



HEADQUARTERS LOOMIS, CA. USA

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SAN JOSE, CA. USA	HONG KONG	MEXICO
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Subcontractor Audit Checklist

COMPANY BEING AUDITED		DATE OF AUDIT	
ADDRESS:			
PH#		EMAIL ADDRESS	
AUDITOR(s):		NUMBER OF SHIFTS	
CEO:		R & D MANAGER:	
SALES MANAGER		Quality Manager:	
Number of Employees:		Number of Quality Inspectors:	
PART NUMBER:			
DESCRIPTION OF PART:			

CONFIRM THE FOLLOWING BEFORE BEGINNING THE AUDIT:

- A Is the product we are sourcing one of the factories core competencies?
- B Does the factory currently have a system in place to satisfy our quality questionnaire?
- C Is there a clear understanding within the factory from top-down of our requirements to meet our needs? (IE: no material/ tolerance substitutions)
- D Does the factory currently have international customers? If so, what is their sales turnover by country?
- E Does the factory exhibit the necessary communication skills to partner with a US based customer?

1	Does the company have a controlled quality policy and is it distributed and understood throughout the organization?	CHECK APPROPRIATE	DOCUMENT #. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No Policy established		
	Established but not controlled, distributed or understood by employees		
	Established and controlled but not distributed or understood by employees		
	Established, controlled and distributed but not understood by all employees		
	Established, distributed and understood by all employees		
Notes:			

2	Does the company have a controlled quality manual formatted under the ISO 9000 standard?	CHECK APPROPRIATE	DOCUMENT #. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No manual established		
	Established but not controlled		
	Established and controlled but not formatted under the ISO 9000 standard		
	Company is ISO 9000 certified with a satisfactory quality manual		
	Company is ISO 9000 certified with an excellent quality manual		
Notes:			
3	Does the company management team have a defect prevention attitude toward defect reduction and quality improvement?	CHECK APPROPRIATE	DOCUMENT #. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No defect prevention systems funded or implemented		
	Little or no defect prevention programs implemented but plans to expand		
	A few defect prevention programs implemented with plans to expand		
	Satisfactory amount of programs in place with plans to expand		
	Several programs in place with documented evidence of defect reduction		
Notes:			
4	Are there sufficient quality controls to assure consistent quality from shipment to shipment	CHECK APPROPRIATE	DOCUMENT #. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No Quality Controls established		
	Established but not controlled.		
	Established and controlled but not distributed or understood by employees		
	Established, controlled and distributed but not understood by all employees		
	Established, distributed and understood by all employees		
Notes:			
5	Do Formal Quality standards exist and are they made known to all employees	CHECK APPROPRIATE	DOCUMENT#.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No Quality Controls established		
	Established but not controlled.		
	Established and controlled but not distributed or understood by employees		
	Established, controlled and distributed but not understood by all employees		
	Established, distributed and understood by all employees		
Notes:			

6	Do Quality improvement programs exist? Goals and trends are measured and published to employees.	CHECK APPROPRIATE	OBTAIN COPIES OF GOALS AND MEASUREMENTS
	No quality measurement system exists		
	A few areas have quality goals but they are not visible or being review		
	Many areas have quality goals established with some visibility and reviewing		
	Most areas have quality goals established which are highly visible and		
	All areas have quality goals established which are highly visible and reviewed		
Notes:			
7	Formal long-term quality planning is conducted by upper management	CHECK APPROPRIATE	OBTAIN COPIES OF GOALS AND MEASUREMENTS
	No long term quality plan exist.		
	A few areas have quality plan but is not visible or being review regularly		
	Many areas have quality plan established with some visibility and reviewing		
	Most areas have quality plan established which are highly visible and reviewed		
	All areas have quality plan established which are highly visible and reviewed		
Notes:			
8	Does the company have a formal documentation and change control system?	CHECK APPROPRIATE	DOCUMENT #.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No system exists		
	An informal, undocumented system exists		
	A documented system exists with need for improvement and expansion		
	A satisfactory and documented system exists		
	A complete documentation and change control system exists with no errors		
Notes:			

9	Is there a system in place to notify customers when changes are made to products, processes, drawings or specifications which may affect the customer?	CHECK APPROPRIATE	DOCUMENT #. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No system exists		
	An informal, undocumented system exists		
	A documented system exists with need for improvement		
	A satisfactory and documented system exists with timely feedback to the		
	A complete documented system exists with immediate feedback to the		
Notes:			
10	Are work instructions, quality procedures and policies available at all locations where operations essential to the functioning of the quality system are performed?	CHECK APPROPRIATE	DOCUMENT #.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No work instructions, quality procedures or policies exist		
	Work instructions, quality procedures and policies are not easily accessible		
	Accessible to all employees but not located at the point of application		
	Accessible to all employees and located at most points of application		
	Accessible to all employees and located at all points of application		
Notes:			
11	Is there a system to ensure that the most current customer specifications and drawings are available to the manufacturing personnel?	CHECK APPROPRIATE	DOCUMENT #.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No system exists		
	An informal, undocumented system exists		
	A documented system exists with need for improvement		
	A satisfactory and documented system exists		
	A complete documented system exists with immediate availability to		
Notes:			
12	Do new documents and changes to documents go through a formal review and approval process by authorized personnel prior to issue? (Includes drawings, electronic media)	CHECK APPROPRIATE	DOCUMENT #.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No reviewing or approval of documents		
	Only some documents have gone through a review and approval process		
	Documents and data are reviewed but no approval is evident on the documents		
	All types of documents go through a review and approval process with little		
	All types of documents go through a review and approval process with no		
Notes:			

13	Is there a comprehensive training/certification program for all employees?	CHECK APPROPRIATE	DOCUMENT#.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No training program exists		
	Some training is done but no documented system is in place		
	Training program exists but there is a need to expand		
	A good training program exists with all manufacturing employees trained and		
	An excellent training program exists with every employee trained and certified		
Notes: REVIEW SOME OF THE TRAINING RECORDS AND MAKE COPIES			
14	Is there formal SPC training for all levels of employees?	CHECK APPROPRIATE	DOCUMENT #.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No SPC training program		
	Vague, undocumented SPC training program with little operator training		
	Acceptable program with some operators trained and plans to expand the		
	A good SPC program exists with all operators and most administrative		
	All employees trained in SPC with evidence of properly applying them in		
Notes: REVIEW SOME OF THE TRAINING RECORDS AND MAKE COPIES			
15	Does the training department/personnel maintain training records on all employees?	CHECK APPROPRIATE	DOCUMENT NO. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No training records maintained		
	No training records maintained but a plan is in place to start record retention		
	Some employees have training records		
	All manufacturing employees have training records		
	All employees have training records including administrative personnel		
Notes: VERIFY TRAINING RECORDS FOR AND GET COPIES			
16	Are Employees performing specialized job functions such as soldering, welding, bonding, calibration etc., certified through an accredited organization?	CHECK APPROPRIATE	DOCUMENT #.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No employees certified through accredited organizations		
	No employees certified through accredited organizations but plans to certify		
	Some employees performing specialized tasks certified through accredited		
	Most employees performing specialized tasks certified through accredited		
	All employees performing specialized tasks certified through accredited		
Notes: VERIFY TRAINING FOR SPECIAL PROCESSES AS INDICATED ABOVE AND MAKE COPIES			

17	Are certification and quality system audits performed on subcontractors?	CHECK APPROPRIATE	DOCUMENT #.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No certification or quality system auditing of subcontractors performed		
	Some certification auditing performed but no formal system exists		
	Certification quality system audit is performed but no follow up auditing		
	Good certification and quality system audit program with most critical		
	Excellent certification and quality system audit program with all critical		
Notes: VERIFY AUDIT RECORDS, & GET COPIES			
18	Does a subcontractor rating system exist which includes quality and on-time delivery performance for a designated period of time (i.e. monthly performance reports)?	CHECK APPROPRIATE	DOCUMENT #.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No subcontractor rating system		
	Informal undocumented system with a few subcontractors receiving		
	Rating system exists with some critical subcontractors receiving performance		
	Rating system exists with most critical subcontractors receiving performance		
	Excellent rating system exists with all critical subcontractors receiving		
Notes: GET COPIES OF LATEST PERFORMANCE RATING.			
19	Is there a formal subcontractor corrective action system in place?	CHECK APPROPRIATE	DOCUMENT #.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No subcontractor corrective action system		
	Informal undocumented system with occasional corrective action requests		
	Subcontractor corrective action system exists with limited implementation and		
	Subcontractor corrective action system exists with full implementation and		
	Excellent subcontractor corrective action program exists, fully implemented		
Notes:			
20	Are receiving inspection equipment and facilities adequate? Does the receiving Inspection facility have tooling to ensure incoming materials meet specification.	CHECK APPROPRIATE	OBTAIN PICTURES IF POSSIBLE RECORD CONDITION IN NOTES BELOW.
	No receiving inspection area or equipment		
	Poor conditions in receiving inspection area with inadequate equipment		
	Fair conditions in receiving inspection area with need for better equipment		
	Good conditions in receiving inspection with adequate equipment		
	Excellent RI department with advanced inspection equipment		
GET LIST OF RECEIVING INSPECTION TOOLS, PICTURE OF RECEIVING INSPECTION			
Notes:			

21	Are all manufacturing and inspection tools on a regular maintenance and calibration cycle?	CHECK APPROPRIATE	DOCUMENT #.. OBTAIN COPY OF DOCUMENT OR PROCEDURE
	Yes all tools with in the manufacturing and Inspection areas are on a regular maintenance and calibration cycle.		
	Only the manufacturing tools are on a regular maintenance and Calibration		
	Only the Inspection tools are on a regular maintenance and Calibration Cycle.		
	There were no tools available in for Inspection.		
	Notes:		
22	Perform and or obtain copies of the following:	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	Obtain a copies of the company's Calibration and Tool Maintenance Procedures.		
	Get a List of all tools within the company both in the Manufacturing and Quality Inspection Depts.		
	Confirm that all tools are on a regular maintenance program and calibration cyle. Verify records of such maintenance and calibration.		
	Check numerous tools to ensure they are within their calibration date. Verify label on tool against calibration file record.		
	Notes:		
23	Do documented procedures exist for purchased material requirements, and is there a system to inform subcontractors of these requirements or requirement changes ?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No documented requirements for subcontractors		
	Some documented procedures exist but not distributed to subcontractors		
	Some documented procedures exist and distributed to subcontractors		
	Good documented procedures in place which assures distribution to		
	Excellent procedures and system with all subcontractors informed with		
Notes:			
24	Evidence of an efficient material planning system exists e.g.. Material Requirement Planning (MRP), etc.	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No system exists.		
	System exists but is not used		
	System exists but some times is not followed or checked		
	System is always used and followed		
	System is full implemented and always followed and maintained		
Notes:			

25	Finished product is turned on a First-In, First-Out (FIFO) basis.	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	Any Finished Product is turned on a FIFO		
	Just few Finished product is turned on a FIFO.		
	Some Finished product is turned on a FIFO.		
	Most Finished product is turned on a FIFO		
	All Finished product is turned on a FIFO		
Notes: CHECK NUMEROUS PRODUCT LINES TO ENSURE THAT FIFO IS BEING FOLLOWED.			
26	Finished products are traceable back through the process to processing dates and incoming material lots	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	Any finished product is traceable back		
	Just few Finished product is traceable back.		
	Some Finished product is traceable back.		
	Most Finished product is traceable back.		
	All Finished product is traceable back.		
Notes: REVIEW PRODUCT TRACEABILITY, DATE CODES, LOT NUMBERS ETC...			
27	Goods are packaged in a manner that protects the product from damage by handling, weather, etc.	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No evidence which suggest how to protect and package goods		
	Evidence not showed but packaging is done in place not all shipments		
	Evidence showed but just few products		
	Evidence showed on all products		
	All goods are correctly packaged accordingly to MPI's in place and a system is		
GET PICTURES OF PACKAGING AREA AND PACKAGING THAT WILL BE PROVIDED FOR SJS PRODUCTS PARTS.			
Notes:			
28	Packaging standards and specifications are documented and available	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No packaging standards are available		
	Informal undocumented standards and instructions are available		
	A few documented standards are implemented available		
	Satisfactory amount of programs in place with plans to expand		
	Several programs in place with documented evidence of defect reduction		
Notes:			

29	Out going shipments are verified as to correct contents, quantities, destination and documentation.	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No evidence shows outgoing inspections		
	Few shipments show evidence		
	Evidence is just for quantities and contents, but not for paperwork		
	Evidence complies with all customer requirements		
	Evidence complies with customer requirements and have a system in place to		
	Notes:		
30	What is the extent of SPC implementation for all processes, products and customers?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No implementation of SPC		
	Some Implementation of SPC with no plans to expand		
	Some process parameters and products are controlled through SPC with plans		
	Good implementation of SPC with several process parameters and products		
	Complete implementation of SPC for process parameters, products, and		
	Notes:		
31	Are Cpk values used to monitor and improve the performance of critical process and product parameters?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No Cpk tracking done		
	Some Cpk tracking done but no improvement plans in place		
	Some Cpk tracking done with some improvement plans in place		
	Cpk tracking done on most critical parameters with improvement plans in		
	Routine capability studies done to track Cpk values on all critical parameters		
	VERIFY CPK CHARTS DURING THE MANUFACTURING PROCESS AND HOW THEY ARE Notes:		
32	Are calibration and preventative maintenance programs fully documented?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No documented calibration or PM programs		
	Informal procedures with little documentation		
	Some procedures and documentation in place for the calibration and PM		
	Satisfactory documentation for the calibration and PM programs		
	Fully documented programs which assure calibration and PM's are on schedule		
	VERIFY CALIBRATION & MAINTENANCE PROGRAM AND THAT VITAL EQUIPMENT IF ON BOTH LOGS. Notes:		

33	Are out of calibration equipment recalled and prohibited from use?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No procedures to prevent using out of calibration equipment		
	Marginal procedures and many pieces of equipment out of calibration		
	Marginal procedures and a few pieces of equipment out of calibration		
	Good procedures and only one out of calibration tool found during audit		
	Good procedures and no out of calibration equipment found during audit		
	VERIFY THAT ALL TOOLS IN USE ARE IN GOOD CONDITION & CALIBRATION. HOW ARE TOOLS RECALLED AND PROHIBITED FROM USE?		
Notes:			
34	Are Gauge R&R (repeatability and reproducibility) studies conducted on critical measuring equipment and processes	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No system		
	No formal system but R&R is known for a few processes		
	System in place with R&R known for a few processes		
	System in place with R&R known for many processes		
	System in place with R&R known for most processes & with P/T ratios less		
	Notes:		
35	Are outside calibration labs certified and are tools traceable to a national standard?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No calibration system		
	Outside calibration labs are not certified and tool not traceable to a national		
	Certified calibration labs used at times and many tool traceable to a national		
	Only certified labs used with few exceptions, all tools traceable to a national		
	Only certified calibration labs used and all tools are traceable to a national		
	CHECK CALIBRATION RECORDS, IS CALIBRATION PERFORMED IN HOUSE OR BY AN OUTSIDE CERTIFIED LAB. WHAT CERTIFICATION STANDARD ARE THE TOOLS CALIBRATED TO?		
Notes:			

36	Are calibration and Preventive maintenance cycles on schedule?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	Little or no calibration or PM systems		
	Some gauges and many pieces of equipment not done according to schedule		
	Most Calibration and PM's done according to schedule		
	All Calibration and most PM's done according to schedule		
	All done according to schedule		
	Notes:		
37	How adequate are the manufacturing facilities, housekeeping and equipment?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	Very poor condition		
	Poor condition		
	Fair condition		
	Good condition		
	Excellent condition		
	Notes:		
38	How adequate are in process material handling procedures and techniques?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No handling procedures and poor material handling techniques used		
	Poor handling procedures and fair material handling techniques used		
	Acceptable handling procedures and techniques used		
	Good handling procedures and techniques used		
	Excellent handling procedures and techniques used		
	Notes:		
39	Is non-conforming material completely segregated and identified at all stages?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No system		
	Some material segregation and identification		
	Good material segregation and identification with one exception found		
	Good material segregation and identification with no exceptions found		
	Excellent material segregation and identification with no exceptions found		
	HOW ARE NON-CONFORMING MATERIALS SEGREGATED & IDENTIFIED.		
Notes:			

40	Is in-process material properly identified with complete traceability and control throughout the manufacturing process?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No system or material traceability		
	Informal system with vague material identification		
	Acceptable material identification system with good traceability		
	Good material identification system and traceability		
	Excellent material identification system and traceability		
	Notes:		
41	Are process audits conducted on a regular basis?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No process audits conducted		
	Occasion process audits conducted but no formal system		
	Informal process audit system and conduction		
	Good process audit system with documented evidence		
	Excellent process audit system with documented evidence		
	CHECK IN-PROCESS AUDITS CONFIRM SCHEDULE Notes:		
42	Are in-process and final inspection equipment and facilities adequate?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No in-process or final inspection area or equipment		
	Poor conditions with inadequate equipment for inspection		
	Fair conditions and equipment for inspection		
	Good conditions and adequate equipment for inspection		
	Excellent inspection facilities with advanced inspection equipment		
	Notes:		
43	Are receiving, in-process and final inspection procedures fully documented and followed?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No procedures for inspection		
	Informal inspection procedures with no AQL sample plan identified		
	Acceptable inspection procedures but not understood and followed by all		
	Fully documented inspection procedures which are understood by most		
	Fully documented inspection procedures which are understood & followed by		
	Notes:		

44	Are Inspection and test results used for reporting quality information to management? Is this data reviewed at management meetings?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No quality reports created or reviewed by management		
	Some quality reports created but not reviewed in management meetings		
	Some quality reports created and reviewed in management meetings		
	Many quality reports created each week and are often used in management		
	Many quality reports created each week and are always used in management		
	VERIFY MANAGEMENT REVIEW MEETING MINUTES FOR DISCUSSION OF TEST RESULTS.		
Notes:			
45	Are in-process and final inspection results used for internal corrective and preventative action?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No internal corrective and preventative action system		
	Informal CAR program with little feedback and follow up relating to quality		
	Acceptable CAR program with some follow up and plans to expand the		
	Good CAR program, with complete follow up and a few examples available for review		
	Good CAR program, with complete follow up and several examples available for review		
	Notes:		
46	Are customer corrective action requests and complaints responded to and completed before the due date?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No system for responding to customer CAR's and complaints		
	Some responses completed on time		
	Most responses completed on time		
	All CAR's and complaints responded to on time with little repeat complaints		
	All CAR's and complaints responded to and completed on time and are highly		
	Notes:		
47	Are the specific goals for achieving total customer satisfaction both internal and external covering all aspects of the organization ?	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
	No perception of need for customer satisfaction goals.		
	Management is beginning to appreciate the need for a formal goal setting		
	Goals for customer satisfaction are being set for some major departments with		
	Most part of the organization have documented customer satisfaction goals		
	The organization is recognized internally for its aggressive and anticipatory		
	Notes:		

	RoHS Compliance	CHECK APPROPRIATE	DOCUMENT #, OBTAIN COPY OF DOCUMENT OR PROCEDURE
48	Are RoHS Compliant Materials identified		
	Are RoHS Compliant parts identified with a unique number indicating RoHS		
	Are RoHS Certificates Supplied or available upon request?		
	Notes:		