ELMET TECHNOLOGIES

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# Supplier Quality Management Systems Survey / Audit

Date: _____ Auditor: _____

| Initial Survey / Audit | | On-Site Survey / Audit | | Supplier Approved * | |
|---|---|---|---|---|---|
| **Yes** | **No** | **Yes** | **No** | **Yes** | **No** |
| ☐ | ☐ | ☐ | ☐ | ☐ | ☐ |

*Note: Approved products (or services) are listed on Page 7.

**--- BELOW TO BE COMPLETED BY THE SUPPLIER ---**

**SECTION A:**

| | | |
|---|---|---|
| Supplier Name: | | |
| NOTE: Address is for the manufacturing location of each product (or service) to be purchased. Approval is required for each manufacturing site and each product (or service). | | |
| **Address**: | **Phone**: | |
| **City**: | | |
| **State**: | **Zip**: | **Country**: |
| **Key Personnel:** | | |
| **Name** | **Title** | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| **Type of Service / Product:** | | |
| | | |
| | | |
| | | |
| | | |

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*Y = Yes, N = No, N/A = Not Applicable, C = Comment (list at end of report)*

| Risk Management | Y | N | N/A | C |
|---|---|---|---|---|
| 1. Is there a documented Business Continuity Plan? | ☐ | ☐ | ☐ | ☐ |
| 2. Are there documented procedures defining the Manufacturing Capacity Planning process? | ☐ | ☐ | ☐ | ☐ |
| 3. Are there documented procedures defining the Resource Planning process? | ☐ | ☐ | ☐ | ☐ |
| 4. Is a current Dunn & Bradstreet or other financial health assessment available? | ☐ | ☐ | ☐ | ☐ |

**Please identify the Quality System your company is certified / compliant to:**

| | Y | N |
|---|---|---|
| ISO 9001 | ☐ | ☐ |
| AS 9100 | ☐ | ☐ |
| Other (List, i.e. 14001, etc.): | ☐ | ☐ |

***Please include copy of all current Quality Certificates with this reply.***

**Note:** ***If supplier has current ISO 9001 and/or AS 9100 certificate, and copy of certificate(s) are included with this reply, SKIP SECTION B, sign below and return. Thank you.***

**Supplier Section, signed by:**_____ **Date:**_____

**Printed Name:** _____

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***SECTION B: If your company is not certified /compliant to a recognized Quality System, please answer the following questions.***

| Management Responsibility | Y | N | N/A | C |
|---|---|---|---|---|
| 5. Does management define and document its quality policy including objectives and commitment to Quality? | ☐ | ☐ | ☐ | ☐ |
| 6. Is this quality policy implemented and available to all employees? | ☐ | ☐ | ☐ | ☐ |
| 7. Does management define and document responsibility and authority of personnel who perform work affecting quality? | ☐ | ☐ | ☐ | ☐ |

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| Quality System | Y | N | N/A | C |
|---|---|---|---|---|
| 8. Has a quality manual been generated which documents the quality system and references all quality flow down procedures? | ☐ | ☐ | ☐ | ☐ |
| 9. Is this quality manual available to all employees, and customers? | ☐ | ☐ | ☐ | ☐ |

| Contract Review | Y | N | N/A | C |
|---|---|---|---|---|
| 10. Is there a documented procedure for review of contracts in order to adequate definition of requirements and capacity / capability of the supplier to meet the contract requirements? | ☐ | ☐ | ☐ | ☐ |
| 11. Are contract review records maintained? | ☐ | ☐ | ☐ | ☐ |

| Document and Data Control | Y | N | N/A | C |
|---|---|---|---|---|
| 12. Is there a documented procedure for the maintenance, implementation and control of all documents and data associated with meeting the requirements of the EIC Purchase Order? | ☐ | ☐ | ☐ | ☐ |
| 13. Are records of change incorporations documented and maintained? | ☐ | ☐ | ☐ | ☐ |

| Purchasing | Y | N | N/A | C |
|---|---|---|---|---|
| 14. Are there documented procedures to ensure that the purchase product meets specified requirements? | ☐ | ☐ | ☐ | ☐ |
| 15. Are purchased products verified either upon receipt or at the sub-tiers facility prior to shipment? | ☐ | ☐ | ☐ | ☐ |
| 16. Is there a process for evaluating, approving and maintaining a list of approved sub-tier suppliers? | ☐ | ☐ | ☐ | ☐ |
| 17. Are there provisions in place to distinguish when EIC and / or its customers require approved sources for special processing or fabrication? | ☐ | ☐ | ☐ | ☐ |
| 18. Is there a documented review of sub-tier quality performance on a regular basis? | ☐ | ☐ | ☐ | ☐ |

| Control of Customer-Supplied Product | Y | N | N/A | C |
|---|---|---|---|---|
| 19. Do documented procedures define control, verification, storage and maintenance of EIC supplied products? | ☐ | ☐ | ☐ | ☐ |

| Product Identification and Traceability | Y | N | N/A | C |
|---|---|---|---|---|
| 20. Are there documented procedures for uniquely identifying and tracking product and / or lot during all stages of production? | ☐ | ☐ | ☐ | ☐ |

| Process Control | Y | N | N/A | C |
|---|---|---|---|---|
| 21. Are there documented procedures defining how manufacturing processes and supporting documentation (i.e. router, manufacturing plans, customer controlled planning etc.) are controlled? | ☐ | ☐ | ☐ | ☐ |

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| Process Control | Y | N | N/A | C |
|---|---|---|---|---|
| 22. Are there controls in place which assure traceability and physical protection from damage for all manufactured parts and associated tooling throughout the manufacturing process? | ☐ | ☐ | ☐ | ☐ |

| Inspection and Testing | Y | N | N/A | C |
|---|---|---|---|---|
| 23. Is there a documented procedure defining inspection and test activities including inspection status (uniquely traceable to inspection personnel) and sample inspection requirements where applicable? | ☐ | ☐ | ☐ | ☐ |
| 24. Are there both in-process and final inspection activities in place to verify that all purchase order, drawing, and contractual requirements are met prior to shipment to EIC? | ☐ | ☐ | ☐ | ☐ |
| 25. When certification test reports are utilized to accept material, are periodic validations of test results performed? | ☐ | ☐ | ☐ | ☐ |
| 26. Is the statistical Quality Control (sampling) plan derived from ASNI/ASQ Z1.4? | ☐ | ☐ | ☐ | ☐ |
| 27. Is there a documented procedure defining the inspection, verification and documentation of First Article Inspection Reports? | ☐ | ☐ | ☐ | ☐ |
| 28. For suppliers with 2-X purchase orders, are all new First Articles (as of May 1, 2007) compliant with AS9102? | ☐ | ☐ | ☐ | ☐ |

| Control of Inspection, Measuring and Test Equipment | Y | N | N/A | C |
|---|---|---|---|---|
| 29. Are there documented procedures defining how all inspection, measuring and test equipment within the facility are controlled and maintained? | ☐ | ☐ | ☐ | ☐ |
| 30. Is all equipment used for acceptance calibrated and traceable to a nationally recognized standard? | ☐ | ☐ | ☐ | ☐ |
| 31. Is all calibrated equipment physically identified and traceable as to calibration status and recall dates? | ☐ | ☐ | ☐ | ☐ |
| 32. When equipment is found to be faulty or out of calibration, are procedures in place to perform an assessment of previous inspection results including the possible recall of product for re-inspection? | ☐ | ☐ | ☐ | ☐ |

| Inspection and Test Status<br>(If testing is performed) | Y | N | N/A | C |
|---|---|---|---|---|
| 33. Is there a documented procedure for defining test status? | ☐ | ☐ | ☐ | ☐ |
| 34. Are parameters in place which clearly identify test results and who performed the tests? | ☐ | ☐ | ☐ | ☐ |

| Control of Nonconforming Product | Y | N | N/A | C |
|---|---|---|---|---|
| 35. Are there documented procedures in regards to the identification, segregation, evaluation, disposition and customer notification of nonconforming material? | ☐ | ☐ | ☐ | ☐ |

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| Control of Nonconforming Product | Y | N | N/A | C |
|---|---|---|---|---|
| 36. Are procedures in place to ensure that nonconforming material is either dispositioned rework to print, scrap, return to vendor or submitted to the customer (EIC) for all EIC designed product? | ☐ | ☐ | ☐ | ☐ |
| 37. When a supplier designed product is found to have a major nonconformance (i.e. physical or functional interchangeability, reliability, safety, or part number identification) do supplier procedures ensure that the nonconformity will be submitted to EIC for disposition? | ☐ | ☐ | ☐ | ☐ |
| 38. Are procedures in place requiring notification to EIC when nonconforming material has escaped the suppliers' facility? | ☐ | ☐ | ☐ | ☐ |

| Corrective Action | Y | N | N/A | C |
|---|---|---|---|---|
| 39. Are there documented procedures for issuing Corrective Action to sub-tier suppliers and responding to Corrective Action received from EIC? | ☐ | ☐ | ☐ | ☐ |

| Handling, Storage, Packaging, Preservation and Delivery | Y | N | N/A | C |
|---|---|---|---|---|
| 40. Are there documented procedures for handling, storage, packaging, preservation and delivery of a product to prevent damage or deterioration? | ☐ | ☐ | ☐ | ☐ |

| Control of Quality Records | Y | N | N/A | C |
|---|---|---|---|---|
| 41. Are records controlled, maintained and retrievable for a period of no less than 10 years? | ☐ | ☐ | ☐ | ☐ |

| Internal Quality Assessment | Y | N | N/A | C |
|---|---|---|---|---|
| 42. Are internal quality audits scheduled, performed and documented? | ☐ | ☐ | ☐ | ☐ |

| Training | Y | N | N/A | C |
|---|---|---|---|---|
| 43. Are training records for personnel performing functions affecting quality maintained? | ☐ | ☐ | ☐ | ☐ |

| Design and Development Planning<br>(For suppliers w/ Design Authority) | Y | N | N/A | C |
|---|---|---|---|---|
| 44. Are documented procedures established and maintained to control and verify the design of the product in order to ensure the specified requirements are met? | ☐ | ☐ | ☐ | ☐ |
| 45. Is there a structured plan in place with regards to facilitating the creation, incorporation and control of proprietary designs? | ☐ | ☐ | ☐ | ☐ |
| 46. Does management ensure that members from all relevant disciplines (i.e. Quality, Manufacturing, Engineering etc.) are involved in product development prior to incorporation of new designs? | ☐ | ☐ | ☐ | ☐ |
| 47. Are design requirements clearly and accurately defined and documented? | ☐ | ☐ | ☐ | ☐ |

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| Design and Development Planning<br>(For suppliers w/ Design Authority) | Y | N | N/A | C |
|---|---|---|---|---|
| 48. Are design outputs formatted to provide acceptance criteria and verify that design input requirements are met? | ☐ | ☐ | ☐ | ☐ |
| 49. As applicable, are critical / key characteristics identified in accordance with design or contract requirements? | ☐ | ☐ | ☐ | ☐ |
| 50. Are all pertinent data required to allow the product to be identified, manufactured, inspected, used and maintained (i.e. drawings, parts lists, specification, processing documentation etc.) defined and controlled by the organization? | ☐ | ☐ | ☐ | ☐ |
| 51. Are design reviews conducted at appropriate stages in order to evaluate results, identify problems and plan next steps? | ☐ | ☐ | ☐ | ☐ |
| 52. Do new designs go through a documented verification process to ensure that the design meets all customer requirements? | ☐ | ☐ | ☐ | ☐ |
| 53. Do new designs go through a documented design validation process in order to ensure that the end product meets all customer requirements? | ☐ | ☐ | ☐ | ☐ |
| 54. At the completion of the verification and validation processes, are procedures in place to ensure that all documentation (i.e. reports, calculations, test results etc.) are in agreement that the product will meet all customer requirements? | ☐ | ☐ | ☐ | ☐ |
| 55. When tests are required for the verification and validation process, are procedures in place to ensure they are planned reviewed, controlled and documented. | ☐ | ☐ | ☐ | ☐ |
| 56. Do required verification and validation tests identify the product being tested, equipment / parameters to be used, objectives, acceptance criteria and results to be recorded? | ☐ | ☐ | ☐ | ☐ |
| 57. Are procedures in place to ensure that all testing is performed using the correct configurations and that all acceptance criteria is met? | ☐ | ☐ | ☐ | ☐ |
| 58. Are procedures in place to ensure any design / development changes are reviewed documented and implemented by appropriate personnel with consideration given to product already delivered to EIC? | ☐ | ☐ | ☐ | ☐ |

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| Comments: |
| --- |
| |

| List of Products/Services Approved: |
| --- |
| |

| Approved by & Date: |
| --- |
| |