

Purchasing Process Based Audit Checklist By K&S Quality Associates

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	General Process Questions (You may want to answer these questions after or while the specific questions starting at #23 are answered)	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
01	Is there a process flow diagram that adequately describes the inputs, outputs, responsibilities, resources, measurement point, and other requirement of the process?			
02	Does the Quality Manual properly address all the requirements of this section of the Standard?			
03	Are the documents required for this process controlled according to the requirements given in section 4.2.3 of the Standard?			
04	Are records created by this process controlled according to the requirements given in section 4.2.4 of the standard?			
05	Has management demonstrated an involvement in this process by the communication of a quality policy and objectives to the employees involved in this process?			
06	Is there evidence that management has reviewed this process during the management review meetings?			
Objective evidence assessed / Observations / Comments / N/A explanation				

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07	Has management provided resources necessary to effectively carry out this process?			
08	Are there adequate work instructions for the employees involved in this process?			
09	Are there adequate job descriptions for the employees involved in this process?			
10	Are there adequate training records for the employees involved in this process?			
11	Is there evidence of appropriate maintenance of all equipment involved in this process?			
12	Is there evidence that the proper work environment is being provided and maintained? (ESD, Clean room, etc...)			
Objective evidence assessed / Observations / Comments / N/A explanation				

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13	Is all measuring equipment (if any) used in this process calibrated in accordance with written procedures and the requirements of the standard?			
14	Does the organization conduct internal audits of this process at planned intervals to determine whether the process is effective and meets the requirements of the standard?			
15	Does the organization apply suitable methods for monitoring and, where applicable, measurement of this quality management system processes?			
16	Do these methods demonstrate the ability of the processes to achieve planned results?			
17	When planned results are not achieved, is correction and corrective action taken, as appropriate, to ensure conformity of the product?			
Objective evidence assessed / Observations / Comments / N/A explanation				

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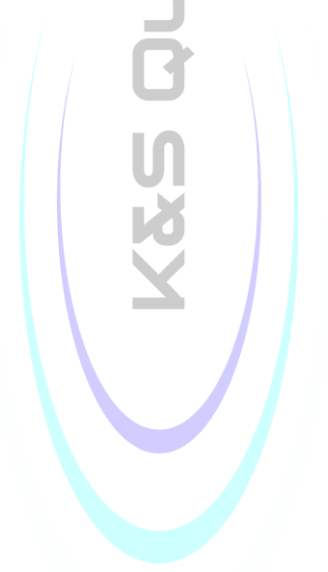
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18	In the event of process nonconformity, does the organization: <ul style="list-style-type: none"> a) take appropriate action to correct the nonconforming process? b) evaluate whether the process nonconformity has resulted in product nonconformity? c) identify and control the nonconforming product in accordance with clause 8.3? 			
19	Does the organization determine, collect and analyze appropriate data to demonstrate the suitability and effectiveness of this process and to evaluate where continual improvement of the effectiveness of this process can be made?			
21	Are corrective actions relevant to this process utilized and verified for effectiveness?			
22	Are preventive actions relevant to this process utilized and verified for effectiveness?			
Objective evidence assessed / Observations / Comments / N/A explanation				

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Questions in ***Bold Italics*** are specific to the AS9100 standard.

	Process Specific Questions	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
23	7.4.1 Does the organization ensure that purchased product conforms to specified requirements?			
24	<i>Is the organization Responsible for product conformity for all purchased products (including product from customer directed suppliers)?</i>			
25	Are criteria for selection, evaluation, and re-evaluation established?			
26	Are records of evaluations and actions arising from the evaluations maintained?			
27	<i>a. Is a Register of approved suppliers including scope of approval available?</i>			
28	<i>b. Is Supplier performance periodically reviewed?</i>			
Objective evidence assessed / Observations / Comments / N/A explanation				

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	Process Specific Questions	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
33	<p>7.4.2 Purchasing information includes (where appropriate):</p> <ul style="list-style-type: none"> a) product, procedures, processes, and equipment approvals b) personnel qualifications c) QMS requirements d) <i>revision status relevant technical data</i> e) <i>requirements for design, test, inspection, verification, use of statistical techniques, and related instructions for acceptance (including critical items and key characteristics)</i> f) <i>requirements for test specimens</i> g) <i>requirements for the suppliers to</i> <ul style="list-style-type: none"> • <i>notify of nonconforming product</i> • <i>receive nonconforming product disposition approvals</i> • <i>notify of changes to product, processes, suppliers, and facilities</i> • <i>flow down requirements</i> h) <i>records retention requirements</i> i) <i>right of access</i> 			
<p>Objective evidence assessed / Observations / Comments / N/A explanation</p> <div style="text-align: center; font-size: 2em; opacity: 0.3; font-family: sans-serif;">  K&S Quality Associates, Inc. Your Source for Quality Solutions </div>				

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34	Does the organization review adequacy of purchase requirements prior to issuance?			
35	7.4.3 Have activities to ensure purchased product meets purchase requirements been established and implemented?			
36	<i>Is a process of product recall implemented when product released for use prior to completion of required incoming verification?</i>			
37	<i>Are requirements for supplier delegations defined and a register of delegations maintained?</i>			
38	When applicable, does purchasing information define verification activities at the supplier's premises?			
Objective evidence assessed / Observations / Comments / N/A explanation				

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As your system matures you may want to develop questions specific to any documented procedures/work instructions relating directly to this Process:

Procedure/WI #:

Question #:

Question:

Objective evidence assessed / Observations / Comments / N/A explanation:

Procedure/WI #:

Question #:

Question:

Objective evidence assessed / Observations / Comments / N/A explanation:

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Procedure/WI #:

Question #:

Question:

Conforming:

Minor:

Opportunity For Improvement:

Objective evidence assessed / Observations / Comments / N/A explanation:

Procedure/WI #:

Question #:

Question:

Objective evidence assessed / Observations / Comments / N/A explanation:

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Procedure/WI #:

Question #:

Question:

Conforming:

Minor:

Opportunity For Improvement:

Objective evidence assessed / Observations / Comments / N/A explanation:

Procedure/WI #:

Question #:

Question:

Objective evidence assessed / Observations / Comments / N/A explanation:

Process Performance Evaluation

Minor Findings: _____ OFI's: _____ Total Findings: _____

Is this process meeting set objectives & Targets (Explain)?

Process Evaluation:

1. Process is effectively implemented, planned results are achieved:
2. Process is implemented, planned results aren't achieved but appropriate actions are being taken:
3. Process is not effective, planned results aren't achieved and appropriate actions are not being taken:

Additional Notes:

Auditor: _____ Date: _____

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