1. **Table of Contents**

1. Table of Contents ........................................................................................................... 2
2. Purpose .......................................................................................................................... 3
3. Scope ............................................................................................................................. 3
4. Definitions and Acronyms ............................................................................................. 3
5. ASC Vision, Mission and Values ................................................................................... 4
6. General Expectations of ASC Suppliers ........................................................................ 4
7. Right of Access ............................................................................................................... 5
9. Inwards, Outwards and In-process Goods Assurance/Controls ................................. 5
10. Control of Sub-tier Suppliers ..................................................................................... 5
11. Purchase Order Nominated Critical (CTCL) Items ..................................................... 5
12. Inspection and Testing Planning (ITP) Applicability/Controls ...................................... 5
13. ISO 9001: 2008 Control and Retention of Quality Records ........................................ 6
15. Product Marking/Traceability/ Packaging and Preservation ......................................... 6
16. Supply of Hazardous Materials and Hazardous Substance ....................................... 6
17. Technical Information and International Traffic In Arms Regulations (ITAR) .......... 7
18. Handling of ASC supplied Materials .......................................................................... 7
19. Supplier Qualification Questionnaire (Evaluation and Approval) ............................. 7
20. Monitoring Supplier Quality Performance (Metrics) .................................................... 8
21. Monitoring Supplier On-time Delivery Performance (Metrics) .................................... 8
22. OQE Requirements/ Attributes Definition/Delivery ................................................... 9
23. ASC Quality Requirements for Fasteners ................................................................... 9
24. ASC Quality Requirements for Shelf Life Products .................................................... 9
25. Work Health and Safety and Environment (WHS & E) ............................................. 10
26. Customer/Supplier Relationship and Feedback ......................................................... 10

Appendix 1: Supplier Quality Performance Report Score Card (Example) ....................... 11
Appendix 2: Supplier Quality Performance Metrics (Example) .................................... 12
Appendix 3: Inspection and Test Plan (Example) ............................................................... 13
Appendix 4A: Supplier Qualification Questionnaire - Page 1 (example) ....................... 14
Appendix 4B: Supplier Approval Summary Charts (example) ........................................ 15
2. **Purpose**

This manual provides information and guidance to ASC’s suppliers and subcontractors that supply goods and/or services to ASC (suppliers) in order to assist them in understanding ASC quality/defence requirements, compliance and expectations.

3. **Scope**

This manual is applicable to all ASC purchases of goods and services under ASC's purchase order terms and conditions (PO) in support of ASC projects, e.g. the Air Warfare Destroyer (AWD) project and the Collins Class Submarine (CCSM) project.

To the extent that there are any inconsistencies between this document titled Supplier Quality Assurance Manual and the terms and conditions of ASC’s PO with a supplier, then the ASC PO terms and conditions shall prevail.

4. **Definitions and Acronyms**

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>AWD</td>
<td>Air Warfare Destroyer</td>
</tr>
<tr>
<td>CAPA</td>
<td>Corrective And Preventive Action</td>
</tr>
<tr>
<td>CCSM</td>
<td>Collins Class Submarines</td>
</tr>
<tr>
<td>CMS</td>
<td>Corporate Management System</td>
</tr>
<tr>
<td>CoC</td>
<td>Certificate of Conformance</td>
</tr>
<tr>
<td>ECQMS</td>
<td>Enterprise Compliance Quality Management System</td>
</tr>
<tr>
<td>IMTE</td>
<td>Inspection Measuring and Testing Equipment</td>
</tr>
<tr>
<td>ITAR</td>
<td>International Traffic in Arms Regulation</td>
</tr>
<tr>
<td>ITP</td>
<td>Inspection and Test Plan</td>
</tr>
<tr>
<td>MRP</td>
<td>ASC Manufacturing Resource Planning System</td>
</tr>
<tr>
<td>MSDS</td>
<td>Material Safety Data Sheet</td>
</tr>
<tr>
<td>NATA</td>
<td>National Association of Testing Authorities</td>
</tr>
<tr>
<td>OQE</td>
<td>Objective Quality Evidence</td>
</tr>
<tr>
<td>PO</td>
<td>ASC Purchase Order</td>
</tr>
<tr>
<td>PQMP</td>
<td>Project Quality Management Plan</td>
</tr>
<tr>
<td>SDRL</td>
<td>Supplier Data Requirement List</td>
</tr>
<tr>
<td>SQA</td>
<td>ASC Supplier Quality Assurance Department</td>
</tr>
<tr>
<td>SQAM</td>
<td>Supplier Quality Assurance Manual</td>
</tr>
</tbody>
</table>
5. ASC Vision, Mission and Values

Vision: To be the leading designer, builder and maintainer of naval ships and submarines in Australia.

Mission: To safely build and maintain Australia's frontline naval ships and submarines to world class performance and quality standards.

Values:

Strongly held corporate values are an important element of the strategic framework that underpins ASC. ASC staff aspire to a set of values and exhibit corresponding behaviours which are the guiding principles that define how we conduct our business and what we stand for as a company.

Service
- We take time to understand our customer’s business and needs.
- We ensure that all interactions add value to our customer relationships.
- We are customer service-oriented.

Safety
- We ensure our own safety and the safety of others.
- We are committed to the safe operability of the vessels we support.

Leadership
- We champion high performance, potential and talent.
- We look for opportunities to assist each other.
- We empower our people.
- We are visible in our management.
- We celebrate our successes.

Integrity
- We honour our commitments.
- We are open, honest and trustworthy.
- We share unity and abide by team decisions.

Results
- We are relentless in our pursuit of excellence.
- We are exemplary in all we do.
- We do not accept complacency.
- We take responsibility for our own performance.
- We act with urgency and pace.

Innovation
- We sponsor ideas for improvement.
- We constructively challenge for a better way.
- We embrace and lead change.
- We seek feedback.

6. General Expectations of ASC Suppliers

ASC expects suppliers to share our commitment to meeting our end customer’s requirements for quality, technical performance and on-time delivery. This can be achieved through flexibility in assisting ASC to meeting its end goal which should be enforced by implementing continuous improvement initiatives and business continuity plans.

All suppliers are responsible for ensuring compliance to the requirements contained in this manual and are responsible for the quality, timeliness and integrity of delivered goods and services including those provided by their sub-tier suppliers/manufacturers/mills.

All delivered products and services must comply fully with ASC’s quality requirements including the provision of appropriate OQE documentation.
All OQE for commodity items must comply with the ASC attributes as defined in Section 23 of this document.

7. Right of Access

During the course of the contract between ASC and the supplier, ASC may (with reasonable notice) require access to the supplier manufacturing/production areas and/or the supplier’s sub-tier suppliers/manufacturers/mills manufacturing/production areas for the purpose of quality audits and for assessing manufacturing/production processes capability to meet ASC PO/contract requirements.


Suppliers are expected to have in place a PO “Requirements Review” procedure/process iaw ISO 9001:2008 Section 7.2 Customer Related Processes.

If a supplier is uncertain about any aspect of what ASC has ordered, the supplier must immediately contact ASC and resolve this uncertainty prior to incurring any costs and committing to supply.

9. Inwards, Outwards and In-process Goods Assurance/Controls

Suppliers to ASC are expected to have in place adequate procedures for the management of goods inwards, goods outwards and in-process quality assurance/inspection activities.

Suppliers must ensure that goods undergo an adequate level of checks and balances (e.g. visual inspections, traceability checks, sample dimensional inspections) as applicable during production and prior to delivery to ASC.

10. Control of Sub-tier Suppliers

It is a requirement that all ASC direct suppliers maintain effective control over their sub-tier suppliers (including manufacturers/mills).

Direct suppliers to ASC must (on request) provide to ASC the necessary OQE to confirm that their sub-tier suppliers have been adequately assessed and are approved to supply.

The supplier must flow down all ASC PO requirements (e.g. technical/OQE requirements) to their sub-tier suppliers (manufacturers/mills).

11. Purchase Order Nominated Critical (CTCL) Items

When supplying critical (CTCL) items suppliers are expected to:

1. Source items from ASC authorised manufacturers/mills; or

2. Propose mills for ASC approval by providing evidence that the manufacturers/mills have ‘Material Manufacturer’ approval certified by independent certification bodies e.g. BV, Lloyds, GL, NK, ABS, DNV, etc. or provide evidence of detailed review and approval by the direct supplier e.g. audit reports, visit reports; or

3. Ensure that items are independently sample tested (by a NATA equivalent testing house) iaw criteria defined by ASC, with test reports (OQE) provided to ASC.

ASC may also consider undertaking a quality audit of the manufacturer/mill manufacturing processes on a case by case basis.

12. Inspection and Testing Planning (ITP) Applicability/Controls

Where a PO or ASC contract requires a supplier to submit to ASC an ITP the supplier’s ITP document will be subject to ASC approval and must be submitted prior to commencement of work.

As part of ASC’s approval of the supplier’s ITP, ASC may add hold and witness points at its discretion. And:

1. Where hold and witness points have been allocated the supplied must inform ASC of the upcoming event with appropriate notice.
2. Hold points are not to be conducted without an ASC representative present unless the hold point has been formally waived by ASC.

3. Witness points may be conducted without ASC's presence as long as appropriate notification has been provided.

The ITP document must contain sufficient information to identify what inspection and/or testing will be carried out to meet contract/PO requirements. Refer to Appendix 3: Inspection and Test Plan example.

13. ISO 9001: 2008 Control and Retention of Quality Records

Suppliers are required to maintain effective control of quality records iaw ISO 9001:2008 Section 4.2.4 Control of Records, i.e. documented procedure defining the controls needed for the identification, storage, protection, retrieval, retention and disposition of records.

Unless otherwise stated on the purchase order/contract, records must be retained for a minimum period of seven (7) years after delivery of the goods/services to ASC.


Suppliers are required to maintain fully calibrated IMTE equipment used to ascertain compliance with ASC purchase order/contract requirements e.g. pressure gauges, micrometres, vernier callipers, scales, jigs, fixtures, tools, dies, tape measure, etc. The supplier calibration system must be fully compliant with the requirements of ISO 9001:2008 Section 7.6 Control of Monitoring and Measuring Equipment.

IMTE calibration must be performed by NATA accredited laboratories and certificates must be NATA endorsed.

The supplier's/subcontractor's IMTE calibration system/procedures must ensure that “an assessment” (IAW ISO 9001:2008 Section 7.6) of the validity of previous measuring results is undertaken when an IMTE is found to be defective or out of calibration.

ASC must be notified in the event of potential non-conforming products and services as a result of an out of calibration IMTE.

15. Product Marking/Traceability/ Packaging and Preservation

Where required in the contract/PO each delivered item must be identified with the following information (where applicable):

- Purchase order/contract number and revision number
- PO line/item number
- Item description
- ASC part number (NATO stock number or ASC catalogue number)
- Quantity
- Manufacturer’s part number, including identification of the original equipment manufacturer and country of origin
- Controlled goods identification (non ITAR)

16. Supply of Hazardous Materials and Hazardous Substance

When a hazardous material or substance is to be delivered to ASC, the supplier must provide material specification and/or MSDS.

**Hazardous materials:** Materials which because of its chemical, biochemical, microbiological or radiological properties, temperature or state of compression could in sufficient concentration cause:

- Harm to human health and safety or personal injury
- Property damage
• environmental harm or environmental nuisance
These include, but are not limited to, hazardous substances, dangerous goods and scheduled poisons

**Hazardous Substances:** These are hazardous substances that are listed on Safe Work Australia - Hazardous Substances Information System (HSIS) found at http://hsis.ascc.gov.au or determined to be a hazardous substance by the manufacturer or importer of the substance.

### 17. Technical Information and International Traffic In Arms Regulations (ITAR)

As part of the contract with ASC, the supplier may be provided with Commercial-in-Confidence technical information and other technical information (or components/materiel) that are subject to ITAR export control restrictions and ITAR handling procedures.

All technical information must be handled strictly in accordance with stipulated restrictions and signed confidentiality agreements.

ITAR restricted items will be clearly identified as “ITAR Controlled Technology”. ITAR controlled technology cannot be disclosed to any unauthorised persons or commercial parties including employees, subcontractors, consultants, suppliers or sub-tier suppliers/manufacturers.

ITAR and other technical information provided by ASC may only be used by the recipient in accordance with the terms of the contract between ASC and the recipient, or, in the absence of a contract, it may only be used strictly for the purposes for which it was provided. The unauthorised disclosure, reproduction or use of such data/components is prohibited by law, and severe penalties apply.

On completion of the contracted activities, the original information/technical data and any copies must be returned to ASC on request.

### 18. Handling of ASC supplied Materials

Customer (ASC) supplied materials must undergo the same level of inwards goods assurance inspection checks and traceability control as that of any other materials purchased by the supplier.

Where required, inwards goods inspections must include sample dimensional inspection, visual inspection and marking/traceability checks (validated against the delivered certification/OQE).

Material traceability must be maintained up until the point of use in production.

Unused material (including off cuts/remnants) must be marked and remain fully traceable up until the point of use in the supplier's production or return to ASC.

### 19. Supplier Qualification Questionnaire (Evaluation and Approval)

ASC maintain an approved suppliers list which is linked to specific items/commodities that suppliers are approved to supply.

The approved suppliers list consists of companies that have been assessed as having the capability and willingness to work together with ASC to fulfil ASC requirements/business needs.

**Supplier Approval Process:** As part of the supplier approval process, all new ASC suppliers must complete a supplier qualification questionnaire which must be submitted together with supporting OQE before ASC will enter into a PO with a new supplier (Refer to Appendix 4A and Appendix 4B). The complete document can be accessed at [www.asc.com.au, Supply Chain](http://www.asc.com.au).

**ASC Approved Supplier’s List:** To be included in the ASC approved suppliers list, suppliers will undergo systematic reviews and checks which may also include on-site qualification quality audits by ASC SQA and Supply Chain departments.
Once suppliers have been approved to supply, ASC SQA and Supply Chain departments may conduct regular quality audits/supplier visits to ensure the supplier can consistently meet ASC quality and delivery requirements.

Suppliers will remain on the ASC approved suppliers list so long as they continually supply quality goods and services in a timely manner.

**20. Monitoring Supplier Quality Performance (Metrics)**

ASC operates a supplier quality performance program which is aimed at improving the quality of delivered products and services to ASC.

This program is focused on supplier development and involves monitoring and analysing the quality performance of suppliers by means of score cards and data extracted from the ASC MRP System (refer to Appendix 1 and Appendix 2).

**Key Metrics:** Each element has a maximum rating of five points from a total of 30 Points.

- **System:** Aimed at verifying supplier’s compliance with ASC requirements for quality, certification, procedures, planning and assessment of defect root cause analysis.
- **Product:** Aimed at verifying supplier’s provision of quality products/services (equipment/commodities) including adequate packaging, identification/marking and preservation.
- **OQE:** Aimed at verifying supplier’s provision of OQE as contracted.
- **CAPA:** Aimed at verifying supplier’s resolution of nonconforming product in a timely manner (including defect root cause analysis).
- **Reliability:** Aimed at verifying reliability of supplied equipment/commodities during end product inspection testing and trials and sea operations.
- **Continual Improvement:** Aimed at verifying supplier’s willingness to cooperate with ASC in improving the quality of delivered products/services and OQE documentation.

**Supplier Rating:** Suppliers are continuously monitored, measured and rated on a monthly or yearly basis (on a scale from A to D).

Supplier ratings are calculated using key metrics points based on an overall percentage rating (summary) as detailed below. If there are three consecutive ratings of “D”, the ASC Supplier Quality Assurance Manager is advised and an investigation is conducted followed by CAPA initiatives which is aimed at assisting the supplier in improving their performance rating.

- A = 85% – 100% (Very Good)
- B = 75% – 84 % (Good)
- C = 65% – 74 % (Improvement Required)
- D = < 64 % (Poor)

The supplier quality performance program is complemented by a proactive supplier audit program based on a twelve month audit schedule.

**21. Monitoring Supplier On-time Delivery Performance (Metrics)**

ASC Supply Chain has implemented a supplier on-time delivery performance system (metrics) that is designed to monitor the supplier’s ability to meet agreed lead times. This system utilises real time data obtained from the ASC MRP system.

ASC suppliers are expected to meet agreed on-time delivery targets at all times. In the event of unforeseen circumstances that may impinge on the suppliers ability to meet contracted delivery dates, the supplier must notify ASC as soon as possible.
22. OQE Requirements/ Attributes Definition/Delivery

**OQE Requirements:** OQE forms a critical path in ensuring the items/services delivered meet ASC technical and contractual requirements. OQE requirements for individual items are specified in the purchase orders or contract unless otherwise stated.

**OQE Attributes Definition:** The master list of OQE attributes for commodities supplied to ASC can be found at [www.asc.com.au, Supply Chain, Master List of OQE Attributes]:

1. AWD OQE attributes are defined in the AWD master list of OQE attributes document.
2. Collins Class Submarine Project OQE attributes are defined in RC-0011.

**Delivery of OQE for ASC South:** OQE must be delivered in an electronic format (PDF) directly to the buyer with hard copies accompanying goods unless otherwise agreed.

**Delivery of OQE for ASC North and ASC West:** OQE must be delivered with the goods unless otherwise agreed.

23. ASC Quality Requirements for Fasteners

Fastener material specification, dimensional specification and delivery conditions (e.g. surface treatment) must be clearly stated in the ASC PO and must be fully complied with.

**Fastener Threads:**

Must be sampled inspected by the manufacturer/supplier to ensure conformance to specified engineering/standards requirements.

**Fastener Surface Treatment:**

Where specified, plating, galvanising, non-treatment etc. must be sample inspected by the manufacturer/supplier to ensure complete coverage and conformance to specified engineering/standards requirements.

**ASC PO/contract specified Critical (CTCL) Threaded Fasteners:**

Where the requirements of Sections 11 & 12 cannot be met, suppliers are expected to source ASC PO/contract specified critical (CTCL) threaded fasteners from manufacturers listed in the DOD MIL-HDBK 57 F Listing of Fasteners Manufacturer’s Identification Symbols.

Threaded fasteners must be marked iaw standards specified in the contract/PO, e.g. carbon steel fasteners to ISO 898 -1 & ISO 898 -2, stainless steel fasteners to ISO 3506-1 & 3506-2, unless otherwise specified.

Where marking is required, threaded fasteners must be identified by the manufacturer’s marking symbol (including material grade) unless otherwise specified.

*Note: For guidance, threaded fasteners manufacturer’s marking symbols are listed in DOD Handbook MIL-HDBK 57 F, 21 June 2011 - Listing of Fasteners Manufacturer’s Identification Symbols.*

24. ASC Quality Requirements for Shelf Life Products

Shelf life products must comply fully with ASC OQE attributes.

The information supplied on the product CoC must contain the following:

- Lot traceability number or batch number
- Shelf life expiration date/use by date (iaw specification)

Shelf life products must have a minimum of 85% of shelf life remaining upon receipt at ASC, unless agreed otherwise by ASC.

Examples of shelf life products are:

- Synthetic rubber products
- Epoxies
- Paints
- Adhesives
- Sealants
- Fastener locking compounds

25. Work Health and Safety and Environment (WHS & E)

Suppliers are responsible for all aspects of WHS & E connected with the goods and services supplied to ASC and must at their own cost comply with all WHS & E related law that is in any way applicable to the supplies (Health and Safety Law, Environmental Law), including in respect of their sub-tier suppliers or subcontractors.

Suppliers must demonstrate to ASC that they have the necessary knowledge, ability and resources to comply with the WHS & E law and, on request, must provide ASC with all necessary information to allow ASC to properly assess the supplier's capacity to supply the supplies in accordance with all relevant WHS & E laws.

Suppliers must notify ASC immediately of any incident or event occurring in connection with the supply of goods or services to ASC that is in breach of or is notifiable under the relevant WHS & E laws.

26. Customer/Supplier Relationship and Feedback

ASC senior management is fully committed to maintaining a good relationship with all our suppliers and subcontractors.

ASC believes that without the assistance and commitment of our suppliers the requirements specified in this manual cannot be adequately achieved.

Suppliers should contact ASC Supply Chain personnel in the event that any requirement contained in the ASC contract/PO or this manual is not fully understood.
### Supplier Quality Performance Report Score Card (Example)

#### Supplier Name: ABC Construction

- **SQA Tech Officer:** John Doe
- **Date:** 11/11/11

#### Certification to AS NZS ISO 9001:2008
- **Certification Expiry Date:** 14-Nov-14
- **Certification Number:** ABC
- **Certification by:** SAI Global
- **Last SQA Audit/Visit by SQA:** 30-Nov-10

#### Elements of Quality Rating

<table>
<thead>
<tr>
<th>Requirement</th>
<th>MAX 30 POINTS</th>
<th>JAN</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
<th>Jul</th>
<th>Aug</th>
<th>Sep</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>12 Month Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comply with ASC’s Quality Requirements for quality certification, procedures and planning?</td>
<td>SYSTEM</td>
<td>5</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>5.0</td>
<td>5.0</td>
<td>5.0</td>
<td>5.0</td>
<td>5.0</td>
<td>5.0</td>
<td>5.0</td>
</tr>
<tr>
<td>Provide Quality Products/Services (equipment/material) including packaging and identification?</td>
<td>PRODUCT</td>
<td>5</td>
<td>4.0</td>
<td>4.0</td>
<td>3.5</td>
<td>4.0</td>
<td>3.0</td>
<td>3.5</td>
<td>5.0</td>
<td>5.0</td>
<td>4.0</td>
<td>2.0</td>
<td>4.0</td>
<td>4.5</td>
</tr>
<tr>
<td>Provide Quality (complete) MDRs?</td>
<td></td>
<td>5</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>5.0</td>
<td>5.0</td>
<td>5.0</td>
<td>3.0</td>
<td>3.0</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>Provide replacement of nonconforming product in a timely manner?</td>
<td>CORRECTIVE ACTIONS</td>
<td>5</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>3.5</td>
<td>5.0</td>
<td>5.0</td>
<td>4.0</td>
<td>3.0</td>
<td>2.0</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>Provide equipment/material that is reliable during submarine operations (CST and post CST)?</td>
<td>RELIABILITY</td>
<td>5</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>5.0</td>
<td>5.0</td>
<td>4.0</td>
<td>3.0</td>
<td>4.0</td>
<td>5.0</td>
<td>4.0</td>
</tr>
<tr>
<td>Work together with ASC to improve the Quality of delivered goods, services and OQE documentation including authoring of NCRs, OBS and recommendations?</td>
<td>CONTINUOUS IMPROVEMENT</td>
<td>5</td>
<td>4.0</td>
<td>4.0</td>
<td>3.5</td>
<td>4.0</td>
<td>4.0</td>
<td>5.0</td>
<td>5.0</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
<td>4.0</td>
</tr>
</tbody>
</table>

#### Overall Rating of Supplier

<table>
<thead>
<tr>
<th>Requirement</th>
<th>MAX 30 POINTS</th>
<th>Jul</th>
<th>Aug</th>
<th>Sep</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>12 Month Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Score</td>
<td>24</td>
<td>24</td>
<td>24</td>
<td>24</td>
<td>24</td>
<td>24</td>
<td>24</td>
<td>24</td>
</tr>
<tr>
<td>Percentage</td>
<td>80.0</td>
<td>80.0</td>
<td>80.0</td>
<td>80.0</td>
<td>80.0</td>
<td>80.0</td>
<td>80.0</td>
<td>80.0</td>
</tr>
<tr>
<td>Monthly Rating</td>
<td>A</td>
<td>B</td>
<td>C</td>
<td>B</td>
<td>B</td>
<td>A</td>
<td>B</td>
<td>A</td>
</tr>
</tbody>
</table>

**Overall Rating:** A/B/C/D

- **Benchmark Score:** 80
- **Benchmark Rating:** B

**Monthly Rating:** A/B/C/D

- **Trigger Point:** If there are (3) consecutive ratings of "D" QA manager is to be advised
APPENDIX 2: SUPPLIER QUALITY PERFORMANCE METRICS (EXAMPLE)

ABC Construction
Monthly Performance YTD 2011

Percentage

Benchmark

3 Month Ave
## APPENDIX 3: INSPECTION AND TEST PLAN (EXAMPLE)

### COMPANY NAME/LOGO: ABC Widget Pty Ltd

<table>
<thead>
<tr>
<th>Client:</th>
<th>ASC Pty Ltd</th>
<th>ITP No: 047</th>
<th>ITP Rev No. 01</th>
<th>Date: 12 June 2013</th>
<th>Page 1 of 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contract/ Purchase Order Line Item No:</td>
<td>00085</td>
<td>Checked By: Peter Smith</td>
<td>Accreditation No: 1234/2007</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**ITP Description**

- **Manufacture and balance impeller**
- **List of Drawings & Revision**: 2-209-Rev01 2-210-Rev02 2-211-Rev 0

**Legend**

- PD: Production Supervisor
- W: Witness Point
- QC: Quality Control
- R: Record/Doc Required for MDR
- H: Client Hold Point (Client to be notified)

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Activity</th>
<th>Applicable Procedure</th>
<th>Acceptance Criteria</th>
<th>Verifying Document</th>
<th>ITP</th>
<th>Company</th>
<th>Client Assigned Hold Points</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Receipt inspection of materials</td>
<td>ABC 1245-1</td>
<td>Standards/customer specifications</td>
<td>Stock status</td>
<td>PD</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Dimensional Check (Confirm Tool Calibration)</td>
<td>NES 747 Pt 2 C11 Clause 1104</td>
<td>NES 747 Pt 2 C11 Clause 1204</td>
<td>Certificate</td>
<td>PD</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Visual Inspection</td>
<td>NES 747 Pt 2 C11 Clause 110</td>
<td>NES 747 Pt 2 C11 Clause 1205</td>
<td>Certificate</td>
<td>PD</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Review Delineated areas for NDR</td>
<td>NES 747 Pt 2 C11 Clause 8</td>
<td>TS-90-4</td>
<td>Drawing 2-209 Rev 01</td>
<td>PD</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Dye-penetrant examination Pre-machining</td>
<td>NES 729 Pt 4</td>
<td>NEST 747 Pt 2 C11 Clause 1206, 1207</td>
<td>Certificate</td>
<td>QC R</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Heat Treatment</td>
<td>NES 747 Pt 2 C11 Clause 0601</td>
<td>Furnace validated to NES 746</td>
<td>Certificate</td>
<td>PD R</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Material Compliance – Casting Mechanical Properties</td>
<td>AS 1391 – 1991</td>
<td>NES 747 Pt 2 C11 Clause 0501 (Table 3)</td>
<td>Certificate</td>
<td>QC R</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Dimensional Check Post-machining. (Confirm Tool Calibration)</td>
<td>Accuracy Control Sheet 2013-3</td>
<td>Drawing 2-2019 Rev 01</td>
<td>Certificate</td>
<td>QC R</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Dye-penetrant examination Post-machining</td>
<td>NES 729 Pt 4</td>
<td>NES 747 Pt 2 C11 Clause 1206, 1207</td>
<td>Certificate</td>
<td>QC R</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Identity / mark Casting</td>
<td>NES 747 Pt 2 C11 Clause 1403</td>
<td>NES 747 Pt 2 C11 Clause 1402</td>
<td>Certificate of Conformance</td>
<td>PD R</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Balance Impeller (Confirm Calibration of Test equipment)</td>
<td>ISO 1940</td>
<td>Grade 2.5</td>
<td>Certificate</td>
<td>W QC R</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Final inspection and review of MDR-Client to be advised.</td>
<td></td>
<td>Release Inspection 2013-13</td>
<td>Customer PO/WOP</td>
<td>QC/MDR</td>
<td>H QC R</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Preservation/packaging/shipment</td>
<td>Procedure 2013-1</td>
<td>NES 747 Pt 2 C11 Clause 1501</td>
<td></td>
<td>PD QC</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Thank you for your interest in becoming a valued part of ASC’s Supply Chain.

This Supplier Qualification Questionnaire forms part of the review ASC undertakes in order to evaluate each supplier’s suitability to become a part of the ASC supply chain.

In some cases, the information requested in this form, is all that ASC will require to evaluate your company’s potential as a supplier. In cases of more complex procurement, ASC will need additional data to complete an evaluation. If so, this data will be requested at a later stage.

### INSTRUCTIONS FOR COMPLETING THIS FORM

This Supplier Qualification Questionnaire is divided into four sections, please complete each section only as directed by your ASC Procurement Representative:

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>ascertains basic organisation details including ownership structure, facilities &amp; labour</td>
</tr>
<tr>
<td>B</td>
<td>ascertains more detailed information regarding process, configuration and quality control</td>
</tr>
<tr>
<td>C</td>
<td>ascertains safety management systems and compliance to Defence Security</td>
</tr>
<tr>
<td>D</td>
<td>ascertains additional requirements to enable assessment as a Technical Support Agency</td>
</tr>
</tbody>
</table>

Requirement for Supporting Documentation

Some questions have an ![?] icon by the response box. If you have indicated ‘Yes’ or ‘Partial’ for these questions, please include with your submission, an electronic copy of the latest revision document referenced in that question.

Please do not indicate Yes or Partial if you do not have the documents or do not want to provide them to ASC.

Some questions have an ![?] icon by the response box. If you have indicated ‘Yes’ or ‘Partial’ for these questions, please include with your submission, an electronic copy of the latest revision document referenced in that question.

Returning your completed Questionnaire

Please take the time to provide accurate responses to all questions asked, and return your completed form in electronic format (.xls - Excel 97 - 2003 version only) to your ASC Procurement Representative.

**PRIVACY STATEMENT**

ASC treats the privacy of an individual’s personal information seriously. Personal information is any information that would identify a natural person.

Any personal information provided by you in the Supplier Registration & Preliminary Evaluation will only be used or disclosed for the purposes of enabling ASC to evaluate your potential supplier suitability and to provide feedback upon completion of evaluation.
Supplier: ABC Construction Pty Ltd

Score by Chapter
1. Business Management
2. Supplier Management
3. Process Control
4. Operational Excellence
5. Continuous Improvement
6. Traceability

Total Score: 80%

Suppliers Self-Assessment
Compliance Factor: Complies
Comments: Low Risk
Reviewed by: L Citizen (QA Department)

Conclusions
(to be filled in by ASC)

Weaknesses
Action Plan
Date

Comments: Low Risk
N/A
4-Jun-10

Reviewed by: L Citizen (QA Department) Risk Factor: Low
Compliance Factor: Complies