016, the Concern's quality service was transformed into the quality management Department. The quality management service and the newly created quality inspection are included in the structure of the quality management Department.

The main objectives of the quality management Department are:

creation, maintenance and improvement of QMS Concern;
creation, maintenance and improvement of QMS of the integrated structure of the Concern;
creation and improvement of product quality management system and reliability of technological systems and organization of effective quality control of products;

management of product quality, reliability of technological systems;
standardization, normalization control of technical documentation, documented QMS procedures, organizational and legal documents;

accounting, storage and circulation of technical documentation, documented QMS procedures and organizational and legal documents.

In order to implement the task of building a QMS integrated structure of the Group (IP Group) in 2016 was formed the Coordinating Council in the field of quality management of IP Group, which focuses its activities on the following tasks:

development of corporate policy in the field of quality and consideration of proposals for the establishment and subsequent adoption of goals in the field of quality of is Concern, control of their implementation;
development and improvement of quality management systems of Concern and DO on the basis of increase of efficiency and effectiveness of coordination of works in this sphere of activity;

development of the methodology and methodological apparatus of an integrated approach to product quality management within the is Concern in order to fulfil the tasks of the state defence order and customer satisfaction;
management of development of corporate documented QMS procedures and their implementation in the integrated structure of Almaz – Antey Concern JSC";

development of proposals and recommendations to improve the quality and reliability of weapons, military and special equipment supplied to consumers. Development of proposals and recommendations to reduce the risks of production of low-quality products at all stages of the life cycle;
improving the procedure and making decisions on problematic issues and warranty claims activity and manage quality of delivery of military equipment;

development of recommendations for solving problematic issues of quality management in the field of development, production, maintenance, repair and maintenance of military products;
consideration of the implementation of methods and technologies of quality management and development of proposals to improve the efficiency of the QMS of the Concern and TO;
development of recommendations on measures aimed at reducing the number of defects in products at all stages of the life cycle.

Overall, the company coordinates the activities TO in the area of quality management based on the analysis of present accounting and statistical data about the quality and reliability of the products for military and civilian use, both during the production and operating results, and scheduled inspections up TO in the field of quality management.

Based on the results of the analysis of reporting and statistical data, inspections, decisions and recommendations aimed at improving the human resources, production, technological and scientific and technical base of the Concern are made and implemented.

Policy in the field of quality of JSC "EKO Concern "Almaz - Antey"

Almaz-Antey Concern JSC (hereinafter-concern), established in order to participate in the defence and security of the Russian Federation and the development of military-technical cooperation with foreign countries, seeks to take a leading position in the field of high-tech systems and means of aerospace defence to meet state needs and in the interests of foreign customers and actively develop and increase its presence in the world and national markets of military, dual and civilian products.

The top management of the Concern considers it a priority in the field of quality management to achieve high efficiency and quality of implementation of the processes of development, production, testing, maintenance and repair, installation, installation and disposal of weapons and military equipment in order to ensure the competitiveness of the created and supplied products and meet its highest requirements and expectations of customers.

The senior management of the Concern intends to achieve these goals by implementing the following main activities:

development of scientific, technical and production potential of the Concern and its subsidiaries(SUBSIDIARIES), which is a fundamental factor of economic growth;
improvement of scientific, technical and production activities of the concern and DO In order to ensure the quality and reliability of products, the timing of the state defence order, contractual obligations within the framework of

military-technical cooperation and activities of Federal target programs, which guarantees undeniable competitive advantages in the domestic and foreign markets.

Senior management is committed to achieving effective and efficient performance in these areas on the basis of:

application of the principles of quality management on the basis of the implementation of the process approach and risk management and ensuring the maintenance and improvement of the quality management system that meets the requirements of GOST R ISO 9001 and GOST RV 0015-002;

improving operational efficiency and cost accounting for the implementation of measures to ensure the quality and reliability of products;

introduction of lean manufacturing tools and methods;

further strengthening of social policy, development of human resources, creation of balanced systems of motivation, involvement of employees in the process of quality management, stimulation of their creative opportunities and professional retraining.

[4] Военно-техническое Сотрудничество / Military-Technical Cooperation (Webpage)

Accessed 05/09/2019

<http://www.almaz-antey.ru/voenno-tekhnicheskoe-sotrudnichestvo/>

Концерн осуществляет военно-техническое сотрудничество по двум направлениям:

- поставка иностранным заказчикам конечной военной продукции через АО "Рособоронэкспорт";
- как самостоятельный субъект военно-технического сотрудничества в соответствии со Свидетельством о праве на осуществление внешнеторговой деятельности в отношении продукции военного назначения от 18 января 2016 г. № 2016245238.

При осуществлении самостоятельной внешнеторговой деятельности Концерн обладает правом на производство следующих видов работ и оказание услуг при эксплуатации ранее поставленной продукции военного назначения:

поставка запасных частей, агрегатов, узлов, приборов, комплектующих изделий, специального, учебного и вспомогательного имущества, технической документации;

- проведение работ по освидетельствованию, эталонированию, продлению срока эксплуатации, техническому обслуживанию, ремонту (в том числе с модернизацией, предполагающей проведение НИОКР), утилизации и других работ, обеспечивающих комплексное сервисное обслуживание;
- обучение иностранных специалистов проведению указанных выше работ;
- участие в создании совместных с иностранными заказчиками предприятий (организаций), занимающихся техническим обслуживанием, ремонтом и утилизацией продукции военного назначения, создание и дооборудование на территории иностранных государств объектов, обеспечивающих комплексное сервисное обслуживание.

География военно-технического сотрудничества Концерна обширна, количество стран, располагающих военной техникой, разработанной и произведенной предприятиями Концерна, превышает 50. Со многими иностранными заказчиками Концерн связывает многолетнее плодотворное и взаимовыгодное сотрудничество.

Концерн предлагает иностранным заказчикам не только отдельные образцы вооружения и военной техники, но и комплексные решения по созданию национальных систем обороны сухопутных, воздушных и морских рубежей.

Учитывая современные тенденции, Концерн проявляет готовность к развитию прямого военно-технического сотрудничества с другими странами по такому направлению, как совершенствование их ремонтных мощностей под выполнение на них ремонта и усовершенствования ПВН номенклатуры Концерна, включая создание многофункциональных центров технического обслуживания и ремонта различных ВВСТ. Важнейший источник формирования портфеля заказов – участие в работе межправительственных комиссий по военно-техническому сотрудничеству с различными странами. Так, только в 2016 году представители Концерна приняли участие в подготовке материалов и непосредственной работе 36 заседаний рабочих групп/подгрупп таких комиссий с 15 государствами.

[...]

По результатам внешнеторговой деятельности Концерн традиционно входит в число крупнейших мировых поставщиков продукции военного назначения, а в России является лидером по объему ее экспорта. Согласно оценкам международных экспертов, по объему продаж ПВН Концерн в период 2013-2016 гг. устойчиво занимал 11-14-е места среди 100 крупнейших компаний мирового военно-промышленного комплекса.

Стратегические направления совершенствования работы Концерна по продвижению продукции военного назначения его номенклатуры на внешние рынки:

- повышение качества информационно-аналитической работы по оценке текущего состояния и перспектив развития зарубежных рынков продукции военного назначения, относящейся к номенклатуре Концерна;
- совершенствование рекламно-выставочной работы, активное доведение до потенциальных внешних заказчиков информации о Концерне, его современной продукции и возможностях по развитию взаимовыгодного сотрудничества с зарубежными партнерами;
- налаживание прямого сотрудничества с зарубежными государствами по обеспечению эффективного послепродажного обслуживания имеющейся у них военной техники номенклатуры Концерна;
- совершенствование механизма проработки обращений иностранных заказчиков на поставку продукции военного назначения за счёт повышения оперативности контрактно-договорной работы и использования автоматизированных систем;
- разработка и предложение инозаказчикам проектов модернизации ранее поставленной им продукции военного назначения;
- организация обучения иностранных специалистов для последующей квалифицированной эксплуатации, обслуживания и ремонта техники номенклатуры Концерна;
- укрепление позиций Концерна на международном уровне путем создания представительств, совместных предприятий по ремонту и сервисному обслуживанию поставленной военной техники и активного участия в работе межправительственных комиссий по военно-техническому сотрудничеству.

Translation:

The concern carries out military-technical cooperation in two areas:

- delivery of final military products to foreign customers through Rosoboronexport JSC";
- as an independent subject of military-technical cooperation in accordance with Certificate of right to implementation of foreign trade activity concerning military products from 18 January 2016 No. 2016245238.

In carrying out independent foreign trade activities, the Concern has the right to perform the following types of work and provide services in the operation of previously delivered military products:

supply of spare parts, assemblies, assemblies, devices, components, special, educational and auxiliary equipment, technical documentation;

- carrying out works on inspection, standardization, extension of service life, maintenance, repair (including modernization, involving R & d), recycling and other works, providing comprehensive service;
- training of foreign specialists in carrying out the above works;
- participation in the creation of joint ventures (organizations) with foreign customers engaged in maintenance, repair and disposal of military products, the creation and retrofitting of facilities on the territory of foreign countries, providing comprehensive service.

The geography of military-technical cooperation of the Concern is extensive, the number of countries with military equipment developed and produced by the enterprises of the Concern exceeds 50. The Concern has long-term fruitful and mutually beneficial cooperation with many foreign customers.

The concern offers foreign customers not only individual samples of weapons and military equipment, but also complex solutions for the creation of national defence systems of land, air and sea borders.

Given current trends, the Group shows commitment to the development of direct military-technical cooperation with other countries on such aspects as improving their repair capacity under execution of repair and improvement items

of PVN Group, including the creation of multifunctional centres of technical maintenance and repair of various military equipment.

Participation in the work of intergovernmental commissions on military – technical cooperation with various countries is the most important source of order portfolio formation. Thus, in 2016 alone, representatives of the Concern took part in the preparation of materials and the direct work of 36 meetings of working groups/subgroups of such commissions with 15 States.

[...]

According to the results of foreign trade activity, the Concern is traditionally one of the world's largest suppliers of military products, and in Russia it is the leader in terms of its exports. According to international experts, the volume of sales of PVN Group in the period 2013-2016 steadily held the 11-14-th place among the 100 largest companies the global military-industrial complex.

Strategic directions for improving the work of the Group for promotion of military products his items to foreign markets:

- improving the quality of information and analytical work to assess the current state and prospects of development of foreign markets of military products related to the nomenclature of the Concern;
- improvement of advertising and exhibition work, active bringing to potential external customers information about the Concern, its modern products and opportunities for the development of mutually beneficial cooperation with foreign partners;
- establishment of direct cooperation with foreign States to ensure effective after-sales service of their existing military equipment of the Concern's nomenclature;
- improvement of the mechanism of processing appeals of foreign customers for the supply of military products by increasing the efficiency of contract work and the use of automated systems;
- development and offer of projects for modernization of military products previously delivered to foreign customers;
- organization of training of foreign specialists for further qualified operation, maintenance and repair of equipment of the Concern's nomenclature;
- strengthening the Concern's position at the international level through the establishment of representative offices, joint ventures for the repair and maintenance of supplied military equipment and active participation in the work of intergovernmental commissions on military-technical cooperation.

Question
10.3 Is the SOE open and transparent about the composition of its board and its nomination and appointment process?
Score
0
Comments
There is no evidence that the company makes any information about its board members or their nomination and appointment process publicly available. The company's website provides the name of the Chairman of the Board – along with a list of others who have held the post – but it does not provide further details about other members.
Evidence
<p>[5] History – English (Webpage) Accessed 05/09/2020 http://www.almaz-antey.ru/en/istoriya/</p> <p>The Board of Directors of the new integrated structure was headed by the Assistant to the President of the Russian Federation V. P. Ivanov until 2008, by the Deputy Head of the Administration of the President of the Russian Federation A. D. Beglov from 2008 to 2011, by V. F. Medovnikov from 2011 to 2014, and by the Chief Executive Manager of the State Corporation "Rostec" S.V. Chemezov from 2014 to 2016.</p> <p>In November 2016, M.E. Fradkov was elected Chairman of the Board of Directors.</p>

Question
10.4 Is the SOE's audit committee composed of a majority of independent directors?
Score
0
Comments
There is no evidence that the company has an audit committee which is composed of majority independent directors.
Evidence
No evidence found.

Question
10.5 Does the SOE have a system in place to assure itself that asset transactions follow a transparent process to ensure they accord to market value?
Score
0
Comments
There is no evidence that the company publishes any details about its management of asset transactions.
Evidence
No evidence found.

List of Evidence & Sources

No.	Type (Webpage or Document)	Name	Download Date	Link
01	Webpage	Open Ownership Search	05/09/2019	https://register.openownership.org/search?utf8=%E2%9C%93&q=almaz-antey
02	Webpage	Mission Statement	05/09/2019	http://www.almaz-antey.ru/strategiya/
03	Webpage	Quality Management	05/09/2019	http://www.almaz-antey.ru/sistema-menedzhmenta-kachestva/index.php?sphrase_id=29228
04	Webpage	Military-Technical Cooperation	05/09/2019	http://www.almaz-antey.ru/voenno-tekhnicheskoe-sotrudnichestvo/
05	Webpage	History	05/09/2019	http://www.almaz-antey.ru/en/istoriya/