

# *EOTA – Business Form*



*Document Title:*

**Vendor Audit Checklist**

*Document Number:*

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**Revision History:**

<b>Rev.</b>	<b>Description of Change</b>
A	Initial Release
11_0107	Changed alpha revision number to numeric to make it consistent with Q-Pulse.

# Vendor Audit Checklist

Vendor Name / Address

Date / Audit #:

Area	Requirement	Audit Focus	Requirement	Results
4	Quality Management System	Business / Quality System	Determine the vendor's intent to develop and improve the effectiveness of a business system.	
4.2.3	Control of documents	Business / Quality System	Is there a method established to control business processes to ensure process consistency and revision history?	
4.2.4	Control of quality records	Business / Quality System	Is there a method to identify and manage records with the intent of gathering data for analysis and improvement?	
5	Management responsibility	Business / Quality System	Is there evidence of management commitment for the development and improvement of the business system and the communication of the importance of meeting customer requirements?	
5.2	Customer focus	Customer	What is top management's method for ensuring customer product and service requirements are determined and met (with the aim of enhancing customer satisfaction)?	
5.4.1	Quality objectives	Business / Quality System	Has top management determined the business objectives and established the reporting intervals?	
5.5.1	Responsibility and authority	Business / Quality System	What method is used as a means of ensuring that responsibilities and authorities have been identified and communicated within the organization?	
5.5.3	Internal communications	Business / Quality System	Determine what process / method exists to communicate the effectiveness of the organization to the employees?	
5.6	Management review	Business / Quality System	Identify the vendor's mechanism for reviewing the effectiveness of the Business System including opportunities for improvement and the need for change.	
6.3	Infrastructure	Business / Quality System	Identify how infrastructure (such as process equipment) needs are addressed? How is preventive maintenance managed?	

Area	Requirement	Audit Focus	Requirement	Results
7.1	Planning of product realization	Business / Quality System	How does the vendor capture and review the customer's product and / or service requirements and ensure it has the capability to meet the requirements?  What is the mechanism to ensure that the customer product and / or service requirements are met?	
7.2.3	Customer communication	Customer	How are amendments to customer requirements managed and transmitted to all affected functions within the organization?	
7.3	Design and development	Business / Quality System	What is the design / development process?	
7.3.7	Control of design and development changes	Business / Quality System	What is the process for managing and communicating engineering change activity, in particular, customer notification and approval of change?	
7.4	Purchasing	Business / Quality System	Identify the process used for vendor selection and management.	
7.6	Control of monitoring and measuring devices	Equipment Calibration	Identify the calibration process that ensures that equipment used to confirm / test product conformance is calibrated.	
8	Measurement, analysis and improvement	Metrics	Describe the techniques / processes used to ensure the product conforms to requirements. In addition, what mechanism is used to identify areas for improvement?	
8.2	Monitoring and measurement	Metrics	What metrics are used to manage the business and its critical processes?	
8.2.1	Customer satisfaction	Customer	What method is used to monitor customer perception? How are actions related to customer issues and positive communication managed?	
8.4	Analysis of data	Metrics	What methods are used to collect and analyze data related to customer satisfaction, product conformity, process and product trends and vendor performance?	
8.5.1	Continual improvement	Business / Quality System	What systemic method is used to assess the continual business improvements? Who is involved in making this assessment?	
8.5.2	Corrective action	Corrective / Preventive Action	How are nonconformities managed with the intent of determining the root cause and preventing recurrence?	
8.5.3	Preventive action	Corrective / Preventive Action	How are potential nonconformities identified with the intent of preventing their occurrence?	