

Supplier Audit / Self Audit / Supplier Evaluate Checklist

Audit type ☐ On site
 (Please tick as applicable) ☐ Self Assessment
☐ Supplier Evaluate

This questionnaire is used for the assessment and approval of vendors who supply product and/or service to AAA. It can also be used for on site assessment of vendors.

INSTRUCTION

- Each question in the elements shall be rated "1" "3" or "5" by the Supplier (supplier self score column) and by AAA (AAA validation score column).
- If a question is considered to be "Not Applicable" please write down N/A.
- For all questions that you answer "1" or "N/A" please provides an explanation in the Comments.
- Scoring shall be done in accordance with the Scoring Matrix below. To advance from one level to the next, ALL the requirements from the approach and results must be satisfied from the lower level.
- Please be prepared to show objective evidence, e.g. documentation, records, data, etc.

Scoring matrix

Score	Approach	Results
1	No defined system/process.	Ineffective or Limited evidence of output.
3	Some direction for system/process is defined with evidence of prevention activities. Most management becoming proactive, some elimination of organizational disconnects.	Positive measurable results in most major areas.
5	Well designed and proven system/process in place. Total Management support which is proactive.	Requirements exceeded

1. GENERAL INFORMATION

Company name:			
Address:			
Telephone:		Fax:	
Scope: (Tick as appropriate)	<input type="checkbox"/> Manufacturer (Item 2 – 6) <input type="checkbox"/> Calibrator/Testing (Item 7) <input type="checkbox"/> Trader (Item 9) <input type="checkbox"/> Service (Item 8) <input type="checkbox"/> Other (Please specify; answer as applicable to your organization)		
Products or Services supplied by your organization:			
Current Approvals: (Tick as appropriate)	<input type="checkbox"/> ISO 9001 <input type="checkbox"/> ISO/IEC 17025 <input type="checkbox"/> ISO 14001 <input type="checkbox"/> Other (Please specify) Please provide current copies of certificates.		

Please provide key management information				
Name		Telephone No. / Extension	e-mail	
General Manager:				
Factory Manager:				
Quality Assurance Supervisor:				
Sales Manager:				
Customer Service Manager:				
Contact Person 1:				
Contact Person 2:				
Number of Employees				
Total:	Production:	Quality Assurance:	Inspector:	Other:

2. QUALITY MANAGEMENT SYSTEM

Question	Supplier Self score	AAA validation score
1. Does your organization have a Quality Manual, Exposition or Handbook that identifies the organization policies and processes within an established "Quality Management System"?		
2. Are the duties, responsibilities and reporting relationships of the Top Management and the Quality function documented?		
3. Has a member of management been appointed who has responsibility and authority to ensure processes are established and maintained?		
4. Does the appointed manager have direct access to the Top Management?		
5. Do all employees have adequate knowledge of policies and processes? And, do they consistently apply them?		
6. Does Management responsibility demonstrate active involvement in establishing and maintaining customer or supplier relationships?		
7. Are the quality plans established in the organization?		
8. Are these processes regularly monitored/audited to ensure compliance?		
9. Are Inspection stamps used and adequately controlled?		
10. Are procedures maintained to collect data directly from customers concerning their satisfaction with the products provided?		
11. Are the collected data analyzed and trends kept?		
12. Are documented procedures in place for planning and implementing internal quality audits?		
13. Are the results of the audits recorded and brought to the attention of the management of the audited activity.		
14. Do documented procedures provide for prompt feedback to the customer on their complaints?		
15. Are procedures maintained for implementing Corrective and Preventive Action?		
Comments:		

3. RESOURCE AND FACILITIES

Question	Supplier Self score	AAA validation score
<u>Personnel</u>		
1. Has your organization determined and provided adequate personnel who are trained and competent to perform the work identified within the scope your company?		
2. Are records maintained for training and experience of employees? Especially for certifying staff.		
3. Where Hazardous condition existing, does training content include? a. Task execution. b. Personal safety. c. Awareness of hazardous environment and equipment protection.		
<u>Facilities</u>		
4. Does the organization have the capability to meet contractual requirements?		
5. Does your organization have adequate space, lighting and storage to protect parts, materials and customer units from contamination, theft or damage?		
Comments:		

4. DESIGN *(Only answer this section if you have a design facility)*

Question	Supplier Self score	AAA validation score
1. Are documents procedures in place to control and verify the design of product to ensure that specified requirements are met?		
2. Do the design requirements include? a. Normal values and Tolerances. b. Material property such as type, grade and hardness c. Chemical data		
3. Does the design output meet the design input requirements?		
4. Are the first units processed after a major change in the operation subjected to a critical examination?		
5. Are document procedure established and maintained to control design changes?		
6. Does your organization's change control process provide for customer and/or regulatory authority approval of changes, when required by contract or regulatory requirement?		
Comments:		

5. MANUFACTURING CONTROL (Only answer this section if you have a manufacturing facility)

Question	Supplier Self score	AAA validation score
<u>Processes</u>		
1. Are the processes for manufacture clearly defined for each product?		
2. Is the name of the person(s) who carried out the work or inspection recorded?		
3. Is the name of the person who certified the work recorded?		
4. Is there a process for verifying the first production part? i.e. First Article Inspection.		
5. Does your organization have a process for control of products where processes have been outsourced?		
6. If the manufacturer relies on Certificates of Conformity, do they clearly identify the product, of items covered, the specification to which the products conform, the production date and are they signed or stamped by a person authorised?		
7. Is all products identification through all stages of production?		
8. Is there adequate traceability of material/products used throughout the manufacturing process? Including subcontracted processes.		
<u>Handling and Storage</u>		
9. Are adequate controls in place for handling, protection and segregation of in process material/product to prevent damage, contamination, etc?		
10. Are shelf life items controlled?		
<u>Tooling</u>		
11. Do you have effective tool control in place to prevent foreign objects contaminating the product?		
12. Are in-process, final inspection and/or acceptance tests performed?		
<u>Measurement and Test Equipment</u>		
13. Does your organization have a documented process for the use and control of measurement and test equipment?		
14. Is measurement and test equipment traceable to national standards?		
15. Is all inspection, measuring and test equipment that is inactive or unsuitable for use identified and segregated?		
16. Is the equipment provided with a label or similar method indicating the next "calibration due" date?		
17. Do calibration records reflect: equipment identification number, calibration frequency, calibration procedure, date of calibration and date due for calibration?		
18. Are staffs performing these processes adequately trained and qualified?		
19. Is there a documented procedure to ensure that all products will be tested or inspected according to the manufacturer's requirements and customer's requirements?		
20. Do the inspection and test records include? a. Product identification. b. Quantity of product inspected/tested. c. Documented procedures to be followed. d. Operator performing the test/inspection. e. Date of inspection and/or test. f. Number, type and severity of any defects found.		
21. Are records maintained to clearly show whether the product has been inspected/tested and whether it passes or failed?		

5. MANUFACTURING CONTROL *(continue)*

Question	Supplier Self score	AAA validation score
22. Is the quality of the product protected after final inspection and test through delivery to the destination?		
Control of Non-conforming		
23. Does the control of Nonconforming Product provide for identification, documentation, evaluation and disposition of the nonconforming product as well as provide for the notification of the function concerned?		
24. Is there an effective process in place to control, investigate and correct customer complaints?		
25. Are non-conforming products, customer complaints, etc analysed to determine cause and extent?		
26. Is there a documented process to ensure that scrapped items are mutilated beyond repair and disposed of?		
Comments:		

6. PURCHASING AND SUPPLY CHAIN

Question	Supplier Self score	AAA validation score
1. Do the purchasing documents contain data clearly describing the product ordered?		
2. Are material, components and sub-assemblies verified in accordance with specific requirements?		
3. Are processes and criteria documented for the control of selection and assessment of suppliers for material, parts and services? (i.e. Approved Vendors)		
4. Does your organization maintain a list of approved vendors?		
5. Are suppliers continually monitored for ongoing performance?		
6. Are there ongoing controls established for the control of subcontractors?		
<u>Control and Handling of Product</u>		
7. Does your organization ensure that purchased product conforms to the specified purchase requirements?		
8. Are stock rooms or designated storage areas in use to prevent deterioration or damage to the products priority to use or delivery?		
9. Is FIFO system practiced?		
10. Are individuals involved in handling, trained in the handling of hazardous goods?		
Comments:		

7. Calibrator or Testing (Only answer this section if you provide laboratory or testing)

Question	Supplier Self score	AAA validation score
<u>Approvals</u> 1. Does your organization hold any recognised approvals? (i.e. Industry standard, Laboratory/Test approval, etc) If yes, please list national/international standards currently held and provide copies of the certificates?		
<u>Personnel</u> 2. Is there a list of the personnel, who are authorised signatories verifying the calibration/test set-up and the data recorded?		
3. Are these personnel sufficiently conversant with the Calibration/Test method as specified in your work method or equipment handbook?		
4. Are these personnel conversant with the instrumentation requirements?		
5. Are the authorities technicians sufficiently trained to conduct the calibration/test and record data?		
<u>Processes</u> 6. Is there effective operating procedure(s) for the equipment used in the calibration/test?		
7. Does the organization follow the Standard guidelines to carry out instrumentation for recording measurement in impact testing?		
8. Does your organization have a documented process that instructs how to coordinate with the National Standards (NIMT) or test requesting company for further clarification about the measure equipment or test set-ups?		
<u>Measurement and Test Equipment</u> 9. Is there an effective procedure to maintain the calibration record of the test equipment?		
10. Is there a documented process for the use and control of measurement and test equipment?		
11. Is measurement and test equipment traceable to national standards?		
12. Do calibration records reflect: equipment identification number, calibration frequency, calibration procedure, date of calibration and date due for calibration?		
Comments:		

8. Service (Only answer this section if you provide service)

Question	Supplier Self score	AAA validation score
<u>Approvals</u> 1. Does your organization hold any recognised approvals? If yes, please list national/international standards currently held and provide copies of the certificates?		
<u>Personnel</u> 2. Is there a list of the personnel, who are authorised signatories verifying the service and the data recorded?		
3. Are these personnel sufficiently conversant with the Machine set-up requirements as specified in your work method or machine handbook?		

8. Service *(continue)*

Question	Supplier Self score	AAA validation score
4. Are these personnel conversant with the instrumentation requirements?		
5. Are the authorities technicians sufficiently trained to conduct the service and record data?		
<u>Processes</u>		
6. Is there effective operating procedure(s) for the equipment used in the services?		
7. Does the organization follow machine guidelines to carry out instrumentation for reset-up machine in impact testing?		
8. Does your organization have a documented process that instructs how to coordinate with the manufacture for further the equipment set-ups?		
9. Is the service output meet the customer requirements?		
Comments:		

9. DISTRIBUTOR/STOCKIST *(Only answer this section if you have a distributor/stockist facility)*

Question	Supplier Self score	AAA validation score
1. Do the purchasing documents contain data clearly describing the product ordered?		
2. Are material, components and sub-assemblies verified in accordance with specific requirements?		
3. Are processes and criteria documented for the control of selection and assessment of suppliers for material, parts and services? (i.e. Approved Vendors)		
4. Does your organization maintain a list of approved vendors?		
5. Are suppliers continually monitored for ongoing performance?		
6. Are there ongoing controls established for the control of subcontractors?		
<u>Processes</u>		
7. Is the name of the person(s) who carried out the work or inspection recorded?		
8. If the organization relies on Certificates of Conformity, do they clearly identify the product, of items covered, the specification to which the products conform, the production date and are they signed or stamped by a person authorised?		
9. Is there adequate traceability of material/products used throughout the manufacturing process? Including subcontracted processes.		
<u>Control of Handling and Storage</u>		
10. Does your organization ensure that purchased product conforms to the specified purchase requirements?		
11. Are individuals involved in handling, trained in the handling of hazardous goods?		
12. Are adequate controls in place for handling, protection and segregation of in process material/product to prevent damage, contamination, etc?		
13. Are stock rooms or designated storage areas in use to prevent deterioration or damage to the products priority to use or delivery?		
14. Is FIFO system practiced?		
15. Are shelf life items controlled?		

9. DISTRIBUTOR/STOCKIST *(continue)*

Question	Supplier Self score	AAA validation score
16. Are staffs performing these processes adequately trained and qualified?		
17. Is there a documented procedure to ensure that all products will be tested or inspected according to the manufacturer's requirements and customer's requirements?		
18. Are records maintained to clearly show whether the product has been inspected/tested and whether it passes or failed?		
19. Is the quality of the product protected after final inspection and test through delivery to the destination?		
Comments:		

10. ADDITIONAL COMMENTS

Please reference the section to which these additional comments apply.

Related Section #	Comments/Explanation

On behalf of _____
Company Name

We certify that the information supplied in this Supplier Audit / Self Audit Checklist is true and complete. We hereby accept right of access by the organization, our customer and regulatory authorities to all facilities involved in the order and to all applicable records and will flow down to sub-tier suppliers the applicable requirements in the purchasing documents, including key characteristics where required.

Name: (please print) _____

Position: _____

Signature: _____

Date _____

**Evaluation Report
For AAA Industries Ltd.**

Supplier type: <input type="checkbox"/> New Supplier <input type="checkbox"/> Existing Supplier	Date Record:
Supplier Name:	Supplier code:
Description of Products or Services from this source:	
<p>Evaluation rating:</p> <p><input type="checkbox"/> Good = 5 (76 - 100) <input type="checkbox"/> Fair = 3 (51 - 75) <input type="checkbox"/> Unsatisfactory = 1 (Below 51)</p> <p>Recommended disposition</p> <p><input type="checkbox"/> Approved = 5 <input type="checkbox"/> Provisional = 3 <input type="checkbox"/> Not Approved = 1</p> <p>Conditional Approved:</p>	
Approve Validation period:	
Comments:	
<p>Documents and Information:</p> <p><input type="checkbox"/> Certificate of Quality System registration.</p> <p><input type="checkbox"/> Copy of Quality Assurance Manual. (if system is not certified)</p> <p><input type="checkbox"/> Description of relevant process equipment and machines.</p> <p><input type="checkbox"/> Professional resumes. (if engineering or consulting is involved)</p> <p><input type="checkbox"/> Samples of similar products and/or workmanship. (if applicable)</p> <p><input type="checkbox"/> First Article Inspection Approval of the purchase product is verified and accepted by Quality Assurance or Engineering.</p> <p><input type="checkbox"/> Quality performance report.</p> <p><input type="checkbox"/> Delivery performance report.</p> <p><input type="checkbox"/> Service performance report.</p> <p><input type="checkbox"/> Other, please specify;</p>	

Name:			
Position:			
Signature:			
Date:			
	Evaluate by	Approve by	Approve by