

# NUPIC COMMERCIAL GRADE ITEM SURVEY CHECKLIST

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Supplier Name:  
Survey No.:

## SUMMARY SHEET GENERAL INFORMATION

<b>SUPPLIER INFORMATION</b>		
SUPPLIER NUMBER:		
SUPPLIER:		
ADDRESS:		
CITY:	STATE:	ZIP CODE:
TELEPHONE NUMBER:		FAX NUMBER:
PRODUCT/SERVICE:		

<b>SUPPLIER CONTACTS</b>	<b>COMPANY WEB ADDRESS:</b>	
SENIOR COMPANY OFFICER:	TITLE:	PHONE:
SENIOR QA OFFICER:	TITLE:	PHONE:
	E-MAIL:	

<b>SURVEY INFORMATION</b>	
MEMBER SURVEY ID NO.:	SURVEY DATES:
NUPIC SURVEY ID NO.:	LEAD UTILITY:
SUPPLIER'S PROGRAM DOCUMENT(S):	REVISION/DATE:

<b>SURVEY TEAM INFORMATION</b>				
SURVEY TEAM/UTILITY	NAME	PHONE	EMAIL:	CHECKLIST SECTIONS SURVEYED
TEAM LEADER				
TEAM MEMBER				
TEAM MEMBER				
TECHNICAL SPECIALIST				
(SPECIFY DISCIPLINE)				

SURVEY TEAM LEADER: \_\_\_\_\_

DATE: \_\_\_\_\_

NUPIC REPRESENTATIVE: \_\_\_\_\_

DATE: \_\_\_\_\_

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CRITICAL CHARACTERISTICS WORKSHEET # \_\_\_\_\_

PRODUCT/ITEM (specify): \_\_\_\_\_

JUTG TECHNICAL EVALUATION NO. (include revision and date): \_\_\_\_\_

CC NO.	CRITICAL CHARACTERISTICS (CC) TO BE EVALUATED	ACCEPTANCE CRITERIA	SAT./ UNSAT.	REFERENCE CHECKLIST FIGURE

CONCLUSIONS	
Do Commercial Grade Quality Controls adequately control all identified critical characteristics? Yes <input type="checkbox"/> No <input type="checkbox"/> (Explain any No responses)	
<div></div>	

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## SECTION A – CRITICAL CHARACTERISTICS VERIFICATION

**FIGURE A – \_\_\_\_\_**

PRODUCT / ITEM / SERVICE:

[illegible]

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## SECTION B – SUPPORTING SURVEY INFORMATION

### COMMERCIAL GRADE QUALITY CONTROLS

- B.1 Describe the supplier's controls which assure that items and services provided comply with the specifications set forth in the manufacturer's published product description. Identify source of pertinent published product description.

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

- B.2 Describe the controls the supplier implements to assure that design changes, including material substitutions, are evaluated commensurate with the original design.

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

- B.3 Do changes in design/product parameters or component parts result in a part number change?  
NOTE: If not, how can the utility obtain design change details for evaluation?

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

- B.4 Describe any methods (e.g. CGI surveys, source verifications, material verification, receipt inspection) this supplier uses to control critical characteristics of items, material, and/or services provided by sub-tier suppliers.

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

- B.5 Are there satellite manufacturing locations associated with this supplier? If yes, describe the controls this facility has over the piece/parts that are obtained from the satellite location? (i.e., Controls through receipt inspection, testing, and/or internal audits?)

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

- B.6 Are items drop shipped from satellite or sub-tier locations? If yes, explain.

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

- B.7 Describe the controls the supplier implements to maintain lot/material identification throughout manufacturing operations.
- (a) Describe how the supplier defines "lot" or "batch" control.
  - (b) Identify any unique coding system or practices used by the supplier to identify lots/batches.

#### SUMMARY OF INVESTIGATION:

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## SECTION B – SUPPORTING SURVEY INFORMATION

### COMMERCIAL GRADE QUALITY CONTROLS

B.8 If applicable to the product, describe the cure data/shelf life control processes that affect critical characteristics.

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

B.9 Describe the controls the supplier implements for handling, storage and shipping.

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

B.10 Describe the manufacturing/ special processes that affect the critical characteristics. Include a description of applicable procedure, equipment and personnel certifications.

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

B.11 Describe inspections (receipt, in-process and/or final) and tests performed which verify critical characteristics. If sampling is used, describe the sampling plan used and its technical basis.

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

B.12 Describe inspection/testing processes (such as those used during receipt/in-process/final inspection or testing) for identifying suspect (including counterfeit/fraudulent) material, items or components that may not be those ordered, with indications such as:

- Altered manufacturer's name, logo, serial number, manufacturing date
- Items differing in configuration, dimensions, fit, finish, color, or other attributes from that expected
- Markings on items or documentation are missing, unusual, altered, or inconsistent with that expected
- Markings or documentation from country other than that of the subsupplier
- Items, sold as new, exhibit evidence of prior use
- Performance inconsistent with specifications or certification or test data furnished
- Documentation that appear altered, incomplete, or lack expected traceability, UL or manufacturer's markings

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

B.13 Verify that the supplier's M&TE controls include provision for the following:

- (a) Labeling/identification of M&TE?
- (b) Calibration of M&TE and standards at periodic intervals?

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## SECTION B – SUPPORTING SURVEY INFORMATION

- (c) Environmental conditions?
- (d) Adequacy of standards to assure accuracy, stability, range, and resolution required for their intended use?
- (e) Standards used traceable to recognized standards?
- (f) As Found/As Left information documented?
- (g) Evaluations of items tested/inspected by out-of-tolerance nonconforming M&TE?

### SUMMARY OF INVESTIGATION:

#### COMMERCIAL GRADE QUALITY CONTROLS

- B.14 Describe the documented quality control program (instructions, procedures, and drawings, as applicable) and the program basis? (ISO, MIL STD, ANSI)

### SUMMARY OF INVESTIGATION:

#### COMMERCIAL GRADE QUALITY CONTROLS

- B.15 Describe the supplier's controls to assure that sufficient records are available to furnish evidence of activities affecting quality.

### SUMMARY OF INVESTIGATION:

#### COMMERCIAL GRADE QUALITY CONTROLS

- B.16 Describe the controls the supplier implements over contract review of a customer's P.O./Contract.
- (a) When multiple supplier manufacturing facilities are involved, are the P.O./Contract requirements being completely and correctly transmitted?
  - (b) If a distributor is involved between the utility and this supplier, are the P.O./Contract requirements being completely and correctly transmitted from the distributor to the supplier?

### SUMMARY OF INVESTIGATION:

#### COMMERCIAL GRADE QUALITY CONTROLS

- B.17 Describe the controls the supplier implements over the certification process (C of C and/or CMTR) for the products supplied.
- NOTE: Compliance to utility P.O./Contract requirements should be documented on the certification.

### SUMMARY OF INVESTIGATION:

#### COMMERCIAL GRADE QUALITY CONTROLS

- B.18 Describe the controls the supplier implements to identify, document, disposition (accept, reject, repair or rework), and segregate nonconforming items to prevent unauthorized use or shipment.

### SUMMARY OF INVESTIGATION:

#### COMMERCIAL GRADE QUALITY CONTROLS

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## SECTION B – SUPPORTING SURVEY INFORMATION

- B.19 Review manufacturer/supplier/distributor returned goods or returned material authorization logs for significant recurring issues requiring products to be returned for evaluation. Look for any products with a high number of returns, and/or comments indicating generic problems or manufacturing defects. Document any such issues and the actions taken or being taken by the supplier to address the issue(s).

NOTE: Isolated returns do not necessarily indicate that a problem exists.

### SUMMARY OF INVESTIGATION:

#### COMMERCIAL GRADE QUALITY CONTROLS

- B.20 Describe the supplier's indoctrination and training program for personnel performing activities affecting quality (welding, NDE, tests and inspections, etc.).

### SUMMARY OF INVESTIGATION:

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## SECTION C - TECHNICAL SPECIALIST EVALUATION

### COMMERCIAL GRADE QUALITY CONTROLS

- C.1 Evaluate the adequacy of design/configuration controls relative to the identified critical characteristics.  
**Reference Checklist Items B.1 through B.3.**

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

- C.2 Evaluate the adequacy of inspection/testing/process controls the supplier performs during receipt, manufacturing and final product acceptance with regard to identified critical characteristics, including the use of specified acceptance criteria.  
**Reference Figure A Items and Checklist Items B.10 and B.11**

#### SUMMARY OF INVESTIGATION:

### COMMERCIAL GRADE QUALITY CONTROLS

- C.3 Evaluate the overall adequacy of the supplier's controls and acceptance criteria applicable to the identified critical characteristics.

#### SUMMARY OF INVESTIGATION:

**Technical Specialist:**

**Date:**