STEP – Technical Oversight Quality

Supplier Name:		Vendor Code (specify RRC, RRD, R-R plc):	
Full Address (including city, state, country & Post / ZIP code):		Quality Manager: E-mail Contact: Phone #: Fax#:	
Scope of Business:	No of Employees:	Quality Contact: E-mail Contact: Phone #: Fax #:	
Quality System Certification (e.g. ISO9001:2000):		Type of Nadcap / Process Approvals (e.g. NDT, welding):	Class Type (RRC only):
Appendices to be covered by the assessment being undertaken:			
Audit on behalf of (e.g. Corporation, Deutschland and/or Plc):			

Audit Performed by: Date: Total Auditor days:

Reviewed by (as applicable): Date:

Number of non-conformances raised - MAJOR: MINOR:

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Questionnaire contents:

1. General Requirements
2. ISO 14001 Environmental management system awareness
3. Management responsibility
4. Documentation requirements
5. Product realisation – General
6. Purchasing
7. Source change
8. Production and service provision; Control of product and service provision
9. Validation of processes for production and service provision
10. Monitoring and measurement of product
11. First article inspection
12. Component proving
13. Control and monitoring of measuring devices
14. Customer property
15. Preservation of product
16. Identification and traceability
17. Control of non-conforming product
18. Internal audit
19. Resource management
20. Improvement

Part record:

Part Number:	Part Name / Description:	Rev:	CCF's Identified?	Supplier Part Number (if different):	Rev:	CCF's Identified?

Definitions:

Major Deficiency: A major is justified when there is an unacceptable and significant risk to the product or service, or where there is a total absence of necessary control arrangements that could lead to this.

Minor Deficiency: A minor is justified when there are one or more lapses in complying with requirements that warrant mandatory corrective action but are not judged to constitute an unacceptable significant risk.

Colour Code (optional):

	Supplier comments	Auditor comments	Raised observations	Raised deficiencies
Colour				

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
1. General requirements						
1.1	RR	SABRe Supplier Approvals	Does the supplier hold a RR approval certificate(s), which covers the full scope of work and processes being undertaken?			
1.2	RR	SABRe Supplier Approvals	Does the supplier hold accreditation to Nadcap? a) Does this cover all RR approved special processes? b) Is the accreditation valid (i.e. within expiry period)? c) Is the next Nadcap audit scheduled?			
1.3	RR	SABRe Supplier Approvals	Does the supplier hold 3rd party accreditation? a) Does this cover the full scope of work and processes being undertaken (i.e. AS/EN 9100 for classified parts)? b) Has the 3rd party accreditation been registered onto the OASIS database? c) As applicable, has the supplier successfully closed out non-compliances with the 3rd party certification body? d) Does the Supplier have a process that ensures that Rolls-Royce is informed if any changes to their 3rd party accreditation occurs, including lapse/ withdrawal			
2. ISO 14001 Environmental management system awareness (Note: This section is not a mandatory SABRe requirement)						
2.1	RR	SABRe Bus Req	Do you have an Environmental policy?			
2.2	RR	SABRe Bus Req	Who is the nominated person (and position) responsible for environmental issues?			
2.3	RR	SABRe Bus Req	Is your management system certified to the Environmental Management System (EMS) standard ISO 14001 or registered under EMAS (Eco Management and Audit Scheme)?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
2.4	RR	SABRe Bus Req	If your Environmental Management System is not currently certified to ISO14001, do you have a plan to seek external certification in the future?			
2.5	RR	SABRe Bus Req	Do you have a health & safety policy?			
2.6	RR	SABRe Bus Req	Who is the nominated person (and position) responsible for health & safety issues?			
2.7	RR	SABRe Bus Req	Does the health & safety management system meet the requirements of OHSAS18001?			
2.8	RR	SABRe Bus Req	If appropriate, are you seeking approval to any other accredited HS&E management systems standard e.g. BS8555?			
3.0 Management responsibility						
3.1	RR	SABRe Bus Req SABRe Bus Req SABRe Bus Req	Is the Supplier aware of RR9000: SABRe requirements and the RR Quality Renaissance targets? Has this been flowed down to all personnel involved with the RR activity? Does the Supplier have targets that follow the same intent of the improvement methodology as used within RR Quality Renaissance?			
3.2	RR	SABRe Bus Req	Does the supplier conduct a routine executive review of key process performance and rates of improvement?			
3.3	RR	SABRe Bus Req	Does the supplier abide by the supplier code of conduct including the protection of all RR proprietary data?			
4.0 Documentation Requirements						
4.1	AS / EN	4.2.1	Does the supplier ensure that personnel have access to quality management system documentation and are aware of relevant procedures?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
4.2	ISO	4.2.2	Has the supplier established and maintained a quality manual that includes: a) The scope of the quality management system, including details of, and justification for, any exclusions? b) The documented procedures established for the quality management system, or reference to them?			
4.3	RR	SABRe Control of Documents and Records	Does the supplier have a system: a) To promptly review all NTS's? b) To take appropriate action on each NTS?			
4.4	RR	SABRe Control of Documents and Records	Can the supplier demonstrate control of RR specifications / drawings? Use the following table to record the results.			

Specification	Correct revision level	Supplier revision level	Location in supplier

4.5	AS/EN	4.2.3	Does the supplier coordinate document changes with customers and/or regulatory authorities in accordance with contract or regulatory requirements?			
4.6	RR	SABRe Control of Documents and Records	Does the supplier's procedure for record retention periods conform to RR9000: SABRe?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
4.7	RR	SABRe Control of Documents and Records	Are all quality records legible and stored in such a way that they are readily retrievable in facilities that provide a suitable environment to prevent damage or deterioration and to prevent loss? If stored electronically, has the supplier taken precautions against the obsolescence of software / hardware required to read the data?			
5.0 Product realisation – General						
5.1	ISO	7.2.2	Can the Supplier demonstrate a record of contract review activity that: a) Ensures product requirements are defined? b) Any differences are resolved?			
5.2	RR	SABRe Bus Req	Can the supplier demonstrate advanced quality planning activities as noted in RR9000: SABRe?			
5.3	ISO	7.1	In planning product realisation, does the supplier determine the following: (as appropriate) a) Required verification, validation, monitoring, inspection and test activities specific to the product and the criteria for product acceptance? b) Records needed to provide evidence that the realisation processes and resulting product meet requirements (e.g. valid purchase order)? Can the supplier demonstrate that this activity has been undertaken for the part number selected?			
5.4	ISO	7.2.2	Where product requirements are changed, does the supplier ensure that relevant documents are amended and that relevant personnel are made aware of the changed requirements?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
6.0 Purchasing						
6.1	RR	SABRe Control of Sub tier Suppliers	Can the supplier demonstrate an effective sub-tier management system in accordance with RR 9000: SABRe, including performance measurements?			
6.2	RR	SABRe Supplier Approvals	Does the supplier only use RR approved sub-tiers for the manufacturing of products to a RR design? If no, does the supplier conform to Section 4.3 of Supplier Approvals?			
6.3	RR	SABRe Control of Sub tier Suppliers	Do the supplier's purchase orders flow down all requirements, including RR9000: SABRe, specifications, revisions and Key Characteristics (including Conformance Control Features) to their sub-tiers?			
6.4	RR	SABRe Bus Req	Does the supplier ensure that all sub-tiers have suitable Nadcap approvals for their scope of work?			
6.5	ISO	7.4.3	Does the supplier establish and implement the inspection or other activities necessary for ensuring that purchased product meets specified purchase requirements?			
6.6	AS / EN	7.4.3	Is purchased product held until it has been verified as conforming to specified requirements unless it is released under positive recall procedure?			
6.7	ISO	8.2.4	Where reduced receipt inspection is undertaken is this adequately controlled?			
7.0 Source Change						
7.1	RR	SABRe Source Change Process	Does the supplier have a documented process in their Quality System which controls Source Change?			
7.2	RR	SABRe Source Change Process	Has the supplier made any source changes which require application of this process?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
7.3	RR	SABRe Source Change Process	Does the supplier's process address the following: a) Risk assessment? b) Risk mitigation? c) Record of Reason for Change? d) Transfer plan? i. Capacity and capability at in-loading supplier. ii. Ramp up and ramp down and periods of double banking. iii. Planning of all verifications including Fairs and Component Proving at in-loading source. e) Technical pack? f) Requirement for gaining RR approval for the change prior to implementing the plan?			
7.4	RR	SABRe Source Change Process	On completion of the transfer plan, does the supplier demonstrate by audit, that proven, capable, stable and predictable manufacturing processes have been achieved?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
8.0 Production and Service Provision; Control of Production and Service Provision						
8.1	ISO	7.5.1	Does the router provide (as appropriate): a) Unique identification (e.g. Batch number)? b) Drawing revision status? c) Sequence of performing operations in the specific order? d) Clear description of operations within the process? e) Operation specific drawings or flowcharts? f) Identification of Quantity of parts per operation? g) Identification of issue level? h) Identification of Tool numbers and descriptions? i) Identification of Gauge/Fixture number and descriptions? j) Identification of Visual aids (where appropriate)? k) Identification of N/C programs? l) Inspection operations (with equipment descriptions) to be performed at the appropriate location in the processing sequence? m) Special processes (including NDT) to be performed at the appropriate location in the processing sequence? n) Instruction to process test pieces / samples as applicable? o) Reference to controlling specs and data cards? p) CCF references?			
8.2	ISO	7.5.1	Are work instructions: a) Revision controlled? b) To the latest issue level? c) Free of any unauthorised changes or additions?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
8.3	ISO	7.5.1	Does the router provide for legible recording of: a) Completion of each manufacturing and inspection operation? b) Traceability of associated paperwork (subcontractor P.O.'s & certs)? c) Part numbers and serial numbers of parts included in an assembly? d) Signoff of Operator/inspector that performed the specific operation? Check these details on a completed router.			
8.4	RR	SABRe Bus req	Does the supplier have a system for split batch control, which complies with RR9000: SABRe?			
8.5	RR	SABRe Rel notes	Does the release note conform to the requirements of RR9000: SABRe?			
8.6	RR	SABRe Non-conformance control	Can the supplier demonstrate the authenticity of parts and supporting documentation/certification, ensuring that such parts conform to the contract/ specification and originate from an approved source?			
8.7	RR	SABRe Protection, Packaging & Labelling	As applicable (RR Corporation), does the supplier have procedures requiring prior RR written approval for the drop shipment of product?			
8.8	AS/EN	7.5.1.2	Are any changes / notes on the completed router approved and signed by authorised personnel per the supplier's procedures?			
8.9	AS/EN	7.5.1.3	Are production equipment, tools and programs validated prior to use and maintained and inspected periodically according to documented procedures?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
8.10	AS/EN	7.5.1.3	Does the supplier's software control procedures: a) Assign a unique number to the N/C program? Is this number specified on the master router? b) Ensure the latest revision is of the N/C program is issued and is being worked too? c) Have controls to prevent unauthorised change to the N/C program? d) Provide for storage and back up of N/C programs?			
9.0 Validation of Processes for Production and Service Provision						
9.1	ISO	7.5.2	Does the supplier validate any processes for production and service provision where the resulting output cannot be verified by subsequent monitoring or measurement (This includes any processes where deficiencies become apparent only after the product is in use or the service has been delivered)? Note: These processes are frequently referred to as special processes.			
9.2	RR	SABRe Bus Req	Where sampling is used, can the supplier demonstrate that the processes involved are stable, predictable and capable? Is the supplier's sampling plan appropriate and internationally recognized? Can the supplier demonstrate a thorough understanding of the use of sampling plans?			
10. Monitoring and measurement of product						
10.1	ISO	8.2.4	Does the supplier monitor, measure and document the characteristics of the product to verify that product requirements have been met, including hidden characteristics?			
10.2	RR	SABRe Bus Req	Does the supplier ensure that all personnel engaged in tasks requiring accurate visual assessment meet the requirements of RR9000: SABRe?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
10.3	ISO	8.2.4	Is product release held until all the planned operations have been satisfactorily completed, unless otherwise approved by RR?			
10.4	ISO	6.2.2	Does the Supplier have an effective Operator Acceptance (Certification) Program? If yes: a) Are suitable procedures available? b) Is operator training documented? c) Is there documented training maintenance plan in place? d) Consider the line of accountability of these personnel , does this give them a link to quality?			
10.5	AS/EN	8.2.4.1	Does the inspection documentation, which may be part of the production documentation, include: a) Criteria for acceptance and/or rejection? b) Where in the sequence measurement and testing operations are performed? c) A record of the measurement results? d) Type of measurement instruments required and any specific instructions associated with their use?			
10.6	RR	Purchase order	Where applicable, has a customer eyes over-check been performed?			
11. First article inspection						
11.1	RR	SABRe FAI	Does the supplier have a system for raising FAIR's, including partial, and repeat FAIR's in accordance with RR9000: SABRe?			
11.2	RR	SABRe FAI	Can the supplier demonstrate FAIR approval for the part number under review?			
11.3	RR	SABRe FAI	Does the supplier's system prevent the shipment of parts without FAIR approval?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
12. Component Proving						
12.1	RR	SABRe Component Proving	Does the supplier have CCF's identified on any RR authorised documentation (e.g. drawings, design for manufacture output, etc)? Note: ***Questions 12.3 to 12.7 are used only if there are CCF's identified on the drawing.***			
12.2	RR	SABRe Component Proving	Has the supplier identified CCF's for their key processes via a risk assessment process? ***Note, this is not a mandatory requirement of SABRe, for information only.***			
12.3	RR	SABRe Component Proving	Does management's commitment to the component proving process include regular reviews, definition of responsibilities, training and feedback to RR?			
12.4	RR	SABRe Component Proving	Over-check a sample of Process Control Documents (PCD). Are the PCD's fully completed and is supporting data available (i.e. control charts)?			
12.5	RR	SABRe Component Proving	Does the supplier gather relevant data at the appropriate stages of the manufacturing process in time sequence?			
12.6	RR	SABRe Component Proving	When all component features (RR identified) have achieved a Cpk value of 1.33, has a stage 2 FAIR been completed and approved?			
12.7	RR	SABRe Component Proving	When component features do not have a Cpk value of 1.33, are improvement plans in place?			
13.0 Control of Monitoring and Measuring Devices						
13.1	ISO	7.6	Does the supplier have a procedure that adequately covers the Calibration process?			
Use the following table to record the gauges being audited (vary as much as possible, e.g. dimensional, pressure, electrical etc.).						

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
Gauge number			Gauge description	Last calibration date		Due date
13.2	ISO	7.6	For each of the gauges selected, check the calibration record that it contains: a) Calibration source(s) traceable back to National / International standards? b) Calibration environmental conditions? c) Type, model & unique identification of each gauge? d) Calibration interval? e) Date of last calibration? f) Actual calibration results? g) Acceptable tolerances for each gauge? h) Validation of software used for product acceptance (where applicable)? i) Out-of-tolerance conditions (including affected product) if applicable? j) Any adjustments that have been made?			
13.3	ISO	7.6	Where an external calibration house is used, does the supplier confirm that the calibrations undertaken are within their scope of approval? If an external house is used, is the certificate of calibration examined for correctness?			
13.4	ISO	7.6	Does the Supplier have an effective recall system?			
13.5	Verification ISO	7.6	How many gauges in the system are out of Calibration control relative to total gauges on the system? How are these controlled?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
13.6	ISO	7.6	Does the supplier's calibration procedure have a method of informing customers (internal & external) of any errors found at calibration that may affect the product?			
13.7	RR	SABRe Tooling	Are customers supplied gauges and personal equipment included in the calibration system?			
13.8	RR	SABRe component	Is there evidence of measurement systems analysis (i.e. R&R studies)?			
14.0 Customer Property						
14.1	RR	SABRe Tooling Control	Does the supplier maintain a tooling register for RR owned tooling?			
14.2	RR	SABRe Tooling Control	Is this tooling maintained such that it remains fit for purpose?			
15.0 Preservation of Product						
15.1	RR	SABRe Protection, Packaging & Labelling	Does the protection, packaging and labelling conform to the requirements of RR9000: SABRe?			
15.2	RR	SABRe Bus Req Protection, Packaging & Labelling	Does the Supplier have internal material handling procedures addressing that: a) All part containers are clean and in good repair? (Free from potential Foreign Object Damage) b) All the Work In Progress containers sufficiently protect the parts? c) Containers are constructed to avoid metal-to-metal contact on finished surfaces? *d)* Delicate finished surfaces are protected? (Threads, seals, etc)			

No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
16.0 Identification and Traceability						
16.1	ISO	7.5.3	Where appropriate, has the supplier identified the product by suitable means throughout product realisation?			
16.2	RR	SABRe Identity markings	As applicable, does the supplier's procedure ensure customer assigned serial numbers are controlled and marked according to the requirements?			
16.3	RR	SABRe Identity markings	Has the supplier implemented direct part marking in line with RR9000: SABRe?			
16.4	AS/EN	7.5.3	When acceptance authority media are used (e.g., stamps, electronic signatures, passwords), does the supplier establish and document controls for the media?			
17. Control of nonconforming product						
17.1	AS/EN	8.3	Does the supplier's documented procedure define the responsibility for review and authority for the disposition of nonconforming product and the process for approving personnel making these decisions?			
17.2	RR	SABRe Non Conf Control	Does the Supplier ensure that all non-conforming material is: a) Clearly identified? b) Isolated? c) Stored in a designated and controlled area? d) Prevented from being shipped?			
17.3	RR	SABRe Non Conformance Control	Does the supplier have a system to take immediate containment action when non-conformance is detected?			
17.4	AS/EN RR	8.3 SABRe Non Conf Control	Does the Supplier have effective procedures that ensure: a) Rework / repair activity is adequately controlled and approved as required? b) All reworked or repaired material is re-inspected to confirm compliance with all requirements?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
17.5	RR	SABRe Non Conf Control	Does the Supplier have effective procedures that require submittal of the relevant RR concession form for non-conforming material review?			
17.6	RR	SABRe Non Conf Control	Does the Supplier have effective procedures ensuring shipment of material pending disposition, or visual evaluation, requires prior written approval from RR?			
17.7	RR	SABRe Non Conf Control	Does the Supplier have effective procedures to handle all activities dealing with Customer Returned Material including: a) Receipt? b) Identification? c) Segregation? d) Review? e) Rework &/or replacement? f) Subsequent return to RR?			
17.8	AS/EN	8.3	Does the supplier ensure that product dispositioned for scrap is conspicuously and permanently marked or positively controlled, until physically rendered unusable?			
18. Internal audit						
18.1	ISO RR	8.2.2 SABRe Bus Req	Does the supplier conduct internal audits at planned intervals, which include both Product and Process audits, in accordance with RR9000: SABRe (including component proving if applicable)?			
18.2	ISO	8.2.2	Does the conduct of audits ensure objectivity and impartiality of the audit process? Are the auditors technically competent?			
19.0 Resource Management						
19.1	ISO	6.2.2	Does the supplier determine the necessary competence for personnel performing work affecting product quality?			

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No.	Spec	Section/ Para.	Question	Yes No N/A	PIR ref	Comments
19.2	ISO	6.2.2	Does the supplier provide training or take other actions to satisfy any competency needs?			
19.3	ISO	6.2.2	Does the supplier maintain appropriate records of education, training, skills and experience?			
20.0 Improvement						
20.1	ISO	8.5.1	Does the supplier continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review?			
20.2	RR	SABRe Problem Resolution Process	Does the supplier have a procedure for recording, analysing and prioritising activities to improve: a) External problems (e.g. Customer complaints)? b) Internal problems (e.g. scrap, non-conformance)?			
20.3	RR	SABRe Problem Resolution Process	Does the supplier have a procedure for problem resolution, which meets the intent of the 3 in 1 process?			
20.4	RR	SABRe Problem Resolution Process	Can the supplier demonstrate conformity to the requirements of RR9000: SABRe 3 in 1 process? a) Review sample of PIR's (as applicable): b) Check and verify that root causes of non-conformance have been identified. c) Check that corrective actions are in place. d) Check that these corrective actions have been effective.			