

Supplier Self-Assessment / For Nanogate North America Suppliers



Companies that are third party certified to IATF 16949 please fill out only sections A & B.
Companies that are **NOT** third party certified to the IATF 16949 standard please fill out the entire assessment in order to verify compliance to the IATF standard requirements. All completed assessments and certificates should be forwarded via fax or e-mail to the quality dept of Nanogate (attention of Keith Oswalt) Fax: 419-525-7827 E-mail: keith.oswalt@nanogate.com

Section A Company Profile

Company name:	Form completed by & Date :
Address:	Department:
Post code, City	Telephone:
Country:	Fax:
Internet (www):	E-mail:

Supplier number (if known):	Year of the formation:
Location of the manufacturing site (if different than above):	
Subsidiary	City, Country

Contacts:			
Position	Name	Direct Telephone number	E-mail address
Director / Chief Executive Officer			
Sales manager			
Contact person for quotations			
Quality manager			
Environmental manager			

Supplier Self-Assessment / For Nanogate North America Suppliers



Section B: Quality

Quality and Environmental Management Certification					
Please mark with an X and enclose a copy of the certificate.					
Certificate	Current Certification		If no, planned at	Certification / expiration dates	Accredited 3 rd party certification body (Registrar)
	Yes	no			
ISO 9001: 2015					
IATF 16949:2016					
ISO 14001 / EMAS					
ISO/IEC 17025					

Application of Quality management - methods:

Please mark with a X, 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 Product Quality Planning (APQP)				
Failure <u>M</u> ode and <u>E</u> ffects <u>A</u> nalysis (FMEA) <ul style="list-style-type: none"> • System • Design • Process 				
CAD				
Other methods:				

Customer approvals / audits

Customer name	Standard	Result

Supplier Self-Assessment / For Nanogate North America Suppliers



Section C Quality System Assessment

Only to be completed if **NOT** accredited to IATF 16949

ISO 9001:2015 and/or IATF 16949:2016		No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.4	Do you have a quality management system in accordance with ISO 9001?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.4.1.2	Is the observance of legal / official requirements checked on a regular basis by third parties? (For example: Work safety, plant safety, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.4.1.2	Are safety and protection measures planned, arranged and examined on a regular basis for their effectiveness?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	Leadership				
5.1.1	Do you have measurable quality objectives issued by your top management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.1.1	Does the top management review the QMS at planned intervals and take accountability for the effectiveness of the QMS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.1.1.1	Does your organization define and implement corporate responsibility policies, including at a minimum an anti-bribery policy, an employee code of conduct, and an ethics escalation policy (“whistle-blower policy”)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.1.1.3	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).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Supplier Self-Assessment / For Nanogate North America Suppliers



ISO 9001:2015 and/or IATF 16949:2016		No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „Partially“ and „No“)
5.3.1	Has your organization assigned personnel with responsibility and authority to ensure customer requirements are met? These assignments shall be documented.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6	Planning				
6.1.2.2	<p>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:</p> <p>a) determining potential nonconformities and their causes</p> <p>b) evaluating the need for action to prevent occurrence of nonconformities</p> <p>c) determining and implementing action needed</p> <p>d) documented information of action taken</p> <p>e) reviewing the effectiveness of the preventive action taken</p> <p>f) utilizing lessons learned to prevent recurrence in similar processes (see ISO 9001, Section 7.1.6)</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Supplier Self-Assessment / For Nanogate North America Suppliers



ISO 9001:2015 and/or IATF 16949:2016		No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „Partially“ and „No“)
6.1.2.3	<p>The organization shall:</p> <p>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;</p> <p>b) define contingency plans according to risk and impact to the customer;</p> <p>c) prepare contingency plans for continuity of supply in the event of any of the following: key equipment failures (also see Section 8.5.6.1.1); interruption from externally provided products, processes, and services; recurring natural disasters; fire; utility interruptions; labour shortages; or infrastructure disruptions;</p> <p>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;</p> <p>e) periodically test the contingency plans for effectiveness (e.g., simulations, as appropriate);</p> <p>f) conduct contingency plan reviews (at a minimum annually) using a multidisciplinary team including top management, and update as required;</p> <p>g) document the contingency plans and retain documented information describing any revision(s), including the person(s) who authorized the change(s).</p> <p>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.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.2.1	Does Top Management ensure the quality objectives to meet customer requirements are defined, established and maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3 8.5.6	Is there a plan for the prompt introduction of changes to the product?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7	Support				
7.1.3	Infrastructure				

Supplier Self-Assessment / For Nanogate North America Suppliers



ISO 9001:2015 and/or IATF 16949:2016		No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „Partially“ and „No“)
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, labour shortage, loss of production means & field complaints?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.4	Work environment				
7.1.4	Are all areas of the company kept neat & orderly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.4.1	Are all areas free from things, which are not directly necessary for the work?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.4.1	Is the production planned to minimize the handling and traffic of material?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.5.2.1	Is the inspection and measuring equipment (used for the monitoring of product and process) calibrated on a regular basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.5.2.1	Are records of calibration maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.5.2.1	Is the measuring and test equipment calibrated under controlled conditions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.5.2.1	Is the capability of measuring & test equipment evaluated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.2	Are training records of all personnel maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.2	Are the training needs for all personnel analyzed on a regular basis & documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.2	Is training reviewed for its effectiveness?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.2.2	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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Supplier Self-Assessment / For Nanogate North America Suppliers



ISO 9001:2015 and/or IATF 16949:2016		No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „Partially“ and „No“)
7.2.4	<p>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:</p> <p>a) the automotive process approach to auditing, including risk-based thinking;</p> <p>b) applicable customer and organization specific requirements;</p> <p>c) applicable ISO 9001 and IATF 16949 requirements related to the scope of the audit;</p> <p>d) applicable manufacturing process(es) to be audited, including PFMEA and control plan;</p> <p>e) applicable core tool requirements related to the scope of the audit;</p> <p>f) how to plan, conduct, prepare audit reports, and close out audit findings.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.5	Do you have a system for the control of documents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.5	Do you preserve documents with particular retention requirements for at least 15 years after production?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.5	Do you reserve Ppap documents for the life of the program plus a minimum of 1 calendar year?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.2	Customer-related processes				
8.2.1	Do you have a formal system for the review & acceptance of contracts or orders?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.2	<p>Are you able to exchange with Nanogate electronic information about:</p> <ul style="list-style-type: none"> - Development-Data - Contracts-Data - Reports, etc.? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Supplier Self-Assessment / For Nanogate North America Suppliers



ISO 9001:2015 and/or IATF 16949:2016		No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „Partially“ and „No“)
8.2.2	Have you a system to manage and to preserve documents provided by the customer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.2.3	Are customer requirements documented and communicated in the company?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.2.3.1.1	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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3	Development				
8.3.2	Do you have sufficient qualified & competent resources for development?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3.3.1	Is there a process for the selection, use, application and inspection of instruments and equipment used for inspection, testing and monitoring?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3.4	Do you have a robust process for the management of changes by the customer and for changes initiated by yourself?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3.5	Do you make a review of the design results in the different development stages, before the results are processed and advised to the customer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3.6	Can you ensure that technical forms, standards and changes by Nanogate can be evaluated, distributed and realized on time - within 14 days?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4	Purchasing				
8.4	Do you have defined process to identify raw materials and to know their application?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4	Is raw material stored and processed in order to avoid a negative influence of the environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4.1	Are your suppliers evaluated on a regular basis on their quality performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4.2	Do you have a list of approved suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4.2	Is material with limited shelf life identified and monitored?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4.2	Are materials quarantined until they are tested?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Supplier Self-Assessment / For Nanogate North America Suppliers



ISO 9001:2015 and/or IATF 16949:2016		No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „Partially“ and „No“)
8.4.2.4	Do your subcontractors within agreed timescales implement urgent measures, correction and improvement activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4.2.4.1	<p>Does your organization include a second-party audit process in your supplier management approach. Second-party audits may be used for the following:</p> <ul style="list-style-type: none"> a) supplier risk assessment; b) supplier monitoring; c) supplier QMS development; d) product audits; e) process audits. <p>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. The organization shall retain records of the second-party audit reports. If the scope of the second-party audit is to assess the supplier's quality management system, then the approach shall be consistent with the automotive process approach. NOTE Guidance can be found in the IATF Auditor Guide, ISO 17021, and ISO 19011.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4.3	Are your suppliers 3 rd party registered to ISO 9001 or IATF 16949?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.5.1.1	<p>Are the following issues defined for all the tests:</p> <ul style="list-style-type: none"> - Measurement technology - Sampling frequency - Acceptance criteria - Reaction plans, if acceptance criteria are not fulfilled. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.5.1.2	Are there documented work instructions for production?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.5.1.3	Is data of charge / batch / lot collected and recorded?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Supplier Self-Assessment / For Nanogate North America Suppliers



ISO 9001:2015 and/or IATF 16949:2016		No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „Partially“ and „No“)
8.5.1.5	<p>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 the following:</p> <p>a) identification of process equipment necessary to produce conforming product at the required volume;</p> <p>b) availability of replacement parts for the equipment identified in item a);</p> <p>c) provision of resource for machine, equipment, and facility maintenance;</p> <p>d) packaging and preservation of equipment, tooling, and gauging;</p> <p>e) applicable customer-specific requirements;</p> <p>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);</p> <p>g) regular review of maintenance plan and objectives and a documented action plan to address corrective actions where objectives are not achieved;</p> <p>h) use of preventive maintenance methods;</p> <p>i) use of predictive maintenance methods, as applicable;</p> <p>j) periodic overhaul.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.5.1.5 8.5.1.6	Is the service and maintenance accomplished according to a planned schedule?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.5.1.5 8.5.1.6	Are responsibilities for service and maintenance defined?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.5.1.5 8.5.1.6	Do you consider the entire life cycle of means of production?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Supplier Self-Assessment / For Nanogate North America Suppliers



ISO 9001:2015 and/or IATF 16949:2016		No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „Partially“ and „No“)
8.5.2.1	<p>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:</p> <p>a) enable the organization 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.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.5.4.1	Can you segregate and identify your materials and products by part number, charge and customers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.6.2	Are tests - materials identified and controlled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.7	Is there an active “Feedback- System” regarding corrective and improvement activities – i.e. 8-D Reports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.7 8.7.1	Is it ensured that non-conforming product is identified & controlled to prevent delivery to the customer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.7.1.2	Are there procedures for the segregation, identification & disposal of rejected materials?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.7.1.4	Is it ensured that non-conforming product is not delivered to the customer without customer authorization?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.7.1.5	Is there a system for handling of customer complaints?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.7.1.6	The organization shall immediately notify the customer(s) in the event that nonconforming product has been shipped. Initial communication shall be followed with detailed documentation of the event.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Supplier Self-Assessment / For Nanogate North America Suppliers



ISO 9001:2015 and/or IATF 16949:2016		No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „Partially“ and „No“)
9	Performance Evaluation				
9.1.1.1	Is process data collected and recorded?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.1.1.1	Is there a formal process for `In - process` control?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.1.1.1	Are different statistical methods understood and utilized throughout the organization?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.1.1.2	Are statistical Process Control (SPC) used?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.1.1.3	Are `In-process` controls done by the production operators?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.1.1.3	Is implemented corrective and improvement measures derived from statistical analysis of data and is effectiveness examined?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.1.1.3	Do you conduct capability studies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.1.1.3	Can you calculate the following capabilities: $p_p / p_{pk} / C_p / C_{pk}$?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.1.3.1	Is data analyzed on a regular basis to compare trends in quality and performance with the business goals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.2.1	Do you conduct internal quality audits on a regular basis – at least annually – in each functional area and for each process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.2.2	Do you conduct product - and process audits on a regular basis by qualified Auditors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.2.2	Is there an audit plan and is it followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.2.2	Are audit results documented and communicated to the responsible persons?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.2.2.4	Is the packaging and labeling of shipments checked and monitored?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Supplier Self-Assessment / For Nanogate North America Suppliers



ISO 9001:2015 and/or IATF 16949:2016		No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „Partially“ and „No“)
9.3.2.1	<p>Do you conduct Management review and do the inputs of that review include all of the following:</p> <p>a) cost of poor quality (failure, appraisal, and prevention);</p> <p>b) measures of process effectiveness;</p> <p>c) measures of process efficiency;</p> <p>d) product conformance;</p> <p>e) plant, facility, and equipment planning to ensure manufacturing feasibility made for changes to existing operations and for new facilities or product (see Section 7.1.3.1);</p> <p>f) customer satisfaction (see ISO 9001, Section 9.1.2);</p> <p>g) review of performance against maintenance objectives;</p> <p>h) warranty performance (where applicable);</p> <p>i) review of customer scorecards (where applicable);</p> <p>j) identification of potential field failures identified through risk analysis (such as FMEA);</p> <p>k) actual field failures and their impact on safety or the environment.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10	Improvement				
10.2 10.2.1 10.2.2	Are corrective measures implemented within 90 days and is their effectiveness evaluated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10.2	Are structured problem solving methods used?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10.2.1	Are such activities accomplished in all areas of the company?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10.2.1	Are improvement measures documented and are responsible persons named?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10.2.4	Are methods concerning error-prevention used in the corrective action process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10.2.5	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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10.3	Does your company continually strive to improve with respect to quality, costs and effectiveness?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Supplier Self-Assessment / For Nanogate North America Suppliers



ISO 9001:2015 and/or IATF 16949:2016	No 0 Points	Partially 3 Points	Yes 6 Points	Comments (in case of answers „Partially“ and „No“)
SUM				

Evaluation result = $\frac{\text{TOTALSUM} \times 100}{486}$ = %

Essential improvement areas:

- 1.
- 2.
- 3.
- 4.
- 5.

Supplier Self-Assessment / For Nanogate North America Suppliers



Section D Evaluation of the Environmental management

1	Information about environmental management in the company	No 0 Points	Partially 3 Points	Yes 6 Points	comment
1.1	Is your company third party certified to ISO 14001:2015? If yes please forward a copy of your certificate and answer only highlighted questions below. If no please answer all questions below.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2	Is there an environmental policy for the company?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3	Does your environmental policy address product related aspects? If yes, which?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.4	Has your company defined goals to improve environmental protection, including documentation of compliance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.5	Does your company pursue written corporate environmental guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.6	Is " Good management Practice" upheld in your company?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.7	Are environmental protection measures and results documented in your company?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	Environmental relevant processes, environmental consequences				
2.1	Have you determined the environmental effects of your products? If yes, what are they?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.2	Have you determined the environmental effects of your production processes? If yes, what are they?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3	Do you send us information (MSDS) about the material contents in your raw materials, components, and products as well as mandatory declarations about material contents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.4	Do you use the International Material Data System (IMDS)“?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.5	Do you take back the packaging? If yes, which?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.6	Do you take back your products after use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.7	Can you guarantee regular recycling / waste management of the taken back materials / components / products?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.8	Are your employees informed and trained on a regular basis about environmental protection topics?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.9	Do you endeavor to improve environmental protection by your suppliers and contractual partners?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Sum				

$$\text{Result of the evaluation} = \frac{\text{TOTAL SUM}}{96} \times 100 = \text{\%}$$

Supplier Self-Assessment / For Nanogate North America Suppliers



Revision History

7/2010	Added Revision History page Deleted QS9000 reference Updated Assessment to include ISO 9001:2008 and TS16949: 2009
6/2011	Removed Iso 9001 from Section C
1/2017	Updated with new company name and changed contact info to K. Oswalt
11/2018	Removed TS 16949, Replaced with IATF 16949:2016
7/2019	Updated with new name- Nanogate North America