



SUPPLIER CAPABILITY ASSESSMENT

This document pack is utilized in the evaluation of suppliers for addition to Collins Machine Works approved vendor list. Suppliers are requested to review and complete all applicable sections within.



Dear Supplier,

In order to better service the needs of our clients, meet regulatory requirements, and aid in our vendor selection process Collins Machine Works has instituted a vendor qualification program. This document pack, the “Supplier Capability Assessment” (SCA), forms the core of that program. Its completion is a requirement for all suppliers providing goods and services on defense projects to Collins Machine Works (CMW) and its subsidiaries.

Please note: Some sections or questions may not be applicable to your company or the services you provide. If this is the case, please select the relevant “Not applicable” fields and provide explanation as necessary. All answers are evaluated in the context of the service provided; it is possible (likely, even) for your company to be qualified in some areas but not others.

The information in this package will be utilized to ensure that Collins Machine Works RFQ’s and awarded purchase orders are routed to appropriate suppliers. Additionally, the data you provide will be used to demonstrate QA/regulatory compliance to our customers and/or regulatory entities. We will only share this data with CMW customers, US Government entities, or regulatory organizations (ABS, DNV, etc) in the course of a QA/regulatory audit or similar. We will not share this data with your competitors or any other uninvolved parties.

Collins Machine Works appreciates your assistance in this matter, and we look forward to our continuing business relationship.

Best Regards,
Jacob Brown
Supply Chain Manager
Collins Machine Works

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Section 2: Supplier Information Sheet

Explanation:

Provide details on your company as required on the attached form. In the case of large businesses, please use regional or account specific information as necessary.

Required Submittals:

Company W-9 Tax Form



For large businesses (over 500 employees), please use regional/account specific information where applicable.

| | | |
|---|-------------|-----------------------------|
| Supplier Name: | | |
| Address: | | Remit Address: |
| | | |
| City, State, Zip | | City, State, Zip |
| Telephone: | | Telephone: |
| Sales Email: | | AR Email: |
| Payment Terms: | | CAGE Code(s): |
| | | |
| Key Personnel | Name | Phone / Email |
| Director-Level POC (or regional manager, etc) | | |
| Responsible for Quality System | | |
| Sales Manager | | |
| Outside Sales Representative | | |
| Inside Sales Representative | | |
| Accounts Receivable Representative | | |
| | | |
| Personnel Total: | | Production Personnel Total: |
| Engineering Personnel Total: | | QA Personnel Total: |
| Remarks: | | |



Section 3: Supplier Insurance Requirements

Explanation:

Vendors that provide on-site services to Collins Machine Works are required to submit their Certificate(s) of Liability Insurance (COLI) issued by their respective underwriter(s) for the current period and then after every renewal.

Please have the “Certificate Holder” designated as follows:

Artcraft Fabricators T/A Collins Machine Works
ATTN: Purchasing Department
2707 Syer Rd
Portsmouth, VA, 23707

In addition, in the “Remarks” column we require that the contracted party shall name Artcraft Fabricators et al as an additional Insured to your policy, to include completed operations. Each certificate shall have a copy of the endorsement attached. Lastly, vendors that provide services onboard a vessel, pierside, or at a shipyard are required to have United Shipyard, Longshoreman, and Harbor workers (USL&H) insurance. This must be included on the provided insurance certificate.

Required Submittals:

Certificate of Liability Insurance

Section 4: Quality Assurance

Provide details on your company as required on the form provided. In the case of large businesses, please use regional or account specific information as necessary.

This sheet will be used to assess Quality Assurance capabilities for vendors and subcontractors. We have defined vendors into four categories as follows:

Raw Material – Suppliers that provide materials in unfinished state such as metal bars and plates, plastics, welding wire, and some chemicals and lubricants.

Services – Suppliers that provide processes which contribute to the manufacture of Collins Machine Works product. Such as Laser tracking/CMM, heat treatment, and coatings/nitriding/metalizing.

Manufacturing / Finished Products – Suppliers that provide finished parts and specific manufacturing services to Collins Machine Works such as custom/mil-spec fasteners, welding, sheetmetal fabrication, and machining. *Please note:* Forging suppliers and Foundries are considered to be in this category due to the QA intensive nature of their products.

Metrology / Laboratory / NDT – Suppliers that provide services to calibrate, perform material testing in a laboratory setting, or provide non-destructive test services.

Please note that it is possible for your company to fall into more than one of these categories, please check all that apply.

Required Submittals (as applicable):

Quality System Accreditation Certificate
ISO 17025 Accreditation Certificate
ISO 17020 Accreditation Certificate
SSPC Accreditation Certificate

*Fields marked in **Green** require supporting documentation.*

Supplier Company Name:

Vendor Type (see definitions), Select All That Apply:

Raw Materials
 Manufacturing / Finished Products
 Services
 Metrology / Laboratory / NDT

General Quality Assurance (QA) Questionnaire. Fields highlighted in Green require supporting documents:

| | | |
|------|---|--|
| 1 | Does your company have a third-party accredited Quality Management System (QMS)? | |
| 1.1 | If “yes” above, please specify (choose primary): | |
| 1.2 | If “no”, does your QMS comply with one of the following: | |
| 2 | Does your company have a “Quality Manual” or similar document outlining the policies, procedures, and structure of the quality management system? | |
| 2.1 | If “yes”, is it available for review? | |
| 2.2 | If “yes”, what is the date of the current revision of your QA manual? | |
| 3 | Does your company have written QA procedures? | |
| 4 | Will you allow Collins Machine Works, its customers, and/or regulatory entities to perform a QA audit of your facilities? | |
| 5 | Does your company perform in-person QA/regulatory audits of your suppliers/subcontractors? | |
| 5.1 | If “yes”, what is the periodicity of these audits? (annually, etc) | |
| 5.2 | If “no”, do you perform written surveys of vendor QA/regulatory compliance (or similar)? | |
| 6 | Do you “flow-down” applicable performance-related (specifications, inspections, etc) contractual requirements to your suppliers? | |
| 7 | Do you “flow-down” quality assurance and regulatory (FAR, DFARS, CFR, etc) requirements to your suppliers? | |
| 8 | Does your company have a system for maintaining heat/lot traceability on all raw materials, in-process components, and finished components when performing under a contract in which heat/lot traceability is required? | |
| 9 | Does your company require your material suppliers to maintain heat/lot traceability on materials delivered under a contract in which heat/lot traceability is required? | |
| 10 | Does your company have a process to verify heat/lot markings on received materials/products against mill test reports (MTR’s)? | |
| 11 | Does your company have a process to verify that materials/products received comply with purchase order requirements? | |
| 12 | Does your company maintain MTRs on file and record their use on specific projects? | |
| 13 | Does your company place received materials/products “on-hold” pending inspection or review? | |
| 14 | Does your company require 100% inspection of an order to be performed if delivered materials/products are found to be defective? (<i>Question intended for raw materials or manufactured components</i>) | |
| 15 | Does your company have a program and procedure for handling “level 1” material in accordance with NAVSEA Standard Item 009-27? | |
| 15.1 | If “yes”, is it available for review? | |

Continued from previous page:

| | | |
|------|---|--|
| 15.2 | If “yes”, is your company on the approved level 1 suppliers list from either General-Dynamics Electric Boat or Newport News Shipbuilding? | |
| 16 | Does your company generate Non-Conformance Reports (NCR’s) in response to violations of the quality management system? | |
| 16.1 | If “yes”, is corrective and preventative action performed and documented? | |
| 16.2 | If “yes”, are root causes addressed in corrective actions? | |
| 16.3 | If “yes”, are records of nonconformances and corrective actions maintained? | |

Welding / Brazing Section:

| | | |
|----|--|-------|
| 17 | Does your company perform welding or brazing services (if “No”, disregard this section) | |
| 18 | What welding processes does your company perform? (Select all that apply, if “other” please specify in the comments section below) | SMAW |
| | | GTAW |
| | | GMAW |
| | | FCAW |
| | | SAW |
| | | OTHER |
| 19 | Are your welding personnel qualified in accordance with NAVSEA S9074-AQ-GIB-010/248? | |
| 20 | Are your company’s procedures qualified in accordance with NAVSEA S9074-AR-GIB-010/248? | |
| 21 | Does your company have procedures approved by Newport News Shipbuilding? | |
| 22 | Does your company have procedures approved by General Dynamics – Electric Boat? | |
| 23 | Does your company have procedures approved by NAVSEA? | |
| 24 | Is your company able to provide approval/supporting documentation for items 19-23 above if applicable? | |

Non-Destructive Testing (NDT) Section:

| | | |
|----|--|---|
| 25 | Does your company provide Non-Destructive Testing services either in house or through a subcontractor? (If “No”, disregard this section) | |
| 26 | What NDT processes does your company offer? (Select all that apply, if “other” please specify in the comments section below) | Magnetic Particle Testing (MT) |
| | | Ultrasonic Testing (UT) |
| | | Liquid Penetrant Inspection (LPI or PT) |
| | | Radiographic Testing (RT) |
| | | Visual Testing (VT) |
| | | OTHER |

Continued from previous page:

| | | |
|----|--|--|
| 27 | Does your company employ an ASNT-certified Level III inspector on staff as the “cognizant” or “responsible” level III examiner? | |
| 28 | If NDT is subcontracted, does your company require that the cognizant Level III from that supplier be ASNT-certified? | |
| 29 | If “yes” to numbers “27” or “28” above, provide ASNT certification number(s) and names of personnel: <i>(applies to subcontractors)</i> | |
| 30 | Does your company require Level III examiners to be recertified at least every five (5) years by examinations that are as comprehensive as employed by the initial certification? <i>(applies to subcontractors)</i> | |
| 31 | Are all NDT personnel (Level II and III) qualified in accordance with NAVSEA T9074-AS-GIB-010/271? <i>(applies to subcontractors)</i> | |
| 32 | Are NDT written practice and procedures qualified in accordance with NAVSEA T9074-AS-GIB-010/271? <i>(applies to subcontractors)</i> | |
| 33 | Does your company have any NDT procedures approved by Newport News Shipbuilding? | |
| 34 | Does your company have any NDT procedures approved by General Dynamics – Electric Boat? | |
| 35 | Does your company have any NDT procedures approved by NAVSEA? | |
| 36 | Is your company able to provide approval/supporting documentation for items 31-35 above if applicable? | |

Calibration Program:

| | | |
|---|--|--|
| 37 | Does your company produce finished or semi-finished parts, components, goods, or provide services that require measurements and/or readings to be taken of specific dimensions or parameters in order to guarantee conformance to drawings/specifications? (if “No”, disregard this section) | |
| 38 | Does your company require that all equipment used to take “final” or “official” measurements be calibrated? (if “No”, disregard this section) | |
| Remaining Questions in this section assume that answers to “37” and “38” above are “yes” | | |
| 39 | Does your company perform calibrations in-house? | |
| 39.1 | If “yes”, is your calibration program accredited in accordance with ISO-17025 as required by NAVSEA Standard Item (NSI) 009-04? | |
| 40 | Does your company outsource calibrations to another company? | |
| 40.1 | If “yes”, does your company require that the laboratory performing your calibrations be accredited in accordance with ISO-17025 as required by NAVSEA Standard Item (NSI) 009-04? | |
| 41 | Are calibration intervals set in accordance with NAVSEA OD 45845 as required by NAVSEA Standard Item (NSI) 009-04? | |
| 42 | Is calibrated equipment use documented on a log or similar? | |
| 43 | Specialized Equipment Note: If your company possesses certain specialized equipment that should be considered outside of the scope of ISO-17025, please describe it below. | |

Miscellaneous QA / Service Specific Questions:

| | | | |
|----|---|----------|--|
| 44 | Does the pyrometry utilized by your company comply with the requirements of AMS 2750? <i>(Suppliers that provide heat treatment services only)</i> | | |
| 45 | Does your company possess an accredited calibration program in accordance with ISO-17025? <i>(Calibration/metrology labs only)</i> | | |
| 46 | Are your company's test uncertainty ratios greater than 4:1 or ensure a probability of false acceptance of two (2) percent or less, and a probability of false rejections of fifteen (15) percent or less? <i>(calibration/metrology labs only)</i> | | |
| 47 | Is your company accredited to ISO 17020? <i>(Material testing laboratories only)</i> | | |
| 48 | Do appropriate personnel possess a Professional Engineer (PE) license issued from the relevant state entity for the state in which your company provides such services? <i>(Professional engineering services only)</i> | | |
| 49 | Does your company possess SSPC certification? If so, select all that apply: <i>(Coating suppliers only)</i> | SSPC QP1 | |
| | | SSPC QP2 | |
| | | SSPC QP3 | |

Comments:

Provide any additional info/justification you would like to have considered here:



Section 5: Dodd-Frank Conflict Minerals Reporting

Explanation:

As a result of the Dodd-Frank Wall Street Reform and Consumer Protection Act and the Conflict Minerals rules recently adopted by the U.S. Securities and Exchange Commission (“SEC”), many companies, including some of our customers, are required to make disclosures regarding whether “conflict minerals” used to manufacture their products originated in the Democratic Republic of Congo (“DRC”) or the adjoining countries (collectively, together with the DRC, the “Covered Countries” are Angola, Burundi, Central African Republic, Congo Republic, Rwanda, Tanzania, Uganda, and Zambia). These “conflict minerals” consist of columbite-tantalite, cassiterite, gold, wolframite, or their derivatives, which are initially limited to tantalum, tin, and tungsten (collectively, the “Conflict Minerals”).

Artcraft Fabricators Inc. (including its subsidiaries) will not purchase material that is that is not “DRC conflict-free” (as defined by the applicable SEC rules), from you or any other supplier. We require that all material you supply to Artcraft Fabricators be “DRC conflict free” and request your formal confirmation that, from and after 30 days of receipt of this notice, all material supplied by your company is and will be “DRC conflict free.”

Please fill out the attached questionnaire and return it to Artcraft Fabricators after receipt to confirm as indicated below that all material you supply is “DRC conflict-free.” If you are not able to make such confirmation or are in the process of surveying your supply chain, please contact us immediately.

Note: If you are a supplier of **Bronze, Inconel, or Tungsten** you must submit a Conflict Minerals Reporting Template (CMRT)

Required Submittals:

Conflict Minerals Reporting Template (CMRT) if applicable.



CONFIRMATION OF DRC CONFLICT FREE STATUS

By countersigning below _____ *[insert your company name]* (“Supplier”) hereby certifies that all material it has supplied to Artcraft Fabricators Inc. (including its subsidiaries) 30 days from and after the date below is “DRC conflict free” as follows (*check applicable option(s)*):

- The materials supplied by Supplier do not contain or utilize **tantalum, tin and tungsten, and gold** (collectively, “Conflict Minerals”).

- The materials supplied by Supplier to Artcraft Fabricators Inc. (Including its subsidiaries) 30 days from and after the date below that contain or utilize any Conflict Minerals do not originate from any of the Covered Countries (as defined above). Supplier has implemented procedures to identify and monitor the origin of materials (other than those from recycled or scrap sources) that are produced with Conflict Minerals.

- The materials supplied by Supplier to Artcraft Fabricators Inc. (including its subsidiaries) 30 days from and after the date below that contain or utilize any Conflict Minerals are from recycled or scrap sources.

Date: _____



Section 6: Controlled Information

Explanation:

Please fill out the following questionnaire detailing your company's status of compliance with DoD directives for information control. This section is required to be completed to gain access to the CMW secure filesharing platform.

Required Submittals:

None.

This section is only intended for suppliers that fall under the “Manufacturing / Finished Products” category and are expected to receive Controlled Unclassified Information (CUI) from CMW. If your company falls under the “Raw Material”, “Services”, or “Metrology/Laboratory” categories, it is not required for you to complete this section unless otherwise instructed.



As you may or may not be aware, federal regulation [22 CFR §122.1(a)] requires all companies that engage in the manufacture of defense articles or furnish defense services to register with the Directorate of Defense Trade Controls (DDTC). As your company will need to be provided defense technical data to manufacture products for Collins Machine Works, we require that you comply with this registration requirement before receiving said information.

The full text of the CFR subsection and part is as follows:

*“Any person who engages in the United States in the business of manufacturing or exporting or temporarily importing defense articles, or furnishing defense services, is required to register with the Directorate of Defense Trade Controls under [§ 122.2](#). For the purpose of this subchapter, engaging in such a business requires only one occasion of manufacturing or exporting or temporarily importing a defense article or furnishing a defense service. **A manufacturer who does not engage in exporting must nevertheless register.** (See [part 129 of this subchapter](#) for requirements for registration of persons who engage in brokering activities.)”*

Note, there are exemptions to this regulation, and you should confer with counsel to see if any of the noted exemptions apply to your company.

Please fill out the below certifying your status of compliance with this regulation:

| | |
|--|--|
| <input type="checkbox"/> | Our company has registered with the DDTC and is fully compliant with 22 CFR 122.1(a) |
| <input type="checkbox"/> | Our company will not register with the DDTC and will not comply with 22 CFR 122.1(a) |
| <input type="checkbox"/> | Our company is exempt under 122.1(b) [see below] |
| If you your company is exempt from registration, please explain/cite the appropriate exemption below: | |
| | |
| <i>By signing below, you certify that you are an authorized representative of the named corporation and that the information provided above is true and correct.</i> | |
| Company: | |
| Representative: | Title: |
| Signature: | Date: |



If you are recovering this request, it is because you are expected to receive Controlled Unclassified Information, "CUI" (also called Covered Defense Information "CDI") as defined by 32 CFR part 2002, and subject to the requirements DFARS 252.204-7012 ("Clause"), in support of bid and contract activities of Artcraft Fabricators DBA Collins Machine Works ("CMW").

The Clause requires that all contractors at every tier under a government prime contract implement "Adequate security measures" (as defined in the Clause) to safeguard CUI/CDI, which is defined to include unclassified controlled technical information or other information, as described in the Controlled Unclassified Information (CUI) Registry, that requires safeguarding or dissemination controls pursuant to and consistent with law, regulations, and Government-wide policies.

The Clause also requires that contractors and subcontractors report to DOD-CIO within 72 hours of discovery of certain "cyber incidents" that result in an actual or potentially adverse effect on CUI/CDI. To submit such reports, you must acquire and maintain a DoD-approved medium assurance certificate. Information on obtaining a DoD-approved medium assurance certificate is available at:

<http://iase.disa.mil/pki/eca/pages/index.aspx>.

It is anticipated that all future prime contracts shall contain this Clause and shall be a mandatory flow down to all contractors and subcontractors that provide material and/or services to CMW. In order to support this requirement CMW requires that all vendors that receive or may potentially receive CUI/CDI certify their compliance with the Clause.

Please complete the following form to certify your compliance with the subject clause.



DFARS 252.204-7014 questionnaire:

Part 1: Supplier System Compliance, select one (1) option below:

| | | |
|-----|--|--|
| i | Our company fully complies with the requirements of DFARS 252.204-7012 and all supplementary specifications to include the security controls required by NIST 800-171, rev 1. | |
| ii | Our company is in the process of compliance with the requirements of DFARS 252.204-7012 and to that end has developed a System Security Plan / Plan of Action – Milestones, “SSP/PoAM” in accordance with NIST 800-171, rev 1. | |
| iii | Our company has not or does not intend to implement the requirements of NIST 800-171, rev 1. If option (iii) is selected, disregard the remainder of this form. | |

Part 2: Supplier Subtier Compliance, select one (1) option below:

We understand that these DFARS obligations include mandatory flow-downs to our suppliers, and:

| | | |
|----|--|--|
| iv | Our company has verified that our existing next-tier suppliers (and will do with any new suppliers) are aware of the DFARS 252.204-7012 obligation and has verified their compliance status, or: | |
| v | Our company has not implemented such a supplier verification process. | |

Part 3: NIST SP 800-171 DoD Basic Assessment

In accordance with DFARS 252.204-7019-7020, our company:

| | | |
|---|---|--|
| vi | Has entered our self-assessment score (not more than 3 years old unless a lesser time is specified in the solicitation) for all covered contractor information systems relevant to the offer, contract, task order, or delivery order, organized by Commercial and Government Entity (CAGE) code(s) addressed by the system security plan (SSP), into the Supplier Performance Risk System (SPRS) or: | |
| vii | Has not yet entered our self-assessment score into the Supplier Performance Risk System (SPRS) but will do so by the date specified below | |
| Our company will enter our assessment score into SPRS by this date: | | |

CERTIFICATION

By the signature of its authorized representative below, vendor certifies that the information above is accurate. If vendor is not selected as a subcontractor to perform the work for which it has received CUI, vendor agrees to dispose/destroy any CUI it received from Artcraft Fabricators Inc, DBA Collins Machine Works in a manner consistent with the requirements of the DFARS clause.

| | |
|--|-------|
| Supplier Company Name | |
| Full Legal Name of Authorized Representative | Title |
| Signature | Date |



Section 7: Supplier Signature Page and Submittal Checklist

As applicable:

| Item | Submittal Description | Reference | Check |
|------|---|----------------------|-------|
| 1 | Supplier W9 | Section 1 | |
| 2 | Certificate of Liability Insurance | Section 2 | |
| 3 | Conflict Minerals Reporting Template (CMRT) | Section 3 | |
| 4 | Quality System Accreditation Letter | Section 4, item 1.1 | |
| 5 | Calibration System Accreditation Letter (ISO 17025, in-house) | Section 4, Item 39.1 | |
| 6 | Calibration System Accreditation Letter or metrology lab reference (ISO 17025, subcontractor) | Section 4, Item 40.1 | |
| 7 | Calibration System Accreditation Letter (ISO 17025, metrology labs only) | Section 4, item 45 | |
| 8 | ISO 17020 Accreditation Letter (material testing labs only) | Section 4, item 47 | |
| 9 | SSPC Certification (coating suppliers only) | Section 4, item 48 | |

Submittal instructions:

Please send the signed and completed form to purchasing@collinsmachine.net, with the subject line “SCA Submittal – [company name]”. **Do not fax the form.** Faxed copies will be ignored, and we will be surprised to find out that we even have a fax line.

CERTIFICATION

By the signature of its authorized representative below, supplier certifies that they have reviewed the information provided in this document and have validated it for accuracy.

| | |
|--|-------|
| Supplier Company Name | |
| Full Legal Name of Authorized Representative | Title |
| Signature | Date |



FOR COLLINS MACHINE WORKS OFFICE USE. SUPPLIERS DO NOT MARK BELOW THIS LINE.

| Service / Aspect | Approved | Approved w/ stipulations | Disapproved |
|---|----------|--------------------------|-------------|
| Raw Material Supplier | | | |
| Provide raw materials for contracted services | | | |
| Subcontracts Allowed | | | |
| Final Dimensional Inspection | | | |
| Calibration Services | | | |
| Material Testing Services | | | |
| Heat Treatment | | | |
| Welding | | | |
| Non-Destructive Testing | | | |
| Manufacturing / Finished Goods | | | |
| On-Site Services | | | |
| On-Site Services (Marine) | | | |
| Coating Services (Marine) | | | |
| CUI/CDI Data | | | |
| Disseminate CUI/CDI to subtiers | | | |

Notes / Stipulations:

Approved: Supply Chain

Approved: Quality Assurance