

<b>ABC Group</b>	<b>POTENTIAL SUPPLIER RISK ASSESSMENT AUDIT</b>				Form: 80QPP-F-039
	<i>(REFER TO SQD-SCP-006 SUPPLIER QUALITY MANUAL FOUND AT www.abcgroupinc.com)</i>				Rev.: 9-2017-11-28
<b>DATE OF AUDIT:</b> _____		<b>RISK :</b> <input type="checkbox"/> RED <input type="checkbox"/> YELLOW <input type="checkbox"/> GREEN			
<b>SUPPLIER NAME:</b> _____					
<b>ADDRESS / CITY / STATE:</b> _____					
<b>TELEPHONE #:</b> _____			<b>FAX NUMBER:</b> _____		
<b>TYPE OF AUDIT:</b>					
<input type="checkbox"/> <b>PRE-SOURCE</b> <input type="checkbox"/> <b>SELF-ASSESSMENT</b> <input type="checkbox"/> <b>OTHER:</b>					
<b>DATE OF LAST ASSESSMENT:</b> _____		<b>RATING:</b> _____		<b>SCORE:</b> _____	
<b>TOTAL ANNUAL SALES \$</b>	<b>AUTOMOTIVE ANNUAL SALES \$</b>	<b>% OF BUSINESS W/ABC</b>	<b>MINORITY OWNED (N.A. ONLY)</b> <input type="checkbox"/> YES <input type="checkbox"/> NO	<b>CERTIFICATE OBTAINED?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO	
			<b>EXPORT CREDIT (EUROPE ONLY)</b> <input type="checkbox"/> YES <input type="checkbox"/> NO	<b>CERTIFICATE OBTAINED?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO	
<b>ISO 9001:2015 / TS 16949/ IATF 16949 CERTIFICATION(S)</b>	<b>DATE OF PENDING CERTIFICATION</b>	<b>COPIES OF CERTIFICATES OBTAINED?</b>	<b>ISO 14001 (3rd Party) / IMDS</b>	<b>DATE OF PENDING CERTIFICATION</b>	<b>NUMBER OF AUTOMOTIVE SUB-SUPPLIERS:</b>
<input type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO		
<b>Name of Environmental Management Representative:</b> _____					
<b>Telephone #</b> _____		<b>Fax #</b> _____		<b>Cell#</b> _____	
<b>PLANT GENERAL MANAGER:</b> _____			<b>TELEPHONE #</b> _____		
<b>AFTER HOURS CONTACT NAME:</b> _____			<b>AFTER HOURS #</b> _____		
<b>PLANT SIZE (SQ. FT/METER):</b> _____			<b>PLANT CAPACITY UTILIZED:</b> _____		
<b>UNION AFFILIATION:</b> _____			<b>CONTRACT EXPIRATION DATE:</b> _____		
<b>NUMBER OF EMPLOYEES:</b> _____					
<b>PRODUCTS/ SERVICES PROVIDED:</b> _____					
<b>ABC PLANTS SUPPLIED:</b> _____					
<b>PERSON(S) CONDUCTING ASSESSMENT:</b> _____					
<b>SUPPLIER REPRESENTATIVE:</b> _____					
<b>TOTAL ACTUAL SCORE:</b>	<b>0</b>	<b>Out of</b>	<b>190</b>	<b>*PERCENT:</b>	<b>0.0%</b>
<b>CORRECTIVE ACTIONS REQUIRED?</b>	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<b>DUE DATE:</b> _____		
<b>SIGNATURES: (PRINT &amp; SIGN - NAMES &amp; POSITION)</b>					
AUDIT REPRESENTATIVE _____			DATE _____		
SUPPLIER REPRESENTATIVE _____			DATE _____		
SUPPLIER COUNTERSIGNATURE _____			DATE _____		
<b>*NOTE: ANY SCORE: &gt;OR=95% OR &lt;OR=85% TO BE COUNTERSIGNED BY VICE-PRESIDENT/SENIOR SITE RESPONSIBLE FOR THIS PROCESS.</b>					

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DATE OF AUDIT: _____		RISK : <input type="checkbox"/> RED <input type="checkbox"/> YELLOW <input type="checkbox"/> GREEN	
SUPPLIER NAME: _____			
<b>GENERAL REQUIREMENT QUESTIONS</b>			
<b>THIS SECTION IS NOT DIRECTLY SCORED. HOWEVER, UNACCEPTABLE ANSWERS/ANOMALIES WILL CAUSE THE AUDIT TO BE SCORED "RED" OR YELLOW." PLEASE USE "Y/N" OR PROVIDE THE REQUESTED NUMBER AS REQUIRED.</b>			
A	IS THE SUPPLIER ISO 9001:2015 OR TS/IATF 16949 CERTIFIED?		
B	DOES THE SUPPLIER COMPLY TO THE OEM CQI SPECIFIC REQUIREMENTS? (CQI-9, CQI-11, CQI-12, CQI-14, CQI-19, CQI-23) CERTIFICATION OF ASSESSMENT/WARRANTY MANAGEMENT TO BE OBTAINED.		
C	DOES THE SUPPLIER HAVE ANY SAFETY, KEY OR CRITICAL ITEMS FOR ABC?		
D	IS THE SUPPLIERS CONTROL PLAN ACCEPTABLE FOR ANY SAFETY, KEY OR CRITICAL ITEMS FOR ABC?		
E	*WHAT IS THE ANNUAL AND MONTHLY LABOR TURN OVER RATES FOR THE SUPPLIER? ARE THE LABOR TURN OVER RATES ACCEPTABLE?		
F	*ARE THERE DEDICATED MANUFACTURING, INDUSTRIAL AND QUALITY ENGINEERS AVAILABLE?		
G	HOW MANY YEARS DOES THE CURRENT STAFF HAVE IN AUTOMOTIVE?		
H	HOW MANY YEARS HAS THIS PLANT BEEN AN AUTOMOTIVE COMPONENT MANUFACTURING LOCATION?		
I	*IS THE PLANT ON ANY TYPE OF QUALITY CONTAINMENT? INTERNAL? EXTERNAL? CUSTOMER?		
J	DOES THE PLANT SUPPLY ANY TRADE SALES PARTS IN ABC'S NAME?		
K	IS THE SUPPLIER PRIMARILY A TIER 1, TIER 2 OR TIER 3 SUPPLIER?		
L	* DOES THE INVENTORY OF RAW MATERIAL AND FINISHED GOODS SEEM APPROPRIATE?		
M	* IS THE INVENTORY OWNED BY THE SUPPLIER OUTRIGHT OR IS ON CONSIGNMENT?		
N	* HAS THE SUPPLIER USED PREMIUM FREIGHT IN THE LAST 3 MONTHS? TRUCK, CHARTER? AIR?		
O	IS THERE A PROGRAM IN PLACE TO CHECK IF ALL ENVIRONMENTAL LAWS OR STANDARDS ARE BEING MET?		
P	IS THE COMPANY IN COMPLIANCE WITH ALL APPLICABLE ENVIRONMENTAL AND HAZARDOUS MATERIALS AND IMDS (MSDS) TRAINING REQUIREMENTS? ARE IMDS (MSDS) SHEETS POSTED IN ACCORDANCE WITH REGULATIONS?		
Q	IS THE SUPPLIER IN VIOLATION OF ANY FEDERAL, STATE OR LOCAL SAFETY AND ENVIRONMENTAL LAW OR REGULATION?		
R	WHAT IS THE ESTIMATED AVERAGE AGE OF PRODUCTION EQUIPMENT		
S	DID THE SUPPLIER PROVIDE MACHINE AND FACILITIES CAPACITY STUDY?		
T	HOW MANY ABC OWNED (CONTROLLED) TOOLS (FIXTURES & GAGES) ARE AT THE SUPPLIER (INCLUDING TOOL SHOPS)?		
U	DOES THE SUPPLIER SHIP THRU A WAREHOUSE BEFORE IT IS SHIPPED TO ABC?		
V	IS THE SUPPLIER EDI CAPABLE? (CAN THEY RECEIVE ELECTRONIC ORDERS FROM ABC?)		
W	HOW MANY TEMPORARY AND OR CONTRACT EMPLOYEES DOES THE SUPPLIER USE?		
X	AFTER REVIEWING THE AUDIT QUESTIONS MARKED WITH "ASTERISKS" (*), ARE THERE ANY REASONS TO BE CONCERNED ABOUT THE SUPPLIER'S FINANCIAL SITUATION?		
Y	HAS THE SUPPLIER EXTENDED SHUTDOWN AUDIT BEEN COMPLETED AND REVIEWED?		
Z	DOES THE SUPPLIER COMPLY TO THE OEM SPECIFIC QUALITY REQUIREMENT SYSTEM? (BIQS,Q1,PDR,SQAM,ASG, etc.) CERTIFICATION TO BE OBTAINED.		
AA	IS SUPPLIER A OEM DIRECT BUY SOURCE? HAS A DIRECT BUY LETTER AGREED AND SIGNED OFF BY SUPPLIER AND SUBMITTED TO ABC GROUP?		
AB	DOES THE SUPPLIER & THEIR SUB-TIERS COMPLY TO THE CONFLICT OF MINERALS GUIDELINES AS PER ABC AND OEM REQUIREMENTS? NOTE: Reporting of Conflict of Minerals data must be completed and obtained from all tier levels involved. <b>IF YES:</b> INCLUDE A COPY OF MOST RECENT SUBMISSION WITH THIS REPORT. <b>IF NO:</b> EXPLAIN WHY AND SHOW TIMELINE TO ACHIEVE.		
AC	DOES THE SUPPLIER COMPLY TO C-TPAT? <b>IF YES:</b> INCLUDE A COPY OF MOST RECENT ASSESSMENT WITH THIS REPORT. <b>IF NO:</b> EXPLAIN WHY AND SHOW TIMELINE TO ACHIEVE.		
AD	DOES THE ORGANIZATION OVERALL SUBSTAINABILTY FIT ABC GROUP AS A SUPPLIER?		
NOTES:			

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DATE OF AUDIT: _____		RISK : <input type="checkbox"/> RED <input type="checkbox"/> YELLOW <input type="checkbox"/> GREEN	
SUPPLIER NAME: _____			
SCORING WORKSHEET			
SCORING: 0 = NO SYSTEM IMPLEMENTED      1 or 1.5 = PARTIALLY IMPLEMENTED SYSTEM      2 = FULLY IMPLEMENTED SYSTEM			
SECTION	ITEM		SECTION SCORE
1	<b>QUALITY MANAGEMENT SYSTEM - SECTION SCORE TOTAL =</b>		<b>0</b>
	<b>DOCUMENTATION - Item Score =</b>		<b>0</b>
	1	ARE THERE QUALITY PROCEDURES AND MANUAL WHICH MEET THE REQUIREMENTS OF AUTOMOTIVE QUALITY STANDARDS? (Ref. <b>ISO 9001:2015 OR TS/IATF 16949</b> Quality System Requirements.)	
	2	IS A DOCUMENTED SYSTEM IN PLACE TO CONTROL THE DOCUMENTATION AND DATA USED IN THE PROCESS?	
	3	ARE NEW AND REVISED DOCUMENTATION REVIEWED AND APPROVED PRIOR TO RELEASE TO THE MANUFACTURING PROCESS?	
	4	ARE ALL DOCUMENTS AFFECTING QUALITY AND PROCESSES REVIEWED AND APPROVED PRIOR TO USE?	
	5	IS THERE A DOCUMENTED SYSTEM FOR THE CONTROL AND STORAGE OF QUALITY RECORDS? IS THERE EVIDENCE OF RECORD RETENTION THAT MEETS THE TIME REQUIREMENTS?	
6	ARE ALL QUALITY RECORDS LEGIBLE AND READILY AVAILABLE?		
2	<b>MANAGEMENT RESPONSIBILITY - SECTION SCORE TOTAL =</b>		<b>0</b>
	<b>PLANNING - Item Score =</b>		<b>0</b>
	1	IS THERE A DOCUMENTED BUSINESS PLAN THAT UTILIZES <b>ISO 9001:2015 OR TS/IATF 16949</b> REQUIREMENTS?	
	<b>RESPONSIBILITY, AUTHORITY AND COMMUNICATION - Item Score =</b>		<b>0</b>
2	ARE THERE CLEARLY DEFINED AND DOCUMENTED RESPONSIBILITIES AND AUTHORITIES FOR ALL PERSONNEL AFFECTING QUALITY?		
3	IS THERE IDENTIFIED MANAGEMENT PERSONNEL WITH AUTHORITY AND RESPONSIBILITY TO ENSURE COMPLIANCE TO ALL QUALITY REQUIREMENTS?		
3	<b>RESOURCE MANAGEMENT - SECTION SCORE TOTAL</b>		<b>0</b>
	<b>HUMAN RESOURCES - Item Score =</b>		<b>0</b>
	1*	IS THERE A DOCUMENTED TRAINING PROGRAM?	
	2*	IS THERE A MASTER RECORD OF TRAINING ACTIVITY FOR ALL PERSONNEL AND IS IT AVAILABLE TO THOSE WHO NEED IT?	
	3	IS TRAINING EFFECTIVENESS PERIODICALLY EVALUATED?	
	<b>INFRASTRUCTURE - Item Score =</b>		<b>0</b>
	4*	IS THERE A DOCUMENTED PREVENTATIVE MAINTENANCE PROGRAM INCORPORATED?	
	5	IS THERE A DOCUMENTED SYSTEM IN PLACE FOR TOOLING MANAGEMENT THAT COVERS NEW TOOLING, REPAIRS, STORAGE AND PREVENTATIVE MAINTENANCE?	
	6	ARE THERE DOCUMENTED PROCEDURES FOR A TOOL RELOCATION PROGRAM THAT INCLUDE INCOMING AND OUTGOING TOOLS OR PRODUCTION EQUIPMENT?	
	7	IS THERE A DOCUMENTED SYSTEM FOR COMPONENT BANKING, WHEN APPLICABLE, TO PROTECT FOR TOOL MOVES OR MAINTENANCE DOWN TIME?	
	8	IS THERE A DOCUMENTED SYSTEM TO MANAGE UTILITY FAILURES, WEATHER EMERGENCIES OR ANY OTHER CATASTROPHIC EVENTS THAT COULD EFFECT PLANT OPERATIONS OR SHIPMENTS?	
	<b>WORK ENVIRONMENT - Item Score =</b>		<b>0</b>
	9*	IS THE PRODUCTION ENVIRONMENT CLEAN AND ORDERLY?	
10	IS THERE A <b>5S</b> OR SIMILAR PROGRAM IN PLACE AT THE SUPPLIER'S LOCATION (SHINE, STRAIGHTEN, STANDARDIZE, SORT & SUSTAIN) ?		
4	<b>PRODUCT REALIZATION - SECTION SCORE TOTAL</b>		<b>0</b>
	<b>PLANNING - Item Score =</b>		<b>0</b>
	1	DOES THE QUALITY PLANNING PROCESS INCLUDE IDENTIFICATION OF RESOURCES & PREPARATION OF CONTROL PLANS BASED ON <b>FMEA</b> INPUT AND REVIEW OF ALL STANDARDS AND SPECIFICATIONS?	
	2	ARE CROSS-FUNCTIONAL TEAMS USED DURING THE ADVANCED QUALITY PLANNING PROCESS THAT INCLUDES LAUNCH MANAGERS, ENGINEERING AND QUALITY RECORDS?	
	3	IS THERE A DOCUMENTED SYSTEM FOR LAUNCH CONTAINMENT? ( <b>GP12</b> )	
	4	ARE FEASIBILITY REVIEWS, INCLUDING CAPACITY PLANNING AND UTILIZATION STUDIES, CONDUCTED TO CONFIRM THAT THE DESIGN IS CAPABLE OF THE INTENDED MANUFACTURING PROCESS?	
	5	DO ALL ASPECTS OF <b>PFMEA</b> , <b>PROCESS FLOW CHART</b> , <b>CONTROL PLAN</b> AND ACTUAL PROCESS AGREE?	
	<b>CUSTOMER RELATION PROCESSES - Item Score =</b>		<b>0</b>
	6	IS THERE A DOCUMENTED SYSTEM FOR REVIEW OF ALL PRODUCTION MATERIAL CONTRACTS?	
	7	IS THERE EVIDENCE OF DOCUMENT CHANGE(S) MADE, BASED ON CONTRACT CHANGE REQUIREMENTS?	
	8	ARE RECORDS OF CONTRACT REVIEW MAINTAINED?	
<b>DESIGN AND DEVELOPMENT - Item Score =</b>		<b>0</b>	

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SUPPLIER NAME: _____			
	9	IS THERE A SYSTEM FOR DETERMINING THE STAGES OF PRODUCT DESIGN AND DEVELOPMENT INCLUDING REVIEW, VERIFICATION AND VALIDATION, SPECIFIED RESPONSIBILITIES AND AUTHORITIES? IF NOT DESIGN RESPONSIBLE: IS THERE A SYSTEM FOR PLANNING AND CONTROLLING THE SUPPLIER RESPONSIBLE ACTIVITIES RELATED TO DESIGN REVIEW, VERIFICATION AND VALIDATION?	
	10	IS THERE A SYSTEM TO INSURE PLANNING DOCUMENTS ARE UPDATED AS THE DESIGN AND DEVELOPMENT PROGRESS?	
	11	IS THERE A SYSTEM TO REVIEW COMPATIBILITY OF DESIGN TO THE MANUFACTURING PROCESS?	
	12	IS THERE A SYSTEM FOR DETERMINING AND RECORDING THE DESIGN INPUTS RELATING TO THE PRODUCT REQUIREMENTS INCLUDING FUNCTIONAL, PERFORMANCE, STATUTORY AND REGULATORY REQUIREMENTS? IF NOT DESIGN RESPONSIBLE: IS THERE A SYSTEM FOR UNDERSTANDING AND MEETING THE SUPPLIER RESPONSIBLE PRODUCT REQUIREMENT?	
	13	IS THERE A SYSTEM TO INSURE DESIGN AND DEVELOPMENT OUTPUTS ARE VERIFIED AGAINST THE INPUTS AND ARE THESE RESULTS APPROVED PRIOR TO DESIGN RELEASE?	
	14	IS THERE A SYSTEM FOR COMPLETING DESIGN VALIDATION BEFORE PRODUCT DELIVERY?	
<b>PURCHASING - Item Score =</b>			<b>0</b>
	15	IS THERE A DOCUMENTED SYSTEM FOR PURCHASING ACTIVITIES?	
	16	IS THERE A QUALITY AUDIT PROCESS THAT INCLUDES ON-SITE AUDIT OF VENDORS BY SUPPLIER PERSONNEL?	
	17	ARE SUB-CONTRACTORS SELECTED BASED ON MEETING APPROVED QUALITY AND 100% ON TIME DELIVERY REQUIREMENTS?	
	18	IS THERE A SYSTEM TO MONITOR SUB-CONTRACTOR DELIVERY PERFORMANCE AND QUALITY PERFORMANCE?	
	19	ARE THERE QUALITY RECORDS OF SUB-CONTRACTORS AND ARE THEY ESTABLISHED AND MAINTAINED, INCLUDING PPAP?	
<b>4</b>	<b>PRODUCTION - Item Score =</b>		
	20	IS THERE A DOCUMENTED SYSTEM FOR CONTROL OF CUSTOMER SUPPLIED PRODUCT? IS CUSTOMER SUPPLIED PRODUCT EXAMINED FOR CONDITION AND QUALITY UPON RECEIPT?	
	21	ARE THERE PROVISIONS FOR CUSTOMER NOTIFICATION OF DAMAGE, LOST OR UNUSABLE CUSTOMER SUPPLIED PRODUCT(S)?	
	22	IS PRODUCT IDENTIFICATION TRACEABLE THROUGHOUT THE INTERNAL SYSTEM AND SHIPPED MATERIALS?	
	23	IS THERE A DOCUMENTED SYSTEM FOR PROCESS CONTROL? (I.E. WORK INSTRUCTION, BOUNDARY SAMPLES, SET-UP SHEETS, ETC.)	
	24	ARE WORK/OPERATOR INSTRUCTIONS POSTED AT THE MANUFACTURING PROCESSES IN THE APPROPRIATE LANGUAGES?	
	25	DO THE <b>PROCESS CONTROL PLANS</b> INCLUDE CRITICAL CHARACTERISTICS, INSPECTION, TESTING, GAUGING, CONTROL METHODS AND FREQUENCY?	
	26	IS THERE A "FIRST PIECE" SIGN-OFF SYSTEM AND IS IT BEING USED? IS A SAMPLE RETAINED?	
	27	IS THERE A DOCUMENTED SYSTEM FOR DETERMINATION OF THE INSPECTIONS AND TEST STATUS?	
	28	ARE THERE RECORDS TO SUPPORT PAST INSPECTION AND TESTS? (HISTORICAL DATA FOR REFERENCE)	
	29	ARE THE HANDLING AND STORAGE METHODS APPROPRIATE TO PREVENT MATERIAL DAMAGE AND DETERIORATION?	
	30	IS THERE A DOCUMENTED SYSTEM FOR THE CONTROL OF PACKAGING, MARKING, TRACEABILITY AND DELIVERY, OF PRODUCT TO CUSTOMERS?	
	31	ARE SHIPPING LABELS WITH BAR CODES USED TO CUSTOMER SPECIFICATIONS?	
	32	IS THERE A DOCUMENTED SYSTEM FOR A COMPUTERIZED <b>MRP</b> SYSTEM? (scheduling, inventory, planning)	
	33*	IS THERE AN INVENTORY MANAGEMENT SYSTEM IN PLACE TO CONTROL MATERIAL STOCK TURNS AND ROTATIONS ( <b>FIFO</b> )?	
	34	IS THERE A DOCUMENTED SYSTEM THAT MEETS THE REQUIREMENTS OF THE AIAG, PRODUCTION PART APPROVAL PROCESS (PPAP) MANUAL?	
	35	IS MISTAKE PROOFING (POKE YOKE) USED FOR MANUFACTURING PROCESS IMPROVEMENTS?	
	36	CAN THE MISTAKE PROOFING BE BY-PASSED? IS THERE A RED PART TEST? FREQUENCY?	
<b>CONTROL OF MONITORING AND MEASURING DEVICES - Item Score =</b>			<b>0</b>
	37	IS THERE A DOCUMENTED SYSTEM FOR GAGE & TOOL CALIBRATION AND ARE ALL GAGES AND PRODUCTION EQUIPMENT CALIBRATED?	
	38	IS CALIBRATION STATUS CLEARLY IDENTIFIED FOR ALL MEASURING EQUIPMENT?	
	39	IS THERE A DOCUMENTED SYSTEM FOR GAGE (i.e., <b>GR&amp;R</b> ) STUDIES?	
	40	IS THERE A SYSTEM FOR CUSTOMER NOTIFICATION IF SUSPECT MATERIAL HAS BEEN SHIPPED?	
	41	IS THERE A DROPPED GAGE PROCEDURE? (Damaged gages)	
	42	DO ALL GAGE STUDIES HAVE <b>GR&amp;R</b> STUDIES <30%, OR EQUIVALENT?	
<b>5</b>	<b>MEASUREMENT, ANALYSIS &amp; IMPROVEMENT - SECTION SCORE TOTAL</b>		
<b>MONITORING &amp; MEASUREMENT - Item Score =</b>			<b>0</b>
	1	IS THERE A DOCUMENTED SYSTEM WHICH ADDRESSES AND MEASURES CUSTOMER SATISFACTION/DISSATISFACTION AND KEY MEASURABLES FROM THE PROCESS? IS IT POSTED FOR ALL EMPLOYEES TO SEE?	
	2	ARE INCOMING PARTS, MATERIALS AND PURCHASED SERVICES DOCUMENTED, CONTROLLED AND VERIFIED PRIOR TO RELEASE INTO PROCESS?	

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SUPPLIER NAME: _____					
	3	ARE LAYOUT INSPECTIONS AND FUNCTIONAL TESTING DOCUMENTED AND CONDUCTED PER THE CONTROL PLANS?			
	4*	IS THERE A DOCUMENTED PROCEDURE FOR THE USE OF AN ACCREDITED LABORATORY IF SUPPLIER'S LAB IS NOT ACCREDITED?			
	5	IS THERE EQUIPMENT AVAILABLE FOR REQUIRED TESTING , I.E., WELD INSPECTION, MATERIAL THICKNESS, HARDNESS TESTER, COLD AND HOT TEST EQUIPMENT, I.E., CMM, TENSILE TESTER?			
	6	IS FINAL INSPECTION AND TESTING DOCUMENTED AND MAINTAINED?			
	7	IF REQUIRED, IS THERE EVIDENCE OF COLOR-APPROVAL VERIFICATION? IS THERE APPROPRIATE TRAINING, LIGHTING EQUIPMENT, COLOR MASTERS, GLOSS VERIFICATION TESTER AND CUSTOMER APPROVAL? ARE BOUNDARY SAMPLES USED? IS THERE AN AGREED TEST METHOD.			
	8	IS THERE A DOCUMENTED SYSTEM FOR AN INTERNAL QUALITY AUDIT PROGRAM?			
	9	DOES THE INTERNAL QUALITY PROGRAM EXTEND TO ALL AREAS OF THE COMPANY?			
	10	DOES THE SUPPLIER FOLLOW UP WITH CORRECTIVE ACTIONS TO CLOSE OUT ISSUES FOUND IN AUDITS?			
5	<b>CONTROL OF NON-CONFORMING PRODUCT - Item Score =</b>			<b>0</b>	
	11	ARE THERE DOCUMENTED SYSTEMS FOR SEGREGATION AND HOLDING OF NON CONFORMING MATERIAL?			
	12	ARE DISCIPLINED PROBLEM SOLVING METHODS USED FOR NON-CONFORMING MATERIAL(S)? (8D AS EXAMPLE)			
	13	ARE DOCUMENTED SYSTEMS IN PLACE FOR REWORK/REPAIR OF NON-CONFORMING MATERIAL?			
	14	IS THERE A SYSTEM IN PLACE TO ASSURE CUSTOMER APPROVAL FOR ALL NON-CONFORMING PRODUCTS PRIOR TO SHIPMENT?			
	<b>ANALYSIS OF DATA - Item Score =</b>			<b>0</b>	
	15	IS THERE A DOCUMENTED SYSTEM FOR THE USE OF <b>SPC</b> IN THE MANUFACTURING PROCESS, I.E., KPC, SC/CC, ETC.?			
	16	ARE STATISTICAL CAPABILITY RESULTS USED TO IMPROVE THE MANUFACTURING PROCESS?			
	17	IS STATISTICAL PROCESS CONTROL ( <b>SPC</b> ) TRAINED AND UNDERSTOOD BY ALL INVOLVED IN THE MANUFACTURING AND QUALITY PROCESS?			
	18	IS THE SUPPLIER MEETING Ppk > 1.67, Cpk > 1.33?			
	19	ARE SPECIAL CAUSES OF VARIATION INVESTIGATED, CORRECTED AND DOCUMENTED?			
	<b>IMPROVEMENT - Item Score =</b>			<b>0</b>	
	20	<b>TOTAL EXTERNAL PPM</b> LESS THAN 200, 1 POINT. LESS THAN 100, 2 POINTS. ABOVE 200 OR NO REPORT POSTED FOR ALL EMPLOYEES TO SEE, 0 POINTS.			
	21	IS THERE A DOCUMENTED SYSTEM FOR CONTINUOUS IMPROVEMENT AND A COMMITMENT TO ZERO DEFECTS?			
	22	HAVE ALL NON-CONFORMITIES & RELATED ISSUES FROM THE MOST RECENT ISO 9001:2015 OR TS/IATF 16949 REGISTRATION/SURVEILLANCE AUDIT BEEN CLOSED?			
	23	IS THERE A SYSTEM IN PLACE FOR TOP MANAGEMENT TO DRIVE PROCESS IMPROVEMENTS BASED ON NOTED INTERNAL AND EXTERNAL NON-CONFORMANCES?			
	24	IS THERE AN EFFECTIVE DOCUMENTED <b>EXTERNAL</b> CORRECTIVE ACTION SYSTEM IN PLACE?			
	25	IS THERE AN EFFECTIVE DOCUMENTED <b>INTERNAL</b> CORRECTIVE ACTION SYSTEM IN PLACE?			
	26	ARE DOCUMENTED, CORRECTIVE ACTIONS USED TO DEVELOP PREVENTATIVE ACTIONS?			
	27	IS THERE A SYSTEM FOR TIMELY RESPONSES TO CORRECTIVE ACTION REQUESTS?			
28	IS THERE A DOCUMENTED SYSTEM TO USE CORRECTIVE ACTION TO DRIVE PREVENTATIVE ACTIONS?				
6	<b>ENVIRONMENTAL MANAGEMENT - SECTION SCORE TOTAL =</b>			<b>0</b>	
	<b>ENVIRONMENTAL - Item Score =</b>			<b>0</b>	
	1	IS THE PLANT ENVIRONMENTAL MANAGEMENT SYSTEM ( <b>EMS</b> ) CONFORMANT TO <b>ISO 14001</b> ?			
	2	IS THERE A PROGRAM IN PLACE TO CHECK IF ALL ENVIRONMENTAL LAWS OR STANDARDS ARE BEING MET?			
	3	IS THE COMPANY IN COMPLIANCE WITH ALL APPLICABLE ENVIRONMENTAL AND HAZARDOUS MATERIALS TRAINING REQUIREMENTS?			
	4	IS THE PLANT EMERGENCY PLAN CURRENT AND HAS TRAINING BEEN GIVEN?			
	5	IS THE COMPANY AWARE OF THEIR CUSTOMER ( <b>OEM</b> ) ENVIRONMENTAL REQUIREMENTS?			
	6	IS THERE A DOCUMENTED SYSTEM FOR REPORTING MATERIALS, SUBSTANCES, RECYCLABILITY, LIFE CYCLE DATA, ETC.?			
		TOTAL POINTS POSSIBLE	ACTUAL POINTS SCORED BY SECTION	PERCENTAGE	
1	QUALITY MANAGEMENT SYSTEM	12	0	0.0%	
2	MANAGEMENT RESPONSIBILITY	6	0	0.0%	
3	RESOURCE MANAGEMENT	20	0	0.0%	
4	PRODUCT REALIZATION	84	0	0.0%	
5	MEASUREMENT, ANALYSIS & IMPROVEMENT	56	0	0.0%	
6	ENVIRONMENTAL	12	0	0.0%	
<b>TOTALS:</b>		<b>190</b>	<b>0</b>	<b>0.0%</b>	
<b>SCORING GUIDELINES</b>					

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		Rev.: 9-2017-11-28

  

DATE OF AUDIT: _____	RISK :	<input type="checkbox"/> RED	<input type="checkbox"/> YELLOW	<input type="checkbox"/> GREEN
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SUPPLIER NAME:	_____		
<b>90 TO 100%</b>	=	<b>Green</b>	
<b>80 TO 89%</b>	=	<b>Yellow</b>	
<b>79 OR LESS</b>	=	<b>Red</b>	

  

<b>COMMENTS</b>
<p><b>NOTE: Any Section Scores are Yellow or Red, ABC Corporate SQA will follow up with Supplier to address any scoring has a potential risk factor or not. Based on the communication, action plan may be required or scoring re-calculated due to supplier misunderstanding what the question is asking in each section. Supplier will re-submit Risk Assessment to ABC Corporate SQA.</b></p>

  

SECTION	SCORE	CONCERN	RESPONSIBILITY

  

<b>ACTION PLAN/OBSERVATION FINDINGS GUIDELINES (FOR ABC GROUP SQA USE ONLY)</b>		
<b>LOW RISK</b>	=	<b>Green</b>
<b>MEDIUM RISK</b>	=	<b>Yellow</b>
<b>HIGH RISK</b>	=	<b>Red</b>

  

DATE COMPLETED	RISK FACTOR	CONCERN	RESPONSIBILITY

<b>ABC Group</b>	<b>POTENTIAL SUPPLIER RISK ASSESSMENT AUDIT</b>		Form: 80QPP-F-039
	<i>(REFER TO SQD-SCP-006 SUPPLIER QUALITY MANUAL FOUND AT <a href="http://www.abcgroupinc.com">www.abcgroupinc.com</a>)</i>		Rev.: 9-2017-11-28
DATE OF AUDIT: _____		RISK : <input type="checkbox"/> RED	<input type="checkbox"/> YELLOW <input type="checkbox"/> GREEN
SUPPLIER NAME:			
<b>OVERALL RECOMMENDATION - COMMENTS</b>			
		S.W.O.T. (Strengths/Weakness/Opportunities/Threads)	
<b>ENVIRONMENTAL MANAGEMENT SCORING REFERENCE</b>			
<b>1. IS THE PLANT ENVIRONMENTAL MANAGEMENT SYSTEM (EMS) CONFORMANT TO ISO 14001?</b>			
Ask for copy of ISO 14001 Certificate and Environmental Policy Manual. If none is available score (0).			
<b>2. IS THERE A PROGRAM IN PLACE TO CHECK IF ALL ENVIRONMENTAL LAWS OR STANDARDS ARE BEING MET?</b>			
Ask when the last regulatory compliance audit was completed at the plant and when they plan to do the next one. If the answer is not available, or they have not completed one in the last three years score (0)			
<b>3. IS THE COMPANY IN COMPLIANCE WITH ALL APPLICABLE ENVIRONMENTAL AND HAZARDOUS MATERIALS TRANSPORTATION TRAINING REQUIREMENTS?</b>			
Ask for copies of training records from Personnel. If training records for either regulatory training or hazardous materials transportation are not available score (0).			
<b>4. IS THE PLANT EMERGENCY PLAN CURRENT AND HAS TRAINING BEEN GIVEN?</b>			
Ask for a copy of the Emergency Plan. Review date of plan, current personnel list, date of the last practice of emergency plan. If no plan is available and no practice has been undertaken score (0).			
<b>5. IS THE COMPANY AWARE OF THEIR CUSTOMER (OEM) ENVIRONMENTAL REQUIREMENTS?</b>			
Ask if the company knows which OEM their parts go. Then ask if they are familiar with the applicable Environmental Requirements of this OEM. You can refer to <a href="http://learnet.lear.com/divisions/hq/environmental/Envdeptweb/Corporate/customer_reporting/OEM_Initiatives_January_2002%20.doc">http://learnet.lear.com/divisions/hq/environmental/Envdeptweb/Corporate/customer_reporting/OEM_Initiatives_January_2002%20.doc</a> for a listing of these requirements on the LearNet. If the company does not know their OEM Environmental Requirements, score (0).			
<b>6. IS THERE A DOCUMENTED SYSTEM FOR REPORTING MATERIALS, SUBSTANCES, RECYCLABILITY, LIFE CYCLE DATA, ETC.?</b>			
After question 5, look for evidence of materials, substances and recyclability data submissions and acceptance by Lear supported by a note received from "SoCReport@lear.com" or a print out of the "Recipient Data" from IMDS. Understanding that an OEM requires reporting and no reporting evidence is available score (0).			