

# Assessment Report

## Rhinehart Development Corporation Spencerville, IN

Assessment dates	07/24/2024 to 07/25/2024 (Please refer to Appendix for details)
Assessment Location(s)	Spencerville (001)
Report Author	Troy Miller
Assessment Standard(s)	ISO 9001:2015



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## Executive Summary

Rhinehart Development Corporation today is a multi-faceted company servicing a global clientele in agriculture products and contract manufacturing services through their hundreds of distributorships worldwide.

The intended results of its Quality Management System includes exceeding objectives in areas such as Reduction of Variation to Zero Defects, First Pass Yield, On-Time Delivery, Increased Efficiency, Complete Customer Satisfaction and Reliable Financial Performance. The audit objectives have been achieved and the certificate scope remains appropriate. There is good demonstration of commitment from leadership and the staff leadership team to all employees. During the course the assessment there were no non-conformities identified during this visit. Additional details are included within this report.

Based on the auditors knowledge of the facility & site and the Rhinehart Development Corporation Quality Management System, this audit was performed remotely. This audit was performed remotely with the approval of Rhinehart Development Corporation using methods such as Interviews, review of documents, records, inspections, pictures, video, etc. and were completed via Microsoft Teams Video Conferencing and email

Based on BSI's sampled evidence obtained during this assessment, The Rhinehart Development Corporation - Spencerville, IN Quality Management System has demonstrated that it has been effectively designed to support the strategic direction and deliver the intended results and meet the requirements of the ISO 9001:2015 Standard. It is recommended that Rhinehart Development Corporation (FS 583466) be Re-Certified to the ISO 9001:2015 Standard.

## Changes in the organization since last assessment

There is no significant change of the organization structure and key personnel involved in the audited management system.

No change in relation to the audited organization's activities, products or services covered by the scope of certification was identified.

The reference or normative documents applicable to the scope of certification were revised as follows:  
Rhinehart Development Corporation and Rhinehart Finishing, LLC. Quality Policy Manual #QPM-01001 (Rev. 1-10-2024)

## NCR summary graphs

There have been no NCRs raised.

## Your next steps

### **NCR close out process**

There were no outstanding nonconformities to review from previous assessments.

No new nonconformities were identified during the assessment. Enhanced detail relating to the overall assessment findings is contained within subsequent sections of the report.

Please refer to Assessment Conclusion and Recommendation section for the required submission and the defined timeline.

## Assessment objective, scope and criteria

The objective of the assessment was to conduct a re-assessment of the existing certification to ensure the elements of the scope of registration and the requirements of the management standard are effectively addressed by the organization's management system.

If this visit is part of a multi-location assessment, the final recommendation will be contingent on the findings from all assessments.

The scope of the assessment was defined in the plan provided in terms of locations and areas of the system and organization to be assessed.

The criteria of the assessment was the ISO 9001 Standard and the Rhinehart Development Corporation and Rhinehart Finishing, LLC. Quality Management System documentation.

## Statutory and regulatory requirements

Rhinehart Development Corporation and Rhinehart Finishing, LLC. is kept informed of changes in regulations and industry standards thru third party service providers, online monitoring / subscriptions and constant customer communications. The site confirmed since the last assessment, there have been no significant changes to process, resource management, or organizational infrastructure.



## Assessment Participants

Name	Position	Opening Meeting	Closing Meeting	Interviewed (processes)
Phil Rhinehart	CEO	X	X	
Andrew Rhinehart	CFO	X	X	X
Ashley Rhinehart	ISO Coordinator	X	X	X
Mike Gamble	COO Development	X	X	
Tom Diehl	Sales Manager / Business Development - Development	X	X	
Abby Thompson	Quality Manager /Contract Customer Service - Development	X	X	X
Don McDaniel	COO – Finishing	X		
Perry Jackson	Technical Environmental / Quality Manager – Finishing	X		
Kendra McDaniel	Business Development Manager – Finishing	X		
Katie Dove	Human Resource Manager – Finishing	X		
Tristan Weemes	Plant Superintendent - Finishing	X		

## Assessment conclusion

BSI assessment team

Name	Position
Troy Miller	Team Leader

### Assessment conclusion and recommendation

The audit objectives have been achieved and the certificate scope remains appropriate. The audit team concludes based on the results of this audit that the organization does fulfil the standards and audit criteria identified within the audit report and it is deemed that the management system continues to achieve its intended outcomes.

RECOMMENDED - The audited organization can be recommended for recertification to the above listed standards, and has been found in general compliance with the audit criteria as stated in the above-mentioned audit plan.

Use of certification documents, mark / logo or report

The use of the BSI certification documents and mark / logo is effectively controlled.

## Findings from this assessment

### Organizational / System Changes, Scope, Policy (Microsoft Teams Video Conferencing & email):

\*\*\*\*\*This audit was performed remotely with the approval of Rhinehart Development Corporation and Rhinehart Finishing, LLC. using methods such as Interviews, review of documents, records, inspections, pictures, video, etc. and were completed via Microsoft Teams Video Conferencing, Pictures, and email.

#### Organizational / System Changes:

The site has not had any changes that directly affects the Quality Management System. Ashley Rhinehart (ISO Coordinator) oversees the daily Quality Management System activities for both Rhinehart Development Corporation and Rhinehart Finishing, LLC. Ashley receives support from top management including Andrew Rhinehart (CFO) and the Leadership Team at both the Rhinehart Finishing & Development sites. The current Rhinehart Development Corporation and Rhinehart Finishing, LLC. Quality Policy Manual is dated 1-10-2024.

#### Scope of Certification:

Fabrication, Stamping, Forming, Surface Conditioning, Fastening & Weldment of Customer Designed Metal Components for Various Customers, Excluding Proprietary Products.

#### Exclusions:

Section 8.3 Design and Development of Products or Services. The Organization does not perform any design of its products or services. All product requirements and specification are received from the customers.

#### Quality Policy:

(Appendix C of Quality Policy Manual)

Rhinehart Development and Rhinehart Finishing - We are dedicated to providing World-Class Products that Meet or Exceed Customer Requirements and to Continual Improvement of our System.

- Reviewed at Management Review / Internal Audit

#### Audit Days Justification:

ISO 9001 Justifications per MD5:2019 (Issue 4) 24 employees = 3 days

Reductions

10% Integrated with Rhinehart Finishing

10% No Design Responsibility

$3.0 \times .20 = 0.60$  ( $3.0 - 0.60 = 2.40$ )

$2.40 \times .33 = 0.79$  Rounded to 1.0 Days Annual CAV

$2.40 \times .67 = 1.61$  Rounded to 1.50 Days Re-Certification

## **Context of the Organization, Interested Parties (Internal & External), Leadership, Roles & Responsibilities, Management Review, Continual Improvements, QMS Objectives & Targets, Customer Satisfaction / Complaints / Feedback (Microsoft Teams Video Conferencing & email):**

### Objective Evidence:

- #QPM-01001 Rhinehart Development Corporation and Rhinehart Finishing, LLC. Quality Policy Manual (Rev. 1-10-2024)
  - Section 4.1 Understanding the Organization and its Context
  - Section 4.2 Understanding the Needs and Expectations of Interested Parties
  - Section 5.1 Leadership and Commitment
  - Section 5.2 Organizational Roles, Responsibilities, and Authorities
  - Section 9.3 Management Review
  - Section 10.3 Continual Improvement
  - Section 6.1 Actions to Address Risks and Opportunities
  - Section 6.2 Quality Objectives and Planning to Achieve Them
  - Section 7.5 Documented Information
- Pictorial Interaction Shown Between the Management, Core and Support Processes of Rhinehart Development Corporation's Quality Management System
  - Appendix A Quality Policy Manual (Rev. 04, Dated 8-15-2019)
- #QI-04099-RDC Context (Master List of Internal & External Issues (Rev. 11-21-2022)
  - Reviewed at Management Review
- #QI-04094 Interested Parties (Rev. 4-27-2022)
  - Reviewed at Management Review
- #QI-04101 Process Matrix (Rev. 7-6-2022)
- #QI-04100 Risks & Opportunities (Rev. 11-21-2022)
  - Reviewed at Management Review
- Rhinehart Development Corporation Organizational Chart
  - Appendix D of Quality Policy Manual (1-10-2024)
- #QF-06005-1 Management Review - Rhinehart Development (RDC)
  - April 24, 2024
  - November 15, 2023
- #QF-06005-1 Management Review Agenda
  - Agenda / Minutes
- Continual Improvements
- RDC Production Meetings
  - 7-11-2024
- Quality Objectives
  - Reduction of Variation to Zero Defects
    - < First Pass Yield
    - < Delivery 100% On-Time
    - < Increase Efficiency
  - Complete Customer Satisfaction
  - Reliable Financial Performance

- Focus on Prevention
- Continual Improvement of the Quality Management System
- #QI-04034-A Customer Satisfaction Survey (Rev. 05, Dated 10-6-2021)
- Survey's Reviewed
  - New Millennium
  - Valcraft
  - Riverside
- Customer Complaint
- #CARDC24-001 (Non-Conforming Parts Delivered to AM General) 2-28-2024
- Employee / Leadership Interviews

Planned activities have been implemented for Context of the Organization, Interested Parties (Internal & External), Leadership, Roles & Responsibilities, Management Review, Continual Improvements, QMS Objectives & Targets, Customer Satisfaction / Complaints / Feedback . Methods for determining process results are: Management Review inputs & outputs, identifying internal & external interested parties, determination of risks and opportunities, completion of continual improvement activities, development and monitoring of QMS Objectives & Targets, top management involvement and developing roles & responsibilities. Responding to customer complaints / concerns. Ensuring documentation and records are controlled and retrievable.

Based on a sampling of objective evidence, interviews, review of records and documentation, planned activities have been achieved.

## **Purchasing / Supplier Development, Sales / Quoting, Contract Review / Order Entry, Customer Service (Microsoft Teams Video Conferencing & email):**

Objective Evidence:

- #QPM-01001 Rhinehart Development Corporation and Rhinehart Finishing, LLC. Quality Policy Manual (Rev. 1-10-2024)
  - Section 8.1 Operational Planning and Control
  - Section 8.2 Requirements for Products and Services
  - Section 8.4 Control of Externally Provided Processes, Products and Services
  - Section 7.5 Documented Information
- #QI-04054 Purchasing - RDC (Rev. 04, Dated 10-31-2024)
- Purchase Orders
- #QI-04110 Approved Suppliers - RDC (Rev. 02,, Dated 9-6-2023)
- #QF-06007 Master List of Approved Suppliers
- Purchase Orders
  - #19328
  - #19330
- Incoming Metals Receiving and Inspection Report #QF-06100
  - P.O. #19328
  - P.O. #19330
- #QI-04055 Quotation Process and Contract Review (Rev. 03, Dated 2-24-2021)

- #QF-06060 Quotation Worksheet
- #QF-06009 Quotation Form.
- Quotes Observed
  - #0623-333-JLTV (4-18-2024)
  - #0621-149-CRC (7-19-2022)
- Sales Orders
  - Order #34612
  - Order #35562
- #QI-04028 APQP Process (Rev. 11, Dated 3-1-2023)
- #QF-06023 Completed Process Realization Checklist (green)
- Employee Interviews

Planned activities and operational controls have been implemented for Purchasing / Supplier Development, Sales / Quoting, Contract Review / Order Entry, and Customer Service. Methods for determining process results are: Management Reviews, monitoring of interested parties and supplier, customers, completion of continual improvement activities, monitoring customer satisfaction & contract requirements, implementing corrective actions for required customer complaints, development and monitoring of QMS Objectives & Targets, measuring & monitoring data. Ensuring records are retained and retrievable.

Based on a sampling of objective evidence, interviews, review of records and documentation, planned activities have been achieved.

## **Internal Audits, Non-Conformity & Corrective Actions (Microsoft Teams Video Conferencing & email):**

Objective Evidence:

- #QPM-01001 Rhinehart Development Corporation and Rhinehart Finishing, LLC. Quality Policy Manual (Rev. 1-10-2024)
  - Section 9.2 Internal Audit
  - Section 10.2 Nonconformity and Corrective Action
  - Section 7.5 Documented Information
- Procedure #04 Internal Audits (Rev. 08, Dated 9-22-2021)
- #QF-06045-A Internal Audit Schedule 2024 - RDC (Rev. 5-14-2024)
- #QF-06046 Internal Audits Results Record
- Internal Audits Reviewed
  - Calibration, Training & Maintenance (Completed 3-20-2024)
  - Control of Non-Conforming Product (Completed 2-28-2024)
  - Delivery - Shipping & Receiving (Completed 2-21-2024)
  - Manufacturing (Completed 5-8-2024)
  - Quality Policy & Objectives, Management Review, Customer Satisfaction (Completed 4-3-2024)
- Procedure #06 Corrective Action (Rev. 07, Dated 9-22-2021)
- #QF-06043-A Corrective Action Log - RDC
- Corrective Actions Reviewed
  - #CARD24-001 (Non-Conforming Parts Delivered to AM General) 2-28-2024
- Training Records

- Internal Auditors
- Employee Interviews

Planned activities and operational controls have been implemented for Internal Audits and Non-Conformity and Corrective Actions. Methods for determining process results are: Management Reviews, completion of internal audits, development and monitoring of QMS Objectives & Targets, measuring & monitoring data and closing out non-conformities and customer complaints with corrective actions that contain root cause analysis, long term corrections and verification. Ensuring records are retained and retrievable.

Based on a sampling of objective evidence, interviews, review of records and documentation, planned activities have been achieved.

## **QMS Operational Controls – Scheduling & Manufacturing Processes (Weld, Blast, Press, Assembly), Packaging, Shipping & Receiving, Warehousing, Preventive Maintenance, Calibration & Infrastructure – In Process Inspection, Identification & Traceability, Control of Non-Conforming Product (Microsoft Teams Video Conferencing & email):**

Objective Evidence:

- #QPM-01001 Rhinehart Development Corporation and Rhinehart Finishing, LLC. Quality Policy Manual (Rev. 1-10-2024)
  - Section 8.1 Operational Planning and Control
  - Section 8.2 Requirements for Products and Services
  - Section 8.5 Production and Service Provision
  - Section 8.6 Release of Products and Services
  - Section 8.7 Control of Nonconforming Outputs
  - Section 9.1 Monitoring, Measurement, Analysis and Evaluation
  - Section 7.1 Resources
  - Section 7.2 Competence
  - Section 7.3 Awareness
  - Section 7.4 Communication
  - Section 7.5 Documented Information
- Procedure #05 Control of Non-Conforming Product (rev. 07, Dated 9-29-2021)
- #QI-04029 Labeling and Product Identification (Rev. 07, Dated 7-6-2022)
- RDC Plant Layout
- Production Schedule
  - Pressroom (7-22-2024)
    - < All Pieces of Equipment
- #QI-04041 Handling of Non-Conforming Material on the Production Floor (Rev. 07, Dated 9-29-2021)
  - Section II - Identification
  - Section III - Storage and Disposal
- #QF-06092 Rejected Material Tag
- Non-Conforming Material Log #QF-06017-A
- Job List

- Travelling Process Information Sheet #QF-06006
  - Work Order #35574-1 (P/N DMP 41741 - Rev. 2)
  - P/N AMG 12613665 (Rev. A)
  - P/N AMG 12603878 (Rev. C)
- #QF-06190 Production Inspection Record
  - P/N DMP 41741 (Rev. 2)
- #QI-04018 Process Inspection and Approvals (Rev. 13, Dated 7-26-2023)
  - Section I Incoming and Receiving Inspection
  - Section II First Article Inspection and Approval
  - Section III In-Process Inspection and Approval
- #QI-04029 Labeling and Product Identification (Rev. 07, Dated 7-6-2022)
- RDC Shipping Log
  - May 2024
- #QI-04038 Incoming Raw material Inspection (Steel / Aluminum) (Rev. 04, Dated 3-1-2023)
- Incoming Metals Receiving and Inspection Report #QF-06100
- #QF-06068 Delivery Tickets
- RDC Production Meetings
  - 7-11-2024
- #QI-04027 Preventive Maintenance Program (Rev. 00, Dated 7-21-2021)
- Preventive Maintenance Checklist
  - Machine #31 (150 Ton Hydro Press)
  - Machine #35 (135 Ton Press Brake)
  - Machine #50 (40 Ton O.B.I.)
  - Machine #16 (Laser)
- #QI-04030 Instrument Calibration and Verification Process (Rev. 03, Dated 8-13-2014)
- Gage / Instrument Verification Record
  - #328 (6" Dial Caliper)
  - #561 (6" Digital Caliper)
  - #563 (12" Digital Calipers)
- Certificates of Calibration
- RDC Master List of Gauges
- Inspection Records
- Training Records
- Employee Interviews

Planned activities and operational controls have been implemented for Scheduling & Manufacturing Processes (Weld, Blast, Press, Assembly), Packaging, Shipping & Receiving, Warehousing, Preventive Maintenance, Calibration & Infrastructure – In Process Inspection, Identification & Traceability, and Control of Non-Conforming Product. Methods for determining process results are: Management Reviews, completion of internal audits, development of training requirements, product traceability, control of nonconforming outputs / materials, QMS Objectives & Targets, measuring & monitoring data, inspections records. Ensuring records are retained and retrievable.

Based on a sampling of objective evidence, interviews, review of records and documentation, planned activities have been achieved.



## **Training, Awareness, & Competency, Communication (Microsoft Teams Video Conferencing & email):**

Objective Evidence:

- #QPM-01001 Rhinehart Development Corporation and Rhinehart Finishing, LLC. Quality Policy Manual (Rev. 1-10-2024)
  - Section 7.1 Resources
  - Section 7.2 Competence
  - Section 7.3 Awareness
  - Section 7.4 Communication
  - Section 7.5 Documented Information
- #QI-04056 Training Program (Rev. 07, Dated 7-26-2023)
- #QF-06047 2024 Training Plan and Schedule (Rev. 1-10-2024)
- #QF-06116 Individual Training Needs and Analysis
- #QF-06049 On-The-Job Training Form
- Communicating the Quality Policy
- Training Records
  - Colton C.
  - Barney B.
  - Chance E.
- Employee Interviews

Planned activities and operational controls have been implemented for Training, Awareness, and Competency. Methods for determining process effectiveness includes: Reviewing and updating training requirements, completion of training, Objectives & Targets, measurement and analysis of data. Ensuring communication of objectives to all employees. Ensuring records are retained and retrievable.

Based on a sampling of objective evidence, interviews, review of records and documentation, planned activities have been achieved.

## **Documentation, Document & Record Control (Microsoft Teams Video Conferencing & email):**

Objective Evidence:

- #QPM-01001 Rhinehart Development Corporation and Rhinehart Finishing, LLC. Quality Policy Manual (Rev. 1-10-2024)
  - Section 7.5 Documented Information
- Procedure #02 Control of Documents (Rev. 06, Dated 9-22-2021)
- Procedure #03 Control of Records (Rev. 04, Dated 9-22-2021)
- #QF-06000 Master List of Controlled Documents (Rev. 7-3-2024)
- #QF-06000-A Master List of Controlled Records (Rev. 7-3-2024)
- Documents and Records Reviewed Throughout Audit
- Employee Interviews

Planned activities and operational controls have been implemented for QMS Documentation, Document and Record Control at Rhinehart Development Corporation and Rhinehart Finishing, LLC. - Spencerville, IN. Methods for determining process effectiveness includes: Reviewing, updating and controlling documents. Documenting Changes Requests & Reviews. Ensuring records are retained and retrievable.

Based on a sampling of objective evidence, interviews, review of records and documentation, planned activities have been achieved.

## Next visit objectives, scope and criteria

The objective of the assessment is to conduct a surveillance assessment and look for positive evidence to ensure the elements of the scope of certification and the requirements of the management standard are effectively addressed by the organization's management system and that the system is demonstrating the ability to support the achievement of statutory, regulatory and contractual requirements and the organizations specified objectives, as applicable with regard to the scope of the management standard, and to confirm the on-going achievement and applicability of the forward strategic plan.

The scope of the assessment is defined in the plan provided in terms of locations and areas of the system and organization to be assessed.

The criteria of the assessment was the ISO 9001 Standard and the Rhinehart Development Corporation and Rhinehart Finishing, LLC. Quality Management System documentation.

Please note that BSI reserves the right to apply a charge equivalent to the full daily rate for cancellation of the visit by the organization within 30 days of an agreed visit date. It is a condition of Registration that a deputy management representative be nominated. It is expected that the deputy would stand in should the management representative find themselves unavailable to attend an agreed visit within 30 days of its conduct.

## Next Visit Plan

Date	Auditor	Time	Area/Process	Clause
07/21/2025		08:00	Arrive on Site - Day #1 (Audit Combines with Rhinehart Finishing)	ISO 9001:20 15
			Audit Review Planning	
		08:30	Opening Meeting w/ Management Team	
			Organizational Changes, Scope, Policy	
		09:00	RDC Management Responsibilities: Changes, Management Review, Objectives / Metrics, Customer Complaints, Customer Satisfaction, CI	
		10:00	Internal Audit Process	
			Corrective Action Process	
		11:00	Purchasing processes	
		11:30	Manufacturing Processes including Quality Verifications	
		12:00	Lunch	
		12:30	Manufacturing Processes including Quality Verifications	
			Training / Maintenance / Calibration	
		02:30	Doc /Records Control/NC product	
		03:30	Audit Trails / Follow-Ups	
		04:00	Interim Meeting	
07/21/2025		04:30	Completion of Day #1 - Depart Site	

## Next Hybrid Audit Visit Plan

## Appendix: Your certification structure & ongoing assessment programme

### Scope of Certification

#### FS 583466 (ISO 9001:2015)

Fabrication, Stamping, Forming, Surface Conditioning, Fastening & Weldment of Customer Designed Metal Components for Various Customers, Excluding Proprietary Products.

### Assessed location(s)

The audit has been performed at Permanent Locations.

#### Spencerville / FS 583466 (ISO 9001:2015)

<b>Location reference</b>	<b>0047432865-001</b>
<b>Address</b>	Rhinehart Development Corporation 5345 County Road 68 Spencerville Indiana 46788 USA
<b>Visit type</b>	Re-certification Audit (RA Opt 2)
<b>Assessment number</b>	3839559
<b>Assessment dates</b>	07/24/2024
<b>Deviation from Audit Plan</b>	No
<b>Total number of Employees</b>	24
<b>Effective number of Employees</b>	24
<b>Scope of activities at the site</b>	Fabrication, Stamping, Forming, Surface Conditioning, Fastening & Weldment of Customer Designed Metal Components for Various Customers, Excluding Proprietary Products.
<b>Assessment duration</b>	1.5 Day(s)

## Certification assessment program

**Certificate Number - FS 583466**

**Location reference - 0047432865-001**

		Audit1	Audit2	Audit3	Audit4	Audit5	Audit6
Business area/Location	Date (mm/yy):	7/22	7/23	7/24	7/2025	7/2026	7/2027
	Duration (days):	1.0	1.0	1.5	1.0	1.0	1.5
RDC Management Responsibilities: Changes, Management Review, Objectives / Metrics, Customer Complaints, Customer Satisfaction, CI		X	X	X	X	X	X
Internal Audit Process		X	X	X	X	X	X
Corrective Action Process		X	X	X	X	X	X
Doc /Records Control/NC product		X	X	X	X	X	X
Manufacturing Processes including Quality Verifications		X	X	X	X	X	X
Training / Maintenance / Calibration		X		X	X		X
Sales / Contract Review / Scheduling			X	X		X	X
Purchasing processes		X		X	X		X
Shipping & Receiving			X	X		X	X
Planning for Re-Certification			X			X	
Re-Certification				X			X

## Hybrid Audit Certification Assessment Programme

### Justified exclusions / non applicable clauses

Justified exclusions / non applicable clauses have been confirmed for certificate : FS 583466  
details:

Clause 8.3 Design & Development - The Organization does not perform any design of its products or services. All product requirements and specification are received from the customers.

## **Mandatory requirements – re-certification.**

Review of assessment finding regarding conformity, effectiveness and relevance of the management system:

In the past three years, the Rhinehart Development Corporation - Spencerville, IN site IN has had (1) Minor Non-Conformity, they have continually demonstrated consistent conformity and have continually shown the commitment to improving the overall effectiveness of the Quality Management System year over year. The Quality System is very mature and has leadership support.

Management system strategy and objectives:

The Quality Management System has continued to mature and has remained effective during the last three years of certification, the scope of registration remains unchanged. Objectives are well thought out with consistent goals and time frames in which to achieve.

Review of progress in relation to the organization's objectives:

Leadership has demonstrated their commitment to the continual improvement of the Quality Management System and this commitment is visible in all levels of the organization. The site has numerous KPI's that are monitored, this includes, but not limited to: Reduction of Variation to Zero Defects, First Pass Yield, On-Time Delivery, Increased Efficiency, Complete Customer Satisfaction and Reliable Financial Performance.

Review of assessment progress and the re-certification plan:

The observed and documented evidence, over the past three years, the management system demonstrates the organization is achieving what it has set out to do with the Quality Policy and Quality Objectives. All elements have been audited throughout the certification cycle as well as the clients annual Internal Audit process.

BSI Client Management Impartiality and Surveillance Strategy:

During the three year certification period, all processes were assessed and all audit durations were met. There was (1) Minor Non-Conformities found during the three year period. The site was audited 1.0 days annually and 1.5 days for the re-certification. Auditor impartiality had been maintained with the site visits.

Continue with the current Total assessment days / Cycle.

## Expected outcomes for accredited certification.

### What accredited management system certification means?

To achieve an organization's objectives related to the Expected Outcomes intended by the management systems standard, the accredited management system certification is expected to provide confidence that the organization has a management system that conforms to the applicable requirements of the specific ISO standard.

In particular, it is to be expected that the organization

- has a system which is appropriate for its organizational context and certification scope, a defined policy appropriate for the intent of the specific management system standard and to the nature, scale and impacts of its activities, products and services over their lifecycles, is addressing risks and opportunities associated with its context and objectives;
- analyses and understands customer needs and expectations, as well as the relevant statutory and regulatory requirements related to its products, processes and services;
- ensures that product, process and service characteristics have been specified in order to meet customer and applicable statutory/regulatory requirements;
- has determined and is managing the processes needed to achieve the Expected Outcomes intended by the management system standard;
- has ensured the availability of resources necessary to support the operation and monitoring of these products, processes and services;
- monitors and controls the defined product process and service characteristics;
- aims to prevent nonconformities, and has systematic improvement processes in place including the addressing of complaints from interested parties;
- has implemented an effective internal audit and management review process;
- is monitoring, measuring, analysing, evaluating and improving the effectiveness of its management system and has implemented processes for communicating internally, as well as responding to and communicating with interested external parties.

### What accredited management systems certification does not mean?

It is important to recognize that management system standards define requirements for an organization's management system, and not the specific performance criteria that are to be achieved (such as product or service standards, environmental performance criteria etc).

Accredited management systems certification should provide confidence in the organization's ability to meet its objectives related to the intent of the management system standard. A management systems audit is not a full legal compliance audit, and does not necessarily ensure ethical behaviour or that the organization will always achieve 100% conformity and legal compliance, though this should of course be a permanent goal.

Within its scope of certification, accredited management systems certification does not imply or ensure, for example:

- that the organization is providing a superior product and service, or



- that the organization's product and service itself is certified as meeting the requirements of an ISO (or any other) standard or specification.

## Definitions of findings:

Nonconformity:

Non-fulfilment of a requirement.

Major nonconformity:

Nonconformity that affects the capability of the management system to achieve the intended results.

Nonconformities could be classified as major in the following circumstances:

- If there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;
- A number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

Minor nonconformity:

Nonconformity that does not affect the capability of the management system to achieve the intended results.

Opportunity for improvement:

It is a statement of fact made by an assessor during an assessment, and substantiated by objective evidence, referring to a weakness or potential deficiency in a management system which if not improved may lead to nonconformity in the future. We may provide generic information about industrial best practices but no specific solution shall be provided as a part of an opportunity for improvement.

Observation:

It is ONLY applicable for those schemes which prohibit the certification body to issue an opportunity for improvement.

It is a statement of fact made by the assessor referring to a weakness or potential deficiency in a management system which, if not improved, may lead to a nonconformity in the future.

## How to contact BSI

Visit the BSI Connect Portal, our web-based self-service tool to access all your BSI assessment and testing data at a time that's convenient to you. View future audit schedules, submit your corrective action plans and download your reports and Mark of Trust logos to promote your achievement. Plus, you can benchmark your performance using our dashboards to help with your continual improvement journey.

Should you wish to speak with BSI in relation to your certification, please contact your local BSI office – contact details available from the BSI website:

<https://www.bsigroup.com/en-US/contact-us/>

## Notes

*This report and related documents are prepared for and only for BSI's client and for no other purpose. As such, BSI does not accept or assume any responsibility (legal or otherwise) or accept any liability for or in connection with any other purpose for which the Report may be used, or to any other person to whom the Report is shown or in to whose hands it may come, and no other persons shall be entitled to rely on the Report. If you wish to distribute copies of this report external to your organization, then all pages must be included.*

*BSI, its staff and agents shall keep confidential all information relating to your organization and shall not disclose any such information to any third party, except that in the public domain or required by law or relevant accreditation bodies. BSI staff, agents and accreditation bodies have signed individual confidentiality undertakings and will only receive confidential information on a 'need to know' basis.*

*This audit was conducted through document reviews, interviews and observation of activities. The audit method used was based on sampling the organization's activities and it was aimed to evaluate the fulfilment of the audited requirements of the relevant management system standard or other normative document and confirm the conformity and effectiveness of the management system and its continued relevance and applicability for the scope of certification.*

*As this audit was based on a sample of the organization's activities, the findings reported do not imply to include all issues within the system.*

## Regulatory compliance

*BSI conditions of contract for this visit require that BSI be informed of all relevant regulatory non-compliance or incidents that require notification to any regulatory authority. Acceptance of this report by the client signifies that all such issues have been disclosed as part of the assessment process and agreement that any such non-compliance or incidents occurring after this visit will be notified to the BSI client manager as soon as practical after the event.*