



# Supplier Quality Systems Assessment

Date of Assessment:		PVPAEO Company:	
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Assessment Source:  3rd Party  Supplier Self-Assessment  PVPAEO Assessment

Supplier Name:	Contact Name / Title:
Facility Address:	Contact email:
City, State, Zip:	Phone Number:
Country:	

PVPAEO Inc. Use Only:

Type of Assessment:  Desktop  On-site

Sec	Section Title	Number of Attributes	Number Satisfactorily Met	Assessment Score	Overall Score
1	Quality Management System	111	0	0.0%	0.0%
2	Process Control Assessment	47	0	0.0%	

Not Assessed

**Qualification criteria:** <70% = Not Qualified | 70% - 85% = Conditionally Qualified | >85% = Fully Qualified

Is the supplier registered to ISO, AS, NADCAP or TS-16949 Quality Management Systems?  YES  NO

**PVPAEO and 3rd Party Only:** If YES, do you accept the current QMS registration or will you perform your own QMS assessment? (If you accept, then skip Section 1)  Accept  Perform new QMS assessment

Does the supplier cite any exclusions from ISO 9001:2008 or other registration standards?  YES  NO

If yes, please list and explain reason for exclusion:

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\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Individual(s) Performing the Assessment:  
(include 3rd Party name if applicable)

\_\_\_\_\_

\_\_\_\_\_

**FULLY QUALIFIED:** A Fully Qualified status makes your organization eligible to supply parts, materials, and assemblies to PVPAEO Inc. upon completing a successful assessment / audit of your Quality Management System.

**\*CONDITIONALLY QUALIFIED:** A Conditional Qualification requires the supplier to develop an action plan and address system deficiencies identified by PVPAEO Inc. or 3rd Party auditor(s). Obtaining "Fully Qualified" status requires a re-assessment by a PVPAEO Inc. authorized representative, which may either be a desktop or on-site assessment. This qualification may allow you to supply parts and materials to the PVPAEO Inc. on a limited basis.

**NOT QUALIFIED:** If the supplier is not qualified by this assessment, Then your organization cannot supply parts and materials to PVPAEO Inc. until a successful audit / assessment has been completed.

**NOTE: IF YOUR BUSINESS IS CURRENTLY CERTIFIED TO ISO 9001, AS9100, AS9120 COMPLETION OF THIS SURVEY IS NOT REQUIRED BEYOND THIS POINT. IF YOU ARE A DISTRIBUTOR AND YOUR BUSINESS IS CERTIFIED TO AS9120 YOU NEED NOT CONTINUE WITH THIS SURVEY. PLEASE PROVIDE A COPY OF YOUR CURRENT CERTIFICATES WITH THIS SURVEY.**

## Section 1: Quality Management System Assessment

1.0 Quality Management System		Compliant	Partially Compliant	Not Compliant	N/A	Notes/Comments
Quality System, Manual & Process Control						
1	Is the Quality Management System (QMS) documented, implemented, controlled, maintained, and continually improved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	Are methods in place to control processes within the QMS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	Are processes monitored, measured, analyzed, recorded, and corrective/preventive actions taken to ensure planned outputs and continual improvement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	Have processes and methods of control been implemented for any QMS processes that are outsourced?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	Are the supplier's quality and reliability goals targeted at continuous improvement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6	Does the Quality Manual include or reference the documented procedures that form part of the QMS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Organization</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
7	Has the Quality Policy, Manual, Objectives, Mission Statement and / or Company vision been effectively communicated to the organization?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8	Is there an organization chart available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Document Control</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
9	Are procedures established, implemented, and controlled to provide an adequate level of control for documents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10	Are documents approved for adequacy prior to initial release and after each revision?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
11	Are customer requested deviations documented and followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
12	Are document change(s) and the nature of the change(s) included in Configuration Control?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
13	Are controlled documents available at points of use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
14	Are external documents identified and controlled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
15	Has record storage, retrieval, and disposition been determined and implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
16	Have record protection requirements been implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
17	Do records exist for the following: Management Review, Contract Review, Design Review / Change / Verification, Approved Subcontractors, Purchasing Data, Product Traceability, etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>2.0 Management Responsibility</b>						
<b>Senior Leadership Commitment</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
18	Has Senior Leadership established a Quality Policy and Quality Objectives and continually improve its effectiveness?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
19	Does Senior Leadership effectively communicate to the organization the importance of meeting customer as well as statutory and regulatory requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
20	Does Senior Leadership ensure that customer requirements are determined and met with the aim of enhancing customer satisfaction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
21	Has Senior Leadership established Quality Objectives including those needed to meet requirements for product at relevant levels within the organization?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
22	Is the responsibility and authority of the management representative documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
23	Does a representative of Senior Leadership ensure the QMS processes are established and maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
24	Does the management representative act as Customer Advocate for promotion and awareness of customer requirements throughout the organization?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Quality Policy</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
25	Is the Quality Policy documented and relevant to the organizational goals and customer needs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
26	Does the Quality Policy indicate a commitment to meeting requirements and commitment to continuous improvement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
27	Is the Quality Policy reviewed for continuing suitability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
28	Does the supplier use input from internal and external sources to establish Management Quality Objectives?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Management Review</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
29	Are Management Reviews regularly conducted against policy and objectives to ensure suitability, adequacy, and effectiveness of the QMS and are records retained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
30	Do the outputs of the Management Reviews include actions for continuous improvement of the QMS, Customer Requirements, and / or Resource needs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>3.0 Resource Management</b>						
<b>Resource Training &amp; Development</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>

31	Does the organization determine and provide the resources needed to implement and maintain the QMS and continually improve its effectiveness and as a minimum meet customer requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
32	Is the level of education, training, and / or experience appropriate to the assigned task?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
33	Do all personnel understand how their performance impacts internal and external customer satisfaction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
34	Are results of training evaluated and indicated program changes made based upon this data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
35	Does a policy exist which encourages the cross training and rotation of personnel and is this policy used as the basis of job progression?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Facility &amp; Equipment</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
36	Does the organization identify, provide, and maintain the equipment, hardware, software, and services necessary to ensure product conformity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
37	Does the organization determine and manage the work environment needed to achieve product conformity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>4.0 Product Realization</b>						
<b>Process &amp; Procedure Control</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
38	Does the organization plan and develop the process needed for product realization? Is planning of product realization consistent with the requirements of the QMS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
39	During planning of product realization has the organization implemented processes, documents, verification, validation, and monitoring criteria specific to product acceptance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
40	Has a procedure been established and controlled requiring test software to be verified for capability prior to release and during product production?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
41	Are process management plans established and are critical parameters identified and followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
42	Is there a process for the review of quotes, orders, and resolution of differences between quotes and orders?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Resource Planning</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
43	Has the organization determined internal and external requirements including regulatory, statutory, delivery post-delivery activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Records</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
44	Have records been generated and controlled to provide evidence that the realization processes and resulting product meet requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
45	Are records maintained of the results of review of product requirements and actions taken?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Tool &amp; Techniques</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
46	Are manufacturing techniques such as Just-in-Time, Total Productive Maintenance, Total Quality Management, and Employee Involvement, etc. being utilized?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Customer Interface</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
47	Has the organization established effective communication with the customer in relation to product information, enquiries, contracts, orders, amendments, feedback, and complaints?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
48	Has the organization provided for the identity, verification, protection, and safety of customer property provided for use or incorporation into the product?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
49	If customer property is lost, damaged, or otherwise found to be unsuitable for use, does the organization communicate this to the customer and are records maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Design Control</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
50	During design and development planning, does the organization determine the design and development stages, review, verification, validation, and responsibilities and authority requirements for departments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
51	Are design and development plans updated appropriately as the design develops and are records maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
52	Do inputs include functional and performance requirements, applicable statutory and regulatory requirements, and any other requirements essential for design and development?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

53	Are design and development outputs provided in a form that enables verification against the inputs, provide information for purchasing, production, and service, contain or reference product acceptance criteria and specify safe and proper use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
54	Is design validation planned and performed to ensure resulting product is capable of meeting requirements for the specified application or intended use, if known and are records maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
55	Does the review of design and development changes include evaluation of the effect of the changes on product already delivered?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Supplier &amp; Purchasing Control</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
56	Does evidence exist that the organization evaluates subcontractors on the basis of capability, on-site evaluations, past history, and experience with similar products?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
57	Do purchasing documents include requirements for product qualification, procedures, processes, equipment, personnel, and QMS requirements, if applicable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
58	Does the organization ensure the adequacy of specified purchase requirements prior to their communication to the supplier?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
59	Does evidence exist that the organization maintains a documented system to ensure incoming product is not used or processed until it has been inspected or otherwise verified as conforming to specified requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
60	If incoming product is released for urgent production purposes prior to verification, it is positively identified in order to permit immediate recall if found nonconforming?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
61	Are procured material releases from receiving inspection clearly identified as to acceptance status?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
62	Does evidence exist that the supplier tracks performance of critical measurables of the Quality System?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Product Control</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
63	Are procedures and facilities adequate for storage, release and control of materials?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
64	Is there a documented system for ongoing process control that verifies the production and service provision meets all requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
65	Are the personnel responsible for administering the quality assurance function technically informed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
66	Are in-process inspections, test operations, and processes properly specified and performed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
67	Does the organization control the availability of information that describes the characteristics of the product, work instructions, suitable equipment, monitoring and measuring devices and the implementation of release, delivery, and post-delivery activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
68	Does the organization validate any processes for production and service provision where the resulting output cannot be verified by subsequent monitoring or measurement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
69	Have the requirements for records of validated processes been defined and are records of validation maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
70	Does the organization have documented procedures and defined methods to validate processes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
71	Have processes requiring revalidation been defined and does evidence support these processes have been revalidated, as required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
72	Does the organization identify the product status with respect to monitoring and measurement requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
73	Where traceability is a requirement, does the organization control and record the unique identification of the product?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
74	Does the organization preserve the conformity of product during internal processing and delivery?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Test &amp; Calibration</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
75	Are procedures defined for the control of measuring and test equipment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
76	Is all the measuring equipment identified, including the relative accuracy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

77	Does the measuring equipment control system require identification of employee owned equipment and non-calibrated measuring and test devices are not used in the verification of final product?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
78	Does the measuring equipment control system establish the extent and frequency of verification efforts, and are records retained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
79	Are calibration procedures established and traceable to international or national standards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
80	Is the calibration status identified on equipment or are records for the equipment retained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

<b>5.0 Measurement / Analysis / Improvements</b>						
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Improvement Activities		Compliant	Partially Compliant	Not Compliant	N/A	Notes/Comments
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81	Has the organization implemented the defining, planning, monitoring, measurement, and analysis activities needed to assure conformity and achieve improvement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
82	Has the organization determined the need for and use of applicable methodologies, including statistical techniques?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Audits		Compliant	Partially Compliant	Not Compliant	N/A	Notes/Comments
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83	Is there a documented procedure that includes the responsibilities, level of training required, reporting, maintenance of, and requirements for conducting internal audits?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
84	Does the organization conduct periodic audits of the QMS and do these audits evaluate the conformity of the processes to the QMS to ensure effective implementation and maintenance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
85	Is there an Internal QMS Audit schedule and is consideration given to status and importance of the areas to be audited?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
86	Do follow up actions include the verification of the implementation of the corrective action?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
87	Has the organization established suitable methods for monitoring and, where applicable, measurement of the QMS processes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
88	When planned results are not achieved, are corrective actions taken, as appropriate, to ensure conformity of the product?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Records		Compliant	Partially Compliant	Not Compliant	N/A	Notes/Comments
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89	Are records of product criteria, conformity, and acceptance maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
90	Do records identify the person(s) authorizing release of product?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
91	Does evidence exist that the organization has and maintains a documented system to ensure that product which does not conform to specified requirement is properly identified and prevented from unintended use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Control of Non-Conforming Material		Compliant	Partially Compliant	Not Compliant	N/A	Notes/Comments
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92	Is non-conforming material identified, segregated from regular production material, and properly dispositioned?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
93	Are procedures for controlling non-conforming materials and for ensuing corrective action in place and followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
94	Do procedures provide for material review by a committee to determine the disposition of non-conforming materials?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
95	Is there objective evidence of appropriate communication with a customer when the organization proposes repair of non-conforming product, if applicable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
96	Does evidence exist of a documented procedure to quantify and analyze nonconforming product and has established a prioritized reduction plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Corrective & Preventive Actions		Compliant	Partially Compliant	Not Compliant	N/A	Notes/Comments
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97	Does the supplier's procedures and controls for corrective action prevent recurrence of non-conformities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
98	Are there programs with sufficient resources assigned to support corrective actions and prevention?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

99	Does evidence support the existence of a closed looped corrective action system, which uses a systematic method of problem solving; i.e. problem solving which addresses containment, root cause, corrective action, verification of the counter measure, and measures to prevent recurrence?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
100	When corrections are made, is there evidence to support that their effectiveness has been subsequently reviewed and monitored?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
101	Is positive action taken to prevent recurrence of problems, and are there documented reports/records of each occasion?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
102	Do procedures and systems provide for ensuring that replies are made to customer requests for corrective action within the time limit specified and data available to support?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
103	Does the supplier's corrective action system address problems from all areas (i.e. suppliers, internal, customer, and field)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
104	Are there document procedures for preventive action?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
105	Are preventive actions appropriate to the effects of the potential problems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
106	Are records of corrective / preventive action maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Continuous Improvement</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
107	Does the Supplier have continuous improvement plans which define objectives, performance targets, responsibilities and measurement systems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
108	Does the organization determine, collect, and analyze appropriate data to demonstrate the suitability and effectiveness of the QMS and to evaluate where continual improvement can be made?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
109	Is data generated as a result of monitoring and measuring and from other relevant sources included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
110	Does the analysis of data relate to customer satisfaction, conformity of products, characteristics and trends of processes and products, including opportunities, corrective and preventive actions, and suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
111	Does the organization continuously improve the effectiveness of the QMS through its quality policy, quality objectives, audit results, analysis of data, corrective / preventive actions and management review?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Section 2: Process Capabilities and Controls Assessment**

The purpose of Section 2 is to evaluate specific manufacturing management and process control activities employed by the supplier. It's not expected that all suppliers will be fully compliant in every area. However, the results of this assessment area indicate the efforts a supplier has invested to support effective, long-term product quality. The greater number of compliant areas, the less likely PVP AEO Inc. will experience supplier induced defective parts and materials.

<b>SUBCONTRACTOR MANAGEMENT</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
1	Does the Supplier have data showing adequate flowdown of customer requirements to subcontractors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	Are there adequate and specific resources identified (commodity buyers, subcontracts personnel, other) to manage subcontractor performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	Does the supplier have data from subcontractors that monitors their performance? (report cards, OTD and metric data)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	Does the supplier have evidence of actions to improve poor performing suppliers/subcontractors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>PROCESS MONITORING &amp; VERIFICATION</b>		<b>Compliant</b>	<b>Partially Compliant</b>	<b>Not Compliant</b>	<b>N/A</b>	<b>Notes/Comments</b>
5	Are processes flowcharts used to develop FMEA's and Process Control Plans?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6	Have Process FMEA's been performed with documented actions for high RPN's?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7	Are the packaging and shipping processes included in a Process Control Plan (inspection/audit of packaging, labeling, and documentation)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8	Are there Process Control Plans readily accessible and do they include in-process checks at specified intervals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9	Is there an equipment set-up process used to manufacture parts clearly defined and documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

10	Does the supplier have a pre-control program (e.g. 1st piece approval PPAP and verification plan)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
11	Are there process/product specific on-site engineers (ME's, QE's, DE's)? <i>Specify</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
12	Does the supplier have the capability and have they used MSA/Gauge R&R methods to verify test and measurement methods?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
13	Are those measurement methods manual or automated?	Automated	Manual	None	N/A	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
14	Does the supplier have the capability and have they previously performed DFx?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
15	Is the use of SPC routine and are actions implemented based on the data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
16	Does the supplier measure process capability (Cpk's) and chart process performance? (obtain evidence)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
17	Are there documented procedures specifying actions when measurements approach the control limits?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
18	Is there objective evidence the supplier monitors customer delivery performance and takes actions on any deficiencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
19	Does the supplier have dedicated equipment and personnel used for failure analysis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
20	Does the supplier use an 8D problem solving or equivalent process? (verify with reports)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Lean Supply and Manufacturing		Compliant	Partially Compliant	Not Compliant	N/A	Notes/Comments
21	Does the supplier have a current process for re-utilization and returnable packaging?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
22	Is the supplier using a Just-In-Time (JIT) supply system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
23	Is manufacturing equipment and work areas organized for flexibility (SMED - reduced change-over times, mobile work benches and equipment, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
24	Does the supplier use KanBan, Point of Use, Breadman, or other lean manufacturing supply techniques? (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Manufacturing Management		Compliant	Partially Compliant	Not Compliant	N/A	Notes/Comments
25	Is the product(s) identified for possible manufacturing within the supplier's capability? (verify with other product data)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
26	Does the supplier have a layered Preventive Maintenance (PM) program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
27	Does the supplier have a risk mitigation/disaster recovery plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
28	Does the supplier use an MRP/ERP system for managing business and material processes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
29	Does the supplier use real-time shop tracking software to monitor jobs and activities (e.g. MES)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
30	Is there evidence the supplier is using this data to prevent potential problems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
31	Are there procedures that define specific methods for packaging and shipping products?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
32	Does the supplier have a defined process that verifies workmanship standards against customer flowdowns?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
33	Does the supplier have automated hardware installation equipment (where applicable)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
34	Are stock materials FIFO labeled and issued to production according to the date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
35	Is WIP storage properly identified and protected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
36	Does the supplier have adequate storage for FGI and is it clearly identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
37	Does the supplier properly store, investigate, and disposition nonconforming material? (verify with data)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

38	Is there data (records) showing operators who do/will manufacture PVPAEO parts are trained for the specific tasks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
39	Is there an on-going training effort to improve employee performance and prevent non-conforming product (Lean, 6 Sigma, 5S, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
40	Does that training include cross-training on processes specific to tasks used to manufacture PVPAEO parts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
41	Does the supplier have identified current/on-going improvement initiatives critical to process performance and quality (6 Sigma, Lean, CPl)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
42	To what extent is 6 Sigma being employed in the company?  <b>Level 1:</b> Multiple 6 Sigma projects with trained Green Belt and Black Belts <b>Level 2:</b> 6 Sigma trained with 3 or fewer projects implemented <b>Level 3:</b> Little or no evidence of 6 Sigma usage	<b>Level 1</b>	<b>Level 2</b>	<b>Level 3</b>	<b>N/A</b>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
43	Are the production process flows Lean (smooth, sequential, with limited movement)?	<b>Most</b>	<b>Some</b>	<b>None</b>	<b>N/A</b>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
44	Are 5S (or 6S) methodologies employed on the manufacturing floor?	<b>Extensive</b>	<b>Few</b>	<b>None</b>	<b>N/A</b>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
45	Supplier use of modern vs. older equipment requiring increased PM's What is the (average age of equipment expected to be used for PVPAEO product?	<b>&lt; 10 Years</b>	<b>10-20 Years</b>	<b>&gt; 20 Years</b>	<b>N/A</b>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
46	What is the suppliers manufacturing employee turn-over rate for the past 6 months?	<b>&lt; 5%</b>	<b>5% - 10%</b>	<b>&gt; 10%</b>	<b>N/A</b>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
47	If the average rate is >10%, is there a explainable reason?	<b>Yes</b>		<b>No</b>	<b>N/A</b>	
		<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
<b>COMMENTS</b>						