INSTRUCTIONS FOR USING THE SUPPLIER AUDIT WORKBOOK

This Supplier Audit Workbook provides the information and templates necessary to perform a supplier audit. The following instructions provide the basic information necessary to use the templates in this workbook.

AUDIT TIMELINE

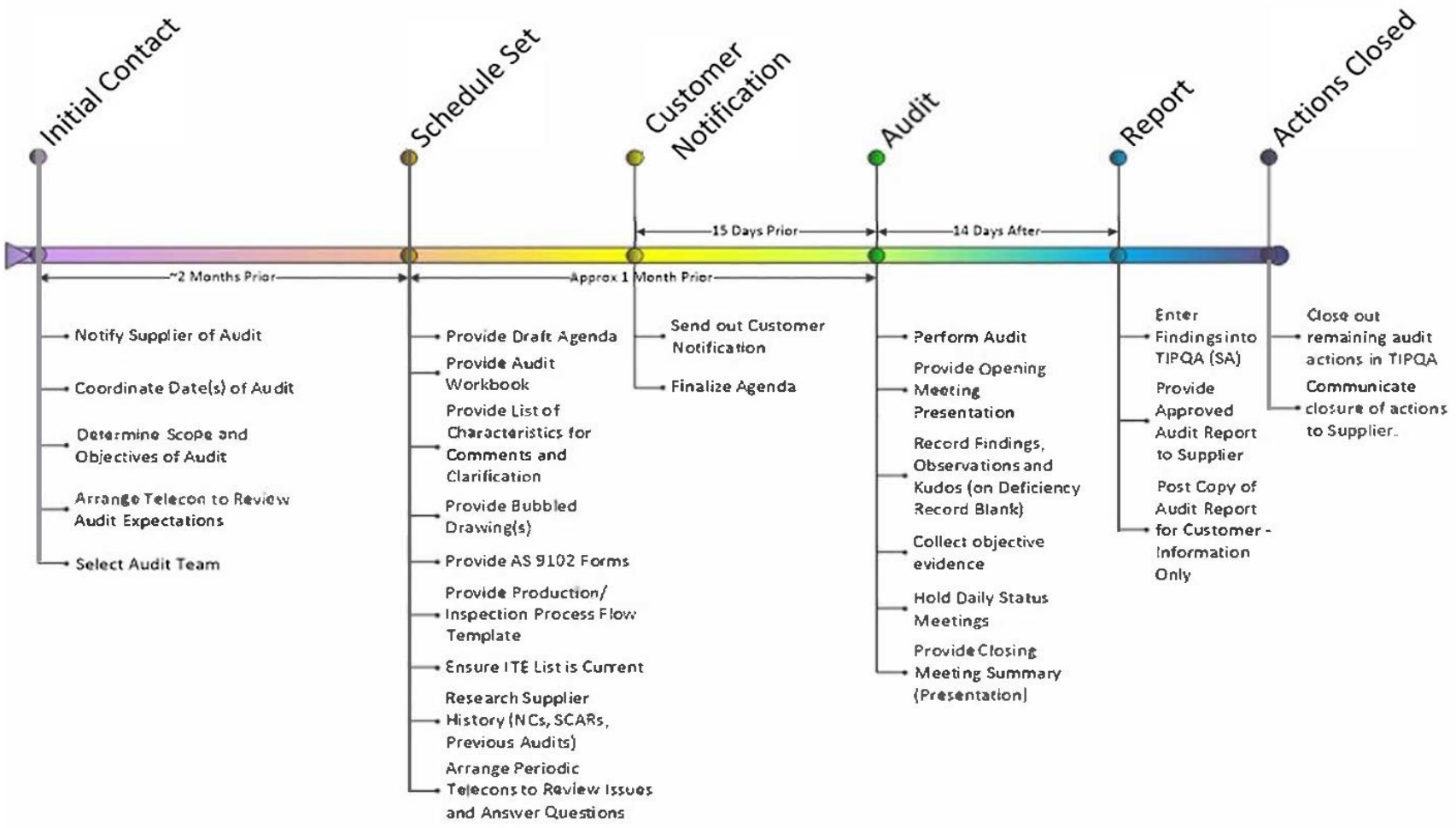
The audit timeline provides the actions and documentation and when they are required during the four phases of an audit.

TEMPLATES

The templates provide the documentation format/structure to organize the information gathered for the audit.

Template	Description	Instructions
Attendance Sheet	Blank sheet used to record the attendees of the supplier audit.	Use this template to print and pass around for attendees to sign. Can be used as a single form for all attendees over the course of the audit, or a form for each day or meeting can be used. Information can also be typed into the electronic form.
Audit Checklist	Blank checklists used to verify conformance to requirements and to document objective evidence during a supplier audit.	Select the checklist sheets that apply to the supplier being audited. (e.g. the Software and Explosives checklists would not be used for a supplier that does not work with software or explosives.) Use the checklists to document the supplier's compliance to the requirements and the objective evidence to support it. Findings at the audit shall result in a corrective action.

AUDIT TIMELINE



This sheet is a planning aid to gather documents to use during the audit.

DOCUMENT	DOCUMENT NUMBER	FILE
Purchase Order		
PO Q-Clause Flowdown		
Drawing(s)		
TDPL		
Master Lists of ITE		
Process Flow		
QAPP		
CCCP		
(Other applicable SDRL documents)		

ATTENDEES

Location: ____ Date: ____________________

Name	Title	Company	Phone	E-Mail	Opening Meeting	Closing Meeting

See Attached for Quality Clause Wording

Return to Intro

Link to Q-clauses. Note there are two tabs:
- 600 Series: FY14-18 Q-Clauses
- 700 Series: FY20-24 Q-Clauses

Hydra-70 Quality Clauses (gd-ots.com)

The following attachment is for reference only. The latest Q-clauses are posted in SharePoint or can be found using the link above.

QS-AP-52.0.2.docx

	Auditor: **Date:**		**ACCEPTABLE** **(DOCUMENTATION AND COMPLIANCE)**
	Contract Review	**(Y/N)**	**COMMENTS / OBJECTIVE EVIDENCE**
	Confirm Baseline		
1.	Verify the correct part number and revision on the purchase order. Also review released revision of TDP Baseline matches what Supplier has on File. Review the following information on open purchase orders. **Part Revision:** **Drawing Revision (Including NORs):** **Specification Revision:**		
2.	Review the Q Clauses with the supplier and ensure compliance. Pay special attention to **Q716, Q719, Q728, Q733 (See Q Clause Reference Tab).**		
3.	**Q720:** Verify Approved Process Map is on file and being followed		
4.	**Q729:** Verify Approved Control Plan is on file and being followed if Drawing Contains Major Characteristics (N/A if only Minors or Unlisted Characteristics)		
For items with Critical characteristics only.			
5.	**Q727:** Verify Approved CCCP is on file and being followed (If Supplier produces a Critical Feature, N/A otherwise)		
	Notes, list of personnel contacted or list of Documents Reviewed (include: Title / Revision / Date)		
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	Summary Items (Findings, Observations, Kudos)	**Owner**	**Type**
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	Auditor: **Date:**		**ACCEPTABLE** **(DOCUMENTATION AND COMPLIANCE)**
	DOC CONTROL & RECORDS	**(Y/N)**	**COMMENTS / OBJECTIVE EVIDENCE**
	System/Procedures		
1.	Verify that the supplier has controlled copy of the approved ITE List as required by Q719 (See Q Clause Reference Tab).		
2.	Verify the current TDP on PO is under document control.		
3.	Verify requirements of Q708 (See Q Clause Reference Tab) are being followed.		
4.	Verify the operators training records. How are operators trained for specific job responsibilities?		
	Notes, list of personnel contacted or list of Documents Reviewed (include: Title / Revision / Date)		
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	Summary Items (Findings, Observations, Kudos)	**Owner**	**Type**
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	Auditor: **Date:**		**ACCEPTABLE** **(DOCUMENTATION AND COMPLIANCE)**
	SUBTIER SUPPLIER CONTROL	**(Y/N)**	**COMMENTS / OBJECTIVE EVIDENCE**
	System/Procedures		
1.	Verify the correct part number and revision on the purchase order to Sub tier Suppliers. Review the following information on open purchase orders. **Part Revision:** **Drawing Revision (Including NORs):** **Specification Revision:**		
2.	The flow down of GD-OTS Quality Clause requires Q702, Q706, Q708, Q710, Q713, Q714, Q715, Q716 and Alts, Q717, Q723, Q724, Q725, Q727, Q728 and Alts, Q734, Q739, and Q742, and Q756 be flowed down to all Sub tier Suppliers. Verify there is objective evidence of this flow down and compliance to the requirements. (See Q Clause Reference Tab) If there is a lack of proper flow down that indicates a systemic issue a finding shall be noted in the checklist. It is at the auditor's discretion to note a finding for any isolated (one off) lack of flow down.		
3.	If any ITE resides at Sub tier Supplier verify they have a copy and are following the approved Master List of ITE.		
4.	Verify that the documented procedure for conducting Sub tier Supplier audits. Review the last two years of audit history including audit reports and corrective actions. Verify current audit schedule to ensure that critical suppliers are being audited.		
	Notes, list of personnel contacted or list of Documents Reviewed (include: Title / Revision / Date)		
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	Summary Items (Findings, Observations, Kudos)	**Owner**	**Type**
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	Auditor: Date:		ACCEPTABLE (DOCUMENTATION AND COMPLIANCE)
	CA, PA, NCM	**(Y/N)**	**COMMENTS / OBJECTIVE EVIDENCE**
	System/Procedures		
1.	Review audit SCARs from past 3 audits and verify CA is still effective		
2.	Verify status of any open SCARS for supplier.		
3.	Verify NCM material is identified and controlled such that reintroduction into regular production is not possible.		
4.	Verify that Supplier's written corrective action process is adequate and provides for prompt detection and correction of adverse quality conditions.		
5.	Does Supplier have a preventative action program to attempt to catch potential issues before they become a quality escape or NCM.		
	Notes, list of personnel contacted or list of Documents Reviewed (include: Title / Revision / Date)		
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	Summary Items (Findings, Observations, Kudos)	**Owner**	**Type**
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	Auditor: **Date:**		**ACCEPTABLE** **(DOCUMENTATION AND COMPLIANCE)**
	SPECIAL PROCESSES	**(Y/N)**	**COMMENTS / OBJECTIVE EVIDENCE**
	System/Procedures		
1.	Review approved Control Plan and compare it to Control Plan being used on the floor.		
2.	Review POs and certs for outsourced special processes. **DRAWING/REV:** **SPECIFICATION/REV:** **REQUIREMENT:**		
3.	Verify that rework process such as strip and re plate (cadmium, zinc, etc.) is maintained current with no lapses that trigger re-approval.		
4.	Verify procedures associated with special processes are being followed and have the correct specification revisions.		
	Notes, list of personnel contacted or list of Documents Reviewed (include: Title / Revision / Date)		
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	Summary Items (Findings, Observations, Kudos)	**Owner**	**Type**
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	Auditor: **Date:**		**ACCEPTABLE** **(DOCUMENTATION AND COMPLIANCE)**
	MANUFACTURING ASSEMBLY	**(Y/N)**	**COMMENTS / OBJECTIVE EVIDENCE**
	Manufacturing Area		
1.	Verify the work instructions are located at the work site (or on the network), available to the workers, and controlled (review for redline changes).		
2.	Verify manufacturing documentation reflects TDP and contract requirements. **DRAWING/REV:** **SPECIFICATION/REV:** **REQUIREMENT:**		
3.	Verify manufacturing documentation is being followed by operators on the floor.		
4.	Verify operators has been trained to run the operation/job that are being witnessed. (Gather names/jobs and verify at end of audit.)		
5.	Has corrosion preventation been considered when selecting the packaging for delivery and storage of the hardware? • Does the supplier review incoming material for damage upon arrival, this includes packaging to ensure no moisture intrusion through transportation damage and that the packaging is adequate for storage / processing. • Does the supplier conduct periodic inspections for facility integrity, protection of idle parts / hardware, proper (integrity of) parts storage. • Does the supplier conduct an inspection of parts to be transported to include packaging integrity and weather conditions – need for extra protection. Verify material being stored or in process is not corroded.		
	Notes, list of personnel contacted or list of Documents Reviewed (include: Title / Revision / Date)		
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	Summary Items (Findings, Observations, Kudos)	**Owner**	**Type**
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	Auditor: Date:		ACCEPTABLE (DOCUMENTATION AND COMPLIANCE)
	MANUFACTURING ASSEMBLY	**(Y/N)**	**COMMENTS / OBJECTIVE EVIDENCE**
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	Auditor: Date:		ACCEPTABLE (DOCUMENTATION AND COMPLIANCE)
	CALIBRATION	**(Y/N)**	**COMMENTS / OBJECTIVE EVIDENCE**
	System/Procedures		
1.	Verify the Supplier has a documented calibration system.		
2.	Verify calibration procedures are available and are being followed.		
3.	Verify traceability of standards to National Bureau of Standards.		
4.	Verify all inspection, measuring and test equipment on the floor is identified with the calibration status and is listed on the approved ITE Master List provided by GD-OTS. This applies only to ITE that checks Critical, Major and Minor Characteristics.		
5.	Verify calibration intervals are based on degree of use, purpose, and stability.		
6.	Verify environmental controls for the laboratory are adequate and are being met (i.e. temp, humidity, cleanliness).		
7.	Verify recall system for overdue items.		
8.	Verify for reporting and reviewing of out-of-tolerance conditions. (Does the supplier assess the validity of previous inspections if equipment is found faulty or out of calibration? How are they dispositioned along with affected Supplier, In-process, and Fielded material? Is product recalled if there is the possibility of nonconforming product?		
	Notes, list of personnel contacted or list of Documents Reviewed (include: Title / Revision / Date)		
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	Summary Items (Findings, Observations, Kudos)	**Owner**	**Type**
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SUPPLIER FINAL AUDIT REPORT TEMPLATE

CHANGE LOG

Revision	Date	Amended By (Name)	Change
B	12/10/2019	Quality	Update template.
C	Draft	R. Robyor	Update for FY20-24 contract.
D	9/2/2022	Burdick	Added to INTRODUCTION Findings at the audit shall result in a corrective action. Added to SUBTIER SUPPLIER CONTROL If there is a lack of proper flow down that indicates a systemic issue a finding shall be noted in the checklist. It is at the auditor's discretion to note a finding for any isolated (one off) lack of flow down.
E	3/15/2024	W. Reitz	Updated Quality Clause document in Q Clause Reference tab; Added review of packaging protections and corrosion prevention to MANUFACTURING ASSEMBLY tab to be consistant withHydra FY20-24 CDRL A024; Revised all footers to note Rev E.