Sandia National Laboratories

SUPPLY CHAIN ASSESSMENT
(DISTRIBUTORS)

SUPPLIER INFORMATION

Company Name:		
Address:		
City:	State:	Country (if outside USA):
Name & Title of person completing this assessment:		
Phone:	Email:	

BUSINESS INFORMATION

Distributor for: Primary Product(s)/Services(s)		
Are there multiple business locations? ☐Yes ☐No		
If yes, please indicate the following: ☐same as above		
Headquarters Name:		
Headquarters City:	State:	Country:

QUALITY MANAGEMENT SYSTEM REGISTRATIONS/CERTIFICATIONS

- *Attach a current copy of the certificate for each registered standard*
- For policies not registered/certified, attach documentation supporting compliance (e.g., policy, quality manual, etc.)

☐ **AS5553 Counterfeit Electronic Parts**	☐ Registered	☐ Compliant
☐ **AS6081 Fraudulent/Counterfeit Electronic Parts**	☐ Registered	☐ Compliant
☐ **AS9100D QMS for Aviation, Space, and Defense**	☐ Registered	☐ Compliant
☐ **AS9120B Distributor of parts, materials, assemblies**	☐ Registered	☐ Compliant
☐ **AS9115 Deliverable Software (Supplement to 9100:2016)**	☐ Registered	☐ Compliant
☐ **CMMI for Development**	☐ Registered	☐ Compliant
☐ **ISO/IEC 20000-1 Information Technology**	☐ Registered	☐ Compliant
☐ **ISO9001-2015 QMS**	☐ Registered	☐ Compliant
☐ **ISO/IEC/IEEE 90003:2018 Software Engineering (Application of ISO9001 to computer software)**	☐ Registered	☐ Compliant
☐ **ISO/IEC 27001 Information Security Management**	☐ Registered	☐ Compliant
☐ **ISO 37001 Anti-bribery Management Systems**	☐ Registered	☐ Compliant
☐ **Other Standard (please list):**	☐ Registered	☐ Compliant
	☐ Registered	☐ Compliant

☐ We have Quality Assurance policies that are not affiliated with specific recognized standards.

☐ We currently do not have any Quality Assurance policies, but will establish quality policies to meet this requirement if awarded a subcontract. (Suggested assistance and templates are available at https://www.nmptac.org/ or https://www.nmptac.org/resources/)

Note: All No or NA responses require an explanation in the comments section.	
Yes☐ No☐ N/A☐	1. Does your organization have a certified/authorized Distributor Letter from the company whose products you represent? If yes, please provide as supporting documentation. Comments:
Yes☐ No☐ N/A☐	2. Do you handle and process inventory in your facility? If yes, does your organization have a component disposal inventory process or method? Are component disposal records maintained? Comments:
Yes☐ No☐	3. Does your organization have a documented process for detecting, preventing, and addressing counterfeit items? If **No**, please explain:

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	☐ **N/A** because we do not sell items/products. ☐ We currently do not have a counterfeit items process but will establish a documented policy to meet this requirement if awarded a subcontract. (Suggested assistance and templates are available at https://www.nmptac.org/ or https://www.nmptac.org/resources/).
Yes ☐ No ☐	4. Is there a documented policy or procedure for protecting electronic data and systems from unauthorized viewing/use? Comments:
Yes ☐ No ☐	5. Does your organization subscribe to and maintain antivirus product on all employee workstations? What antivirus software or products are used? Comments:
Yes ☐ No ☐	6. Have you ever experienced a significant cybersecurity incident or data breach? If **Yes**, please define the incident and describe remediation actions:
Yes ☐ No ☐ N/A ☐	7. Are you able to provide or obtain Statement of Volatility documentation detailing both volatile and non-volatile components, memory type and size, purpose, and sanitization guidance with all deliverables? If **Yes**, please attach. Comments:
Yes ☐ No ☐	8. Does your organization provide or manage device, system, or component service and repairs? (a) If **Yes**, is there a designated process for managing chain of custody and inventory tracking for repaired/serviced devices returning to customers? ☐Yes ☐No Comments:
Yes ☐ No ☐ N/A ☐	9. Are products and components secured and identified at <u>all</u> times while in your facility? Comments:
Yes ☐ No ☐ N/A ☐	10. Are products packaged in a manner to prevent damage during shipment? Comments:
Yes ☐ No ☐ N/A ☐	11. In your facility, are nonconforming products segregated from conforming products? Comments:
Yes ☐ No ☐	12. When requested, is there a process to investigate and resolve rejected products and/or services found by the customer and implement corrective action to prevent future reoccurrence? Comments:
	13. Check <u>all</u> types of inspection performed in this facility: ☐**INCOMING**　　☐**IN-PROCESS**　　☐**FINAL**　　☐**AUDIT**

_____　　_____
Date:　　　　　　　　　　　　　　　　**Signature (person completing assessment)**

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This report may be shared with the Dept. of Energy (DOE), National Nuclear Security Administration (NNSA), and with other DOE/NNSA operating subcontractors.

For NTESS/Sandia Internal Use Only		
Reviewed by:	Organization:	Date:
Status		
Approved: ☐	Conditional: ☐	Not Approved: ☐