

SUPPLIER AUDIT TEMPLATE

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This document aims to show what topics and examples of questions included in audits conducted by Melby. The list in condensed, and a full audit includes detailed questions on all topics shown on page 2. Page 3 shows examples of questions under the topics "Management Responsibility" and "Quality System". The last page includes rating criteria.

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COMPANY INFORMATION	
Supplier Name	Audit Date
Business Type	Audit Status <input checked="" type="checkbox"/> Self-Assessment <input type="checkbox"/> Initial <input type="checkbox"/> Annual <input type="checkbox"/> Special
Primary Contact	Certifications <input type="checkbox"/> 9001:2015 <input type="checkbox"/> ISO 14001 <input type="checkbox"/> Other <input type="checkbox"/> None <input type="checkbox"/> BSCI/SMETA
Contact Title	If none, anticipated date of registration
Plant Address	Other Certifications
Phone Number	Number of Employees Total: Female: Male: Migrant: Permanent: Temporary:
Fax Number	Number of QC People
E-mail Address	Years in Business
Parent Company	Facility Size

AUDIT RATING (Note: N/A rating indicates the metric is not applicable and is excluded from calculations)								
Section	Topic	Minimum	Poor	Average	Good	Excellent	Score	Remarks
1	Management Responsibility	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
2	Quality System	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
3	Contract Review	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
4	Document Control	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
5	Purchasing	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
6	Product Identification & Traceability	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
7	Environmental: Life Cycle assesement of products	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
8	Environmental Product Declaration	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
9	Social: Labour rights	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
10	Training on Quality	1 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
11	Process Control	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
12	Inspection & Testing	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
13	Inspection Measuring & Test Equipment	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
14	Control of Non Conforming Product	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
15	Corrective Action	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
16	Handling Storage Packaging Delivery Quantity	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
17	Quality Records	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
18	Internal Quality Audits	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
19	Design Control	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
20	Cost Control	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
21	Warranty and Statistical Techniques	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
OVERALL RATING -							0,00	

AUDIT DISPOSITION		
<p>SCORE = 0,00</p> <p><input type="checkbox"/> Approved</p> <p><input type="checkbox"/> Conditional Acceptance</p> <p><input type="checkbox"/> Probationary. Source Inspection required</p> <p><input type="checkbox"/> Not approved</p>	Audit Team Members	Title
	Supplier Representative Acknowledgement	Title

SUPPLIER AUDIT TEMPLATE

M E L
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E

Management Responsibility	Average Rating -	0,00
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This section measures the supplier management's quality awareness and commitment to bringing about continuous improvement in the quality and productivity of products and services.

1	Question	Minimum	Poor	Average	Good	Excellent	Score	Remarks
1	Does supplier have annually updated business plan? Has this lead to development of operations?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	Comments
2	To what extent is there management support of a documented quality policy and is this policy recognized and understood by all employees?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
3	Has Management conducted Management reviews frequently?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
4	Has objectives been identified to meet the quality policy?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
5	Does the company show signs of long term management stability?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
6	Is there evidence that management is committed to the promotion of quality within the organization?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
7	Has the Supplier secured that they have availability of resources?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
8	How do the supplier manage and store the data (IT-security)?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
9	How do the supplier protect the intellectual property rights?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
10	Does the supplier have a strategy for sustainability?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
11	Has the supplier adopted a code of conduct/ethical guidelines/ ethical contract performance clauses or similar?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
12	Has the supplier communicated the code of conduct / ethical guidelines/ ethical contract performance clauses or similar to their sub-suppliers?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
13	Does the supplier have a bribery and anti-corruption policy and provide training to employees on the topic	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
14	Has the facility conducted audits of its labor, health, and safety laws management system(s) in the past year?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
15	Are corrective actions identified related to environmental, labor, health, and safety tracked to closure?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
16	Does the facility have a process in place to evaluate and update environmental, social, and governance policies and systems on an on-going basis?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
17	Does the facility have effective grievance procedures in place to allow employees to bring environmental and/or work-related violations and/or concerns to management's attention in an anonymous manner without fear of retribution?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
18	Does the facility have procedures in place to investigate reports of environmental and/or work-related violations and/or concerns?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	

Quality System	Average Rating -	0,00
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The purpose of this section is to determine evidence of a written quality plan that is maintained and used throughout the organization.

2	Question	Minimum	Poor	Average	Good	Excellent	Score	Remarks
1	Does an established, documented quality system and / or procedures manual exist as a means of ensuring that processes conform to specified requirements?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	Comments
2	Is there a documented procedure provided within the management manual to incorporate changes to policy, procedures, requirements and / or controls?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
3	Does this procedure ensure awareness to changes made to the management manual?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	
4	How are the risks of business operations defined and prepared for?	0 - 2.00	3.00/4.00	5.00/6.00	7.00/8.00	9.00/10.00	0,00	

Rev:8

SUPPLIER AUDIT TEMPLATE

M E L
B Y
E

Status	Rating	Score Range	Explanation of Rating
Limited Work Scope	N/A	N/A	Question does not apply and will be excluded from all calculations
Not Approved	None or Minimum	0 - 2.99	No Systems are in place or they are very minimal. There is a high risk of systems failing.
Probationary. Source Inspection required	Poor	3.00 - 4.99	A system exists and/or some documentation is in use, but is not complete. There is an above average risk of the systems failing
Approved with CA's required	Average	5.00 - 6.99	There are documented systems in place, with the majority of processes under control and only an occasional risk of system failure
Approved with annual surveillance	Good	7.00 - 8.99	All systems are documented (where required), controlled monitored and deemed effective. They are part of an overall training program for employees. There is little risk of system failure
Approved with 2 yearly surveillance	Excellent	9.00 - 10.00	Quality system is state of the art and there is virtually no risk of systems failure