



Supplier Risk Assessment



| Supplier General Information | | | | Date of Assessment: | |
|------------------------------|--|-----------|----------|---------------------|--|
| Supplier Name: | | | | Supplier No.: | |
| Supplier Address: | | City: | State: | Zip Code: | |
| | | | Country: | | |
| List of Other Locations: | | | | | |
| Quality Contact Information: | | Position: | Office: | | |
| | | | Mobile: | | |

| Supplier Contacts | | | | |
|-------------------|-------------------------|--------------|---------------|-------|
| Name | Title | Phone Number | Mobile Number | Email |
| | President or GM | | | |
| | Operations Manager | | | |
| | Sales / Account Manager | | | |
| | Engineering Manager | | | |
| | Quality Manager | | | |
| | | | | |

| Item No. | Questions | Yes No | Comments |
|----------|-----------|-----------|----------|
|----------|-----------|-----------|----------|

Engineering Function

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| 1 | Does the supplier currently supply to the automotive industry? | | |
| 2 | Does the supplier have experience with this commodity? If so, list how long. | | |
| 3 | Is the supplier experienced with the material grade / type? | | |
| 4 | Does the supplier have acceptable design capability for the given component? | | |
| 5 | Does the supplier have a system for managing any safety / regulatory components? | | |
| 6 | Are the supplier's drawing and engineering software systems compatible with customer requirements? | | |
| 7 | Is the supplier capable of exchanging engineering data electronically? | | |
| 8 | Is the product design validated and ready for the product realization phase? | | |
| 9 | Does the supplier have an effective change management process with all appropriate functions represented? | | |
| 10 | Are there any part timing issues (late releases, late design changes, etc.)? | | |
| 11 | Are there any open concerns from the technical review (items not closed out, etc.)? | | |
| 12 | Would the supplier have any IMDS requirements and if so, is the supplier familiar with IMDS requirements? | | |
| 13 | Does the supplier use error-proofing for Special Characteristics? List examples. | | |

Manufacturing Systems

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|----|---|--|--|
| 1 | Has SDI or Daicel previously done business with this supplier or manufacturing facility? | | |
| 2 | Does the supplier have experience manufacturing this or similar part? | | |
| 3 | Is the supplier's manufacturing site in the same region / country as ours? | | |
| 4 | Can the supplier use existing production equipment for the program? | | |
| 5 | Does the supplier have experience / capability with similar parts? | | |
| 6 | Are specialized tooling (special to the current processes at the supplier) or fixtures required for this program? | | |
| 7 | Does the supplier have in-house tooling / pattern-making capability? | | |
| 8 | Does the part require special handling or shipping care? | | |
| 9 | Does the supplier have a traceability process for parts currently produced by the supplier? | | |
| 10 | Does the supplier have a well-defined and implemented process for preventive maintenance? | | |
| 11 | Does the supplier have a process for predictive maintenance? | | |
| 12 | Is usage of statistical process controls evidence on the shop floor, using both variable and attribute data as applicable? | | |
| 13 | Does the supplier have experience with Pass-Through Characteristics (PTC)? | | |
| 14 | Does the supplier understand the PTCs from the supplier to end customer? | | |
| 15 | Does the supplier use mistake-proofing for Special Characteristics? | | |
| 16 | Does the supplier validate detection systems (golden standard, rabbit, reject master, etc.)? | | |
| 17 | Does the supplier have experience in high volume production? | | |
| 18 | Does the supplier have experience with the required tolerance ranges? | | |
| 19 | Are all inspection areas well lit and are visual aids present? | | |
| 20 | Do all work stations have work instructions and reactions plans clearly documented and accessible? | | |
| 21 | Are all major concerns found during the manufacturing process review / audit resolved? | | |
| 22 | Is the manufacturing facility generally clean and well laid out? | | |
| 23 | Does the supplier evaluate equipment efficiencies and through-put as a performance indicator? | | |
| 24 | Does the supplier use OEE or some equivalent metric of performance? | | |
| 25 | Are any risks due to new building constructions or expansion at the site mitigated? | | |
| 26 | As applicable, does the supplier meet minimum C-TPAT criteria (foreign regulatory requirements, product certification, etc.)? | | |

| Quality System | | | |
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| 1 | Does the supplier's recent customer PPM performance meet our PPM requirement? Note previous two year's averages if available. | | |
| 2 | Does the supplier track internal PPM? Note previous two year's averages if available. | | |
| 3 | Does the supplier have an effective corrective action process? | | |
| 4 | Does the supplier have an effective product and process continuous improvement process? | | |
| 5 | Does the supplier have an effective system for managing its sub-suppliers? | | |
| 6 | Are predictive tools used for preventive maintenance? | | |
| 7 | Does the supplier have an in-house gage calibration capability? | | |
| 8 | Is the supplier third-party certified? If so, list any major non-conformances in most recent audit. | | |
| 9 | Does the supplier have regular management review meetings? | | |
| 10 | Does the supplier have clearly defined and appropriate metrics for monitoring performance? | | |
| 11 | Does the supplier have a Lessons Learned process? | | |
| 12 | Does Lessons Learned include launch issues? | | |
| 13 | Does the supplier have a process for managing PTCs? | | |
| Commercial | | | |
| 1 | Does the supplier have a well-defined program management process in place? | | |
| 2 | Does the supplier have adequate management resources (engineers, staff, educational qualifications, etc.)? | | |
| 3 | Does the supplier have an inventory control system that ensures adequate supply and FIFO of current product? | | |
| 4 | Is the supplier's financial rating (D&B, etc.) acceptable? | | |
| 5 | Did or will the supplier accept SDI / DSSA AZ quality requirements? | | |
| 6 | Did or will the supplier accept SDI / DSSA AZ PO terms and conditions? | | |
| 7 | Did the supplier take any exceptions during team feasibility assessment? | | |
| Quality | | | |
| 1 | Does the supplier have all the necessary machinery, tooling, and equipment for product realization? | | |
| 2 | Does the supplier have experience manufacturing similar product with existing product and process technology? | | |
| 3 | List any potential risk due to implementation of new product or process technology. | | |
| Supplier Status (SDI / DSSA AZ to Complete) | | | |
| Status: (Check One) | | | |

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| | | | | SDI / DSSA AZ Signature: | | | | | |
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Supplier Assessment Survey



| Supplier General Information | | | | Date of Assessment: | |
|------------------------------|--|-----------|----------|---------------------|--|
| Supplier Name: | | | | Supplier No.: | |
| Supplier Address: | | City: | State: | Zip Code: | |
| | | | Country: | | |
| List of Other Locations: | | | | | |
| Quality Contact Information: | | Position: | Office: | | |
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| Supplier Contacts | | | | |
|-------------------|-------------------------|--------------|---------------|-------|
| Name | Title | Phone Number | Mobile Number | Email |
| | President or GM | | | |
| | Operations Manager | | | |
| | Sales / Account Manager | | | |
| | Engineering Manager | | | |
| | Quality Manager | | | |
| | | | | |

| Item No. | Questions | Yes No | Comments |
|----------|-----------|--------|----------|
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| Facilities | | | |
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| 1 | List the square footage by area (production, warehouse, office, etc.). | | |
| 2 | Does the supplier have a formal capacity plan and analysis methodology that is used and maintained? | | |
| 3 | List the current floor space utilization (%). | | |
| 4 | List the impact of quoted business on floor space utilization (%). | | |
| 5 | List the capacity utilization for the next five years (including forecasted new business). | | |
| 6 | Does this facility build tooling in house? If so, what percentage? | | |
| 7 | Does this facility refurbish tools in house? | | |
| 8 | List the employee turnover rate for the past two years. | | |
| 9 | Does the supplier document responsibilities and authority? | | |
| 10 | Is the facility unionized? If so, list name(s) and contract expiration(s). | | |
| 11 | List the facility's language capabilities. | | |

| Profile Information | | | |
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| 1 | How long has the facility been in the business they are quoting? | | |

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| 2 | What products or services does the facility manufacture? | | |
| 3 | List other manufacturing location(s) available for the type of product and type (subcontract, etc.). | | |
| 4 | List sales (USD) for previous two years. | | |
| 5 | If a special process service provider, is the supplier compliant with applicable AIAG special process assessments? | | |
| 6 | Is the company publicly owned? If not, list the owner. | | |
| 7 | Is there any pending litigation against the supplier/facility? If yes, explain. | | |
| 8 | Does the company anticipate a change in ownership in the next 3 years? If yes, explain. | | |
| 9 | What is the supplier's on-time delivery percentage for production and service parts for the past two years? | | |
| 10 | Does the supplier export product? If so, list the countries. | | |
| 11 | List percentage business by market (% automotive, % aerospace, etc.). | | |
| 12 | Are responsibilities defined for any directed buys? | | |
| 13 | List any scheduled shutdowns or holidays. | | |
| Logistics | | | |
| 1 | What are the different modes of transportation used to ship product? List current modes used (truck, boat, etc.). | | |
| 2 | Is the supplier capable of electronic data transfer (EDI)? | | |
| 3 | What are the average days of finished product inventory on hand? | | |
| 4 | Does the facility use a pull system inventory management with FIFO? | | |
| 5 | Does the supplier have internal packaging design capabilities? | | |
| 6 | Does the supplier have the capability to provide labeling to meet requirements? | | |
| Manufacturing | | | |
| 1 | Is all standard work, such as job instructions with appropriate and complete information, effectively implemented? | | |
| 2 | Are Special Characteristics, including PTCs, identified at the station(s) that produce(s) those characteristics? | | |
| 3 | Are Special Characteristics appropriately controlled at the operation(s) that produce them? | | |
| 4 | Is there evidence of appropriate and adequate operator training? | | |
| 5 | Is the capacity determined appropriately, including forecasts of new business? | | |
| 6 | Is process capability and performance maintained at levels originally approved by the customer PPAP? | | |

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| 7 | Are resources available for functional / durability testing? | | |
| 8 | Are resources available for calibration? | | |
| 9 | Is the work place properly organized (safety, 5S, lean, ergonomics, etc.)? | | |
| 10 | Is personal safety equipment provided and in proper use? | | |
| 11 | Have there been any major health and safety recordable within the last five years? | | |
| 12 | Are knowledgeable resources available to carry out machinery and equipment maintenance? | | |
| 13 | Are preventive maintenance processes in place for all machinery? | | |
| 14 | Are spare parts readily available to maintain the key machinery and equipment? | | |
| 15 | Does the supplier have an effective system for management of customer owned tooling (identification, maintenance, etc.)? | | |
| 16 | Are there knowledgeable resources available to design tools and gauges in house? | | |
| 17 | Are there trained resources available for tools / gauges / molds fabricating? | | |
| 18 | Are there trained resources available to carry out tool / die / mold maintenance? | | |
| 19 | Is there a business continuity plan in place in the event of disaster? | | |
| 20 | Does the facility have a plan to cover absenteeism? | | |
| 21 | Does the supplier use effective corrosion protection for product as applicable? | | |
| 22 | Does the supplier have prototype fabrication capability in house? | | |
| 23 | Does the supplier select resources based on education, training, experience, and/or requirements? | | |
| 24 | Are skill and competency requirements identified? | | |
| 25 | Is a formal process identified to protect the pipeline supply chain and provide safety inventory? | | |
| Quality | | | |
| 1 | Does the supplier demonstrate an understanding of Process Validation? | | |
| 2 | Does the supplier have adequate purchased product controls in place for sub-tier suppliers (assessments, metrics, Ts&Cs)? | | |
| 3 | Does the supplier have a process / system in place to ensure that all design requirements / engineering specifications are communicated to their supply base? | | |
| 4 | Does the supplier have an effective change management process, including with suppliers? | | |
| 5 | Does the supplier ensure early sub-tier supplier involvement in APQP? | | |

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| 6 | Does the supplier have an effective internal audit and management review process? | | |
| 7 | Is non-conforming material adequately identified, segregated, and dispositioned? | | |
| 8 | Does the supplier have effective product traceability through suppliers (including PTCs)? To what extent (lot v. part)? | | |
| 9 | Does the supplier demonstrate effective use of FMEA (DFMEA/PFMEA quantifies risk, identifies special characteristics for use in the Control Plan, takes action to reduce ongoing risk, uses appropriate criteria to calculate risk, etc.)? | | |
| 10 | Does the supplier demonstrate conformance to requirements specified or referenced in the Control Plan? | | |
| 11 | Is there linkage between the design record, DFMEA/PFMEA, Control Plan, and Operator Instructions (special characteristics are identified by the supplier, effective and understandable controls are specified for affected operators to use, etc.)? | | |
| 12 | Does the supplier have the capability of retrieving current drawings / specifications for use on floor inspections? | | |
| 13 | Does the supplier have appropriate product verification activities from receiving through product realization and shipping, including material identification? | | |
| 14 | Does the supplier comply with acceptable measurement system analysis (measurement uncertainty is know, etc.)? | | |
| 15 | Does the supplier maintain effective calibration of test and measurement equipment used (production, QA, etc.)? | | |
| 16 | Does the supplier effectively use statistical methods, addressing both variable and attribute data, as applicable, for process control? | | |
| 17 | Does the supplier have experience using AIAG core tool documents (MSA, SPC, APQP, FMEA, PPAP)? | | |
| 18 | Does the supplier conduct equipment validation and perform run at rate in preparation for production? | | |
| 19 | Are mistake-proofing and error-proofing provisions effectively used to control Special Characteristics and ensure product integrity? | | |
| 20 | Does the supplier have an effective problem solving process (data driven, root cause analysis, corrective and preventive action including systemic, etc.)? | | |
| 21 | Does the supplier have an effective process to engage employee in quality and innovation? | | |
| 22 | What is the facility's current external PPM? | | |
| 23 | Is this facility covered by any third-party certifications? If so, list with expirations. | | |
| 24 | Does the supplier have an end-of-life management process (controlled ramp-down, etc.) to protect customer quality and schedules? | | |
| 25 | Does the supplier have a process to review and reduce warranty costs (analysis of returned parts, use of effective problem solving, etc.)? | | |
| Technology | | | |
| 1 | Can the supplier provide prompt technical support at the organization when needed? | | |

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| 2 | Does the supplier inform their supply chain of the application/intended use of their product (to prevent inappropriate use of the product, etc.)? | | |
| 3 | Does the supplier have electronic data transfer capability? | | |
| 4 | Does the supplier have CAD/CAE resources on site? List the number of seats and program(s) used. | | |
| 5 | Does the supplier demonstrate effective design validation? | | |
| 6 | Does the supplier have experience with appropriate design evaluation tools (FEA, HALT, CAE, simulation, etc.)? | | |
| 7 | Does the supplier have experience developing effective DFMEAs? | | |
| 8 | Is benchmarking effectively used to develop new products and processes? | | |
| 9 | Are formal documented design reviews by the appropriate functions conducted at appropriate stages of design per a design plan? | | |
| 10 | Is there evidence of regular design and development reviews with customers? | | |
| 11 | Does the supplier have an effective document control system (document revision status readily available, etc.)? | | |
| 12 | Is the supplier capable of supporting our design and development schedule? | | |
| 13 | Is performance testing that includes, as appropriate, life, durability, and reliability, tracked for timely completion and conformance? | | |
| 14 | Does the supplier have an effective process for capturing and deploying lessons learned? | | |
| 15 | Are technical reviews completed to address all open issues? | | |

Approvals (when assessment completed by supplier)

| Department | Name | Position | |
|------------|------|----------|--|
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SDI / DSSA AZ Approvals (when assessment completed by SDI / DSSA AZ)

| Department | Name | Position | |
|------------|------|----------|--|
| Purchasing | | | |
| Quality | | | |
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Audit Summary

Corrective/Preventive Action Required: Supplier to Submit Action P



Supplier Process Audit

Supplier:

Date:



| Item No. | Question | Yes No | Comments/Action Required | Responsible | Due Date | Followup |
|----------|---|--------|--------------------------|-------------|----------|----------|
| 1 | Are standard operating instructions accessible to team members? | | | | | |
| 2 | Are all standard operating instructions observed to the latest revision level? | | | | | |
| 3 | Are team members following the standard operating instructions? | | | | | |
| 4 | Are standard operating instructions correct? | | | | | |
| 5 | Are visual aids used in the area to illustrate acceptance criteria? | | | | | |
| 6 | Is the work flow accurately reflected in the Process Flow Diagram? | | | | | |
| 7 | Are team members performing work in accordance with the process control plan? | | | | | |
| 8 | Are all small tools and measurement equipment uniquely identified? | | | | | |
| 9 | Is their use accurately reflected in the standard operating instructions and process control plan? | | | | | |
| 10 | Are controls listed in the control plan consistent with those identified in the PFMEA as appropriate? | | | | | |
| 11 | If appropriate, are tools and other measurement equipment in the calibration system? | | | | | |
| 12 | Are they within their calibration due date? | | | | | |
| 13 | Is all production documentation completed properly per the standard operating instructions? | | | | | |
| 14 | Are SPC charts completed properly? Reaction plan followed? | | | | | |

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| 15 | Does all production documentation have a document control number? | | | | | |
| 16 | Are all production materials in their designated location? | | | | | |
| 17 | Are controls in place to eliminate the possibility of mixing product? | | | | | |
| 18 | Is nonconforming material identified and segregated from conforming material? Reconciled at the end of each lot? | | | | | |
| 19 | Is nonconforming material documented correctly on the traveler? | | | | | |
| 20 | Are all areas clear of clutter, well organized and generally clean? | | | | | |
| 21 | Have training records of team members observed been verified for SOP's and Manufacturing Instructions? | | | | | |
| 22 | Are instructions available for rework in the area? | | | | | |
| 23 | Is rework conducted according to the rework instructions? | | | | | |
| 24 | Are preventive maintenance procedures in place for the area? | | | | | |
| 25 | Has preventive maintenance been completed according to PM schedules? | | | | | |

Other Observations:

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| | Auditor(s): | | |



| Date |
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