QUALITY PROVISIONS
ASSESSMENT
QUESTIONS

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1. **QP 0112 - SUPPLIER'S RESPONSIBILITIES FOR CONTINUOUS APPROVAL AS A NORTHROP GRUMMAN SUPPLIER**

   a. Does your organization have a documented process to ensure employees directly related to product realization are informed about their contribution to product quality?

   a. Is there objective evidence of employee familiarization?

   b. Is the process in compliance with the Northrop Grumman Innovation Systems (NGIS) Quality Provision?

2. **QP 0114 - BASIC QUALITY SYSTEM REQUIREMENTS**

   a. Does your organization have a written process that describes the quality management system (QMS)? Record the document number.

   a. Is the system based on a published quality management system (e.g., ISO900, AS9100, etc)?

      If so, please provide the QMS.

   b. Does the QMS define and describe the process to ensure hardware and documentation traceability is maintained? Describe the process.

   c. Does the QMS define the process for customer purchase order review? Describe the process.

   d. Does the QMS define the process to ensure deliverable customer requirements, such as certifications and test reports, are included with each shipment? Describe the process.

   e. Has an audit of the QMS been performed with in the last three years by a third party? What were the results of that audit?

   f. How is the requirement for positive traceability flowed to sub-tier suppliers? Describe the process.

   g. Is the process in compliance with the NGIS Quality Provision?

3. **QP 0115 - CALIBRATION SUPPLIER'S QUALITY SYSTEM REQUIREMENTS**

   a. Does your organization have an internal calibration system, or utilize a third party calibration service that is ISO/IEC 9000, ISO/IEC 17025 or ANSI/NCSL Z540 accredited? Describe.
b. Are calibration standards used for calibration traceable to the National Bureau of Standards (NIST)?

c. Does your organization have a documented process to document out of tolerance conditions? Describe the process

d. Does the Certificate of Calibration issued by the supplier accurately identify equipment and its calibration condition, complete with due dates?

e. Does management perform review of the calibration system to monitor effectiveness and adequacy?

f. Is the process in compliance with the NGIS Quality Provision?

4. **QP 0121 – CERTIFICATE OF CONFORMANCE REQUIRED**

a. Does your organization have a documented procedure that describes the Certificate of Conformance (C of C) process? Describe the process.

b. Does your C of C contain all of the data required in the NGIS Quality Provision?

c. Does your organization have a process that describes which information must be included when the C of C is generated?

d. Does your process ensure a C of C is included with each shipment? Describe the process.

e. Is there a process to designate/assign responsibility for creating and signing the C of C? Who is the entity (QA, procurement, Program, etc.)?

f. Is the process in compliance with the NGIS Quality Provision?

5. **QP 0122 – CERTIFICATE OF CONFORMANCE REQUIRED**

Does your organization have a documented procedure that describes the Certificate of Conformance (C of C) process? Describe the process.

a. Does your C of C contain all of the data required in the NGIS Quality Provision?

b. Does your organization have a process that describes which information must be included when the C of C is generated?
c. Does your process ensure a C of C is included with each shipment? Describe the process.

d. Is there a process to designate/assign responsibility for creating and signing the C of C? Who is the entity (QA, procurement, Program, etc.)?

e. Is the process in compliance with the NGIS Quality Provision?

6. **QP 0131 - NONCONFORMING MATERIALS REQUIREMENTS**

a. Does your organization have a process that documents the necessity to notify NGIS within 48 hours of any nonconformance that requires NGIS material review board (MRB) approval (Use-As-Is, Repair, etc.)? Describe the process.

b. Does your organization have a process that describes the information that must be included when NGIS is notified of the Nonconformance? Does this process include a time constraint so that NGIS is notified on a timely basis?

c. Does your organization have a process that ensures containment of nonconforming product to prevent shipment of product(s) having similar defects?

7. **QP 0141.7 - CORRECTIVE ACTION REQUIREMENTS**

a. Does your organization have a process that defines how to respond to Customer corrective actions? Describe the process.

b. Does the process support investigations into discrepancies or systemic quality concerns relayed via NGIS’s Corrective Action (CAR) or Supplier Corrective Actions requests (SCAR)?

c. Does the process define the timeliness of response that is required?

d. Is the process in compliance with the NGIS Quality Provision?

8. **QPs 0162, 0163, 0164, & 0165 - RECORD RETENTION REQUIREMENTS**

a. Does your organization have a documented process that describes the Record Retention Procedure (RRP) and the timelines per the purchase order and subcontract? Record the document number.
b. Does the RRP define the type of records required for retention and described the process for record storage? Describe the process.

c. Does the RRP provide for notification of the NGIS Purchasing Agent when the retention requirements have been fulfilled? Describe the process.

d. Are the records retained clearly identifiable and readily accessible?

e. Is the process in compliance with the NGIS Quality Provision?

9. QP0212 – QUALITY SYSTEM CERTIFIED TO ANSI/ASQ/ISO 9001 REQUIRED

a. Is your quality system certified to ANSI/ASQ/ISO 9001?

b. Is the certification certificate available for review?

10. QP0241 – QUALITY SYSTEM CERTIFIED TO SAE AS9100 REQUIRED

a. Is your quality system certified to SAE AS9100?

b. Is the certification certificate available for review?

11. QP 0521 - ESD PRECAUTIONS REQUIRED

a. Does your organization have a documented procedure that describes Electrostatic Discharge Precautions (ESDP), including proper processing along the entire supply chain to NGIS? Record the document number.

b. Does the ESDP describe the actions required during handling, manufacture, assembly and transportation, including subassemblies? Describe the process.

c. Does the ESDP include how to package ESD sensitive items? Describe the process

   a) Is the process in compliance with ANSI/ESD S20.20, MIL-STD-1686?

   d. Does the ESDP define how the supplier shall ensure the ESDP are flowed down through the supply chain for ESD sensitive items on this order? Describe the process?

   e. Is the process in compliance with the NGIS Quality Provision?
12. QP 0532 - APPROVED WELDING PROCESS SOURCES

a. Welding process must be approved by NGIS. Does your organization have a process to ensure only NGIS Certified Providers are used for welding?
   
   a. Is your organization aware there is a Certified Providers List for NGIS items?

b. Does your organization have a process for identifying weld requirements?

c. Is the process in compliance with the NGIS Quality Provision?

13. QP 0581 - NOTIFICATION OF CHANGES TO PROCESSES REQUIRED

a. Does your organization have a documented process that describes how and when to notify NGIS of changes to processes? Record the document number.

b. Does the process ensure “Notification of Changes” requirement is flowed down through the supply chains, to the lowest level subassembly? Describe the process.

c. Is the process in compliance with the NGIS Quality Provision?

14. QP 0582 - APPROVAL OF CHANGES TO PROCESSES REQUIRED

a. Does your organization have a documented process that describes the Approval of Changes to Processes (ACPR), including both proposed and inadvertent changes? Record the document number.

b. Does the ACPR describe the process of how notification is provided to NGIS? Describe the process.

C. Does the ACPR define that written approval of change must be received from NGIS before the supplier can proceed? Describe the process.

d. Does the ACPR define the process to ensure approval of change required is flowed down through the supply to the lowest subassembly level? Describe the process.
e. Is the process in compliance with the NGIS Quality Provision?

15. QP 0612 - *FINAL ACCEPTANCE TEST REPORT SUBMITTAL REQUIRED*

   a. Does your organization have a written process that describes how to deliver the final acceptance test report to NGIS? Record the document number.

   b. Does the report include the signature of your authorized individual?

   c. Does the report include the as-run test procedure or approved ATP?

   d. Does the report have the purchase order/subcontract number, the item name, part and serial number, lot/date code, drawing or specification number (including revision and amendments) and failure records as applicable?:

   e. Is the process in compliance with the NGIS Quality Provision?

16. QP 0621 - *TEST REPORT HISTORY SUBMITTAL REQUIRED*

   a. Does your organization have a written procedure describing how and what is required to submit test history reports to NGIS? Record the document number.

   b. Are all failure assessments dispositioned and resolved per PO requirements and included in the report?

   c. Does the test report include all data associated with all testing accomplished during the manufacturing and testing, including final acceptance testing?

   d. Does all test documentation include the name, signature or stamp of the technician and/or inspector who performed the activity?

   e. Are all trace and environmental data included in the report, such as environmental data sheets, serial number, lot numbers, date codes, and strip charts?

   f. Is the process in compliance with the NGIS Quality Provision?
17. QP 0622 - NOTIFICATION OF TESTING REQUIRED

a. Does your organization have a written procedure that describes how/when to notify NGIS on testing required by the PO/contract to be witnessed by NGIS or NGIS customer? Record the document number.

b. Does the test plan identify a specific test point that may have been identified by NGIS contractually for test witness during the development, qualification, and manufacturing phase?

c. Does the planning include enough lead time in notification that the notice will support NGIS witness and NGIS customer if required and does the planning meet the notification period if required by contract?

d. Are you aware that lack of sufficient notification of testing will be your organization's responsibility including associated costs and any schedule delay?

e. Does your organization have a process to impose mandatory inspection to ensure NGIS is notified when witness of test notification of testing at sub-suppliers (if any) is flowed down per subcontract or notification is presented to NGIS? Record the document number.

f. Is the process in compliance with the NGIS Quality Provision?

18. QP 0623 - TEST FAILURE NOTIFICATION REQUIRED

a. Does your organization have a written process describing how to notify NGIS when failures are encountered during qualification, acceptance testing, and/or in-process testing? Record the document number.

   1. Does the process ensure notification within one business day of the failure?

b. Does the process include controls to ensure the test-set up of the failed item is not disturbed until NGIS concurs with proceeding? Describe process:

c. Is there a nonconformance system to indicate the test unit is non-conforming? (no/yes and name of system)
d. Are notification requirements imposed on to sub-tiers suppliers to support this requirement? Describe the process or list the document.

e. Is the process in compliance with the NGIS Quality Provision?

19. QP 0711 - **INSPECTION REPORTS SUBMITTAL REQUIRED**

   a. Does your organization have a written process that describes how to capture and provide completed inspection plans at the time of delivery of this product? Record the document number.

   b. Do the inspection reports include: procedure number, revision, part numbers inspected, serial (if appropriate), lot batch or date code numbers as appropriate?

   c. Do the inspection reports include the identification of each inspection character, results of each inspection character, who performed the inspection, and NC number for characters out of tolerance?

   d. Does your organization have a system to provide objective evidence of NGIS approval of nonconformances within the inspection plan submittal?

   e. Describe the process for imposing the inspection report requirements to sub-tier suppliers?

   f. Is the process in compliance with the NGIS Quality Provision?

20. QP 0722 - **FIRST ARTICLE INSPECTION REPORT PER SA AS9102 REQUIRED**

   a. Does your organization have a written procedure describing how to perform and report first article inspections? Record the document number.

   b. Does your organization have a process that describes when first article inspection reports (FAIR) or delta FAIRs are required? Describe the process?

   c. Is a bubbled/ballooned version of the drawing used to capture all drawing characteristics?
d. Does your organization have a procedure that describes how to organize the FAIR package for NGIS review and approval?

e. Is the process in compliance with the NGIS Quality Provision?

21. QP 0821 – NORTHROP GRUMMAN INNOVATION SYSTEMS SOURCE SURVEILLANCE NOTICE

a. Does your organization have a process to identify mandatory NGIS inspections points and document them within your manufacturing and test processes?

b. Does your organization have a process to ensure a minimum of three-day notice is given to NGIS before a planned source inspection date?

c. Does your organization have a process to ensure NGIS source inspection requirements are imposed on sub-tier suppliers when required by the contract?

d. Is the process in compliance with the NGIS Quality Provision?

22. QP 0933 - SUPPLY CHAIN TRACEABILITY OF EEE ITEMS REQUIRED

a. Does your organization have a written procedure to ensure EEE parts are procured from the original component manufacturer (OEM) or an authorized distributor of the manufacturer? Describe the process. Record the document number.

b. Describe the process to ensure supply chain traceability of EEE? (The process should describe how traceability is maintained through the supply chain including purchase order requirements through receiving inspection into manufactured product.). Record the document number.

c. Does your organization have a verification process to ensure products received from suppliers have documentation/certifications through the entire supply chain including the manufacturer and all intermediaries? (Also referred to as "chain of custody").

d. Is the process in compliance with the NGIS Quality Provision?
23. QP 0951 - MANUFACTURER'S IDENTIFICATION REQUIRED

a. Does your organization have a written process that ensures the manufacturer's name, address, and/or cage code are provided to NGIS with each shipment?

b. Does your organization have a written process to ensure manufacturer identification requirements are imposed on sub-tier suppliers?

c. Is the process in compliance with the NGIS Quality Provision?

24. QP 1022 - AS-DESIGNED/AS-BUILT CONFIGURATION REQUIRED

a. Does your organization have a documented procedure that describes the as-designed/as-built (ADAB) configuration record generation process? Record the document number.

   1. Does the procedure specify what items must be included on the ADAB?

b. Does the ADABCR define how departures from the as-designed baseline and the as-built configuration can be reconciled with NGIS? Describe the process.

   1. Does the process require NGIS approval?

c. Does the procedure ensure an ADAB record is provided with each shipment? Describe the process.

d. Is the process in compliance with the NGIS Quality Provision?

25. QP 1311 - MANUFACTURER'S CERTIFICATIONS SUBMITTAL REQUIRED

a. Does your organization have a written procedure that ensures manufacturer's certification is provided when required by the purchase order? Describe the process. Record the document number.

b. Does the procedure specify an individual and/or group responsibility for ensuring that the certifications received have been checked to be correct?
c. Does your documentation assign responsibility to a specific individual or titled position for fulfilling the NGIS requirement to include a copy of the original manufacturer's certification in the shipping documentation package?

d. Does your organization have a process/method to flow down submittal requirements for Certificates of Conformance to manufacturers and distributors?

e. Is the process in compliance with the NGIS Quality Provision?

26. QP 1321.7 - MATERIAL/PROCESS CERTIFICATIONS SUBMITTAL REQUIRED

a. Does your organization have a documented process to ensure conformance to NGIS's Quality Provision 1321 for the Submittal of Material/Process Certifications? Record the document number.

b. Does your organization have a documented process describing archiving the material/process certifications received from suppliers?

c. Does your organization have a documentation designating an individual and/or group within the company that is responsible for reviewing certifications received to ensure that all the required information has been included?

d. Does your organization have a specific individual or titled position assigned to ensure fulfillment of the NGIS requirement to include a copy of the material certification in the shipping documentation package?

e. Does your organization have a process to flow down the requirement for submittal of material certifications to manufacturers and distributors?

f. Is the process in compliance with the NGIS Quality Provision?

27. QP 1322 - MATERIAL CERTIFICATIONS SUBMITTAL REQUIRED

a. Does your organization have a documented process that ensures conformance to NGIS's Quality Provision 1322 for the Submittal of Material Certifications? Record the document number.
b. Does your organization have a documented process describing archiving the material/process certifications received from suppliers?

c. Does your organization have documentation designating an individual and/or group within the company that is responsible for reviewing certifications received to ensure that all the required information has been included?

d. Does your organization have a specific individual or titled position assigned to ensure fulfillment of the NGIS requirement to include a copy of the material certification in the shipping documentation package?

e. Does your organization have a process to flow down the requirement for submittal of material certifications to manufacturers and distributors?

f. Is the process in compliance with the NGIS Quality Provision?

28. QP 1324 - MATERIAL CERTIFICATIONS SUBMITTAL REQUIRED

g. Does your organization have a documented process that ensures conformance to NGIS's Quality Provision 1324 for the Submittal of Material Certifications? Record the document number.

h. Does your organization have a documented process describing archiving the material/process certifications received from suppliers?

i. Does your organization have documentation designating an individual and/or group within the company that is responsible for reviewing certifications received to ensure that all the required information has been included?

j. Does your organization have a specific individual or titled position assigned to ensure fulfillment of the NGIS requirement to include a copy of the material certification in the shipping documentation package?

k. Does your organization have a process to flow down the requirement for submittal of material certifications to manufacturers and distributors?

l. Is the process in compliance with the NGIS Quality Provision?
29. QP 1342 - RADIOGRAPHIC CERTIFICATIONS AND RADIOGRAPHIC SUBMITTAL REQUIRED

a. Does your organization have a documented process for generating radiographic certification? Record the document number.
   1. Does the process ensure the results of the inspection are included on the certification along with the individual reading and interpreting the images?
   2. Does the process ensure control numbers are assigned to each part and appear on the radiographic image?

b. Does your organization have a process to ensure radiographic images are included with shipments to NGIS?

c. Does your organization have a process/method for imposing the requirements of the QP to sub-tier suppliers?

d. Is the process in compliance with the NGIS Quality Provision?

30. QP 1354 - SAMPLE PRINTED WIRING BOARD (PWB) AND DOCUMENTATION RETENTION REQUIRED

a. Does your organization have a retention process for test samples, coupons, and micro-sections for PWBs?

b. Are test samples, coupons, and micro-sections for PWBs traceable by lot and panel to the serialized PWBs?

c. For PWBs to be delivered to NGIS is the micro-section test report from a DSCC approved laboratory showing compliance to IPC-6010 Series, Class 3, MIL-PRF-55110 or MIL-PRF-31032 requirements, as applicable?

d. Does your organization have a process/provision to provide the retained test samples, coupons, micro-sections, and/or copies of test reports to NGIS upon request?

e. Does your organization have a process/method for imposing the requirements of the QP to sub-tier suppliers?
f. Is the process in compliance with the NGIS Quality Provision?

31. QP 1431. - FOREIGN OBJECT DEBRIS (FOD) PREVENTION PROGRAM

   a. Does your organization have a documented foreign object debris (FOD) program? Record the
document number
      a. Which specification is the FOD prevention program modeled after?
   b. When was the last time your program has been audited externally?
   c. Provide examples of FOD prevention practices your organization uses.
   d. Is the process in compliance with the NGIS Quality Provision?

32. QP 1731 - REQUIREMENTS FOR APPROVAL OF CHANGES IN SUPPLIER'S DESIGN

   a. Does your organization have a process for notifying customers of design changes?
   b. Is there a process to impose design change notification to sub-tier suppliers? Describe the
      process.
   c. Is the process in compliance with the NGIS Quality Provision?

33. QP 1741 - PART SUBSTITUTIONS PROHIBITED

   a. Does your organization have a controlled procedure to ensure part and/or material substitutions
      will not be used for items on NGIS design requirements?
   b. Does your organization have a process that communicates change requests to the customer?
      Describe the process.
   c. Does your organization have a process to ensure that written authorization is obtained from NGIS
      before any deviations from NGIS design requirements are made?
   d. How are part substitution requirements imposed on sub-tier suppliers? Describe the process or
      method.
   e. Is the process in compliance with the NGIS Quality Provision?

34. QP 1742 - OBSOLETE PARTS PROHIBITED
a. Does your organization have a controlled procedure to ensure there no parts used in the design are obsolete from the original manufacturer?

b. Does your organization have a process to ensure notification to NGIS of any impending obsolete parts for items on an NGIS purchase order? Describe the process.

c. How are obsolete parts notification imposed on sub-tier suppliers? Describe the process or method.

d. Is the process in compliance with the NGIS Quality Provision?

35. QP 1821 - PACKAGING REQUIREMENTS FOR STRUCTURES AND MACHINED COMPONENTS

a. Does your organization have a written process that describes how to package product for shipment. Record the document number.

b. Does the packaging process include how to package ESD sensitive items? Record the document number.

   a. Is the process in compliance with ANSI/ESD S20.20, MIL-STD-1686, or JESD625?

c. Does the packaging process include verification parts are individually packaged and labeled? Describe the process:

d. Does the packaging process prevent the use of shredded fibers/material or “peanuts”?

e. Does your organization have a method to ensure the packaging is sufficient to prevent damage during shipping and handling? Describe the method.

f. Is the process in compliance with the NGIS Quality Provision?

36. QP 1935 – RESTRICTIONS ON ELECTRICAL CONNECTORS/BACKSHELLS MANUFACTURERS

a. Does your organization have a process to verify electrical connector manufacturers before shipment to NGIS? Describe the process
b. Does the process specifically identify which manufacturers and part number combinations are acceptable or not acceptable for shipment to NGIS?

c. Is the process in compliance with the NGIS Quality Provision?

37. QP 1962 - PROCUREMENT FROM AN AUTHORIZED/FRANCHISED SOURCE REQUIRED

a. Does your organization have a documented procedure for ensuring Electrical, Electronic, and Electromechanical (EEE) components are procured directly from either the Original Component Manufacture (OCM) or an authorized distributor of the manufacturer? Describe the process.

b. Does your organization have a process to ensure/verify part authenticity in the event it is necessary to procure components from a non-authorized/franchised source (a.k.a Broker)? Describe the process

1. Does the process require NGIS (customer) approval before initiating a purchase agreement from a non-authorized / franchised source?

c. Describe the process for maintaining records from non-authorized.

d. Is the process in compliance with the NGIS Quality Provision?