Supplier Questionnaire and On-site Supplier Evaluation

GENERAL EVALUATION INSTRUCTIONS

Purpose This On-site Supplier Evaluation (OSE) is to assess the supplier's ability to produce a quality product to Electro Motive's standards.

Application To evaluate a supplier prior to awarding a contract.

Please complete this form and fax/e-mail to EMD SQE _____

E-mail address _____

Fax No. _____

Due Date _____

PLEASE SEND THE SCANNED COPY OF FOLLOWING INFORMATION:

1. AN UP-TO-DATE ORGANIZATION CHART INCLUDING NAMES OF HEAD OF THE MAIN DEPT.
2. A PROCESS FLOW DIAGRAM OF PROPOSED OR CURRENT SAME TYPE PRODUCT.
3. LAB ACCREDITATION CERTIFICATION & SCOPE.
4. CERTIFICATE OF THIRD PARTY QUALITY SYSTEM REGISTRATION.

GENERAL EVALUATION INSTRUCTIONS AND GUIDELINES

Evaluation Process	The OSE process is defined by the Electro-Motive Quality Process.

Evaluation Method	The Evaluation method is composed of three major phases:

Self-Assessment

This is a self review of the company and their Quality System as documented by the potential supplier. The Supplier's QA Manager, or designee, will fill in the information on page 3 of this report. Then they are expected to rate each of the questions (Y/N and Supplier Rating) listed below starting from Page 4. See criteria below for the rating levels.

On-site Audit

The EMD SQE may conduct an On-site Audit and determine the effectiveness of the quality system at the supplier's manufacturing and support locations. The EMD SQE may rate each of the questions if an on-site evaluation occurs

Audit Summary

A review of the findings of the first two phases is used to determine supplier's ability to meet EMD's quality and delivery standards.

Audit Results

The EMD SQE will use source/do not source for the sourcing recommendation.

Definitions

Using the ratings below to answer each item as it applies to the organization being audited.

Rating	Definition
NA	The item does not currently apply to supplier's system. To be determined by EMD SQE.
0	The item is not currently included in supplier's system. The item is currently included in supplier's system, but no action for implementation is in process.
1	The item is currently included in supplier's system, but requires improvement to make it fully effective. An action plan for improvement is in process, but not fully operational.
2	The item is currently included in supplier's system and is generally acceptable. However, the item has only been in place for a short while, so its effectiveness has not yet been evaluated.
3	The item is currently included in supplier's system and meets or exceeds EMD's minimum standards. The item has been proven to be effective.

Evaluation Process for source/not source

An overall evaluation of "Source" will be given automatically by the system when no "0" is evident, and the number of items rated at "1" is not greater than 2, and Final Score is equal to or greater than "90".

An overall evaluation of "Not Source" will be given automatically by the system if "0" is evident, or the number of items rated at "1" is greater than 2, or Final Score is smaller than "90".

ON-SITE SUPPLIER EVALUATION

COMPANY OVERVIEW

Supplier Name: _____ Auditor: _____
Supplier Address: _____
City, State, Zip Code: _____ Audit Date: _____
Commodity: _____

TITLE	NAME	E-MAIL ADDRESS	PHONE NO.	TIME IN POSITION	YEARS AT CO.
CEO/President					
QC Manager					
Plant Manager					
Prod. Control					
Process Engr.					
Product Engr.					
Sales					
Other					

1. IS FACILITY 3rd PARTY REGISTERED? _____ REGISTRAR NAME? _____
   IF NOT, PLANNED DATE? _____ PROVIDE A COPY OF PLAN.
2. WHAT IS THE FACILITY SIZE (m^2)? _____ # OF EMPLOYEES _____ AVG. SENIORITY? _____
3. EMPLOYEE TURNOVER RATE? MANAGEMENT _____ %, HOURLY _____ %
4. CURRENT PLANT UTILIZATION? _____ % IMPACT OF EMD QUOTED BUSINESS ON YOU? _____
5. SHIFTS PER DAY? GENERAL ____ SFT/D CONSTRAIN _____ SFT/D DAYS PER WEEK _____
6. DO YOU HAVE POWER SHORTAGE IN SUMMER TO CONSTRAIN YOUR PRODUCTION? _____
7. HOW LONG HAVE YOU BEEN IN THE BUSINESS YOU ARE QUOTING ON? _____
8. HAVE YOU EXPORTED DIRECTLY? _____ LIST MAIN CUSTOMER, NATIONALITY, YEAR & PRODUCT.
   _____
9. DO YOU HAVE EXPORT BUSINESS LICENSE? _____
10. DO YOU CURRENTLY MANUFACTURE PARTS FOR THE RAILWAY INDUSTRIES? _____
11. WHAT ARE THE TYPICAL PROCESS/MATERIALS YOU UTILIZE? _____
12. WHAT IS YOUR STANDARD WARRANTY PERIOD? _____
13. STANDARD LEAD-TIME TO SPAP PARTS? _____ WEEKS
14. DO YOU DESIGN YOUR OWN TOOLS? _____ % BY CATEGORY? _____ % BY VALUE _____
15. DO YOU BUILD YOUR OWN TOOLS? _____ % BY CATEGORY? _____ % BY VALUE _____
16. DO YOU MAINTAIN YOUR OWN TOOLS? _____ % BY CATEGORY? _____ % BY VALUE _____
17. DO YOU HAVE THE ABILITY TO DESIGN PRODUCT? _____ WHAT SOFTWARE? _____
18. CAPABLE OF ELECTRONIC DATA TRANSFER? _____
19. ARE YOU CAPABLE OF CONVERTING PROTOTYPE TOOLS FOR PRODUCTION? _____
20. WHAT IS YOUR CURRENT SHIPPING METHODS? _____
21. WHAT IS YOUR CURRENT INVENTORY MANAGEMENT SYSTEM? _____
22. HOW MANY DAYS OF FINISHED PRODUCT INVENTORY IS ON HAND? _____
23. WHAT TYPE OF PACKAGING AND LABELING DO YOU CURRENTLY UTILIZE? _____
24. LIST YOUR TOP FIVE CUSTOMERS BASED ON THE PERCENTAGE OF SALES REVENUE LAST YEAR.

CUSTOMER NAME	YEARS OF RELATIONSHIP	PRODUCT NAME	%	PPM LAST YR

NOTE: % = PERCENT OF TOTAL SALES PPM = (RETURN + SCRAPPED + SORTS + REWORKS) X 1,000,000 / DELIVERED

I QUALITY SYSTEM

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	Is the supplier familiar with the following EMD Procedures:					
	* SPAP?			SPAP Requirements.		
	* High Critical Parts?			Control Plan / Procedure.		
	* Lab Accreditation?			Lab Cert. and Scope.		
	* Quality Notice System?			Rejects, Response.		
	* Prototype Part Approval?			VTS.		
2	Does the supplier use a disciplined problem solving method?			Correction Action, 5 Steps, 5 Whys, 8D.		
3	Is there a planning process consistent with the elements of APQP?			Design Reviews, FMEA's, Control Plans, Timing Charts, Checklists.		
4	Does the supplier have periodic internal review of the quality, delivery, service and cost performance and communicate within management team?			Report, Clipboard, etc.		
5	Does the supplier perform internal quality audits?			Frequency, Documentation, Corrective actions.		

II PROCESS CONTROL

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	Does the supplier have a procedure for determining key product and control characteristics?			Procedure, Inspection Plans.		
2	Are control plans revised for product and process changes or when processes are found to be unstable or non-capable?			Control Plans compared to product and process, SPC Charts updated.		
3	Can the method, tooling and gauges used in inspection reflect the product design requirements correctly?			Inspection method, tooling and gauges compared to product drawing and specification.		
4	Does the supplier utilize defect prevention methods?			SPC, Error Proofing, Visual controls.		
5	Is there verification method in place to challenge the Error Proofing?			Demonstration and verification.		
6	Work area clean and well organized?			Tour.		
7	Is suitable production equipment used?			Tour.		

8	Do you have a preventative maintenance program for production equipment to ensure continuing process capability?			PM Plans and Record.		

III INSPECTION & TESTING STATUS

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	Receiving Inspection - Are the methods / procedures in place to ensure that incoming product is not used or processed until it has been inspected or otherwise verified?			Procedure, Inspection Plans.		
2	In-process Inspection - Are products inspected/tested as required by the quality plan and/or documented procedures and held until the required tests and inspection have been completed?			Procedure, Inspection Plans.		
3	Final Inspection - Is there a final inspection, in which product are not released until all the activities in the quality plan and/or documented procedures have been satisfactorily completed and the associated data and documentation is available and authorized?			Procedure, Inspection Plans.		
4	Are there methods in place to ensure that the inspection and test status of products are identified by suitable means, which indicated the conformance or nonconformance of products with regard to inspection and tests performed?			Product Identification.		

IV INSPECTION, MEASUREMENT & TEST EQUIPMENT AND CUSTOMER-SUPPLIED TOOLING

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	Is all inspection, measuring and test equipment identified, calibrated and traceable to internationally or nationally recognized standards?			Procedure. Calibration records.		
2	Identified with a suitable indicator or approved identification record to show calibration status?			Calibration tags.		
3	Is the supplier qualified to do the chemical and physical inspection for daily quality control?			Lab Cert. and Scope. Certificate of the lab equipment operators.		
4	Handled, preserved and stored such that the accuracy and fitness for use is maintained?			Procedure. Tour.		
5	Are there procedures defined for the calibration of inspection, measuring & test equipment?			Procedure.		
6	Is Measurement System Analysis performed to assure measurement system are capable?			Gage R&R Studies.		
7	Is customer-supplied tooling identified, handled, preserved and stored such that the accuracy and fitness for use is maintained?			Procedure.		

V CONTROL OF NON-CONFORMING PRODUCT & CORRECTIVE ACTION

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	Are there procedures to ensure that product that does not conform to specified requirements is prevented from unintended use or installation?			Procedure.		
2	Is there a method of identification and notification of non-conforming product?			Procedure.		
3	Is the responsibility for review and the authority for disposition of nonconforming product defined?			Procedure.		
4	Are there procedures in place for preventative and corrective action?			Procedure.		
5	As a result of preventative and corrective action, are changes to documented procedures recorded and the results verified for effectiveness?			Review of CAPA records.		

VI CONTRACT REVIEW

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	What process assures that your production capability are not oversold?			Production capability analysis report. Equipment utilization report.		
2	Is there a system in place to notify all affected personnel of changes to customer orders or customer specifications?			Internal Change Control procedure.		

VII DOCUMENT CONTROL & QUALITY RECORDS

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	Is there a system in place to establish, maintain and control documents and data that are an integral part of the quality system?			Procedure.		
2	Are quality records maintained to verify the effectiveness of the quality system?			Procedure.		

VIII DESIGN CONTROL

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	Do you have a comprehensive prototype program?			Prototype lab tour		
2	Are the activities, responsibilities and authorities related to product/process development clearly defined in writing and followed?			Procedure/Process for Design & Development of product/process		
3	Do you perform reliability growth testing on new or revised product?			Reliability procedure		

IX PURCHASING & CUSTOMER-SUPPLIED PRODUCT

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	Is there a supplier assessment system to select the qualified supplier?			Supplier qualification procedure. Supplier assessment report.		
2	Is there a supplier evaluation system to evaluate your supplier's performance?			Supplier performance evaluation procedure. Supplier performance report.		
3	Are customer-supplied products verified, stored and maintained for incorporation into the final product?			Procedure.		

X PRODUCT IDENTIFICATION AND TRACEABILITY

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	Are procedures established and maintained for identifying the product, by suitable means from receipt and during all stages of production, delivery and installation?			Procedure.		
2	Where traceability is a specified requirement, are procedures established and maintained for unique identification of individual product and batches?			Procedure.		
3	Can you trace a finished product back to the raw materials and components that were incorporated into it?					

XI HANDLING, STORAGE, PACKAGING & DELIVERY

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	Is there a Contingency Plan in place to address if you have to delay your delivery due to your own reason, you will deliver products in a faster manner and bear the premium freight charge by yourself?			Procedure.		
2	Can the storage containers/racks prevent the finished or in-process products from damage during handling and warehousing?			Tour.		

XII TRAINING

#	Question	Y/N	Supplier Rating	Look For	EMD Rating	Notes
1	Have the engineers of Product Engineering, Process Engineering and Quality Control been trained in reading the Third Angle Projection drawings?			Training curriculums, or, demonstration		
2	Can the engineers of Product Engineering, Process Engineering and Quality Control read technical information in English?			Demonstration		
3	Can the engineers of Product Engineering, Process Engineering and Quality Control write technical document (such as test report, process control document, inspection report) in English?			Demonstration		
4	Are the metallurgists familiar with the US material standards, such as ASTM standards?			Demonstration		
5	Are there training plans for employees that affect quality of the part supplied?			Training curriculums, matrixes (Specially focus on the personnel for dimensional check and material analysis)		
6	How is the effectiveness of the training verified?			Training records		

Supplementary Comments

Item #	Remarks

ON-SITE SUPPLIER EVALUATION SUMMARY & RESULTS

	SECTION	VERIFY	ITEM #	"NA"	"0"	"1"	"2"	"3"
I	QUALITY SYSTEM	NA	5	0	0	0	0	0
II	PROCESS CONTROL	NA	8	0	0	0	0	0
III	INSPECTION & TESTING STATUS	NA	4	0	0	0	0	0
IV	INSPECTION, MEASUREMENT & TEST EQUIPMENT AND CUSTOMER-SUPPLIED TOOLING	NA	7	0	0	0	0	0
V	CONTROL OF NON-CONFORMING PRODUCT & CORRECTIVE ACTION	NA	5	0	0	0	0	0
VI	CONTRACT REVIEW	NA	2	0	0	0	0	0
VII	DOCUMENT CONTROL & QUALITY RECORDS	NA	2	0	0	0	0	0
VIII	DESIGN CONTROL	NA	3	0	0	0	0	0
IX	PURCHASING & CUSTOMER-SUPPLIED PRODUCT	NA	3	0	0	0	0	0
X	PRODUCT IDENTIFICATION AND TRACEABILITY	NA	3	0	0	0	0	0
XI	HANDLING, STORAGE, PACKAGING & DELIVERY	NA	2	0	0	0	0	0
XII	TRAINING	NA	6	0	0	0	0	0
	TOTAL POINTS		50	0	0	0	0	0
	APPLICABLE ITEM		50					
	FINAL SCORE		0.0					

SECTION	DEFICIENCY COMMENTS

SEND CORRECTIVE ACTION PLAN FOR DEFICIENCIES TO _____ By _____

SOURCING RECOMMENDATION

☐	**Do Not Source.**	**Opportunity still exists after the improvement verified by EMD SQE**
☐	**Source.**	**Continuous Improvement is required to better meet customer's expectation.**

Comment _____

_____

_____

_____

_____

AQE / SQE: _____ Date: _____

Main Equipment/Operation Information

#	Equipment/Operation Description	Model	Year in Production	Accuracy	Qty.	Manufacturer	Main parameters	Capacity/Rate	Unit	Utilization
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