Carling Technologies Supplier Quality Survey

Supplier Profile

Company Name	
Address	
Person completing	
Phone	
Fax	
Email	
List Top Management (Owner, CEO, COO, etc.)	
Legal Form of Company (Corp/Single Owner/Partnership)	
Principal Products	
Years in Business	
Total Square Feet	
No. of Buildings	
Number of Employees	
Number of Production Personnel	
Number of Quality Personnel	
Number of Shifts	
Working Days per Week	
Production Utilization (%)	
Annual Sales ($)	
Union Affiliation	
Contract Expiration date	
Person Responsible for Quality/Title	
Email Address	
Telephone Number	
To Whom does the person responsible for Quality Report to?	
ISO/QS/TS Certified? Attach copy of certificate	
Scope of Certificate	
12 Month Rolling Average Product Quality (ppm) for product of interest	
12 Month Rolling Average First Pass Yield (ppm) for product of interest	

Material Return Authorization Contact/Email	
Inside Sales Contact	
Telephone Number	
Email Address	
List Top 3 Customers	

Supplier Survey

Quality Management System - General	Yes	No	N/A	Document Reference
Is the quality system registered to a recognized standard? (ISO, TS, QS)	☐	☐	☐	
Documentation Requirements	Yes	No	N/A	Document Reference
Is there a quality policy?	☐	☐	☐	
Are documented procedures available? (Control of Documents, Records, Internal Audit, Non - conforming Product, Corrective, Preventive Action)	☐	☐	☐	
Is there a quality manual?	☐	☐	☐	
Are relevant drawings, specifications and work instructions available at the point of use?	☐	☐	☐	
Is there a system in place to control the release and revision of documents?	☐	☐	☐	
Are obsolete documents retained for any purpose, if so how long?	☐	☐	☐	
Is there a process to maintain a record of the date on which each change is implemented in production?	☐	☐	☐	
Are controls to satisfy regulatory and customer requirements established for the identification, storage, protection, retrieval, retention and disposition of records?	☐	☐	☐	
Management Responsibility	Yes	No	N/A	Document Reference
Does top management communicate the importance of meeting customer, statutory, regulatory requirements and effectiveness of the QMS?	☐	☐	☐	
Are quality objectives established at relevant functions and levels in the organization? Are they documented?	☐	☐	☐	
Are responsibilities and authority defined and communicated?	☐	☐	☐	
Do personnel responsible for product quality have the authority to stop production to correct quality problems?	☐	☐	☐	
Management Review	Yes	No	N/A	Document Reference
Does management review, at regular intervals, the effectiveness and efficiency of the QMS?	☐	☐	☐	
Are there records of these reviews and actions initiated ?	☐	☐	☐	

Do the reviews include all requirements of the Quality Management System and its performance trends as an essential part of the continual improvement process?	☐	☐	☐	
Do the inputs to management review include an analysis of actual and potential field-failures and their impact on quality, safety or the environment?	☐	☐	☐	
Resource Management	Yes	No	N/A	Document Reference
Is there a process to determine the education, training, skills and experience necessary to perform all work affecting product quality?	☐	☐	☐	
Is there a testing or certification process to determine the effectiveness of the training?	☐	☐	☐	
Are personnel aware of the importance of their work and how they contribute to achieving quality objectives?	☐	☐	☐	
Are there records of employee education, training, skills and experience?	☐	☐	☐	
Is there a process to motivate employees for achieving quality objectives, to make continual improvements, and to create an enviroment to promote innovation?	☐	☐	☐	
Are buildings, workspace, equipment, hardware, software, work environment and support services provided and maintained to ensure achievement of product conformity?	☐	☐	☐	
Are there contingency plans to satisfy customer requirements in the event of an emergency such as utility interruptions, labor shortages, key equipment failure and field returns?	☐	☐	☐	
Product Realization	Yes	No	N/A	Document Reference
Are there records included in the quality plan to prove the product meets requirements?	☐	☐	☐	
Are customer requirements included in the planning of product realization as a component of the quality plan?	☐	☐	☐	
Are acceptance criteria defined by the organization and, where required, approved by the customer?	☐	☐	☐	
Is there evidence to demonstrate conformity to customer requirements for designation, documentation and control of special characteristics?	☐	☐	☐	
Is there a contract review process?	☐	☐	☐	
Design and Development (if applicable)	Yes	No	N/A	Document Reference
Is there a process for development/finalization and monitoring of special characteristics to prepare for product realization?	☐	☐	☐	

Are reviews, verifications and validations established at each stage of development?	☐	☐	☐	
Is there a process to develop and review the FMEAs, including actions to reduce potential risks?	☐	☐	☐	
Is there a process to develop and review control plans?	☐	☐	☐	
Is there a process to identify special characteristics and include them in the Control Plan, FMEAs and operator instructions with the customer's special characteristic symbol or the organization's equivalent symbol?	☐	☐	☐	
When prototypes or samples are produced does the supplier use the same tooling and processes that would be used for production orders?	☐	☐	☐	
Incoming Product Quality/Supplier Development	Yes	No	N/A	Document Reference
Is there a process to assure the quality of purchased product utilizing methods such as: statistical data, AQL, audits of suppliers or some other sampling/inspection/testing method?	☐	☐	☐	
Is supplier performance monitored through the following indicators: Delivered Product Quality, Customer Disruptions including field returns, Delivery Schedule Performance (including incidents of premium freight? Is there a rating system?	☐	☐	☐	
Does the Organization provide notification of changes in the product, components or process and obtain Carling Technologies approval **prior** to implementation?	☐	☐	☐	
Is there a list of approved suppliers, their performance and any actions required from periodic reviews?	☐	☐	☐	
Does the organization perform supplier quality management system development?	☐	☐	☐	
Production and Service Provision	Yes	No	N/A	Document Reference
Are work instructions including product characteristics available?	☐	☐	☐	
Are there procedures for monitoring and measurement?	☐	☐	☐	
Is there a process to develop control plans that include: list of the controls used for the manufacturing process control, methods for monitoring of control exercised over special characteristics defined by both the customer and the organization?	☐	☐	☐	
Does the control plan initiate the specified reaction plan when the process becomes ustable or not statistically capable?	☐	☐	☐	

Are there prepared documented work instructions for all employees having responsibilities for the operation of processes that impact product quality?	☐	☐	☐	
Are job set-ups verified whenever performed, such as an initial run of job, material changeover of job?	☐	☐	☐	
Is there an effective planned total preventive/predictive maintenance plan, including: planned maintenance activities and availability of replacement parts for key manufacturing equipment?	☐	☐	☐	
Does the organization establish and implement a system for production tooling management including: maintenance and repair facilities and personnel, storage and recovery, set-up, tool-change programs for perishable tools?	☐	☐	☐	
Is the product identified at all stages of the process?	☐	☐	☐	
Is customer property identified, controlled & protected?	☐	☐	☐	
Is the product identified, handled, packaged, stored and protected?	☐	☐	☐	
Is the condition of product in stock assessed at appropriate planned intervals in order to detect deterioration?	☐	☐	☐	
Is obsolete product controlled in a similar manner to nonconforming product?	☐	☐	☐	
Control of Monitoring and Measuring Devices	Yes	No	N/A	Document Reference
Is the status of measurement equipment identified?	☐	☐	☐	
Are there records of measuring equipment verification?	☐	☐	☐	
Does the supplier understand MSA's and do they perform them?	☐	☐	☐	
Do records of the calibration/verification activity for all gauges, measuring and test equipment include: equipment identification, the measurement standard against which the equipment is calibrated and statements of conformity to specification after calibration.	☐	☐	☐	
Do the external laboratory facilities have a defined laboratory scope that include the capability to perform the required inspection, test or calibration and either evidence that is acceptable to the customer or ISO/IEC 17025 accreditation or equivalent?	☐	☐	☐	
Measurement, Analysis and Improvement	Yes	No	N/A	Document Reference
Are basic statistical concepts, such as variation, control (stability), process capability and over-adjustment understood and utilized throughout the organization?	☐	☐	☐	

Have appropriate statistical tools for each process been determined during advance quality planning and included in the control plan?	☐	☐	☐	
Monitoring and Measurement	Yes	No	N/A	Document Reference
Are performance indicators based on objective data such as delivered part quality performance, customer disruptions, delivery schedule performance and customer notifications related to quality or delivery issues?	☐	☐	☐	
Is the performance of manufacturing processes monitored to demonstrate compliance with customer requirements for product quality and efficiency of the process?	☐	☐	☐	
Internal Audit	Yes	No	N/A	Document Reference
Is there a documented procedure for planning and conducting internal audits of the quality system? Including corrective actions?	☐	☐	☐	
Is there an audit for each manufacturing process to determine its effectiveness?	☐	☐	☐	
Is there a process to audit products at appropriate stages of production and delivery to verify conformity to all specified requirements at a defined frequency?	☐	☐	☐	
Monitoring and Measurement of Product	Yes	No	N/A	Document Reference
Are key characteristics of the product monitored at defined stages of the process?	☐	☐	☐	
Is there evidence that the product meets the customer's requirements?	☐	☐	☐	
Do measurement requirements clearly specify the criteria for acceptance or rejection?	☐	☐	☐	
Is there evidence that all monitoring and measurement activities are complete before the product is released?	☐	☐	☐	
Control of Nonconforming Product	Yes	No	N/A	Document Reference
Is there a documented procedure to ensure that nonconforming product is identified and controlled?	☐	☐	☐	
If nonconforming product is corrected, is it subject to re-inspection and approval? Does the supplier notify the customer if rework occurs?	☐	☐	☐	
Is product with unidentified or suspect status classified as nonconforming product?	☐	☐	☐	
Are instructions for rework, including re-inspection requirements, accessible to and utilized by the appropriate personnel?	☐	☐	☐	
Are customers promptly informed in the event that nonconforming product has been shipped?	☐	☐	☐	

Is a customer deviation permit obtained prior to further processing whenever the product or manufacturing process is different from which it is currently approved?	☐	☐	☐	
Analysis of Data / Improvement	Yes	No	N/A	Document Reference
Does the organization collect and analyze data (SQC/SPC) to demonstrate the effectiveness of the quality system and evaluate improvement opportunities?	☐	☐	☐	
Are Six Sigma Tools used to improve and control processes? (Process Maps, FMEA, DOE, Control plans)	☐	☐	☐	
Are trends in quality and operational performance compared with progress toward objectives, and do they lead to action to support continuous improvement?	☐	☐	☐	
Are results of audits, analysis of data, corrective action and preventive actions, management reviews, quality policy and quality objectives used for continual improvement?	☐	☐	☐	
Is manufacturing process improvement continually focused on control and reduction of variation in product characteristics and process parameters?	☐	☐	☐	
Is there a documented procedure to eliminate the root cause of nonconformities and prevent recurrence including similar processes and error proofing philosophy?	☐	☐	☐	
Rejected Product Test/Analysis	Yes	No	N/A	Document Reference
Are rejected parts by the customer's manufacturing plants, engineering facilities and dealerships analyzed?	☐	☐	☐	
Is there a documented procedure to eliminate the cause of potential nonconformities?	☐	☐	☐	
Does the organization rely on detection or prevention to satisfy customer requirements?	☐	☐	☐	
RoHS / REACH / Conflict Minerals	Yes	No	N/A	Document Reference
Does supplier certify all materials/ products meet the latest RoHS requirements per EU directive 2002/95/EC? (list objective evidence)	☐	☐	☐	
Does supplier audit its' supply base for RoHS / REACH compliance? How?	☐	☐	☐	
Does supplier label all shipping paperwork with "RoHS Compliant" markings?	☐	☐	☐	
Are all container labels marked as such? (list objective evidence)	☐	☐	☐	

Does supplier certify all materials / products meet the latest REACH requirements for all SCHVs listed? (list objective evidence)	☐	☐	☐	
Does supply certify all tin, tantalum, tungsten (all derivatives) and gold are "Conflict free"?	☐	☐	☐	
Does supplier have the latest EICC template for Conflict Minerals completed? If yes, please supply to Carling Technologies with this survey.	☐	☐	☐	
Counterfeit/ Fraudulent Parts Control	Yes	No	N/A	Document Reference
Does supplier have an established Counterfeit and Fraudulent Parts Control process, which meets the following requirements (SAE AS555)?	☐	☐	☐	
Does supplier subscribe to GIDEP?	☐	☐	☐	
Does supplier buy parts through brokers?	☐	☐	☐	
Corrective action/problem solving	Yes	No	N/A	Document Reference
Does supplier have a problem solving methodology in place? What is it?	☐	☐	☐	
Does supplier have a contact to deal with customer quality issues? If so, provide contact information.	☐	☐	☐	
Change control	Yes	No	N/A	Document Reference
Is supplier familiar with the PPAP process? Are there examples?	☐	☐	☐	
Does supplier have the ability to communiacte neccesary information in Carling specified formats and language with respect to product information, contracts, order handling and corrective action requests?	☐	☐	☐	
FOR CARLING TECHNOLOGIES USE ONLY:		Signature		Date
Approved: ☐				
Conditionally approved: ☐				
Disapproved: ☐				
Action items:				