PPG Aerospace Supplier Survey, Risk Assessment / Audit Form

Supplier Name: _____ Date of Audit: _____
Plant Location: _____ PPG Lead Auditor(s): _____
Supplier Team: _____ PPG Audit Team: _____
_____ _____
_____ _____
Desk Top ☐ On-site Audit ☐ _____

Type of Business: ☐ Primary Manufacturer ☐ Distributor ☐ Other (please give detail below)

Products Manufactured:

Special Processes/Services Offered:

List any Quality Management System certifications that the organization has been awarded (ISO, AS, NADCAP, etc.):

List any Quality Management System requirements that the organization is COMPLIANT (ISO, AS, etc.)

List any other customers who have approved the organization's Quality System:

Who in your organization is responsible for Quality?

Name:	Title:
Telephone Number:	FAX Number:
Email address:	Website address:

If completing a Desk Top Audit, for documentation purposes, please attach a copy of your Quality Policy, Mission Statement, Organization Chart, and Quality system certification (if certified).

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Note: In sub-titled sections below, numbers in parenthesis ( ) reference the appropriate section in the AS9100 Aerospace Standard.

1.0 (4) Quality Management System	Yes	No	N/A	Comments
1.1 Has management developed a documented Quality Management System (QMS) within the organization? (Quality Manual, Policy, Procedures, Instructions, etc.)	☐	☐	☐	
1.2 Is the Quality Manual & Quality Policy documented, understood, and implemented?	☐	☐	☐	
1.3 Do personnel have access to, and are aware of, quality system documentation and any associated changes?	☐	☐	☐	
1.4 Is there a documented procedure defining the controls needed for identification, storage, protection, retrieval, retention time, and disposition of records? - Are documents maintained, controlled, and available at point of use? - Are records maintained to provide evidence of conformity to requirements? - Are the records legible, readily identifiable, and retrievable?	☐	☐	☐	
1.5 Is record retention documented and effective?	☐	☐	☐	
1.6 Has the organization established, documented, and maintained a configuration management process appropriate to the product?	☐	☐	☐	
1.7 If the organization chooses to outsource any process that effects product conformity with requirements, does the organization ensure control over such processes?	☐	☐	☐	
COMMENTS:				
2.0 (5 & 6) Management Responsibility	Yes	No	N/A	Comments
2.1 Are organizational responsibilities and authority documented? (Ex: Organization Chart) - Is a Management Representative appointed and duties defined?	☐	☐	☐	
2.2 Are the customer requirements determined and promoted throughout the organization?	☐	☐	☐	
2.3 Is the Quality Policy appropriate, communicated and understood throughout the organization, and reviewed for continuing suitability?	☐	☐	☐	
2.4 Are quality objectives established and communicated throughout the organization?	☐	☐	☐	
2.5 Are management reviews planned and completed?	☐	☐	☐	
2.6 Does the management review agenda ensure the quality system's continued suitability, adequacy, and effectiveness?	☐	☐	☐	
2.7 Does the management review include assessing opportunities for improvement and the need for changes to the QMS, including the policy and/or objectives?	☐	☐	☐	
2.8 Does the management review include information on the following: - Results of audits; customer feedback; process performance & product conformance; preventive & corrective actions; follow up actions from previous management reviews; changes that could affect the QMS; recommendations for improvement?	☐	☐	☐	
2.9 Are adequate resources available to meet customer requirements?	☐	☐	☐	
2.10 Are personnel performing work affecting product quality competent on the basis of appropriate education, training, skills, and experience?	☐	☐	☐	

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2.11 Are job responsibilities / requirements reviewed and documented? - Is training provided and the effectiveness of the training evaluated? - Is personnel aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives?	☐	☐	☐	
2.12 Are all levels of personnel properly trained to complete job responsibilities?	☐	☐	☐	
2.13 Do operators have the appropriate tools and work environment to perform job functions?	☐	☐	☐	
2.14 Are appropriate safety considerations apparent throughout the facility? (I.e. First aid stations, PPE, fire extinguishers, unblocked exits, etc.)	☐	☐	☐	
2.15 Are hazardous materials present in the facility?	☐	☐	☐	
2.16 If hazardous materials are present, are they controlled and monitored properly?	☐	☐	☐	
COMMENTS:				
3.0 (7) PRODUCT REALIZATION	Yes	No	N/A	Comments
3.1 Is there a documented procedure related to contract review to identify all customer requirements including any special requirements or risks? - Is the review conducted prior to the organization's commitment to supply the product or service?	☐	☐	☐	
3.2 Is there a system for communicating with the customer in regards to any enquiries, order handling (including amendments), and customer complaints?	☐	☐	☐	
3.3 Is there a documented procedure related to control and communication of changed requirements?	☐	☐	☐	
3.4 Are the verification records maintained?	☐	☐	☐	
3.5 Does the organization evaluate and select suppliers based on their ability to supply product in accordance with the organization's requirements?	☐	☐	☐	
3.6 Are criteria for selection, evaluation, and re-evaluation of suppliers established?	☐	☐	☐	
3.7 Is there a list of approved suppliers that are utilized to purchase required products? - Is supplier performance reviewed? - Is there a documented procedure for approval & disapproval of suppliers? - If applicable, does supplier use customer approved special process sources?	☐	☐	☐	
3.8 Does the purchasing information to suppliers include the following: - Technical data to ensure conformance (I.e. drawing number, specification detail, process requirements, etc.)? - Requirements relative to supplier notification to customer for nonconforming product and/or approval of non-conforming product? - Requirements for organization to notify the customer of changes in product and/or process definition, and where required, obtain approval? - Requirements for flow down of customer requirements to sub-tier suppliers?	☐	☐	☐	

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3.9 Is purchased material inspected upon receipt?	☐	☐	☐	
3.10 Are the correct documents available to verify purchase product?	☐	☐	☐	
3.11 Are controls in place to ensure only acceptable incoming material is released to production?	☐	☐	☐	
3.12 Does the organization document the right to verify at sub-tier supplier's premises that subcontracted product or processes conform to requirements?	☐	☐	☐	
3.13 Are documented process flows available for the product being manufactured?	☐	☐	☐	
3.14 Are the monitoring & verification points in the process identified in a control plan?	☐	☐	☐	
3.15 Are standards in place to communicate the criteria for workmanship (I.e. written standards, illustrations, etc.)	☐	☐	☐	
3.16 Are required inspections/tests controlled by documented procedures and records maintained?	☐	☐	☐	
3.17 Does organization monitor and control utilities and supplies (such as water, compressed air, etc.) to the extent they affect product quality?	☐	☐	☐	
3.18 Are production equipment, tools and programs validated prior to production? Are they maintained and inspected periodically according to documented procedure?	☐	☐	☐	
3.19 Does validation prior to production use include verification of the first article produced to the design data/specification? Do validation requirements include the qualification of personnel?	☐	☐	☐	
3.20 Does production control documentation contain the appropriate information to ensure conformance to requirements (i.e. drawing revisions, specifications required, list of required tools/equipment, etc.)?	☐	☐	☐	
3.21 Are changes to production requirements planned, controlled, validated, and approved?	☐	☐	☐	
3.22 Has the organization established arrangements for special processes to be qualified and approved prior to use?	☐	☐	☐	
3.23 Has the organization defined the process for identifying product by suitable means throughout product realization?	☐	☐	☐	
3.24 Does the organization maintain traceability from receipt of raw material through delivery?	☐	☐	☐	
3.25 Is unique lot/batch identification maintained throughout product life?	☐	☐	☐	
3.26 Is there a system in place to ensure product shipped can be traced and recalled if deemed necessary?	☐	☐	☐	
3.27 Has the organization identified, verified, protected, and safeguarded any customer property provided for use or incorporated into the product?	☐	☐	☐	
3.28 Does the organization define methods to identify and record customer products that are lost, damaged, or otherwise made unusable and report such to the customer?	☐	☐	☐	
3.29 Does the organization preserve the conformity of the product during internal processing and delivery to the intended destination, including delivery to the customer?	☐	☐	☐	
3.30 Does the organization ensures that documents required by the contract / order to accompany the product are present at delivery and are protected against loss and deterioration?	☐	☐	☐	

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3.31 Does the organization determine the monitoring and measurement to be undertaken and the monitoring and measuring devices needed to provide evidence of conformity of product to determined requirements?	☐	☐	☐	
3.32 Does the organization maintain a register of these monitoring and measuring devices, and define the process employed for their calibration?	☐	☐	☐	
3.33 Does the organization ensure that environmental conditions are suitable for the calibration, inspections, measurements, and tests being carried out?	☐	☐	☐	
3.34 Does the organization take appropriate action with equipment/tools, and any product affected, if issues are noted within calibration system?	☐	☐	☐	
COMMENTS:				
4.0 (8) MONITORING, ANALYSIS AND IMPROVEMENT	Yes	No	N/A	Comments
4.1 Does the organization plan and implement the monitoring, measurement, analysis, and improvement of processes? - Does this include determination of applicable methods, including statistical techniques, and the extent of their use?	☐	☐	☐	
4.2 Does the organization monitor the performance of the QMS related to customer perception as to meeting requirements?	☐	☐	☐	
4.3 Does the organization conduct internal audits at planned intervals to determine whether QMS conforms to documented requirements and is effectively implemented and maintained?	☐	☐	☐	
4.4 Are the responsibilities and requirements for planning and conducting audits, and for reporting results and maintaining records defined in a documented procedure?	☐	☐	☐	
4.5 Do follow up activities from internal audits include the verification of the actions taken and the reporting of verification results?	☐	☐	☐	
4.6 When planned results are not achieved, is corrective action taken, as appropriate, to ensure conformity of the product?	☐	☐	☐	
4.7 Does the organization monitor and measure the characteristics of the product to verify that product requirements have been met?	☐	☐	☐	
4.8 If the organization uses sampling inspection as a means of product acceptance, is the plan statistically valid and appropriate for use?	☐	☐	☐	
4.9 Is product release held until all the planned arrangements have been satisfactorily completed?	☐	☐	☐	
4.10 Are the measurement requirements for product acceptance documented? - Does the documentation include the following: criteria for acceptance or rejection; where inspection activities are performed; record of measurement results; type of instruments required for measurement?	☐	☐	☐	
4.11 Does the organization system provide a process for the inspection, verification, and documentation of a representative item from the first production run, or following any subsequent change that invalidates a previous first article result?	☐	☐	☐	
4.12 Does the organization have documented procedure implemented to ensure that product which does not conform to requirements is identified and controlled to prevent its unintended use or delivery?	☐	☐	☐	

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4.13 Is product dispositioned for scrap positively controlled until physically rendered unusable?	☐	☐	☐	
4.14 When nonconforming product is corrected, is it subjected to re-verification to demonstrate conformity to requirements?	☐	☐	☐	
4.15 Does the organization determine, collect, and analyze appropriate data to demonstrate the suitability and effectiveness of the QMS?	☐	☐	☐	
4.16 Does the organization have a system to identify and correct issues to improve the effectiveness of the QMS?	☐	☐	☐	
4.17 Does the organization have a system to identify and prevent issues from occurring?	☐	☐	☐	
COMMENTS:				

Result:
- ☐ **Approved/Conforming**
- ☐ **Approved/Conforming (**with minor corrective action required).
- ☐ **Not Approved/Non-Conforming**, Major corrective action required; re-audit necessary

Follow-up Audit Date (if required): _____

SUPPLIER SIGNATURE: _____

PPG LEAD AUDITOR SIGNATURE: _____

Additional comments (i.e. significant accomplishments and/or suggestions for improvements):

If supplier is a Dock to Stock/Certified Supplier – Verify the stamps are still being used.
Write the names of the person(s) that have a PPG stamp and the stamp number

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Supplier Team: _____ PPG Audit Team: _____
_____ _____
_____ _____
_____ _____

INCLUDED DOCUMENTS:

Quality Policy	☐ YES	☐ NO	PFMEA	☐ YES	☐ NO
Mission Statement	☐ YES	☐ NO	Process Work Instruction	☐ YES	☐ NO
Organization Chart	☐ YES	☐ NO	Quality Instruction	☐ YES	☐ NO
Typical Control Plan	☐ YES	☐ NO	Other (give detail):		

CORRECTIVE ACTION PLAN

Responses are required in 30 days from date of audit unless alternative date is agreed to between PPG and the Supplier. Response should be directed to the PPG Lead Auditor.

Line No.	Issue/Action	Responsibility Supplier	Responsibility PPG	Target Date	Response	Date Received

Audit Certification: All information received and audit closed.

_____ _____
Lead Auditor Signature Date