Supplier Quality System Assessment -
Supplementary Guidelines

	Section	Question	*Examples of evidence / proof required in your assessment package/report.*
1	**Quality Systems**	1. Does the supplier have a prevention oriented documented Quality / Business Operating System?	Copy of ISO/QS or TS certificate or other documentation showing compliance to a quality system.
		Do any of your customers require an ISO or TS certification?	
		If you are certified, who is your registrar?	
		Define the elements (Corrective Action, Advanced Quality Planning, Organizational Capability, Communication, etc.)?	
		Why was it developed? Drivers?	
		How long has it been in place?	
	Score = 1	No third party certification nor documented quality system exists.	
	Score = 3	Third party certification with a documented system exists.	
	Score = 5	Third party certification with a documented system exists. Also, there is consistent evidence that the system is fully deployed and integrated in all appropriate funtional areas and levels of the organization.	
		2. Is the suppliers quality system **mature and fully deployed** throughout the entire organization?	Proof of when first certified - copy of first certificate issued. Documentation is available that demonstrate how core business processes are referenced in the quality system documentation and the quality system is referenced & linked in these documents. Examples of documents are: (internal quality audits with timely responses & issues closed-out, quality system manual, policies & procedures, management review meeting minutes with action item assignments, policies posted.)

		Do you have a quality policy?	
		Where is it posted - show me?	
		Ask operators to speak to the quality policy and how it affects their work?	
	Score = 1	The supplier does not have a fully documented system. No documentation or very limited documentation exists. Management personnel understand & can explain in general terms how the systems should work. Hourly personnel have limited knowledge of the system.	
	Score = 3	A fully documented system exists and is deployed in all the required functional areas. Management personnel understand & can explain in general terms how the systems should work. The hourly personnel fully understand the system and some linkage to them.	
	Score = 5	A fully documented system exists. Full deployment is evident in all areas of the business. The hourly and management personnel fully understand & can explain the system and how most areas of their jobs are linked to it. Cycles of improvement to the system are demonstrated to confirm a culture of continuous improvement. The system has caused significant improvement to many of the quality measures.	
2	**Planning & Execution**	1. Are the supplier's quality performance goals aligned with their customer's expectations? Are they linked to the facility managers goals?	Process to determine customer expectations; Copy of Quality & On-Time performance Customer Surveys or similar metric; Copy of managers goals tied to customer quality metrics.
		What are the quality goals?	
		How are they created?	
		What is the linkage to the manager's goals?	
		Where are the quality goals displayed?	
	Score = 1	The supplier does not have documented quality performance goals. The supplier does not have processes for collecting customer's expectations, and little to no evidence is shown.	

	Score = 3	The supplier has a process, and some evidence shown - The supplier has documented quality performance goals that are linked with their customers. The managers goals do show linkage to the quality performance goals.	
	Score = 5	The supplier has a process, and a significant amount of evidence shown - There is a process in place for the development and alignment of the quality performance goals with the customers and facility manager. The process does incorporate and demonstrates a review cycle to establish action plans for gap closure. A majority / all goals are on track to be met or exceeded.	
		2. Does the supplier have a formal system to ensure effective product and process development for new programs/products including establishment of milestones for key activities? (Documented PPAP Process with supporting examples)?	Copies of First-Article insp., design validation procedures, quality planning procedure/checklist; a structured phase-gate process used for new product & process development; attainment of project milestone activities.
		Who is involved in the launch of a new product?	
		What planning tool do you use?	
		Can you show me a recent use of the tool for a product launch?	
		Is there a *system* for reviewing incoming orders for revisions and specification changes?	
	Score = 1	No formal system exists for product or process development. Little to no evidence is shown.	
	Score = 3	A formal system exists for product or process development. Some evidence is shown.	
	Score = 5	A formal system exists for product or process development, and a significant amount of evidence is shown for key activities. A majority / all key product/process development activities are on track to be met or exceeded.	
		3. Range of last 6 months key results: PPM _____, On-Time Delivery _____ (Enter Actual Values) Are there positive trends on these indicators and action plans in place when/if issues arise?	Are the trends communicated to appropriate employees? Is the evidence shared/posted publicly? Copy of minutes showing action items or Corrective/Preventative Action Request (CAR/PAR) list showing action items.

		How do you calculate PPM and On time delivery? What data source?	
		How and how often do the employees see performance results?	
		Who is involved in determining corrective action for a shortfall?	
		Is there a system for measuring the *Cost of Quality* and is the information used for decision making at the management level?	
	Score = 1	PPM and on-time delivery are not monitored nor tracked for improvement. Past six months data show negative trends.	
	Score = 3	PPM and on-time delivery are monitored, some action plans are being followed, and some of the past six months trend show improvement.	
	Score = 5	Supplier has 233 PPM and 99.98% on-time delivery (5-Sigma) for the past 6 months or better.	
3	**Supply Management**	1. Are (sub-)suppliers assessed/selected based on Quality and Commercial capabilities? Does this assessment/selection process occur sufficiently early in the program to allow for supplier input into the development of the product/processes.	Copies of completed supplier evaluations; copy of quality planning procedure/checklist; timeline for including early supplier input.
		How do you assess the financial viability of your suppliers?	
		Do you conduct a quality system assessment?	
		Is there an approved supplier list, and are all suppliers chosen from the list?	
		Does your process require corrective action response for deficiencies?	
		Can I see an example of an assessment and follow up?	
	Score = 1	No process is established through documented procedures for assessing/selecting and for early involvement of suppliers. Little to no evidence is shown.	
	Score = 3	A process is established through documented procedures for assessing/selecting and for early involvement of suppliers. Some evidence is shown.	

	Score = 5	A very thorough process is established through documented procedures for assessing/selecting and for early involvement of suppliers. A significant amount of evidence from design reviews and other early stage planning meetings show suppliers are involved at the earliest stage that is appropriate for the projects reviewed.	
		2. Are (sub-)suppliers given defined expectations for quality and measured against them?	Copies of requirements specifications, evidence of Critical To Quality metrics communicated along with their actual results; Copy of design validation procedures.
		Do you include quality expectations in your Purchase Orders? Show me?	
		Does the purchasing document adequately describe the product or service being requested?	
		Do you conduct receiving inspection? Show me?	
		Are *purchase orders* available to receiving inspection?	
		How are your sampling plans created? Quantity, Frequency, Characteristics?	
	Score = 1	No process exist defining & communicating expectations. Little to no evidence is shown.	
	Score = 3	A process exist defining & communicating expectations. Some evidence is shown.	
	Score = 5	A process exist defining & communicating expectations. A significant amount of evidence is shown. A majority / all supplier goals are being measured & reviewed, and are on track to be met or exceeded.	
		3. Is (sub-)supplier performance tracked and reviewed to ensure that issues receive effective root cause analysis and permanent corrective action to prevent recurrence?	Copy of DMR procedures and any current open DMR logs. Copy of CAR/PAR procedures and responses from suppliers.
		What do you use for supplier performance monitoring? System? Spreadsheet?	
		How and how frequently do you communicate performance to suppliers?	
		Do you have a focused corrective action program for your worst suppliers?	

		Do you have a program to develop your suppliers?	
	Score = 1	No process to track supplier performance is in place. Little to no evidence is shown.	
	Score = 3	A process to track supplier performance is in place. Some evidence is shown.	
	Score = 5	A process to track supplier performance is in place. A significant amount of evidence is shown. A majority / all supplier issues are tracked and the results of root cause analysis demonstrates the permanent prevention of issue recurrences.	
4	**Customer Focus - Senior Management**	1. Does evidence show that senior management periodically reviews customer expectations and assigns adequate resources to achieve them?	Copy of mgmt review procedure & meeting minutes that identify customer expectations, and the assignment of resources to achieve them.
		What level of management typically participates in this kind of assessment (QSA)?	
		Are *customer reported quality issues* documented, reviewed and responded to in a timely basis and is this information used for corrective action?	
		Do you conduct management reviews of the quality system? What is the agenda?	
		When was the last management review? Were action items generated?	
		Is there a process to follow up action items from previous reviews?	
	Score = 1	No process nor documented evidence of periodic senior management review of customer expectations.	
	Score = 3	A process is in place, and there is some evidence of senior management reviews.	
	Score = 5	A process is in place, and there is an significant amount of evidence of senior management reviews. Results demonstrate that senior management actively drives reviews of customer expectations. A majority/all action items have adequate resources assigned, and are completely reviewed and followed up in a timely manner.	

		2. Is the senior management team involved with customer issue resolution?	Copy of mgmt review procedure & meeting minutes that address customer issue resolution. Copy of reviews of customer warranty/feedback analysis. Copy of action plans, timelines and personnel assignments to resolve issues.
		When was the last time senior managers visited a customer? Purpose?	
		How is your company organized to provide customer focus?	
		How does the customer focus team report issues to senior management?	
	Score = 1	No process nor documented evidence of senior management involvement in customer issues.	
	Score = 3	A process is in place, and there is some evidence of senior management involvement with customer issue resolution.	
	Score = 5	A process is in place, and there is an significant amount of evidence of senior management involvement with customer issue resolution. Customer issues are visible and are used by senior management to drive preventative actions at all levels of the organization. Feedback from a majority/all customers show their satisfaction in the timeliness and thoroughness of the responses.	
		3. Does senior management effectively communicate customer expectations/concerns through the organization?	Copy of departmental meeting agenda/minutes of specific customer issues that are addressed with employees. Trends are communicated to appropriate employees at various site-wide or dept. meetings, and the evidence shared/posted publicly on info. boards, internal memos., email etc.
		Do you conduct all employee meetings? Who leads? How frequently? Agenda?	
		How do you post customer concerns in the plant? Show me?	
	Score = 1	Little to no evidence of customer expectations/concerns communicated to the organization.	

	Score = 3	There is some evidence that customer expectations/concerns are communicated to all levels of the organization.	
	Score = 5	There is an significant amount evidence that customer expectations/concerns are communicated to all levels of the organization. Senior management has measures that show positive trends in the effectiveness of their communications to the organization about customer issues. In addition, the data shows appreciable improvement in the trends relating to customer issues.	
		4. Does senior management support participative multi-disciplinary team decision making?	Copy of a Corrective Action Requests & Non-Conforming Material (CAR/NCM) reports showing cross functional team decision; Copy of department/mgmt meeting assigning action items to appropriate personnel.
		Can I see an example of Corrective action to a customer concern?	
		Who is on the team? Are operators involved in the process?	
		Verify implementation of corrective action on the shop floor?	
	Score = 1	No process is in place, and little to no documented evidence of multi-disciplinary team approach.	
	Score = 3	A process is in place, and some evidence of multi-disciplinary team approach is shown.	
	Score = 5	A process is in place, and a significant amount of evidence of multi-disciplinary team approach is shown. Senior management actively searches out and encourages multi-disciplinary team decision making, and is able to document & demonstrate the impact of these team decisions on key business results & measures.	

5	**Personnel**	1. Is there a system to qualify production personnel in their job function? Does this include early involvement in new programs, learning new tasks, skills etc. sufficiently in advance of production startup?	Copy of training procedure/matrix; Copy of quality planning procedure/checklist showing involvement of production personnel. Copy of product development timelines showing early training of production personnel.
		How do you screen and select production personnel?	
		How do you insure that all operators are qualified?	
		Select an operator during the shop floor tour - is he qualified on his current job?	
		Do the people responsible for administering the Quality Assurance function possess adequate *education and experience*?	
	Score = 1	No documented process, and little to no evidence of a operator qualification/certification is in place.	
	Score = 3	A documented process is in place, and there is some evidence that operator qualification/certification is in place.	
	Score = 5	A documented process is in place, and there is a significant amount of evidence that operator qualification/certification in place. A majority / all production employees have been formally "qualified" (education, training, experience etc.) for job functions. All new product/process development projects actively involve production employees as ongoing team members beginning at early phases.	
		2. Are there programs that encourage continuing education/development of the workforce?	Copy of a procedure/policy on re-imbursement; documented employee orientation material. Copies of records showing all levels of employees participating. Copy of procedures, and completed examples, showing how training needs are assessed.
		How do you assess the training needs for your organization?	
		Do training requirements include Quality Tools and Techniques?	
		Do you have tuition reimbursement program? Who is eligible?	

	Score = 1	No process, and little to no documented evidence of how continuing education is encouraged.	
	Score = 3	A process is in place, and some documented evidence of how continuing education is encouraged is shown.	
	Score = 5	A process is in place, and a significant amount of documented evidence of how continuing education is encouraged is shown. Records are available to show the positive impact on employee morale, and on key business result metrics as a result of the continuing education of the workforce.	
		3. Is there a system to encourage, communicate and implement ideas from production personnel? Does this include team involvement in planning for new programs/products?	Copy of policy/procedure on employee suggestion; employee recognition program for ideas submitted; plant advisory committee; suggestion box; written open door policy; documented in new employee orientation handout. Copy of product development timelines showing early involvement of production personnel.
		How many suggestions from operators were implemented in the last six months?	
		How are employees rewarded for participating in process improvement?	
		Can we see a recently implemented suggestion?	
	Score = 1	No formal process in place, and little to no evidence is shown for how to promote or encourage production personnel to communicate improvement ideas.	
	Score = 3	A formal process in place, and some evidence is shown for how to promote or encourage production personnel to communicate improvement ideas.	

	Score = 5	A formal process in place, and a significant amount of evidence is shown for how to promote or encourage production personnel to communicate improvement ideas. Data is available to show that inputs from production operators are incorporated where appropriate, skills for new production operations are developed, and customer requirements are fully understood. All new product/process development projects actively involve production employees as ongoing team members beginning at early phases. As a result, data is available to show improved employee morale, and positive trends in both internal metrics as well as external customer satisfaction results.	
		4. Do operators understand key processes and their affect on product quality (customer satisfaction / dissatisfaction)?	Interview production operators & other production support personnel; Copy of minutes of departmental meetings, work instructions, quality performance targets and actual results that show production operators responding to product quality issues. Copies of metrics posted in visible public locations?
		What are your key processes? process parameters?	
		How do you control those processes and parameters? Show me?	
		Do the operators have the ability to stop the process if parts are out-of-spec?	
	Score = 1	No formal process in place, and little to no evidence is shown to demonstrate how production operators understand their effect on product quality.	
	Score = 3	A formal process in place, and some evidence is shown to demonstrate how production operators understand their effect on product quality.	

	Score = 5	A formal process in place, and a significant amount of evidence is shown to demonstrate how production operators understand their effect on product quality. As a result, data is available to demonstrate the linkage between production operators understanding, and positive trends in both internal metrics as well as external customer satisfaction results.	
		5. Where language barriers may exist, are systems in place to ensure the accuracy of defined expectations?	Copy of translation of instructions into various languages; Multi-cultural supervisory workforce to assist; Screening tests for proficiency in English. Copy of written policy from management to support multi-languages.
		Do you have a literacy requirement for your employees?	
		Do you have a language training program? Part of tuition reimbursement?	
		What measurement system do you use? Is it the same as your customers'?	
	Score = 1	No process is in place, and little to no evidence is shown to demonstrate how expectations are communicated across language barriers.	
	Score = 3	A process is in place, and some evidence is shown to demonstrate how expectations are communicated across language barriers.	
	Score = 5	A process is in place, and a significant amount of evidence is shown to demonstrate how expectations are communicated across language barriers.	
		6. Is there an effective system to involve production employees in customer issue resolution?	Copy of departmental meeting agenda/minutes of specific customer issues that involve and are addressed with production employees. Copy of results showing closed-loop responses with customers.
		How do you post customer concerns in the plant? Show me?	
		Who is on the resolution team? Are operators involved in the process?	

		Do operators travel to customer sites for issue resolution?	
	Score = 1	No process is in place, and little to no evidence of production employee involvement in customer issue resolution is shown.	
	Score = 3	A process is in place, and some evidence of production employee involvement in customer issue resolution is shown.	
	Score = 5	A process is in place, and a significant amount of evidence of production employee involvement in customer issue resolution is shown. Production employees are actively involved in all appropriate customer issues, and data shows their involvement results in more thorough preventative actions and improved customer satisfaction.	
6	**Defect Management**	1. Is there an effective system to identify, contain and eliminate non-conforming products/processes? Does it ensure that containment actions are not allowed to be removed until permanent action has been verified and effectively put in place?	Copy of nonconformance procedures, quarantine area, red/yellow tag identification of non-conforming material. Copy of records showing containment, disposition, corrective action cycles and end results.
		How do operators contain defective product on the shop floor? Show me?	
		Is defective material clearly segregated from the production flow?	
		How do you disposition defective material? What process? Who signs?	
		What is the process to notify customers of defects that have been shipped?	
		Is incoming material quarantined pending inspection?	
		Is there any documented policy for Containment actions, Root cause analysis, corrective actions ? Check records	
	Score = 1	No process is in place, and little to no evidence shown to manage non-conforming products and processes.	

	Score = 3	A process is in place, and some evidence is shown to demonstrate management of non-conforming products and processes.	
	Score = 5	A process is in place, and a significant amount of evidence is shown to demonstrate management of non-conforming products and processes. Data records show a correlation of permanent actions resulting in a positive trend of non-conformances being reduced in a majority / all product & process areas.	
		2. Is information relating to known defects effectively communicated through the organization?	Copy of departmental meeting agenda/minutes of specific product or process nonconformance issues that are discussed with and assigned to appropriate employees. Data & trends and the impact of noncomformances are communicated to appropriate employees at various site-wide or dept. meetings, and the evidence shared/posted publicly on info. boards, internal memos., email etc.
		Do you conduct all employee meetings? Who leads? How frequently? Agenda?	
		How do you post customer concerns in the plant? Show me?	
		Who is on the resolution team? Are operators involved in the process?	
	Score = 1	No process is in place, and little to no evidence shown for communicating nonconformances in products or processes.	
	Score = 3	A process is in place, and some evidence is shown for communicating nonconformances in products or processes.	
	Score = 5	A process is in place, and a significant amount of evidence is shown for communicating nonconformances in products or processes. Employees know or can readily find and show an understanding of the issues relating to key non-conformances, and the subsequent preventative actions assigned.	

		3. Does the supplier organization have an effective structured system for solving problems? For new programs/products does this include detailed reviews of historical information on defects and potential defects? i.e., "lessons learned"	Copy of Corrective/Preventative Action Request (CAR/PAR) procedures, pFMEA's per requirement; quality planning checklist. Copy of records showing any work in process or completed 8D projects.
		Do you use the 8D process? What other problem solving tools do you use?	
		Do you use pFMEA? Are PFMEA updated based on problem solving results?	
		Show me a systematic, thorough problem solving example?	
	Score = 1	No process is in place, and little to no evidence of a structured problem solving system.	
	Score = 3	A process is in place, and some evidence of a structured problem solving system is shown.	
	Score = 5	A process is in place, and a significant amount of evidence of a structured problem solving system is shown. Data records show that the resolution to a majority / all non-conformances follow a structured problem resolution system.	
7	**Process Control**	1. Are the supplier's production processes developed utilizing prevention methodologies such as Process Flow Charting and FMEAs to define and initiate action plans for reducing risks?	Copy of records showing flow chart/process flow map & brainstorming with pFMEAs as required - validated through quality; plant layout & formalized ISO procedure outlying processes; control plans; leading indicators measured; action plan evidence (cars/p
		Please show me a control plan, process flow chart?	
		What is the relationship between these documents and your work instructions?	
		Please show me an action plan to reduce RPNs on a PFMEA?	
	Score = 1	No process is in place, and little to no evidence of the tools used to reduce risks in production processes is shown.	
	Score = 3	A process is in place, and some of evidence of the tools used to reduce risks in production processes is shown.	

	Score = 5	A process is in place, and a significant amount of evidence of the tools used to reduce risks in production processes is shown. Data records show that a majority / all production processes are developed using a prevention and risk reduction techniques.	
		2. Is there an effective system to notify, validate, approve, and track changes to the production process?	Copies of records showing a Change management process; ECN process; Customer change notification process; controlled revision evidence on documents/products/processes.
		Please show me an example of a change to the production process?	
		When was the change made? With or without obsolescence?	
		Was the customer notified?	
		Is there a *master list* or equivalent, identifying document revision status?	
		Where documents or data is retained on software, are appropriate *controls* maintained for changes?	
		Is there a system for the *storage and retrieval* of inspection and process control records?	
		Are these records *available to the customer* for evaluation, upon request?	
	Score = 1	No process is in place, and little to no evidence of the methods used to manage changes in production processes is shown.	
	Score = 3	A process is in place, and some evidence of the methods used to manage changes in production processes is shown.	
	Score = 5	A process is in place, and a significant amount of evidence of the methods used to manage changes in production processes is shown. All changes to production processes follow prescribed notification, validation and tracking procedures.	

		3. Are production processes effectively controlled utilizing data gathering and analysis, reviewing the correlation between product quality and the appropriate process parameter control? (DOE, SPC, Poke-Yoke, Regression Analysis etc.)	Copy of process capability procedure; control plans; Management review minutes; some sort of Overall Eqpt. Effectiveness (OEE) process; line stop authorization; spc/control charts; copy of correlation studies identifying critical inputs affecting product quality.
		Is there a continuous improvement strategy?	
		What methods do you use to improve your processes?	
		Is *quality data* generated from the manufacturing process *used* to drive problem solving and continuous improvement?	
		Do you do an Error proofing analysis?	
		Do you use SPC on any operations? Are control charts in use, and understood?	
		Are Statistical Process Control (SPC) principles *understood* by all levels of management?	
		Are work instructions with pictures available at the workstations?	
		Is there a system utilizing *correlation analysis* to monitor integrity between related processes?	
	Score = 1	No process is in place, and little to no evidence of the methods used to control production processes is shown.	
	Score = 3	A process is in place, and some evidence of the methods used to control production processes is shown.	
	Score = 5	A process is in place, and a significant amount of evidence of the methods used to control production processes is shown. Data records show that a majority / all production processes are follow parameter control techniques, and that corresponding product quality results show positive trends.	

		4. Are process capabilities tracked and improved for key characteristics, including appropriately managing processes where marginal capability may exist? Does this include formal qualification of equipment/processes to meet the desired manufacturing capabilities well in advance or production startup for new programs?	Copy of identified & implemented control plans, regional limits, tolerances adjusted; copy of quality planning procedure/checklist; component/material key characteristics; key process characteristics; action plans for Designing for Excellence (DFX), i.e. manufacturability, testability, reliability, etc.; first piece evaluations/ppap.
		Do you conduct capability studies? Example?	
		What is the driver? Why do you conduct them?	
		Do you identify key characteristics in your process documentation?	
		Is there a system for analysis and *reporting statistical data* on a regular basis?	
		Are *material certifications* and dimensional data available, as required by customer, or sent concurrent with shipments?	
	Score = 1	No process is in place, and little to no evidence of how process capabilities are tracked and improved is shown.	
	Score = 3	A process is in place, and some evidence of how process capabilities are tracked and improved is shown.	
	Score = 5	A process is in place, and a significant amount of evidence of how process capabilities are tracked and improved is shown. Process Capability studies are in place for all key characteristics, and Measurement System Analysis are done for all key production equipment.	
8	**Inspection & Test**	1. Is the inspection and test equipment adequate for the products produced? Does this include early development of inspection practices for new programs?	Copy of procedures to determine How/Who chooses Test & Inspection Equipment; Copy of calibration procedure and/or gage program; Copy of MSAs; quality planning checklist.
		What types of inspection can you do? What kind of test equipment do you have?	
		How are your inspection requirements documented?	
		Are there *written instructions* for the operation of inspection and test equipment?	

		Do you purchase inspection surfaces from an outside service?	
		Does the documented quality system include procedures governing the evaluation of incoming material?	
		Is there a system to ensure the *correct / current drawings and specifications* are available at Receiving Inspection?	
		Are inspection instructions documented?	
	Score = 1	No process is in place, and little to no evidence for determining the adequacy of test equipment is shown.	
	Score = 3	A process is in place, and some evidence for determining the adequacy of test equipment is shown.	
	Score = 5	A process is in place, and a significant amount of evidence for determining the adequacy of test equipment is shown. All Inspection & Test equipment have records indicating their ongoing adequacy for measuring the products produced.	
		2. Does the supplier verify set-ups, and changeovers prior to production and following major maintenance/shut downs, including functional testing when applicable?	Copy of a set up procedure & form used to verify & inspect; examples that shows first & last off are verified
		Do you have a setup procedure?	
		Do you retain first piece samples?	
	Score = 1	No process is in place, and little to no evidence is shown for the verification of production set-ups.	
	Score = 3	A process is in place, and some evidence is shown for the verification of production set-ups.	
	Score = 5	A process is in place, and a significant amount of evidence is shown for the verification of production set-ups. Production set-ups and verifications are done and tracked for all production change-overs & maintenance operations.	

		3. Are the supplier's finished product quality audits/inspections adequately aligned and reviewed against both internal and external (customer) issues to ensure product integrity of shipped product? (review rejection trends with inspection data)	Copy of an in-process inspection procedure and a completed & signed off form; are Critical-to-Quality characteristics identified?
		Are *current drawings and specifications* available at final inspection?	
		Do you conduct a final inspection before shipping?	
		How do you control material prior to final inspection being completed?	
		Are *statistical techniques* used for determining the acceptability of finished goods to customer requirements?	
		Does the supplier perform *correlation* exercises with customers on critical parameters?	
		How do you indicate product is acceptable or not?	
		Are supplier quality performance documents recorded?	
		Is *quality data* generated from *final audit* used to drive problem solving and continuous improvement?	
	Score = 1	No process is in place, and little to no evidence is shown for the audit of finished products.	
	Score = 3	A process is in place, and some evidence is shown for the audit of finished products.	
	Score = 5	A process is in place, and a significant amount of evidence is shown for the audit of finished products. A majority / all finished product are audited in-process and/or at the end of the line, and data records shows positive trends in out-going product quality.	
9	**Facilities**	1. Is there an effective Preventative Maintenance program for processes, machinery, and equipment, including metrics to determine its effectiveness? (Review repeat issues, down time, scheduled vs. unscheduled activity) Does the system include maintenance and control of dies, fixtures and tools used in production?	Copy of Total Preventative Maintenance (TPM) procedure & list/schedule; Overall Eqpt. Effectiveness (OEE) list.

		What system do you use to document your PM program?	
		Do you do any Predictive Maintenance checks? Infra red, vibration analysis?	
		What is your record of downtime?	
	Score = 1	No process is in place, and little to no evidence is shown for the preventative maintenance of production tools and equipment.	
	Score = 3	A process is in place, and some evidence is shown for the preventative maintenance of production tools and equipment.	
	Score = 5	A process is in place, and a significant amount of evidence is shown for the preventative maintenance of production tools and equipment. All key production machines & equipment have a PM program, and data records show minimal down-time due to un-scheduled events.	
		2. Is the manufacturing facility layout periodically evaluated for effectiveness of current and future product? Does a review of Work flow, Ergonomics, FIFO Inventory/Kanban, Quick Access to key Support Services support it's effectiveness?	Copy of a Flow Chart/Value stream map showing plant layout; emergency plant layout with formalized ISO procedure outlying processes
		Do you use any Lean techniques? VSM? CFM?	
		How do you control your inventory flow?	
	Score = 1	No process is in place, and little to no evidence is shown for the periodic evaluation of the effectiveness of the plant layout.	
	Score = 3	A process is in place, and some evidence is shown for the periodic evaluation of the effectiveness of the plant layout.	
	Score = 5	Processes are in place, and a significant amount of evidence is shown for the periodic evaluation of the effectiveness of the plant layout. A VSM (or equivalent) is continuously being used to indicate future improvements in facility layouts with regard to streamlining manufacturing & support processes.	

10	**Calibration**	1. Is there an effective system for maintenance and control of measuring systems, gages, and tools to ensure gage accuracy is known throughout the production timeframe?	Copy of calibration procedure and/or gauge program; evidence of tool calibration stickers/labels serialization markings on tools and gauges, showing expiration dates for calibration.
		Do you have an electronic gage control program? Are all calibration records documented and available?	
		Is the calibration process applied to all measuring and test equipment?	
		How many gages past due for calibration?	
		Review stickers on shop floor?	
		Is measuring equipment correlated with their suppliers' measuring equipment?	
		Are calibrations *traceable* to national standards?	
	Score = 1	No process is in place, and little to no evidence is shown for the maintenance & control of the measuring systems.	
	Score = 3	A process is in place, and some evidence is shown for the maintenance & control of the measuring systems.	
	Score = 5	A process is in place, and a significant amount of evidence is shown for the maintenance & control of the measuring systems. All measuring devices used for production and support services have documented maintenance and accuracy records that show consistent compliance to applicable calibration standards.	
		2. Does the supplier have records of gauge capability analysis and evidence of action taken if/when out-of-calibration conditions are suspected?	Copy of calibration procedure and/or gauge program/process; proof showing measurement tools are maintained consistently; copy of actual actions taken to correct out of calibration tools.
		How do your operators respond if they find a gage out of calibration?	
		Do you conduct Gage R&Rs? Are appropriate criteria used for the acceptance of test equipment with regard to capability?	
		What is the condition of your masters? Do you use verification pieces?	

		Is the handling, preservation, and storage of measuring and test equipment appropriate to maintain calibration and fitness for use? .	
		Are receiving inspection *facilities and equipmen* t adequate, calibrated, and properly maintained?	
		Are *final inspection facilities and equipment* adequate for completion of final evaluation activities?	
	Score = 1	No process is in place, and little to no evidence is shown of how the supplier manages the analysis of gauge capabilities.	
	Score = 3	A process is in place, and some evidence is shown of how the supplier manages the analysis of gauge capabilities.	
	Score = 5	A process is in place, and a significant amount of evidence is shown of how the supplier manages the analysis of gauge capabilities. All measuring devices used for production and support services have documented gauge capability studies completed, and data records show improving trends in the severity of the actions required for resolving out-of-calibration equipment.	
11	**Storage**	1. Do systems exist to prevent product damage and assure material integrity?	Copy of preservation of product procedure; handling, storing of product procedure. Confirm that actual practices meet those described in the procedures.
		Show me your in-process material handling procedures?	
		How do you handle finished goods?	
		Is there a *system* in place to ensure product is prevented from being shipped prior to Quality Control concurrence?	
		Is *lot identity* and disposition maintained throughout the manufacturing process?	
		Is manufacturing *lot traceability* maintained through the packaging and shipping process?	
	Score = 1	No process is in place, and little to no evidence of the steps to prevent product damage is shown.	

	Score = 3	A process is in place, and some evidence of the steps to prevent product damage is shown.	
	Score = 5	A process is in place, and a significant amount of evidence of the steps to prevent product damage is shown. The handling of all raw material, wip and finished products are evaluated and documented, resulting in the appropriate damage prevention techniques applied. Data records are available to show positive trends in material integrity and the reduction of damage.	
		2. Are storage and inventory management systems adequate? (consider shelf life, FI/FO)	Copy of preservation of product procedure; handling, storing of product procedures. Confirm that actual practices meet those described in the procedures.
		Do you have a system for FIFO?	
		How are your products protected from the environment?	
	Score = 1	No process is in place, and little to no evidence of inventory management steps is shown.	
	Score = 3	A process is in place, and some evidence of inventory management steps is shown.	
	Score = 5	A process is in place, and a significant amount of evidence of inventory management steps is shown. The storage requirements of all raw material, wip and finished products are evaluated and documented. Data records are available to show positive trends in the reduction of damage due to storage issues.	
12	**Environment, Health, and Safety Management**	1. Does the supplier have a third party certified management system for EHS? (e.g. ISO14001 and/or OHSAS18001); (1,3, 5)	Copy of the certificate(s).
	Score = 1	Neither a certified environment or certified safety program;	
	Score = 3	Partial credit (one of the two);	
	Score = 5	Full credit both safety and environmet programs certified by a third party.	

		2. Does the supplier have a documented EHS policy with a commitment to regulatory compliance, continuous improvement, and pollution prevention? (1.3,5)	Copy of policy document (one or more) that clearly states commitment to compliance, continuous improvement, and pollution prevention.
	Score = 1	Policy contains none of the elements	
	Score = 3	Policy contains at least two of the three elements	Evidence in policy documents demonstrates management commitment to the elements.
	Score = 5	policy contains all elements	
		3. Does the supplier have its key EHS risks and impacts documented? (1,3,5)	Evidence could include risk assessment, aspect/impact analysis, or other prioritization of risk and impacts.
	Score = 1	Neither environmental or safety risks and impacts documented	
	Score = 3	Documentation of either safety or environmental but not both	
	Score = 5	Complete documentation of both environmental and safety risks and impacts	
		4. Does the supplier have documented plans and operating procedures to address identified risks and impacts? (1,3,5)	Evidence could include copies of operating procedures, JSAs, work instructions, SOPs, etc.
	Score = 1	No operating procedures and controls	
	Score = 3	Incomplete examples of both environmental and/or safety operating procedures.	
	Score = 5	Clear examples of operating procedures, processes and/or controls in place to address environmental and safety risks and impacts	
		5. Does the supplier have a documented emergency response plan? Y / N	Evidence must include copy of Emergency Response Plan that includes response to fire, evacuation, and spill response (as applicable)
	Score = 1	No documented plan	
	Score = 5	Site has documented emergency response plan	
		6. Is the supplier an EHS "High Risk" supplier? Y/N	
	Score = 1	Supplier has one of the activities on the High Risk tab	
	Score = 5	Supplier does not have a activities on site in the high risk category	