SAPA Transmission Supplier Survey

Companies that are third party certified to ISO 9001:2015 or a higher-level standard please fill out only sections A & B then attach copy of certification(s).

Companies that are NOT third party certified to the ISO 9001:2015 or higher-level standard please fill out the entire assessment in order to verify compliance to the ISO 9001:2015 standard requirements. All completed assessments and certificates should be forwarded via e-mail to the Quality Department of Sapa Transmission. E-mail: quality@sapatransmission.com

Section A	Company Profile
Company name:	Form completed by:
Address:	Location of the manufacturing site (if different than above):
E-mail:	Telephone:
Country:	Internet (www):
Supplier number (if known):	Year of the formation:
Department:	Form completed on:

Contacts

Position	Name	Direct Telephone number	E-mail address
Director / CEO			
Sales manager			
Quotations			
Quality manager			
Environmental			

Section B Quality

Quality and Environmental Management Certification
Please mark with a check and enclose a copy of the certificate.

Certificate	Current Certification Yes	Current Certification No	If no, planned at	Certification / expiration dates	Accredited 3rd party certification body (Registrar)
ISO 9001:2015	☐	☐			
AS9100:2016 D	☐	☐			
IATF 16949:2016	☐	☐			
ISO 14001 / EMAS	☐	☐			
ISO/IEC 17025	☐	☐			
	☐	☐			

Application of Quality management - methods:
Please mark with a check, if applicable

Methods	Generally used	Partially used	Not yet in use	Applicable from (Date)
Quality management - Manual	☐	☐	☐	
Process and Machine capability studies	☐	☐	☐	
Statistical Process Control (SPC)	☐	☐	☐	
Product approval according (PPAP)	☐	☐	☐	
Advanced Prod. Quality Planning (APQP)	☐	☐	☐	
Failure Mode and Effects Analysis (FMEA) • System • Design • Process	☐	☐	☐	
CAD	☐	☐	☐	

Other Methods:

Section C Quality System Assessment *(Only to be completed if NOT accredited to ISO 9001:2015)*					
ISO 9001:2015		**No** 0 Points	**Partially** 3 Points	**Yes** 6 Points	**Comments** (in case of "Partially" and "No")
4	**Content of the Organization**				
4.1	Does your organization determine external and internal issued that affect its ability to achieve intended results of its quality management system (QMS)?				
4.2	Has your organization determined interested parties that are relevant to your QMS and the requirements of those interested parties? Are you monitoring and reviewing information about these parties?				
4.3	Do you have a quality management manual that describes the quality organization, the roles, and responsibilities as well as the essential processes and practices?				
4.4	Do you have a QMS in compliance with ISO 9001?				
4.4.1.1	Does your organization ensure conformance of all products and processes, including service parts and those that are outsourced, to all applicable customer, statutory, and regulatory requirements (see Section 8.4.2.2).				
4.4.1.3	Are safety and protection measures planned, arranged, and examined on a regular basis for their effectiveness?				
5	**Leadership**				
5.1.1	Do you have measurable quality objectives issued by your top management?				
5.1.1	Does the top management review the QMS at planned intervals and take accountability for its effectiveness?				
5.1.1.2	Has Top management identified process owners who are responsible for managing the organization's processes and related outputs? Process owners shall understand their roles and be competent to perform those roles. (See ISO 9001, Section 7.2).				
5.1.2	Has your organization assigned personnel with responsibility and authority to ensure customer requirements are met? These assignments shall be documented.				
6	**Planning**				

6.1.1	Has the organization determined and implemented action(s) to eliminate the causes of potential nonconformities in order to prevent their occurrence? Preventive actions shall be appropriate to the severity of potential issues. The organization shall establish a process to lessen the impact of negative effects of risk including the following: 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) documented information of action taken e) reviewing the effectiveness of the preventive action taken f) utilizing lessons learned to prevent recurrence in similar processes (see ISO 9001, Section 7.1.6)				
6.1.2	The organization shall: a) identify and evaluate internal and external risks to all manufacturing processes and infrastructure equipment essential to maintain production output and to ensure that customer requirements are met. b) define contingency plans according to risk and impact to the customer. c) prepare contingency plans for continuity of supply in the event of any of the following: key equipment failures, interruption from externally provided products, processes, and services; recurring natural disasters; fire; utility interruptions; labor shortages; or infrastructure disruptions. d) include as a supplement to the contingency plans, a notification process to the customer and other interested parties for the extent and duration of any situation impacting customer operations. e) periodically test the contingency plans for effectiveness (e.g., simulations, as appropriate). f) conduct contingency plan reviews (at a minimum annually) using a multidisciplinary team including top management, and update as required. g) document the contingency plans and retain documented information describing any revision(s), including the person(s) who authorized the change(s). h) The contingency plans shall include provisions to validate that the manufactured product continues to meet customer specifications after the re-start of production following an emergency in which production was stopped and if the regular shutdown processes were not followed.				
6.2.1	Does Top Management ensure the quality objectives to meet customer requirements are defined, established, and maintained?				
6.3	Is there a plan for the prompt introduction of changes to the product?				
7	**Support**				

7.1.3	**Infrastructure**				
7.1.3	Do you have emergency plans in order to ensure the satisfaction of customer requirements in the event of an emergency such as interruption of power & energy, labor shortage, loss of production means & field complaints?				
7.1.4	**Work environment**				
7.1.4.1	Are all areas free from things, which are not directly necessary for the work?				
7.1.4.2	Is the production planned to minimize the handling and traffic of material?				
7.1.5.2.1	Is the inspection and measuring equipment (used for the monitoring of product and process) calibrated on a regular basis?				
7.1.5.2.2	Are records of calibration maintained?				
7.1.5.2.3	Is the measuring and test equipment calibrated under controlled conditions?				
7.1.5.2.4	Is the capability of measuring & test equipment evaluated?				
7.2.1	Are training records of all personnel maintained?				
7.2.2	Are the training needs for all personnel analyzed on a regular basis & documented?				
7.2.3	Is training reviewed for its effectiveness?				
7.2.4	Does the organization provide on-the-job training (which shall include customer requirements training) for personnel in any new or modified responsibilities affecting conformity to quality requirements, internal requirements, regulatory or legislative requirements; this shall include contract agency personnel. The level of detail required for on-the-job training shall be commensurate with the level of education the personnel possess and the complexity of the task(s) they are required to perform for their daily work. Persons whose work can affect quality shall be informed about the consequences of nonconformity to customer requirements.				

7.2.5	The organization shall demonstrate the competence of the auditors undertaking the second-party audits. Second-party auditors shall meet customer specific requirements for auditor qualification and demonstrate the minimum following core competencies, including understanding of: a) the automotive process approach to auditing, including risk-based thinking. b) applicable customer and organization specific requirements. c) applicable ISO 9001:2015 requirements related to the scope of the audit. d) applicable manufacturing process(es) to be audited, including PFMEA and control plan. e) applicable core tool requirements related to the scope of the audit. f) how to plan, conduct, prepare audit reports, and close out audit findings.				
7.3	Is the awareness and motivation of the personnel assessed on a regular basis with respect to the importance and consequence of their activities on the customer requirements & how they contribute to the quality objectives?				
7.5.2	Do you have a system for the control of documents?				
7.5.3	Do you preserve documents with particular retention requirements for at least 7 years after production?				
7.5.4	Do you reserve PPAP documents for the life of the program plus a minimum of 1 calendar year?				
8	**Operation**				
8.1	**Planning of product realization**				
8.1.1	Can you ensure the confidentiality of customer-contracted products, projects under development and related product information?				
8.2	**Customer-related processes**				
8.2.1	Do you have a formal system for the review & acceptance of contracts or orders?				
8.2.3	Have you a system to manage and to preserve documents provided by the customer?				
8.2.4	Are customer requirements documented and communicated in the company?				
8.2.5	Does your organization retain documented evidence of a customer-authorized waiver for the requirements stated in ISO 9001, Section 8.2.3.1 for a formal review?				
8.3	**Development**				
8.3.2	Do you have sufficient qualified & competent resources for development?				

8.3.3	Do you determine for each development project goals for product quality, lifetime, reliability, durability, servicing, timing, and costs and are these controlled?				
8.3.4	Is there a process for the selection, use, application and inspection of instruments and equipment used for inspection, testing and monitoring?				
8.3.6	Do you have a robust process for the management of changes by the customer and for changes initiated by yourself?				
8.3.6.1	Do you make a review of the design results in the different development stages before the results are processed and advised to the customer?				
8.3.6.2	Can you ensure that technical forms, standards, and changes by Sapa Transmission can be evaluated, distributed and realized on time - within 14 days?				
8.4	**Purchasing**				
8.4.1	Do you have defined process to identify raw materials and to know their application?				
8.4.2.1	Is raw material stored and processed in order to avoid a negative influence of the environment?				
8.4.2.2	Are your suppliers evaluated on a regular basis on their quality performance?				
8.4.2.3	Do you have a list of approved suppliers?				
8.4.2	Are purchased products checked at incoming – inspection area or at their assembly to Zero Defect (ZD) and will records of these checks be kept for at least 15 years after production?				
8.4.2.1	Is material with limited shelf life identified and monitored?				
8.4.2.3	Do your subcontractors within agreed timescales implement urgent measures, correction and improvement activities?				
8.4.2.4	Does your organization include a second-party audit process in your supplier management approach. Second-party audits may be used for the following: a) supplier risk assessment. b) supplier monitoring. c) supplier QMS development. d) product audits. e) process audits. Based on a risk analysis, including product safety/regulatory requirements, performance of the supplier, and QMS certification level, at a minimum, the organization shall document the criteria for determining the need, type, frequency, and scope of second-party audits. NOTE Guidance can be found in the IATF Auditor Guide, ISO 17021, and ISO 19011.				

8.4.3	Are your supplier's 3rd. party registered to ISO 9001:2015?				
8.5.1.1	Are the following issues defined for all the tests: - Measurement technology - Sampling frequency - Acceptance criteria - Reaction plans if acceptance criteria are not fulfilled.				
8.5.1.2	Are there documented work instructions for production?				
8.5.1.3	Is data of charge / batch / lot collected and recorded?				
8.5.1.4	The organization shall define and implement the necessary actions to ensure product compliance with requirements after a planned or unplanned production shutdown period.				
8.5.1.5	Has your organization developed, implemented, and maintain a documented total productive maintenance system of all key process equipment, machinery, tooling gauging & instruments, the system shall include: a) identification of process equipment necessary to produce conforming product at the required volume. b) availability of replacement parts for the equipment in item a). c) provision of resources for machine, equipment, and facility maintenance. d) packaging and preservation of equipment, tooling, and gauging. e) applicable customer-specific requirements. f) documented maintenance objectives, for example: OEE (Overall Equipment Effectiveness), MTBF (Mean Time Between Failure), and MTTR (Mean Time To Repair), and Preventive Maintenance compliance metrics. Performance to the maintenance objectives shall form an input into management review (see ISO 9001, Section 9.3). g) regular review of maintenance plan and objectives and a documented action plan to address corrective actions where objectives are not achieved. h) use of preventive maintenance methods. i) use of predictive maintenance methods, as applicable. j) periodic overhaul.				
8.5.1.6	Is the service and maintenance accomplished according to a planned schedule?				
8.5.1.7	Are responsibilities for service and maintenance defined?				
8.5.1.2	Do you consider the entire life cycle of means of production?				

8.5.2	The purpose of traceability is to support identification of clear start and stop points for product received by the customer or in the field that may contain quality and/or safety-related nonconformities. Therefore, has your organization implemented identification and traceability processes as described below? The organization shall conduct an analysis of internal, customer, and regulatory traceability requirements for all automotive products, including developing and documenting traceability plans, based on the levels of risk or failure severity for employees, customers, and consumers. These plans shall define the appropriate traceability systems, processes, and methods by product, process, and manufacturing location that: a) enable the organization to identify nonconforming and/or suspect product. b) enable the organization to segregate nonconforming and/or suspect product. c) ensure the ability to meet the customer and/or regulatory response time requirements. d) ensure documented information is retained in the format (electronic, hardcopy, archive) that enables the organization to meet the response time requirements. e) ensures serialized identification of individual products, if specified by the customer or regulatory standards. f) ensure the identification and traceability requirements are extended to externally provided products with safety/regulatory characteristics.				
8.5.4	Can you segregate and identify your materials and products by part number, charge, and customers?				
8.6	Are tests - materials identified and controlled?				
8.7.1	Is there an active “Feedback- System” regarding corrective and improvement activities – i.e., 8-D Reports?				
8.7.1.1	Is it ensured that non-conforming product is identified & controlled to prevent delivery to the customer?				
8.7.1.2	Are there procedures for the segregation, identification & disposal of rejected materials?				
8.7.1.3	Is it ensured that non-conforming product is not delivered to the customer without customer authorization?				
8.7.1.4	Is there a system for handling of customer complaints?				
8.7.1.5	The organization shall immediately notify the customer(s) in the event that a nonconforming product has been shipped. Initial communication shall be followed with detailed documentation of the event.				
9	**Performance Evaluation**				
9.1.1.1	Is process data collected and recorded?				
9.1.1.2	Is there a formal process for `In - process` control?				

9.1.1.3	Are different statistical methods understood and utilized throughout the organization?				
9.1.1.4	Are statistical Process Control (SPC) used?				
9.1.1.5	Are “In-process” controls done by the production operators?				
9.1.1.6	Is implemented corrective and improvement measures derived from statistical analysis of data and is effectiveness examined?				
9.1.1.7	Do you conduct capability studies?				
9.1.1.8	Can you calculate the following capabilities: pp / ppk / cp / cpk?				
9.1.3	Is data analyzed on a regular basis to compare trends in quality and performance with the business goals?				
9.2.1	Do you conduct internal quality audits on a regular basis (at least annually) in each functional area and for each process?				
9.2.2	Do you conduct product - and process audits on a regular basis by qualified Auditors?				
9.2.2.1	Is there an audit plan and is it followed?				
9.2.2.2	Are audit results documented and communicated to the responsible persons?				
9.2.2.3	Is the packaging and labeling of shipments checked and monitored?				
9.3.2	Do you conduct Management review and do the inputs of that review include all of the following: a) cost of poor quality (failure, appraisal, and prevention). b) measures of process effectiveness. c) measures of process efficiency. d) product conformance. e) plant, facility, and equipment planning to ensure manufacturing feasibility made for changes to existing operations and for new facilities or product (Section 7.1.3). f) customer satisfaction (see ISO 9001, Section 9.1.2). g) review of performance against maintenance objectives. h) warranty performance (where applicable). i) review of customer scorecards (where applicable). j) identification of potential field failures identified through risk analysis (such as FMEA). k) actual field failures and their impact on safety or the environment.				
10	**Improvement**				
10.2.1	Are corrective measures implemented within 90 days and is their effectiveness evaluated?				
10.2.1.1	Are structured problem-solving methods used?				

10.2.1.2	Are such activities accomplished in all areas of the company?				
10.2.1.3	Are improvement measures documented and are responsible persons named?				
10.3	Are methods concerning error-prevention used in the corrective action process?				
10.3.1	When your organization is required to provide warranty for your product(s), Has your organization implemented a warranty management process? The organization shall include in the process a method for warranty part analysis, including NTF (no trouble found). When specified by the customer, the organization shall implement the required warranty management process.				
10.3.2	Does your company continually strive to improve with respect to quality, costs, and effectiveness?				
SUM		0	0	0	

Evaluation result = $\frac{\text{TOTALSUM } 0 \quad X\ 100 \quad = 0}{534}$ = 0.00 **%**

Essential improvement areas:

1.
2.
3.
4.
5.
6.
7.
8.
9.
10.
11.
12.
13.
14.
15.

Reset Form