**Supplier / Contractor QMS Self-Assessment - Questionnaire**

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| **Supplier Name** |  |
| **Contact Person** |  |
| **Supplier address** |  |
| **Contact Telephone** |  |
| **Supply Type** |  |
| **Date questionnaire completed** |  |

**(NB: In cases where “Yes” or “No” is not the precise answer, Supporting Info to be provided)**

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| **Section 1: Leadership & Commitment** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **1.1** Have Quality Objectives been set, documented and   communicated to the organization by Top Management? |  |  |  |
| **1.2** Is “Quality” always on the agenda at Top Management   meetings? |  |  |  |
| **1.3** Does Top Management put strong focus on Customer   Satisfaction? |  |  |  |
| **1.4** Does Top Management focus on availability of resources (personnel, Infra Structure)? |  |  |  |

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| **Section 2: Quality Policy, Strategies & QMS Development** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **2.1** Has a Quality Mission and/or Policy Statement been   established by Top Management? |  |  |  |
| **2.2** Have Strategic Objectives been well defined and   documented? |  |  |  |
| **2.3** Has the Quality Policy been familiarized and displayed/posted in selected places? |  |  |  |
| **2.4** Is the Quality Policy subject toregular review and possible subsequent changes? |  |  |  |
| **2.5** Has Top Management set clear, documented strategies for QMS development? |  |  |  |
| **2.6** Have QMS Processes been determined and documented? |  |  |  |
| **2.7** Are QMS Processes analyzed for effectiveness? |  |  |  |

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| **Section 3: Overall Organizational Structure** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **3.1** Is the Organization well defined through clear, documented Organization Charts? |  |  |  |
| **3.2** Does the Organization include a dedicated specialist QA Resource? |  |  |  |
| **3.3** Does the dedicated QA resource report directly to the   Senior/Top Management? |  |  |  |
| **3.4** Is the Organization subject to systematic, regular review for efficiency and suitability? |  |  |  |
| **3.5** Have appropriate communication processes been   established? |  |  |  |
| **Section 4: QMS Documentation & Certification** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **4.1** Has a QA Manual been created to describe/explain the QMS and its structure? |  |  |  |
| **4.2** Is the QMS comprehensive, well-structured and mature? |  |  |  |
| **4.3** Is the QMS certified? |  |  |  |
| **4.4** If certified:Has certification been retained for more than 3 years? |  |  |  |
| **4.5** Is the QMS published/made accessible by means of efficient electronic systems? |  |  |  |
| **4.6** Is the QMS Documentation subject to regular review for   efficiency and suitability? |  |  |  |

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| **Section 5: Document Control** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **5.1** Is QMS related documentation subject to systematic control? |  |  |  |
| **5.2** Is Document Version Control based on well-functioning up-to-date electronic systems? |  |  |  |
| **5.3** Is Document Control supported / managed by specialist   personnel? |  |  |  |
| **5.4** Does the organization utilize up-to-date electronic system(s) for document storing and handling? |  |  |  |
| **5.5** Are QMS documents distributed to the users in a systematic fashion? |  |  |  |
| **5.6** Are Records systematically controlled (storing, protection, retrieval, legibility)? |  |  |  |

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| **Section 6: Personnel Competence & Resource Planning** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **6.1** Does the organization include a HR Department / Function |  |  |  |
| **6.2** Is personnel management based on an up-to-date electronic system (db)? |  |  |  |
| **6.3** Are personnel training needs and competence enhancement systematically identified? |  |  |  |
| **6.4** Are well-functioning tools (e.g. Matrix) used for qualification and skills follow-up? |  |  |  |
| **6.5** Is personnel planning carried out in an overall, centralized fashion? |  |  |  |
| **6.6** Does the organization put focus on providing adequate and sufficient Infra Structure? |  |  |  |

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| **Section 7: Personnel Appraisal** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **7.1** Is the company’s staff subject to Annual Appraisal? |  |  |  |
| **7.2** Does the Appraisal System comprise all staff levels and   categories? |  |  |  |
| **7.3** Are Appraisals carried out and recorded using a structured and standardized format? |  |  |  |
| **7.4** Does the Appraisal Meeting Agenda include Competence and Training needs? |  |  |  |
| **7.5** Does Management put focus on Appraisals follow-up? |  |  |  |

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| **Section 8: Management Review** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **8.1** Does the Management conduct planned Management Review of the QMS? |  |  |  |
| **8.2** Are Management Reviews conducted and documented in a structured fashion? |  |  |  |
| **8.3** Do Management Reviews follow a standard agenda for Input and Output? |  |  |  |
| **8.4** Are Management Reviews, inter alia, based on statistical data on Quality Issues? |  |  |  |
| **8.5** Do Management Reviews include reviewing the Quality Policy for suitability? |  |  |  |
| **8.6** Are Management Reviews structured / conducted in line with ISO 9001:2008? |  |  |  |
| **8.7** Does the Management actively follow up on Management Review conclusions? |  |  |  |

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| **Section 9: Internal QA Auditing** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **9.1** Does the company operate and maintain a Schedule for   Internal QA Audits? |  |  |  |
| **9.2** Are the Internal QA Audits timely conducted in accordance with the Schedule? |  |  |  |
| **9.3** Are internal QA audits performed by qualified and trained personnel? |  |  |  |
| **9.4** Are Internal QA Audits documented in a structured and   formal manner? |  |  |  |
| **9.5** Are Non-conformances (NC) and Deviations subject to Root Cause Analysis? |  |  |  |
| **9.6** Are Corrective Actions and Preventive Actions identified and carried out? |  |  |  |
| **9.7** Are results from Internal QA Audits entered in an electronic NC Reporting System? |  |  |  |
| **9.8** Are actions resulting from audits followed up and verified for effectiveness? |  |  |  |

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| **Section 10: Deviation & NC Reporting / Tracking** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **10.1** Does the company operate a system for Deviation and NC reporting, handling and tracking? |  |  |  |
| **10.2 If** yes: Is the system electronic (db)? |  |  |  |
| **10.3 Does** the system address both hardware and procedures related Deviations and NCs? |  |  |  |
| **10.4 Has** a System Owner / System Responsible been assigned? |  |  |  |
| **10.5** Is the system well-functioning, i.e. are there currently many open, overdue entries? |  |  |  |
| **10.6 Are** issues relating to Deviation/NC reporting addressed at Management Reviews? |  |  |  |
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| **Section 11: Customer Satisfaction** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **11.1** Does the company systematically capture and handle   customer’s feedback and complaints? |  |  |  |
| **11.2** If yes: Is the system electronic? |  |  |  |
| **11.3** Has a System Owner / System Responsible been assigned? |  |  |  |

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| **Section 12: Experience Transfer & Lessons Learned** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **12.1** Does the company operate a system for Experience Transfer & Lessons Learned? |  |  |  |
| **12.2** If yes: Is the system set up as a centralized system, as   opposed to a departmental one? |  |  |  |
| **12.3** Is the system electronic? |  |  |  |
| **12.4** Does the system include routine evaluation of projects at close-out? |  |  |  |
| **12.5** Does the system include transfer of experience also to   external parties? |  |  |  |

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| **Section 13: Contract & Order Management** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **13.1** Does the company operate a system for Contracts and   Orders registration and management? |  |  |  |
| **13.2** If yes: Is the system electronic (e.g. a db, or part of a MRP or ERP system)? |  |  |  |
| **13.3** Are contracts and Orders subject to Contract/Order review? |  |  |  |
| **13.4 Is** a Capability Evaluation conducted complementary to the Contract/Order Review? |  |  |  |
| **13.5** Does Contract and Order Management include the use of a Quality Plan? |  |  |  |

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| **Section 14: Communication Systems** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **14.1** Does the company routinely establish structured  communication with customer? |  |  |  |
| **14.2** If yes: Is communication based on the concept of “Single point of contact”? |  |  |  |
| **14.3** Does communication include routine, documented Progress Reporting? |  |  |  |
| **14.4** Are communication records systematically stored   electronically? |  |  |  |

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| **Section 15: Design & Design Control** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **15.1** Does the organization include a Design & Engineering (D&E) Department? |  |  |  |
| **15.2** Is Design & Engineering based on up-to-date design systems and tools? |  |  |  |
| **15.3** Have efficient systems for electronic storing of D&E   documents been established? |  |  |  |
| **15.4** Does the company operate a system for efficient Design Control? |  |  |  |
| **15.5** Ifyes: Does the system focus on both Design Input and Output? |  |  |  |
| **15.6** Are various types of checking (e.g. self-checking, discipline check, etc.) involved? |  |  |  |
| **15.7** Are designs subject to Design Review at one or more defined stages? |  |  |  |
| **15.8** Are designs subject to validation? |  |  |  |
| **15.9** Does the system include Control of Design Changes? |  |  |  |

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| **Section 16: Production Planning** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **16.1** Does the company operate a structured system for   Production Planning? |  |  |  |
| **16.2** Is Production Planning conducted as part of a MRP or an ERP system? |  |  |  |
| **16.3** Are Production Plans visualized through electronic Gantt Chart(s)? |  |  |  |
| **16.4** Does Production Planning involve resource planning   (equipment, personnel, instructions, etc.)? |  |  |  |
| **16.5** Does personnel resource planning address the availability of required competence and qualification? |  |  |  |
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| **Section 17: Production Control** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **17.1** Does the company operate a structured system for   Production Control? |  |  |  |
| **17.2** Does Production Control involve the use of a Quality Plan? |  |  |  |
| **17.3** If relevant: Are Products followed by a “Traveler” or   “Production Package” through production? |  |  |  |
| **17.4** Does production control include routine segregation of   deviating/non-conforming materials and equipment? |  |  |  |
| **17.5** Is quality of services ensured through structured and  documented control systems? |  |  |  |
| **17.6** Are relevant production tools and equipment subject to   scheduled calibration? |  |  |  |
| **17.7** Are production tools, machinery and equipment subject to routine Preventive Maintenance? |  |  |  |

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| **Section 18: QC & Testing** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **18.1** Are QC and Testing activities covered by documented plans and procedures? |  |  |  |
| **18.2** Does the organization include a separate QC & Testing   Department? |  |  |  |
| **18.3** Are personnel involved in QC and testing provided with   specialist training? |  |  |  |
| **18.4** Are customers routinely informed of / invited to Testing   Milestones or FATs? |  |  |  |

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| **Section 19: Supplier Selection, Evaluation & Approval** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **19.1** Is a structured system for Supplier Selection, Evaluation and Approval in operation? |  |  |  |
| **19.2** Does the system also include prospective Suppliers? |  |  |  |
| **19.3** Does the company operate a List of Approved Suppliers? |  |  |  |
| **19.4** Does the company actively seek alternative suppliers of HSEQ critical goods? |  |  |  |
| **19.5** Are technical requirements and Quality requirements well specified in contracts and POs? |  |  |  |
| **19.6** Is purchasing assisted by a MRP or ERP system? |  |  |  |
| **19.7** Have suppliers and contractors been categorized in   accordance with criticality? |  |  |  |

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| **Section 20: Supplier QA Auditing and Follow-up** | **Responses** | | |
| **Questions** | **Yes** | **No** | **Supporting info** |
| **20.1** Does the company operate a formal system for scheduled QA Auditing of Suppliers? |  |  |  |
| **20.2** If yes: Are such audits carried out by qualified and trained personnel? |  |  |  |
| **20.3** Are supplier QA Audits subject to reporting, efficient follow-up and verification of effects from audit results? |  |  |  |

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| **Documents to be submitted together with the filled-in Questionnaire:**   * Copy of the Quality Policy document, alternatively a copy of the HSEQ Policy document * Copy of the company’s overall organization chart, showing the reporting line of the Quality Function, or HSEQ Function * Copy of the company’s ISO 9001:2008 certificate, if relevant * Copy of the Quality Manual’s Table of Contents * Example of a standard Quality Plan / Project Quality Plan, if relevant * Brief description of the QA Auditing system (scheduling/performance/reporting) * Brief description of the Deviation / Non-conformance Reporting System * Brief description of the company’s system for Supplier selection, evaluation, approval and follow-up * Brief description of the company’s system for production/services control |