Technical Audit - Template

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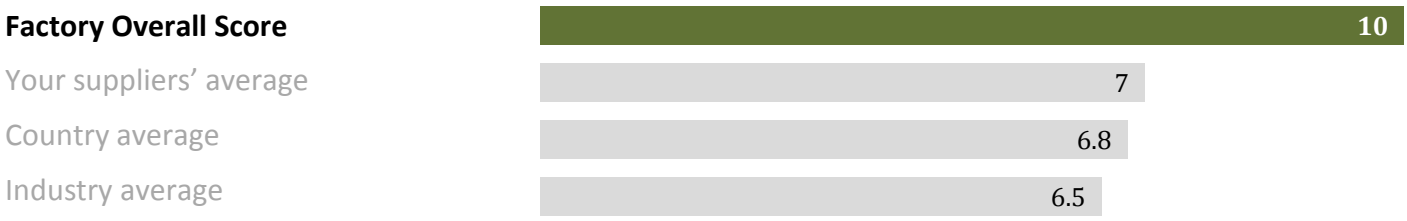
Technical Audit Report

Client	AI Service No
Supplier	Auditor
Factory	Date
Industry	Country

Factory Overall Score 10 of a possible 10



Audit Rating Green Approved

	Section Score	Theoretical Max	Score /10	Weight	Weighted Score
Ratings					
Quality Management System		/48		1	
Resources Management		/45		3	
Stock Management		/54		2	
Incoming Material Inspection		/24		4	
Production Process		/51		4	
Packing and Quality Control before Shipment		/24		3	
Measurement, Analysis and Improvement		/39		1	
			Total	18	

Valid until: XX-XX-XXXX

Description of audited plant

Important remarks

Home Workers and Subcontractors

Is there any home workers used by factory? **Yes / No**
If yes, description:

Is there any subcontractor used by factory? **Yes / No**
If yes, description:

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Number of days spent:		
Auditor 1:	Supervisor:	
Departure time from home / office	Arrival time at Factory	Departure time from Factory

Map	Factory Gate
Factory Building	Production Line
Sample Room	Office
Manager	Licenses / Accreditations
Certificates	
Workers on site	
Raw material in the factory	Final product

Part 1
Basic Factory Profile

Item			Finding	Comments
1	Date of formation			
2	Legal status			
3	Location			
4	GPS Location		xx°xx'xx'' N/S xx°xx'xx'' E/W	
5	Area (m2)			
6	Owner			
7	Total staff in the factory			
8	Total office staff			
9	Total Management staff			
10	Number of workers			
11	Factory Manager			
12	Production Manager			
13	Quality Manager			
14	Main markets			
15	Annual turnover			
16	Business license		Date of issue:	
			Expiry date:	
17	Factory Description	Workshop/Warehouse	Description	Size
		Example: Cutting	*3 lines*	*2,000 m2*
18	Products	Products	Quantity	Main clients/destination countries
		Example: adult garment	*50,000pcs/month*	*USA*

Part 2
Quality Management System

Quality Manual				
Questions		**Findings/Comments**	**Score**	
2.1	Does the factory have a quality manual, covering all the elements in current version of ISO9001?			/3
2.2	Is there a system to ensure that Quality Manual is regularly revised ?			/3
2.3	Is the document management system documented, to ensure documents affecting quality are controlled, managed, accessible and used in appropriate areas?			/3
2.4	Is there a Master List of Documents with indication of established dates and revisions?			/3
2.5	Is documentation from customer available, and controlled so that only most current external documents are available?			/3
2.6	Is there a system in place to ensure that document change is applied and effective?			/3
2.7	Is the document change system controlled using IT system?			/3
Picture(s)				

Control of Records				
Questions		**Findings/Comments**	**Score**	
2.8	Are all records for topics affecting quality kept and with relevant information?			/3
2.9	Are records clear, legible, stored in a way to prevent loss, and easily retrievable regardless of age?			/3
Picture(s)				

Commitment to Quality, Quality Policy and Responsibility				
Questions		**Findings/Comments**	**Score**	
2.10	Is there a quality policy defined by factory (please describe).			/3
2.11	Are responsibilities of all employees that effect or assure quality been defined?			/3
2.12	Is the quality policy deployed and training implemented? Are employees aware of quality policy?			/3

Picture(s)	

Planning and Management Review				
Questions		**Findings/Comments**	**Score**	
2.13	Are quality goals defined (yield improvement, defect rate,...)? Please describe.			/3
2.14	Are quality plans with defined schedules and actions to be taken available?			/3
2.15	Is Management Review regularly planned, and including performance, customer issues?			/3
2.16	Is Management Review including review of performance vs. objectives, and definition of corrective/preventive action plan?			/3
Picture(s)				

Special Remarks on this section

Actual Score	Theoretical Max
	/48

Part 3
Resources Management

Human Resources			
Questions		**Findings/Comments**	**Score**
3.1	Is there a clear Organizational structure, and organization chart in use?		/3
3.2	Is there a training process in place to ensure that all workers receive training?		/3
3.3	Are training recorded, with training records/certificates readily available for review?		/3
3.4	Is there any regular assessment and re-training when necessary as part of training process?		/3
Picture(s)			

Purchasing			
Questions		**Findings/Comments**	**Score**
3.5	Is there a defined supplier qualification system documented?		/3
3.6	Is the selection/evaluation process for suppliers including regular audits of quality issues?		/3
3.7	Are "Critical" components identified, and/or method to define "Key" suppliers in place?		/3
3.8	Is there a system defined to ensure that any change in suppliers/materials is communicated efficiently to customer?		/3
3.9	Is there an evaluation system for suppliers, based on documented performance results (quality rate, delivery,...)?		/3
3.10	Is there evidence that suppliers are requested to provide evidence of corrective actions in case of failure?		/3
Picture(s)			

Control of Monitoring and Measuring Devices			
Questions		**Findings/Comments**	**Score**
3.11	Is there a process in place to register all gauges and measuring devices, including identification, last calibration date/due date, how to perform calibration?		/3

3.12	Are all evidences of calibration available for gauges and measuring devices (external certificates, internal records)?			/3
3.13	If calibration performed internally, is there evidence (training certificates) that personnel in charge has relevant qualifications?			/3
3.14	Are gauge R&R (repeatability and reproducibility) completed for all gauges on control plan?			/3
3.15	Is there an internal laboratory/QC room in the factory? Is it certified/accredited by a 3rd party?			/3
Picture(s)				

Special Remarks on this section

Actual Score	Theoretical Max
	/45

Part 4
Stock Management

Incoming Materials Storage				
Questions		**Findings/Comments**	**Score**	
4.1	Is there a logistic method in used in the factory? Which one? (Kanban, FIFO…)			/3
4.2	Is the stock management integrated to an ERP system?			/3
4.3	Is storage capacity for incoming materials sufficient based on observation?			/3
4.4	Is there a reception area clearly marked and away from assembly line and stock area?			/3
4.5	Are the materials and boxes in storage area in good conditions based on observation?			/3
4.6	Is there any material needing special conditions of storage (temperature, humidity), and if yes, are the conditions controlled?			/3
Picture(s)				

In-Process Storage				
Questions		**Findings/Comments**	**Score**	
4.7	Are the storage areas for semi-finished products and Non-compliant products clearly defined?			/3
4.8	Is the size of workshops and storage areas sufficient based on observation?			/3
4.9	Does the system ensure traceability throughout the production process? Is production workshop managed linked to ERP?			/3
4.10	Is the identification system for semi-finished products well defined and implemented?			/3
4.11	Are the semi-finished products in storage area in good conditions based on observation?			/3
4.12	Is there a special team dedicated to preparing kits and dispatching materials to assembly workshop?			/3
4.13	Is the kitting and dispatching organized with an ERP system to ensure the relevant components are used for assembly? If not how the team is aware about when to feed the assembly with new parts?			/3
4.14	Is the kitting and dispatching process showing evidences of actions taken to improve speed and avoid mistakes from workers?			/3
Picture(s)				

Finished Products				
Questions		**Findings/Comments**	**Score**	
4.15	Are the storage areas for finished products clearly defined?			/3
4.16	Is the size of storage area/warehouse for finished products sufficient based on observation?			/3
4.17	Are the conditions of storage controlled to ensure sufficient the products will not be deteriorated?			/3
4.18	Is there a sufficient number of loading decks, with relevant conditions of protections against rain and product deterioration during loading?			/3
Picture(s)				

Special Remarks on this section

Actual Score	Theoretical Max
	/54

Part 5
Incoming Materials Inspection

Quality Control upon Reception				
Questions		**Findings/Comments**	**Score**	
5.1	Is the system for IQC (quality inspection upon reception) defined in written form, and included in standard operating procedures?			/3
5.2	Is the scope of IQC, frequency, sampling method well defined and relevant?			/3
5.3	Is there a QC room, separated from workshop, and clearly defined?			/3
5.4	How many staff is dedicated to IQC? Are they suitably trained based on interview and observation?			/3
5.5	Does factory keep records of incoming quality inspection? How? (Paper or Computer)			/3
5.6	Is the system in case of non-compliance defined, and understood by IQC staff?			/3
5.7	Is there an area for rejected parts? Is clearly defined and without mixed materials? If necessary, is it closed with controlled access?			/3
5.8	Are parts correctly identified as pass or failed after QC inspection?			/3
Picture(s)				

Special Remarks on this section

Actual Score	Theoretical Max
	/24

Part 6
Production Process

Workshops Organization				
Questions		**Findings/Comments**	**Score**	
6.1	Are working instructions available for each machine?			/3
6.2	Is the production planning defined and available in workshop?			/3
6.3	Does factory follow production performance of each machine?			/3
6.4	Is workshop organization, cleanliness, and tidiness, optimized for performance (5S)?			/3
6.5	Is machine daily maintenance status and condition identified clearly in workshop?			/3
6.6	Is there a defined process to set-up machines and start production? Who is responsible to give a green light to mass production? (Name and title)			/3
6.7	Are variables of production defined clearly (temperature, speed...) and monitored during production?			/3
Picture(s)				

Quality Control during Production				
Questions		**Findings/Comments**	**Score**	
6.8	Is there a QC procedure for inspection before / during production written and available to relevant staff?			/3
6.9	How many QC staffs are there for in-line QC? Are they easily identified? What are the powers of the QC people toward the line in case of NCs found?			/3
6.10	Is equipment necessary to perform quality control during production available on site and readily accessible to relevant staff?			/3
6.11	Are first parts checked and validated before production? By who? Are the responsible not belonging to production team?			/3
6.12	Describe the frequency? (Every morning, twice a day, before each shift…) Define the tests that are done for the first parts to validate the mass production?			/3
6.13	Is there any random QC check during production? If yes, what is the frequency and sampling size used?			/3
6.14	Are there records for all the above checks written and kept in factory?			/3
6.15	Are there steps of control for 100% of products during production? If applicable, are they well implemented?			/3

6.16	In case of Non-compliance detected during production, is there a defined process defined and well understood?			/3
6.17	Are the Non-compliant products adequately separated, identified and disposed of?			/3
Picture(s)				

Special Remarks on this section

Actual Score	Theoretical Max
	/51

Part 7
Packing and Quality Control before Shipment

Packing Line Organization				
Questions		**Findings/Comments**	**Score**	
7.1	Are packing methods clearly defined to ensure product protection and instructions available?			/3
7.2	Is line organization, cleanliness, and tidiness, optimized for performance (5S) to ensure product cannot be deteriorated?			/3
Picture(s)				

Quality Control Before shipment				
Questions		**Findings/Comments**	**Score**	
7.3	Is there a standard for final quality inspection before shipment defined in factory including sampling size, AQL, defect classification (Critical/Major/Minor)?			/3
7.4	How many QC staffs are in charge of Final Quality Inspection? Are they in sufficient number, easily identified, and suitably trained based on interview and observation?			/3
7.5	Is necessary equipment to perform final inspection available in factory and readily available for relevant staff?			/3
7.6	Are records of final inspection kept and with enough information to be linked to the batch inspected and with enough information recorded?			/3
7.7	Is there a clearly defined process in case of fail final inspection? Will products be clearly identified and separated, and corrective actions taken?			/3
7.8	Is factory using their own QC team? Who is responsible to approve final shipment quality? Is factory working with 3rd party company? If yes, which frequency?			/3
Picture(s)				

Special Remarks on this section

Actual Score	Theoretical Max
	/24

Part 8
Measurement, Analysis and Improvement

Internal Audit				
Questions		**Findings/Comments**	**Score**	
8.1	Is there a documented internal audit process?			/3
8.2	Are internal audits performed at least once per year?			/3
8.3	Are internal audits recorded, and with proof that it has been performed according to plan, for whole process, and by auditors with relevant qualifications (certified)?			/3
8.4	Are issues found during internal audits addressed wit corrective actions, and efficiency reviewed and documented?			/3
Picture(s)				

Monitoring and Measurement of Process				
Questions		**Findings/Comments**	**Score**	
8.5	Are there Statistical Process Control charts existing for all critical characteristics?			/3
8.6	Are out of control conditions identified and brought back to control in timely manner?			/3
8.7	Are there any Response Plan documented and readily available?			/3
8.8	Is factory able to prove that Process Capability has been calculated using statistical analysis?			/3
8.9	Does factory use Advanced Statistics to analyze data and define improvements?			/3
Picture(s)				

Data Management and Continuous Improvement				
Questions		**Findings/Comments**	**Score**	
8.10	Does factory collect and analyze data for suppliers performance, product performance?			/3
8.11	Is there evidence that improvement efforts are documented and recorded?			/3
8.12	Are corrective and preventive actions documented and recorded?			/3

Picture(s)	

Special Remarks on this section

Actual Score	Theoretical Max
	/39

Part 9
Corrective Action Plan

Client
Supplier
Factory
Industry
Audit Type

AI Service No
Auditor(s)
Date
Country

No.	Findings / Violations	Corrective action	Target completion date
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			

Factory Stamp & Site Representative Signature:

Date:

Auditor Signature:

Date:

IMPORTANT NOTES
THE ABOVE RESULT(S) REFLECT(S) ASIAINSPECTION LIMITED'S FINDINGS AT THE TIME AND PLACE OF AUDIT. WITH REGARD TO THE RANDOM SAMPLE CHARACTER OF THE AUDIT, IT SHOULD BE NOTED THAT ADDITIONAL NONCONFORMITIES MAY EXIST, WHICH WERE NOT FOUND DURING THE AUDIT. THE AUDITOR'S FINDINGS DO NOT RELIEVE THE AUDITEE OF ITS RESPONSIBILITY TO ENSURE THAT THE REQUIREMENTS OF THE STANDARD ARE FULFILLED AND CONSTANTLY ADHERED TO.

Factory Disclaimer
Original signature of the Factory Representative accepting AsiaInspection policy including bribery issues.

Confirmation of Compliance with AI Code of Conduct
Original signature of the Factory Representative confirming that auditor respected AI Code of Conduct.

Corrective Action Plan
Original signature of the Factory Representative agreeing with the Audit Findings and Corrective Action Plan defined.

END