Sargent Controls & Aerospace

5675 West Burlingame Rd.
Tucson AZ 85743
PHONE: (520) 744-1000 FAX: (520) 744-8054

SUPPLIER EVALUATION CHECKLIST

Date:

Vendor:	**Prepared by:**
Address:	**Telephone:**
City, State, Zip:	**Fax:**
Web Site:	**e-mail:**

Key Company Personnel:	**Name**	**Title**	**Phone**	**Email**
Management				
Quality				
Production				
Open Order Follow-Up				
Sales				

The Quality Manager reports to whom?

Type of processes/services provided:

Manufacturing		**Heat Treatment**		**Surface Treatment**	
Complete to drawing		Annealing		Plating	
Semi-Finished to drawing		Stress Relief		Black Oxide	
Raw Material		Tempering		Dry Film Lube	
Forgings		Aging		Coating	
Castings		Quenching		Passivation	
Electro Discharge Mach.		Controlled atmosphere		Electropolish	
Other		Other		Other	

NDT		**Testing**		**Calibration Service (only)**	
Penetrant		Chemical		Gage Blocks	
Magnetic Particle		Physical		Hardness Testors	
Ultrasonic		Metallographic		Measuring Instruments	
Radiographic		Salt Spray		Pressure Gages	
Other		Other		Surface Plates	
				Surface Analyzer	
Joining & Fabrication		**Distributor**		CMM's	
Welding		Raw Material		Pyrometry & Thermal Equip	
Brazing		Parts		Weights	
Other		Other		Other	

Number of Employees:			
Manufacturing		Engineering	
Inspection		Quality	
Other		Total	

Vendor Status (To be completed by Sargent Controls)
Vendor Code: _____

Approved	***Conditional***	***Withheld***	***Unacceptable***
☐	☐	☐	☐

Comments:

Survey Completed By:	***Date:***
Quality Manager Approval:	***Date:***

Does your system comply with:	**Yes**		**No**
MIL-I-45208			
MIL-Q-9858			
ISO 9001, AS9100, QS-9000			
ISO/IEC 17025			
ISO10012-1, MIL-STD-45662 or Z540-1			
Nadcap Process Approval(s)			
FAA or EASA Certified Repair Station			
Any OEM Prime Customer, Government Agency or Third Party approvals?			

If so, please list - Attach Copies of Certifications and Registrations

Antidrug and Alcohol Misuse Program			

Please provide verification of compliance

AS9100 C Clause 4.0	Quality Management System	Compliant	Non-Compliant	N/A
4.2.1	Does the organization have:			
a.	documented statements of a quality policy and quality objectives,			
b.	a quality manual,			
c.	documented procedures and records required by this International Standard,			
d.	documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of its processes.			
4.2.1	Does the organization ensure that personnel have access to, and are aware of, relevant quality management system documentation and changes?			
4.2.2	Does the Quality Manual include:			
a.	the scope of the quality management system, including details of and justification for any exclusions			
b.	the documented procedures established for the quality management system, or reference to them			
c.	a description of the interaction between the processes of the quality management system.			
4.2.3	Are documents required by the quality management system controlled?			
4.2.4	Does the organization have an established, documented procedure to define the controls needed for the identification, storage, protection, retrieval, retention and disposition of records?			
Clause 5.0	**Management Responsibility**	Compliant	Non-Compliant	N/A
5.1 d	Does the Organization conduct Management Reviews?			
5.5.2	Top management shall appoint a member of the organization's management who, irrespective of other responsibilities, shall have responsibility and authority that includes:			
a.	ensuring that processes needed for the quality management system are established, implemented and maintained,			
b.	reporting to top management on the performance of the quality management system and any need for improvement,			
c.	ensuring the promotion of awareness of customer requirements throughout the organization,			
d.	the organizational freedom and unrestricted access to top management to resolve quality management issues.			
5.6.1	Executive Management reviews the Quality Management System at defined intervals to ensure suitability and effectiveness, and records of these reviews are maintained?			
Clause 6.0	**Resource Management**	Compliant	Non-Compliant	N/A
6.1	The organization shall determine and provide the resources needed:			
a.	to implement and maintain the quality management system and continually improve its effectiveness			
b.	to enhance customer satisfaction by meeting customer requirements.			
6.2.2 a - e	Is there evidence that personnel performing work affecting product quality are competent based on appropriate education, training, skills and experience?			
6.3 – 6.4	Does the organization determine, provide and maintain the infrastructure and work environment needed to achieve conformity to product requirements?			
Clause 7.0	**Product Realization**	Compliant	Non-Compliant	N/A
7.2.1 a - d	All customer process requirements are determined?			
7.2.3	Does the organization determine and implement effective arrangements for communicating with customers in relation to:			
a.	product information,			
b.	enquiries, contracts or order handling, including amendments			
c.	Customer feedback, including customer complaints.			
7.4.1	Is purchased product is determined to conform to specified purchase requirements?			
7.4.1	Sub-tier suppliers are selected based on their ability to supply product and/or processes in accordance with stated requirements?			
7.4.1 a - f & 7.4.3	A register of approved sub-tier suppliers is maintained, performance is periodically reviewed, and necessary actions are taken if requirements are not met?			
7.4.2 g	All applicable customer requirements, including key characteristics, are flowed down to sub-tier suppliers?			
7.4.2 h	Does purchasing include information on records retention requirements?			
7.4.2 i	Customers and regulatory authorities are assured the "Right of Access" to the suppliers facilities and records pertaining to a customer's order. This requirement is also flowed down to sub-tier suppliers?			
7.4.3	All raw material is received with certification test reports and the data in the reports is compared to the applicable specifications before the material can be accepted?			
7.4.3	At defined intervals samples of raw material are either sent to an independent laboratory for chemical and physical analysis or the test analysis is performed in-house? (Chemical Spectroscopic Analysis - Physical Tensile/Ductility Test and Hardness Testing)			
7.5.1	Process controls are established and control plans are developed, including key characteristics, when identified by the customer?			
7.5.1	In-process verification points are identified when verification can not be confirmed at a later stage of production?			

Clause 7.0	Product Realization - Continued	Compliant	Non-Compliant	N/A
7.5.1	Design, manufacture and use of tooling is considered in planning so that variable measurements can be taken, particularly on key characteristics (KPC)?			
7.5.1	The supplier plans and carries out production and/or services under controlled conditions including:			
a.	Availability of information that describes the characteristics of the product			
b.	Availability of work instructions, as necessary			
c.	Use of suitable equipment, e.g., mills, jigs, fixtures, tooling, etc.			
d.	Availability & use of monitoring & measuring devices, e.g., calipers, micrometers, CMM, etc.			
e.	Implementation of monitoring and measuring devices			
f.	Implementation of product release, delivery and post-delivery activities			
g.	Accountability for all product during manufacturing, e.g., parts quantities, split orders, non-conforming product, etc.			
h.	Evidence that all mfg. & inspection operations are completed as planned, or as otherwise documented and authorized			
i.	Provisions for prevention, detection, and removal of foreign objects (FOD)			
j.	Monitoring and control of utilities and suppliers that affect product quality, (e.g., water, compressed air, chemical product), to the extent that they affect conformity to product requirements.			
k.	Criteria for workmanship written in the clearest practical way (e.g., written standards, representative samples or illustrations)			
7.5.1.1	Production operations are performed in accordance with approved data - drawings, parts lists, work instructions, inspection documents, etc.?			
7.5.1.2	Are personnel authorized to approve changes to production processes shall be identified?			
7.5.1.2	Does the organization control and document changes affecting processes, production equipment, tools or software programs?			
7.5.1.2	Does the organization assess results of changes to production processes to confirm that the desired effect has been achieved without adverse effects to product conformity?			
7.5.1.2	Regulatory authority and/or customer approval is obtained prior to any customer requirement changes?			
7.5.1.3	Production equipment, tools and numerical controlled programs are validated prior to use. They are maintained and inspected periodically?			
7.5.1.3	Storage requirements, including periodic preservation/condition checks, are defined for production equipment or tooling in storage.			
7.5.2	Does the supplier validates any processes for production and/or services where the resulting output cannot be verified by subsequent monitoring or measurement?			
7.5.3	Does the organization identify the product by suitable means where appropriate throughout product realization?			
7.5.4	Care is exercised with customer property, records are maintained and property deemed lost, damaged or unsuitable is reported to the customer?			
7.5.5	Is conformity of product preserved during internal processing and delivery to the intended destination?			
7.5.5	Does preservation of product also include, where applicable in accordance with product specifications and applicable statutory and regulatory requirements, provisions for:			
a.	cleaning,			
b.	prevention, detection and removal of foreign objects,			
c.	special handling for sensitive products,			
d.	marking and labeling including safety warnings,			
e.	shelf life control and stock rotation, and			
f.	special handling for hazardous materials.			
7.6	Does the supplier determine the monitoring and measurement to be undertaken and the monitoring and measuring devices needed to provide evidence of conformity of product to requirements?			
7.6	Does the organization maintain a register of the monitoring and measuring equipment and define the process employed for their calibration/verification including details of equipment type, unique identification, location, frequency of checks, check method and acceptance criteria?			
7.6	Is measuring equipment, when necessary:			
a.	calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; where no such standards exist, the basis used for calibration or verification shall be recorded			
b.	adjusted or re-adjusted as necessary;			
c.	identified in order to determine its calibration status;			
d.	safeguarded from adjustments that would invalidate the measurement result;			
e.	protected from damage and deterioration during handling, maintenance and storage.			
7.6	The calibration system adequately recalls monitoring and measuring devices?			
7.6	Supplier takes appropriate action on the equipment and any affected product, when calibrated equipment is found not to conform to requirements?			
Clause 8.0	Measurement, Analysis and Improvement	Compliant	Non-Compliant	N/A
8.2.1	Does the organization have a defined method for determining customer satisfaction?			
8.2.2	Does the organization perform Internal Audits of the Quality Management System at planned intervals to determine that it is effectively implemented and maintained?			
8.2.3	Does the organization have suitable methods for monitoring and, where applicable, measurement to determine the ability of the processes to achieve requirements?			
8.2.3	In the event of nonconformity, does the organization:			
a.	take appropriate action to correct the nonconforming process,			
b.	evaluate whether the process nonconformity has resulted in product nonconformity,			
c.	determine if the process nonconformity is limited to a specific case or whether it could have affected other processes or products			
d.	identify and control any nonconforming product			

Clause 8.0	Measurement, Analysis and Improvement Cont.	Compliant	Non-Compliant	N/A
8.2.4	Organization does not allow product to be used prior to being inspected or verified as conforming?			
8.2.4	Are the measurement requirements for product acceptance documented and do they include			
a.	Criteria for acceptance and/or rejection, including when applicable the actual variable data			
b.	Where in the sequence measurement and testing operations are performed			
c.	required records of the measurement results (at a minimum, indication of acceptance or rejection),			
d.	any specific measurement instruments required and any specific instructions associated with their use.			
8.2.4	When critical items, including key characteristics, have been identified does the organization ensure they are controlled and monitored in accordance with the established processes?			
8.2.4	Where product is released for production use pending completion of all required measurement and monitoring activities, is it identified and recorded to allow recall and replacement if it is subsequently found that the product does not meet requirements?			
8.3	Does the organization have a documented procedure to ensure that product which does not conform to product requirements is identified and controlled to prevent its unintended use or delivery?			
8.3	Where applicable, does the organization shall deal with nonconforming product by one or more of the following ways:			
a.	by taking action to eliminate the detected nonconformity;			
b.	by authorizing its use, release or acceptance under concession by a relevant authority and, where applicable, by the customer;			
c.	by taking action to preclude its original intended use or application;			
d.	by taking action appropriate to the effects, or potential effects, of the nonconformity when nonconforming product is detected after delivery or use has started***;***			
e.	by taking actions necessary to contain the effect of the nonconformity on other processes or products.			
8.3	Does the organization make timely notification to their customer in the event that nonconforming product is released and delivered to the customer?			
8.4	Does the organization determine, collect and analyze appropriate data to demonstrate:			
a.	Customer satisfaction			
b.	Conformity to product requirements			
c.	Characteristics and trends of processes and products			
d.	Suppliers' performance			
8.5.1	Does the organization monitor the implementation of improvement activities and evaluate the effectiveness of the results?			
8.5.2	Does the organization have a documented procedure established to define requirements for			
a.	reviewing nonconformities (including customer complaints),			
b.	determining the causes of nonconformities,			
c.	evaluating the need for action to ensure that nonconformities do not recur,			
d.	determining and implementing action needed,			
e.	records of the results of action taken			
f.	reviewing the effectiveness of the corrective action taken,			
g.	flowing down corrective action requirements to a supplier when it is determined that the supplier is responsible for the nonconformity,			
h.	specific actions where timely and/or effective corrective actions are not achieved,			
i.	determining if additional nonconforming product exists based on the causes of the nonconformities and taking further action when required.			
8.5.3	Does the organization have a documented procedure established for:			
a.	determining potential nonconformities and their causes,			
b.	evaluating the need for action to prevent occurrence of nonconformities			
c.	determining and implementing action needed			
d.	records of results of action taken			
e.	reviewing the effectiveness of the preventive action taken			

SARGENT
AEROSPACE & DEFENSE
A DOVER COMPANY

Sargent Controls & Aerospace
5675 West Burlingame Road
Tucson, Arizona 85743
Phone 520.744.1000

February 17, 2014

ATTN: Quality Management
Example Company
7 Abbey Road
Fruitland Park, FL 34731

SUBJECT: SUPPLIER QUALITY MANAGEMENT SYSTEM EVALUATION

Dear Supplier:

Due to our Aerospace Customer/Regulatory Agency requirements and the specifications that control our operation, we are required to evaluate our suppliers' Quality Management System.

As a company that presently supplies or potentially may supply material, hardware or services to Sargent Controls and Aerospace, an evaluation either by on-site audit or by the information supplied on the enclosed "Evaluation Checklist" portion must be performed.

We feel that the "Evaluation Checklist" may provide sufficient information for this evaluation. As this is a general checklist bases on AS9100 Rev B (aerospace requirements), some sections may not apply to your operation. Please complete the applicable sections and return it as soon as possible.

PLEASE NOTE: If your company is presently AS9100 or ISO 9001 registered, have a Nadcap certified Aerospace Quality System with applicable Process Approval(s), an FAA/EASA certified Repair Station, or an ISO/IEC 17025 accredited laboratory for services you supply to Sargent Controls and Aerospace, please send evidence of such approval via mail or fax 520-744-8054 and *only complete the first page (information section) of the attached document.*

Should you have any questions, please contact either a buyer or the Supplier Quality Engineer at your convenience. Your cooperation in fulfilling this requirement will be greatly appreciated.

Sincerely,
Sargent Controls & Aerospace