



Process Certification Assessment / Audit Form

COMPANY NAME: _____ UTC SUPPLIER CODE: _____

STREET: _____ TELEPHONE: _____

CITY, STATE, ZIP: _____ DIVISION OF: _____

DUNN & BRADSTREET NUMBER _____

- UTC members:
- Aftermarket Operations Hamilton Sundstrand UTC Power Pratt & Whitney
 - Pratt & Whitney Canada Sikorsky Aircraft Carrier Otis Elevator
 - UTC Fire & Security UTC Corporate

Persons contacted

Title

Assessment Audit Performed by: _____ Date: _____

UTC member: _____ Aftermarket indicate your UTC Division.

SUMMARY RESULTS

Status: GREEN Acceptable YELLOW Capable C/Actions required RED System not capable

Red must be checked for any finding on a No=Red question.

YELLOW or RED must have documented corrective actions and close out date.

If RED, does Supplier:

- a. Currently perform 100% inspection of UTC Member defined KCs? Yes No
- b. Intend to implement process certification per UTCQR-09.1? Yes No (No = RED)

Comments:

PROCESS CERTIFICATION REQUIREMENTS ASSESSMENT FORM

Notes:

1. Comment sections should be utilized to reference alternate process control procedures, documents, practices and other pertinent information to address assessment questions.
2. Questions without the presence of a checkbox under the N/A column must be answered Yes or No.
3. Alternate Process Control systems that achieve the same results will be considered acceptable.

Process Certification System Requirement	UTCQR-09.1	Yes	No	N/A
<p>1. Are there a defined organization structure, procedures, and documented roles & responsibilities to ensure implementation and continuous improvement of the process? Is there evidence of documented training:</p> <ul style="list-style-type: none"> ▪ Management? No = Yellow, If responsible for Audit No = RED ▪ Manufacturing Engineering / Process Owner? No = RED ▪ Quality Auditors? No = RED ▪ Operators / persons performing the process? No = RED <p>People in CI roles, ISO-QS-AS certified. See quality manual, procedures, W.I.'s, HR files, diplomas, certificates, and or attendance sheets from training classes completed. See control plan and or procedures for audit responsibility.</p> <p>Comments:</p> <hr/> <hr/> <hr/>	5.0	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	N/A
<p>2. Has the process flow map been defined?</p> <ul style="list-style-type: none"> ▪ Upstream KPIs & KCs that must be monitored and controlled? ▪ Supplier KPIs & KCs that must be monitored and controlled? ▪ Process elements that impact UTC member or Producer identified KC's? <p>No = RED: Work instructions / Operation sheets can be used in lieu of flowcharts. Is there a methodology for determining critical process inputs for controlling processes?</p> <p>Comments:</p> <hr/> <hr/> <hr/>	5.0	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
<p>3. Does the producer have Business processes requiring process control as identified by a UTC member?</p> <ul style="list-style-type: none"> ▪ Are the requirements as defined in paragraph 5.2 met? <p>No = Red: (e.g., a design, contract, purchase order, plan, schedule, instructions, delivery process etc.).</p> <p>Comments:</p> <hr/> <hr/> <hr/>	4.0	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
<p>4. Has Measurement System Analysis (MSA) / Gage R&R studies been performed?</p> <ul style="list-style-type: none"> ▪ Upstream processes KPIs and KCs? ▪ Upstream producer KPIs and or KCs? ▪ Documented evidence of MSA / Gage R&R criteria? ▪ Inspection processes? <p>No = RED: Audit measurement methods identified in the process map / control plan.</p> <p>Comments:</p> <hr/> <hr/> <hr/>	5.2	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>

Process Certification System Requirement	Reference	Yes	No	N/A
<p>5. If the UTC member has not communicated the KCs has a methodology been established for selecting processes and KCs for variability reduction based on internal measurements and or requirements?</p> <p>No = RED: (New or 1st time producer assessment NO = Yellow), Prioritization rational based on customer or internal metrics, QA/CI procedures, audit/CAR findings, reaction to in-process issues, etc.</p> <p>Comments:</p> <hr/> <hr/> <hr/>	5.0	<input type="checkbox"/>	<input type="checkbox"/>	
<p>6. Is there a monitoring system for in-process control of process KCs and UTC member KCs?</p> <p>No = RED: Control / run charts, procedure for review, monitoring, reacting, turnbacks, at the process element / steps controlling and creating the KCs.</p> <p>Comments:</p> <hr/> <hr/> <hr/>	5.0	<input type="checkbox"/>	<input type="checkbox"/>	
<p>7. Does the producer have procedures for controlling KCs applicable to sub-tier suppliers?</p> <p>No = RED: (New or 1st time producer assessment NO = Yellow), Stated in the quality requirements, drawings, and or purchase orders. How did they flow down UTCQR-09.1 requirements?</p> <p>Comments:</p> <hr/> <hr/> <hr/>	5.0	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>8. Does the producer have a process control plan that addresses the following?</p> <ul style="list-style-type: none"> a. Processes to be monitored or generic process identification. b. KC description and requirement. c. KPIs settings and control method. d. Expected process capability of defined KCs. e. Process step where measurements are taken. f. Type of control method to be used to monitor the process and KCs. g. Subgroup size used for process control / monitoring (if required). h. Frequency of measurements / monitoring. i. Method of measurement or gauging. j. Actions required when capability levels are not maintained. k. Self Audit based on process / KCs capability cannot exceed 12 months. <p>No = RED: Are elements covered by the controlling system, W.I.s, op sheets, operator check lists, tooling reference documents, measurement procedures, PM, or stand alone control plans).</p> <p>Note: If the above items are available in the process operation (i.e., work instructions, manuals, etc.) they do not need to be documented in the process control plan. Alternate Process Control Plans that achieve the same results will be considered acceptable.</p> <p>Comments:</p> <hr/> <hr/> <hr/>	5.1	a. <input type="checkbox"/> b. <input type="checkbox"/> c. <input type="checkbox"/> d. <input type="checkbox"/> e. <input type="checkbox"/> f. <input type="checkbox"/> g. <input type="checkbox"/> h. <input type="checkbox"/> i. <input type="checkbox"/> j. <input type="checkbox"/> k. <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>

Process Certification System Requirement	Reference	Yes	No	N/A
<p>8-1. Does the data reflect the process control plan requirements (i.e. capability)? List example part numbers and or processes audited. Example 1:</p> <p>Example 2:</p> <p>Example 3:</p> <p>No = RED: For Mfg processes, data from similar parts and features with the same tolerance produced in the same cells or machines may be used. Similar business / support processes with the same requirements can be used. Capability requirements may be less than that stated in UTCQR-09.1 (5.2) on upstream process KCs and KPIs (ref. Question #2) but current data must show the UTCQR-09.1 (5.2) capability requirements are being maintained on the UTC member or Producer identified processes and or KCs (see questions 9 – 10-1). Comments:</p> <hr/> <hr/> <hr/>	5.1	<input type="checkbox"/>	<input type="checkbox"/>	
<p>9. For initial audit of processes and or KCs reported as certified that contain Variable Measured Characteristics, do they demonstrate a Cpk of 1.33 or greater for (25) consecutive observations or (30) days of output whichever is greater with no non-conformances?</p> <p>9-1. For sustaining (following industry standard rules for SPC), does the UTC member or Producer identified processes and or KCs demonstrate a Cpk of 1.33 or greater over the last (90) days?</p> <p>No = RED: New or 1st time producer “assessments” that cannot meet this requirement or for “audit” written concurrence from the UTC member that the 1.33 requirement cannot be satisfied check n/a box. Examine UTC member records. Verify the proper capability index is used (Cpk, Cpu, etc.). Comments:</p> <hr/> <hr/> <hr/>	5.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>10. For initial audit of processes and or KCs reported as certified, that contain Attribute Measured Characteristics, do they demonstrate a minimum of (45) consecutive observations or (30) days of output whichever is greater with no non-conformances? For Business/Support processes (45) observations and/or (6) months with no non-conformances / Turn-backs that effect 100% compliance to customer requirements?</p> <p>10-1. For sustaining, does the Mfg. Processes meet the capability requirements over the last (90) days? Does the Business or Support processes meet the capability requirements over the last (6) months?</p> <p>No = RED: New or 1st time producer “assessments” that do not meet this requirement check n/a box. N/A box cannot be used for producer audits. Examine records to verify compliance. If other criteria is used the producer must show documented approval from the responsible UTC member. Comments:</p> <hr/> <hr/> <hr/>	5.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<p>11. Is Preventative Maintenance Plan established and being maintained?</p> <p>No = RED: Check to see if a documented maintenance schedule exists and records are available and retained. Business processes only (n/a) can be used.</p> <p>Comments:</p> <hr/> <hr/> <hr/> <hr/>	5.2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Criteria for Compliance, Control, and Continuous Improvement				
<p>12. Periodic self-audits performed to verify controlling actions specified in the control plan are satisfied?</p> <ul style="list-style-type: none"> ▪ Is there evidence of Producer Quality Assurance system audits that include process control / certification (once every twelve months) being completed? <p>No = RED: Check for self-audit, schedule, records, and results. Must be available upon request.</p> <p>Comments:</p> <hr/> <hr/> <hr/> <hr/>	Reference 5.3	Yes <input type="checkbox"/> <input type="checkbox"/>	No <input type="checkbox"/> <input type="checkbox"/>	N/A
<p>13. Are the process capability records of the KCs available to the customer upon request?</p> <p>No = RED: Reference any UTC member's required reporting records. When KCs have not been defined by a UTC member process capability data must be available to complete the audit.</p> <p>Comments:</p> <hr/> <hr/> <hr/> <hr/>	5.3	<input type="checkbox"/>	<input type="checkbox"/>	