

Supplier Assessment Questionnaire

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1. Purpose

Since this questionnaire evaluates your quality system and is not a test we evaluate each individual response according to the answer given. The numbers are not a good or bad rating but a way to communicate on paper the way your quality system works. If treated as a rating, some answers will conflict with others. For example, any answer as “4” or “3” requires name or number entered. If none is given, the answer should be a “2”. To help you fill out the questionnaire we have given an explanation of the response, we may ask for a copy of the corresponding procedure.

The assessment does not have a minimum score and is a new system being used to understand the suppliers quality systems.

In our view, the understanding and evaluation of a suppliers quality system includes your risk management concerning the material risks you are facing. Especially the evaluation of considerable risks (like business interruption) and your insurances (and coverage) is in focus. Due to the theme, we have have changed the type of responses. Please answer with yes/no and give explanations if useful. Finally, we have included some questions in regard to your ethics & sustainability understanding.

2. Explanation of Response Codes for Evaluation Guide

4 =	Formally released, written, and/or controlled documents exist and are being followed and updated as needed. This includes meeting minutes kept as quality records as well as formally released procedures. For the sections covered by a procedure, please list the procedure number that is related to the question.
3 =	Formally released written procedures exist but are not always followed or may be revised. This includes meeting minutes kept as quality records as well as formally released procedures. If you have a procedure, please list the procedure number that is related to the question.
2 =	Informal written procedures exist in each of the departments and are usually being followed. If the procedures have numbers or names, please list. Include the number or name that is related to the question.
1 =	No written documents exist but there is a general understanding of how to proceed.
0 =	No system exists at this time to address this.
NA =	This does not apply to our business. (Note: Only sections 4 to 19 can be answered with this code, otherwise the response code is “0”)

3. Supplier Information

1. Company name and address:	
2. Manufacturing Address (if different than address listed above):	
3. Manufacturing Address changes last 12 month:	<input type="checkbox"/> yes <input type="checkbox"/> no If YES, list new address:
4. Type of product:	
5. The questionnaire was sent on:	
6. Vendor questionnaire filled out by:	
7. Responsible Persons:	Name of the Director of Manufacturing / Quality Control / Quality Assurance _____ / _____ / _____
8. Does a documented quality policy authorized by the executive board exist?	<input type="checkbox"/> yes; if yes, where? _____ <input type="checkbox"/> no
9. Does a Quality Manual exist?	<input type="checkbox"/> yes; if yes, current Revision: _____ Dated: _____ <input type="checkbox"/> no <small>If YES and your quality system IS NOT approved by a 3rd Party Register, please provide a copy of your Quality Manual. If NO, briefly explain how your Quality System is documented.</small>
10. Does a Quality system according to DIN ISO 9000-2000 exist?	<input type="checkbox"/> yes <input type="checkbox"/> no

4. Evaluation Guide

		4	3	2	1	0	NA	Procedure
1. MANAGEMENT RESPONSIBILITY								
1A	QUALITY POLICY							
	Is there one?							
	Is it published?							
	Do the employees know it?							
	Does it meet the ISO 9000ff criteria?							
1B	ORGANIZATION CHART							
	Does one exist?							
	Are all areas specified?							
	It is reviewed on a regular basis?							
1C	MANAGEMENT INVOLVEMENT							
	Is a senior Manager responsible for quality?							
	Does the Senior Management routinely review the whole quality system for effectiveness?							
	Are reviews planned and scheduled?							
	Is management responsible for identification of personnel requirements and authority?							

2. QUALITY SYSTEM								
2A	QA MANUAL							
	Do you have one?							
	Is it available to all employees?							
	Is it controlled?							
	Does it cover all aspects of ISO 9000ff ?							
2B	QA PLANS							
	Do you have a procedure for initiating quality plans?							
	Does the procedure cover all of your business?							
2C	QA PROCEDURES							
	Do you have a procedure for implementing yours quality plans?							
	Do the quality procedures specify the methods used?							
	Do the procedures specify skills needed and any requirements for training?							
	Do the procedures specify any related quality requirements from your customer?							
	Do the procedures specify meeting regulatory requirements as appropriate?							
	Do the procedures specify industry standard requirements such as workmanship standards?							

3. CONTRACT REVIEW								
	Do you have procedures for reviewing contracts?							
	Do you define contracts as all sales to customers?							
	Do you have a method for resolving differences before shipment to customers?							
	Do you have a way to ensure you meet your customer's delivery requirements?							
	Do you have procedures for notifying customers of any changes after the original agreement?							

	4	3	2	1	0	NA	Procedure
4. DESIGN CONTROL							
Do you have procedures for reviewing customer requirements at the beginning of design?							
Do you have procedures for resolving design differences with the customers?							
Do you have regularly scheduled design reviews?							
Do you define the interfaces between groups?							
Do you perform a design verification before the product is released?							
Do you have procedures for product validation?							
Do you develop plans for quality prior to build?							
Do you have procedures for sending requirements to suppliers during design phase?							
Do you have a formal method of verifying process capability during design phase?							

5. DOCUMENT CONTROL							
Do you have procedures for the control of your procedures, QA manual, and customer documents?							
Do you have a procedure for control of customer documents?							
Do you have procedures specify issue and retrieval?							
Does your document control specify a control list of who have the most current revision?							
Are employees prevented from making copies of controlled documents?							
Are the authority levels for issuing documents defined in your procedures?							
Do you have a procedure for changing controlled procedures and documents?							

6. PURCHASING – ORDERING							
Do you have an approved supplier list?							
Do you have procedures for qualifying a supplier?							
Does the procedure specify disqualification?							
Do you have procedures for providing your suppliers with the needed specifications and requirements?							
Do you have a procedure for changing a P.O.?							
Do you have a procedure for the approval of a P.O.?							
Do you have a method for tracking supplier quality?							
Does the procedure specify delivery?							
Do you report these results to the supplier?							
Do you have Quality Assurance Agreements with suppliers?							
Do you have a procedure for auditing your suppliers?							

7. CUSTOMER SUPPLIER PRODUCT							
Do you have a procedure for handling customer supplied product?							
Does it include identification?							
Does it include storage?							
Does it include customer notification of loss or damage and appropriate resolution?							

		4	3	2	1	0	NA	Procedure
8. PRODUCT IDENTIFICATION AND TRACEABILITY								
	Do you have a procedure for the proper identification of materials during production or processing?							
	Do you have a procedure for the proper identification of sub assemblies during production or processing?							
	Do you have a procedure for the identification and traceability of products requiring traceability?							
	Do you have a procedure for the proper identification of finished product prior to shipment?							
	Do you have a procedure to meet any customer required or regulatory requirements?							

9. PROCESS CONTROL								
9A	PROCESS CONTROL							
	Do you have defined procedures and/or work instructions for production where the absence of them would adversely affect quality?							
	Do you have a procedure for the approval and release of new processes?							
	Do you have a procedure for the approval and release of new equipment?							
	Do the procedures include determination of the capability of the process and/or equipment of producing products which meet established product requirements?							
	Do you supply information about changes in processes and/or equipment to your suppliers?							
9B	SPECIAL PROCESSES							
	Do you have a procedure for any process which requires monitoring the process to ensure quality? <i>(This may be the case where there is no way to inspect or test product without destructively testing the product?)</i>							
	Do these procedures specify capability studies to verify the process capable of expected results?							

10. INSPECTION AND TESTING								
10A	RECEIVING INSPECTION & TEST							
	Do you have a procedure for receiving inspection?							
	Does it specify equipment to be used?							
	Does it specify workmanship criteria to be used?							
	Do the procedures specify sampling plans?							
10B	IN-PROCESS INSPECTION & TEST							
	Do you have a procedure for in-process inspection?							
	Does it specify equipment to be used?							
	Does it specify workmanship criteria to be used?							
	Do you have a procedure for in-process testing?							
	Does it specify equipment to be used?							
	Do the procedures specify sampling plans?							
	Do the procedures specify identification of material which has passed or failed inspection or test?							

		4	3	2	1	0	NA	Procedure
10C	FINAL INSPECTION AND TEST							
	Do you have a procedure for final inspection?							
	Does it specify equipment to be used?							
	Does it specify workmanship criteria to be used?							
	Do you have a procedure for final testing?							
	Does it specify equipment to be used?							
	Do the procedures specify sampling plans?							
	Do the procedures specify identification of material which has passed or failed inspection or test?							

11. CONTROL OF INSPECTION, MEASURING AND TEST EQUIPMENT								
	Do you have a procedure specifying the control of calibrated measuring and test equipment?							
	Does the procedure specify proper identification of all equipment that is calibrated or is for "reference use only"?							
	Does the procedure specify a recall system prior to the due date for calibration?							
	Does the system specify traceability to a nationally known measurement or test standard? (If no known national standard exist, does it specify the equipment manufacturer's recommended standard?)							
	Does the system specify the training requirements for company employees who perform the calibration?							
	Do you have a procedure for identification and containment for past due and out of calibration equipment?							
	Do you have a procedure to address how to disposition material and product that has been processed since the last known state of calibration?							

12. INSPECTION AND TEST STATUS								
	Do you have a procedure which specify the requirements for the identification of test and inspection status?							
	Do you procedures specify how long the status must be maintained?							
	If you use quality control stamps, do you have a procedure to control identification, issue, maintenance, and loss of the stamps?							
	Do the procedures specify a method of identification and control that ensures that at any given time, the status can be readily identified by the operator and an auditor?							

13. CONTROL OF NON CONFORMING PRODUCT								
13A	NON CONFORMING MATERIAL AT RECEIVING							
	Do you have a procedure for the control of non conforming material at receiving?							
	Does the procedure specify proper identification and segregation of non conforming material such that it can not be used until proper disposition?							
	Do you have a procedure to keep material requiring inspection or test from being used prior to inspection or test?							

		4	3	2	1	0	NA	Procedure
	Do you have a procedure to track material that must be used prior to the completion of inspection and test such that it can be recalled if the material is found to be non conforming?							
	Do you have a procedure for the disposition of discrepant material at receiving?							
	Do you maintain records of the discrepancies?							
	Do you supply information to your suppliers for non conforming materials found at receiving regardless of disposition?							
	Does the supplier have evidence of their suppliers implementing corrective action to customer complaints.							
	Does the supplier have evidence that their suppliers have procedures to contain potential discrepant material from being shipped into the supplier chain.							
13B	NON CONFORMING MATERIAL OR PRODUCT DURING PROCESSING							
	Do you have a procedure for the control of non conforming material or product during processing?							
	Does the procedure specify proper identification and segregation of non conforming material or product?							
	Do you have a procedure to keep product requiring inspection or test from being used or shipped prior to inspection or test?							
	Do you have a procedure for the disposition of discrepant material or product during production or processing?							
	Do you maintain records of the discrepancies?							
	Do you supply information to your suppliers for non conforming materials regardless of being returned?							
	Do you supply information to other internal groups for non conforming products supplied internally?							
13C	NON CONFORMING MATERIAL OR PRODUCT AT FINAL							
	Do you have a procedure for the control of non conforming material or product during final inspection or test?							
	Does the procedure specify proper identification and segregation of non conforming material or product?							
	Do you have a procedure to keep product requiring inspection or test from being used or shipped prior to inspection or test?							
	Do you have a procedure for the disposition of discrepant material or product found at final inspection, test or shipping?							
	Do you maintain records of the discrepancies?							
	Do you supply information to your suppliers for non conforming materials regardless of being returned?							
	Do you supply information to other internal groups for non conforming products supplied internally?							
13D	NON CONFORMING RETURNS FROM CUSTOMERS							
	Do you have a procedure for customer returns?							
	Does the procedure specify identification upon arrival?							
	Do you have procedures specifying the process for the rework or repair of customer product?							
	Do you have a procedure defining the collection of complaints from customers even if the product is not returned?							

		4	3	2	1	0	NA	Procedure
	Does the supplier have evidence of implementing corrective action that prevents additional customer complaints on specific issues.							
	Does the supplier have procedures to contain potential discrepant material from being shipped to the customer after a customer complaint.							

14. CORRECTIVE AND PREVENTIVE ACTION								
	Do you have a procedure for obtaining corrective action for discrepant materials from suppliers?							
	Do you have a procedure for corrective action for internal discrepant products?							
	Do you have a procedure for corrective action for process discrepancies?							
	Do you have a procedure for corrective action for internal audits found in non compliance?							
	Do you have a procedure for corrective action specify plans for prevention of similar discrepancies?							

15. HANDLING, STORAGE, PACKAGING; PRESERVATION, AND DELIVERY								
15A	HANDLING							
	Do you have a procedure specifying all requirements for handling material and product?							
	Do the procedures include any special requirements such as equipment needed to conform?							
	Do the procedures specify any safety requirements?							
	Do the procedures specify what to do when material or product is damaged or suspected of being damaged?							
15B	STORAGE							
	Do you have a procedure specifying the appropriate storage requirements to prevent damage when material or product is not being processed?							
	Do you have a procedure for any special equipment for storage?							
	Do you have a procedure for safety requirements when storing material or product such as isolating bases from acids?							
15C	PACKAGING							
	Do you have a procedure specifying the requirements for ensuring product is packed avoiding shipping damage?							
15D	PRESERVATION							
	Do you have a procedure specifying any special equipment required to ensure environmental or product or material life considerations are maintained?							
	Do you have a procedure specifying who is to do what to ensure material and product preservation throughout your processing?							
15E	DELIVERY							
	Do you have a procedure for qualifying carriers based upon ability to ensure delivery without damaging product?							
	Do you measure carrier caused damage to product?							
	Do you have a procedure for notifying the carrier of damage?							

	4	3	2	1	0	NA	Procedure
16. CONTROL OF QUALITY RECORDS							
Do you have a procedure defining the quality records?							
Does the procedure specify retention periods?							
Does the procedure define which records are to be included?							
Does the procedure define who is to keep which records?							
Does the procedure specify a method for retention which ensures prevention of damage to the records for the Duration of the retention period?							

17. INTERNAL QUALITY AUDITS							
Do you have a procedure for internal audits?							
Does the procedure specify planned scheduling?							
Does the procedure define independent verification?							
Does the procedure specify all the functions of the company?							
Does the procedure define records that need to be maintained?							
Does the procedure specify management review?							
Does the procedure specify corrective action as needed?							
Does the procedure specify follow up of corrective action?							
Does the procedure specify a minimum of all areas at least once a year and more frequently where there is impact on quality?							

18. TRAINING							
Do you have a procedure defining training needs?							
Do you have a procedure for maintaining training records?							
Does the procedure specify cross referencing for employees who are trained on more than one job function?							
Do you have a procedure for certification where needed?							
Does the certification procedure specify recertification needs?							
Does the procedure address all employees who can affect the quality of the product?							
Does the procedure for verifying new hire qualifications against the job requirements for the job they are to perform?							
Do you have detailed job descriptions for defining each employee's authority and responsibilities?							

19. SERVICING AND INSTALLATION							
Do you have a procedure for the servicing of customer's product where there is a contractual agreement to do so or where there is a normal part of business?							
Do you have a procedure for installing product where there is a contractual agreement to do so or where it is a normal part of your business?							
Does the procedure specify authority and responsibility levels?							
Does the procedure specify how to resolve disputes with the customer; should they occur during the performance of work on the customer's site?							

	4	3	2	1	0	NA	Procedure
20. STATISTICS							
Do you have a procedure specifying the need and application of statistical techniques?							
Does the procedure define the process for defining the appropriate statistical tool to be used for a new process or new piece of equipment?							
Does the procedure define training requirements?							

	Yes	No	Further Explanation
21. RISK MANAGEMENT (Please answer with Yes/No if applicable, please make further explanations if needed)			
21A RISK MANAGEMENT SYSTEM			
Legal Form of the company (quoted or not quoted Inc., AG, GmbH etc.)?			
Do you have an implemented and documented Risk Management System?			
Is it monitored and updated every year?			
21B EVALUATION OF RISK			
In which currency will be your invoices? Do you have a preference?			
Are sums-insured for your property and business interruption policies adjusted or monitored adequately (at least once a year)?			
Are limits for your General Liability Insurance monitored at least once a year?			
Are all locations covered under your policies? If not, please specify which ones aren't covered?			
Did you perform a Risk-Assessment for natural disasters like flood, earthquake and landslide?			
Do you have an Environmental Risk Control Programme in place?			
Do you rely on products produced in politically unstable regions?			
If yes, do you have assessed the Political Risk arising out of embargos, expropriation etc. and do you have alternatives for the respective suppliers?			
21C BUSINESS INTERRUPTION			
Do you have different locations where you produce or could produce the products for Sovello?			
In case that one location faces a business interruption, could you guarantee the supply to Sovello by using a different plant that increases capacities?			
Have material business interruptions occurred in the past?			
If yes, please describe the circumstances of the business interruption(s)!			
21D INTELLECTUAL PROPERTY			
Do you have procedures in place to control Intellectual Property Loss Exposures such as:			
Patent Infringement?			
Copyright or Trademark Violation?			
Patent Claims?			
Trade Secret Protection?			
Protection of communicated Process/Material Specifications?			

		Yes	No	Further Explanation
21E	DETAILS OF COVERAGE OF ASSETS			
	Do you have insurance for:			
	Earthquake/ Landslide /Mudslide/ Avalanches / Smoke?			
	Flood / Water other than tap water / Sprinkler leakage?			
	Environmental damage (e.g. due to leakage of chemicals, fire)?			
	Business Interruption All-Risks/Fire Lighting Aircraft?			
	Has one or more of the above mentioned insured events occurred in a noteworthy extent?			
	If yes, please describe which event(s) has (have) occurred in the recent past!			
	If you have more relevant insurances, please name them!			
22. ETHICS & SUSTAINABILITY				
	Do you have a Business Ethics Program implemented? If Yes, please describe.			
	Do you have a Sustainability Program implemented? If yes, please describe.			

5. Signatures

Date / Signature

Date / Signature