Procurement Toolkit

SUPPLIER AUDIT

Supplier Audit Checklist

A fillable audit checklist aligned with ISO 9001:2015 §8.4

Quality Systems

Pass (Y) Partial (P) Fail (N) *Tally at end of section*

Q1. Is the quality management system certified (ISO 9001 / IATF 16949)?

☐ Yes ☐ Partial ☐ No

Q2. Are internal audit records complete and up to date?

☐ Yes ☐ Partial ☐ No

Q3. Is there a documented quality policy signed by top management?

☐ Yes ☐ Partial ☐ No

Q4. Are quality objectives measurable and reviewed at planned intervals?

☐ Yes ☐ Partial ☐ No

Q5. Is the document control system in place for procedures and work instructions?

☐ Yes ☐ Partial ☐ No

Q6. Are quality records retained per documented retention periods?

☐ Yes ☐ Partial ☐ No

Q7. Is there a documented management review process with defined inputs and outputs?

☐ Yes ☐ Partial ☐ No

Q8. Are customer-specific requirements identified and deployed throughout the QMS?

☐ Yes ☐ Partial ☐ No

Q9. Is there a process for controlling externally provided documents and data?

☐ Yes ☐ Partial ☐ No

Q10. Is the quality manual current and accurately reflecting the QMS scope and exclusions?

☐ Yes ☐ Partial ☐ No

Production & Process

Pass (Y) Partial (P) Fail (N) *Tally at end of section*

Q11. Are process controls documented with work instructions?

☐ Yes ☐ Partial ☐ No

Q12. Is equipment calibration current with records available?

☐ Yes ☐ Partial ☐ No

Q13. Are process validation protocols in place for special processes (welding, heat treating, coating)?

☐ Yes ☐ Partial ☐ No

Q14. Is there a preventive maintenance schedule with documented completion records?

☐ Yes ☐ Partial ☐ No

Q15. Are critical process parameters monitored and recorded at defined intervals?

☐ Yes ☐ Partial ☐ No

Q16. Is statistical process control (SPC) applied where applicable with control limits defined?

☐ Yes ☐ Partial ☐ No

Q17. Are nonconforming products clearly identified, segregated, and dispositioned per documented procedures?

☐ Yes ☐ Partial ☐ No

Q18. Is there a first article inspection (FAI) process for new production runs and after process changes?

☐ Yes ☐ Partial ☐ No

Q19. Are measurement systems analyzed for repeatability and reproducibility (gage R&R / MSA)?

☐ Yes ☐ Partial ☐ No

Q20. Are production tools, jigs, and fixtures controlled with defined maintenance intervals?

☐ Yes ☐ Partial ☐ No

Supply Chain

Pass (Y) Partial (P) Fail (N) *Tally at end of section*

Q21. Is there a documented supplier evaluation process?

☐ Yes ☐ Partial ☐ No

Q22. Are incoming inspection procedures followed consistently?

☐ Yes ☐ Partial ☐ No

Q23. Are purchased components systematically verified against purchase order requirements upon receipt?

☐ Yes ☐ Partial ☐ No

Q24. Is an approved supplier list (ASL) maintained and reviewed at defined intervals?

☐ Yes ☐ Partial ☐ No

Q25. Are supplier performance metrics (quality, delivery, responsiveness) tracked and reviewed periodically?

☐ Yes ☐ Partial ☐ No

Q26. Is there a supplier corrective action request (SCAR) process with defined response timelines?

☐ Yes ☐ Partial ☐ No

Q27. Are receiving inspection records maintained with defined acceptance criteria and sampling plans?

☐ Yes ☐ Partial ☐ No

Q28. Are certificates of conformance (CoC) or certificates of analysis (CoA) obtained and verified for critical materials?

☐ Yes ☐ Partial ☐ No

Q29. Is there a documented process for supplier risk assessment and classification based on criticality?

☐ Yes ☐ Partial ☐ No

Q30. Are outsourced processes (plating, heat treat, coating) controlled with defined requirements and verification?

☐ Yes ☐ Partial ☐ No

Compliance

Pass (Y) Partial (P) Fail (N) *Tally at end of section*

Q31. Are all required regulatory certifications current?

☐ Yes ☐ Partial ☐ No

Q32. Is environmental and safety compliance documented?

☐ Yes ☐ Partial ☐ No

Q33. Are products marked and labeled per applicable regulatory requirements (CE, UKCA, UL, RoHS, REACH)?

☐ Yes ☐ Partial ☐ No

Q34. Is there a conflict minerals reporting process compliant with Dodd-Frank Section 1502 requirements?

☐ Yes ☐ Partial ☐ No

Q35. Are export and import compliance procedures documented and current (ITAR, EAR, dual-use controls)?

☐ Yes ☐ Partial ☐ No

Q36. Is there a documented hazardous substance management program with current SDS sheets available?

☐ Yes ☐ Partial ☐ No

Q37. Is a code of conduct signed by top management and communicated to all employees?

☐ Yes ☐ Partial ☐ No

Q38. Are labor practices (working hours, freedom of association) compliant with local regulations and ILO standards?

☐ Yes ☐ Partial ☐ No

Q39. Is there a data protection / privacy program compliant with GDPR / CCPA / applicable regulations?

☐ Yes ☐ Partial ☐ No

Q40. Are product safety / liability insurance certificates current with adequate coverage limits?

☐ Yes ☐ Partial ☐ No

Continuous Improvement

Pass (Y) Partial (P) Fail (N) *Tally at end of section*

Q41. Is there a functioning CAPA (Corrective Action) system?

☐ Yes ☐ Partial ☐ No

Q42. Are employee training records up to date?

☐ Yes ☐ Partial ☐ No

Q43. Is there a documented process for setting and tracking improvement objectives (KPI / OKR)?

☐ Yes ☐ Partial ☐ No

Q44. Is customer feedback systematically collected and analyzed?

☐ Yes ☐ Partial ☐ No

Q45. Is there a structured approach to root cause analysis (5-Why, 8D, fishbone)?

☐ Yes ☐ Partial ☐ No

Q46. Are lessons learned shared across functions and projects?

☐ Yes ☐ Partial ☐ No

Q47. Is there a process for benchmarking against industry peers or best-in-class?

☐ Yes ☐ Partial ☐ No

Q48. Are Kaizen / continuous improvement events conducted at defined intervals?

☐ Yes ☐ Partial ☐ No

Q49. Is there a documented innovation pipeline (suggestions, R&D projects, partnerships)?

☐ Yes ☐ Partial ☐ No

Q50. Is management visibly engaged in and accountable for improvement initiatives?

☐ Yes ☐ Partial ☐ No

Summary

Section scores & overall grade

Grade scale (overall percentage)

A · 90–100%
B · 75–89%
C · 60–74%
D · 0–59%

Section	Pass	Partial	Fail	Score
1. Quality Systems				
2. Production & Process				
3. Supply Chain				
4. Compliance				
5. Continuous Improvement				

Overall score **Grade**

Corrective Action Request

Issue one CAR per failed audit question.