



Supplier Assessment Form for Counterfeit Parts

Company Name:		Number of Years in Business:	
Current Address:		Number of Employees:	
Location of Corp. Headquarters:		Union or Non-Union:	
Company Contact Name:		Date of Union Contract Expiration:	
Contact's Title:		Number of Shifts:	
Contact's Email:		Facility Size:	
Company Website:		Total Annual Sales:	
Company Phone Number:			
Company Fax Number			

Type of products manufactured, distributed, or services provided:	
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Type of Operation

Assembly:	
Fabrication:	
Machining:	
Distributor – Authorized/Franchised:	
Independent/Unauthorized:	
Service Provider:	

International Traffic in Arms Regulation (ITAR) Registration

Is your company ITAR registered? Yes No

If Yes, is your company ITAR compliant? Yes No

Security Clearance

Secret Yes No

Top Secret Yes No

General Questions

Please answer Yes or No to the following questions:

1. Is your company a private or limited liability company owned by a U.S. citizen(s) or a U.S. registered corporation? Yes No
2. Is your company familiar with federal government contracts and willing to accept orders based on a government contract? Yes No
3. Is your company currently debarred from government contracts? Yes No
4. Has your company ever had a government contract that was terminated for default? Yes No
5. Is your company willing to modify product design to meet Battelle applications? Yes No
6. Does your company have EDI capability? Yes No
7. Does your company have bar coding capability? Yes No
8. Does your company participate in replenished techniques such as Kanban/JIT, Consigned Inventory, etc.? Yes No
9. Does your company offer a discount for prompt payments of invoices? If so, what is the discount? Yes No
10. Does your company accept credit card orders? Yes No

Registered to External Standards

Standard	Yes	No	Not Registered, but Compliant	Registrar	Certificate Number
ISO 9001 Quality Management Systems (QMS)					
AS9100 QMS for Aerospace Industry					
ISO 13485 QMS for Medical Devices					
AS9120 QMS - Aerospace Requirements for Distributors					
ANSI/ISO/IEC 17025 Calibration Labs and Measuring/Test Equipment					
ANSI/NCSL Z540.3 Calibration Labs and Measuring/Test Equipment					
ANSI ESD S20.20					
Other List:					

Personal & Training Certifications

Are production and inspection personnel trained and/or certified to the industry standards listed below?			
Training and Certification	Yes	No	N/A
ANSI-J-STD-001 (Soldering and Rework)			
IPC-610 (Soldering and Assembly)			
IPC-600 (Acceptability of Printed Boards)			
IPC-620 (Acceptability Cable and Wire Harnesses)			
IPC 7711/7721 (Modification and Repair of Circuit Boards)			
AWS D1.1 (Welding)			
AWS D1.1 (Certified Weld Inspector)			
Other-List:			
Other-List:			
Other-List:			
Other-List:			

Does your company manufacture, distribute, or use electronic components?

Yes No

If No, skip to section titled "Questions for All Suppliers".

Counterfeit Part Avoidance

Does your company comply with the following standards to ensure counterfeit part avoidance?

Standard	Yes	No
AS6081 (Counterfeit Part Avoidance)		
AS5553 (Counterfeit Part Avoidance - Electronics)		
AS6174 (Counterfeit Part Avoidance - Materials)		
ISO12931 (Authentication standards for brand owners, manufacturers, and packagers)		

Please answer Yes or No to the following questions regarding Counterfeit Part Avoidance

- Does your organization have documented procedures/plans addressing the avoidance of counterfeit parts? Yes No
- Does your organization have documented procedures for the containment of suspect / confirmed counterfeit parts and customer notification? Yes No
- Does your organization provide counterfeit part avoidance training to employees? Yes No
- Does your organization procure Electrical, Electronic, and Electromechanical (EEE) parts, electronic parts, assemblies and equipment only through Original Equipment Manufacturers (OEMs) or an authorized distributor even if purchase from an unauthorized supplier achieves cost savings? Yes No
- Does your organization agree to flow counterfeit part avoidance and other purchasing requirements through the supply chains? Yes No
- Does your organization notify Customers when counterfeit parts are detected? Yes No
- Does your organization maintain a method of item traceability that ensures tracking of the supply chain back to the original manufacturer of all Electrical, Electronic, and Electromechanical (EEE) components and devices included in assemblies and subassemblies being delivered per this order? Yes No
- Does your organization approve and retain part Certificates of Conformance (CofC) for all Electrical, Electronic, and Electromechanical (EEE) components and devices being delivered as detail items and all EEE components and devices included in assemblies and subassemblies being delivered? Yes No

- 9. Will Certificates of Conformance (CofC) for all Electrical, Electronic, and Electromechanical (EEE) components and devices be available upon Battelle's request? Yes No
- 10. Does your organization agree to retain manufacturer's certifications per the record retention requirements directed within Battelle Purchase Orders? Yes No
- 11. Does your organization utilize incoming inspection and test methods to assure the detection of potential counterfeit parts and materials?
Yes No

Please answer the following questions. If a question does not apply to your company, please select N/A

- 1. Does your organization use documented work instructions, routers, and travelers? Yes No N/A
- 2. Does your organization have methods in place to control changes to work instructions/routers/travelers? Yes No N/A
- 3. Does your organization have a process to notify customers of changes in process including sub-tier suppliers? Yes No N/A
Is this flowed down to suppliers? Yes No N/A
- 4. Does your organization's configuration management system include documented procedures that address how customer documentation is controlled? Yes No N/A
- 5. Does your organization have procedures/processes in place to identify, handle, and protect customer-supplied product? Yes No
N/A
- 6. Does your organization's inventory management system utilize First In/First Out (FIFO) methods? Yes No N/A
- 7. Does your organization monitor and control products with shelf life? Yes No N/A
- 8. Does your organization have an electrostatic discharge (ESD) program to address the purchasing, storage, handling, assembly, packaging, and shipping of ESD sensitive parts? Yes No N/A
- 9. Does your organization perform first article inspections in accordance with AS9102? Yes No N/A
- 10. Many Battelle orders require 100% inspection of all drawing notes and dimensions. Do you have the capability to comply? Yes No
N/A
- 11. Is your organization willing to grant Battelle, Battelle's customer, and possibly the U.S. Government right of access to your facility?
Yes No N/A
- 12. Has your organization reviewed and accepted the Battelle Terms and Conditions? Yes No N/A

Questions for Suppliers

What is your current capacity?	
Do you measure on Time Delivery to customers? If so, what is your current performance?	
Do you have a measure of customer quality? If so, what is your current performance?	

Special and Finishing Processes

Please answer the following questions about special and finishing processes.

Does your organization perform or out-source any of the following operations:	In House or Outsource	Number of years' experience with process	If outsourced, list sub-tier name(s)
Chemical Conversion Coatings			
Paint			
Powder Coat			
Heat Treat			
Welding			

Quality System

If ISO 9001:2008, AS9100, or ISO 13485 registered, skip this section.

1. Does the supplier have a quality policy? Yes No
2. Does the company have a quality manual? Yes No (If Yes, attach a Table of Contents to the questionnaire)
3. Is the Quality Manual routinely reviewed and updated? Yes No
4. Does the supplier have an internal audit system? Yes No
5. Does the supplier have a method of controlling nonconforming material? Yes No
6. Does the supplier have a calibration system? Yes No
7. Does the supplier have a document control system? Yes No
8. Does the supplier have a method of storing and managing records that assures legibility, availability, protection from loss, damage and deterioration? Yes No
9. Does the supplier have a method of monitoring customer feedback for continuous improvement? Yes No
10. Does the supplier have a corrective action system? Yes No

Supplier Assessment Completed By:

Please indicate documentation being submitted with the new supplier assessment:

- | | | |
|---|-----|----|
| 1. Brochures/literature highlighting capabilities. | Yes | No |
| 2. Copies of quality system certifications. | Yes | No |
| 3. Copy of the Quality Manual Table of Contents. | Yes | No |
| 4. List any additional documentation that is being submitted. | | |

Name of person completing this form:	
Title:	
Date:	

THIS SECTION TO BE COMPLETED BY BATTELLE

	Yes	No		
Onsite visit/audit required:				
Other comments:				
	Approved	Restricted	Not Approved	
Recommendation for Supplier Status:				
Comments:				
Reviewed by:				
Title:				
Date:				