# Supplier Audit Checklist

**System & Process Compliance Auditing**

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organization's name or logo.

# ISO 9001:2015 Supplier Audit Checklist

## System & Process Compliance Auditing

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# Supplier Audit Questions

## Quality Management

| Ref | Audit Question | Audit Findings (Score '1' per box) | | | | Audit Evidence | Opportunities for Improvement (OFI) |
|-----|----------------|-----------|-----|-----------|-----------|----------------|-------------------------------------|
| | | COMPLIANT | OFI | MINOR N/C | MAJOR N/C | Provide reference to documented information to justify the finding | Provide suggestions for process improvement |
| 1 | Is the quality system documented, controlled and maintained to clearly describe current practice? | | | | | Quality manual and all procedures show revision control (sign-offs & dates), history of changes | |
| 2 | Do quality reports, trend charts and data analysis identify areas of opportunity and are used by management on a routine basis? | | | | | Product quality yield data, problems and corresponding improvement actions, status of preventive/corrective/audit results | |
| 3 | Are quality-performance targets clearly defined, included in the business plan and monitored for improvements? | | | | | Strategic and tactical objectives, goals, action plans, etc. | |
| 4 | Does executive management participate in periodic quality system reviews that address quality related feedback from customers and internal quality metrics? | | | | | Analysis of field failures, inspection yields, resource needs, internal audit results, corrective action status, etc. | |

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## Continuous Improvement

| Ref | Audit Question | Audit Findings (Score '1' per box) | | | | Audit Evidence | Opportunities for Improvement (OFI) |
|---|---|---|---|---|---|---|---|
| | | COMPLIANT | OFI | MINOR N/C | MAJOR N/C | Provide reference to documented information to justify the finding | Provide suggestions for process improvement |
| 5 | Are preventive actions taken based on the analysis of significant business trends, design reviews, customer satisfaction surveys or other meaningful inputs? | | | | | Management review meetings, goal setting, performance measurement, internal audits, action plans, customer surveys | |
| 6 | Is there a formal approach used to actively pursue cost containment and other continual improvement activities throughout the organization? | | | | | Employee involvement/recognition program, Lean, Six Sigma, kaizen, SPC, 5-S, cost reduction programme | |
| 7 | Is a corrective action system in place that provides root cause analysis and takes timely and effective action to prevent recurrence? | | | | | Corrective actions, trend charts, meeting minutes, non-conformance frequency & cost analysis | |
| 8 | Does the corrective action system cover customer, internal and supplier issues? | | | | | Management review meetings and corrective actions | |

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| Supplier Signature: | | Title: | |
|---|---|---|---|
| Print Name: | | | |
| Comments: | | | |
| Purchasing Department Review & Approval: | | Supplier Approved to provide products or Services | |

| | | Yes | No | Audit |
|---|---|---|---|---|