Internal Audit Check List



Material Procurement Process

ATF 16949:2016 Clause	Reference	Check Points
6.1	QM/SNL/6,1	Understanding of risk & opportunities ,action and effectiveness of action ?
7.5.3	QP/SNL/7.5.3	Control of documents? must be stenp. by aul
	21	Control of records? Records as per Record Retention period?
.3	QM/SNL/5.3	Responsibilities and Authorities of the people? Plucker were process
	QM/SNL/7.4	Internal communication process?
7.1.4	QM/SNL/7.1.4	Work environment sufficient for maintaining product quality and process needs?
3.4	QP/SNL/8.4.2-	Control over supplier? Control adequate to the effect of purchase product on
	100	subsequent product realization process or final product?
£.		Any new supplier added in 'Approved Supplier List'? Conforms criteria for selection?
	WI 4105 51	Evaluation and re-evaluation of suppliers done? Effective? Aid t
	copil	Supplier quality management system development plan? Effective?
	WI 4105 53	Suppliers are audited to assess their quality management systems? If Lynnia
		Supplier performances are monitored regularly? Check records.
	QP/SNL/8.4.2.	Purchased products used in product conforms applicable regulatory requirements?
	QM/SNL/8.4.3	Purchase orders contain adequate information?
	QMSNL/8.4-2. 4	Rejected materials returned to suppliers on time (within 15 days for outstation and 7 days for local suppliers)? Check actions on at least 5 rejections.
	WI 4105 52	Inspection and Test reports for outsourced processes are received from suppliers as per work instruction? Effective?
3.5	WI 4105 Q1	Material identification tags available with stored items? Materials are preserved from getting rusty or deterioration?
		Raw Materials identification proper? Traceable with MRC No. and /or test
	134	Certificates? Assessment of shelf life items done? Take at least 5 samples of shelf life items.
		and check expiry date on identification tag/mark lying with the material. dehalv
	WI 4105 02	Fool materials are identified as per work instruction? Take samples of each type of material and check the colour codes.
	QM/SNL/8.5.2	Accepted, Rejected and accepted under concession items stored separately with proper identification mark?
8.4.2	QMSNL/8.4.2.	Data Analysis for 'On-time delivery of purchased products' and 'Percentage of accepted supplies'?

Purchase internal audit

Understanding of risk and opportunity action and effectiveness of action ?
 Ans: format no. SNL/AR/02 dated 01/04/2017

SNL BEARINGS LTD. Ratu, Ranchi – 835 222

Format No:-Date:-Rev. No. Rev. Date:-

SNL/AR/02 1-4-2017 00

ASSESSMENT RISK AND MITIGATION PLAN(SCM)

SL.NO.	PROCESS	RISK	MITIGATION PLAN	EFFECTIVENESS
01	Deciding External provder	May have late delivery, poor quality,capacity	Audit before deciding Extnal provider	External provider rating
	Purchase	High rate,late delivery,	market survey, Buffer stock	Monthly purchase & Purchase as per lead time & bussiness
02				plan
	Receiving inspection	Poor quality accepted	Quality parameter defined. Inspection as per Quality Plan	Reject material return to supplier
03				
04	strorage	a) mixing of material,	strogae at identified location,	Location identified, shelf life
		b) Expiry of material	assessment of shelf item,	maintained.
		c) shortage of material	proper identification, proper	
			raw material planning	
		•		

Reviewed by

Repared By

1-4-07

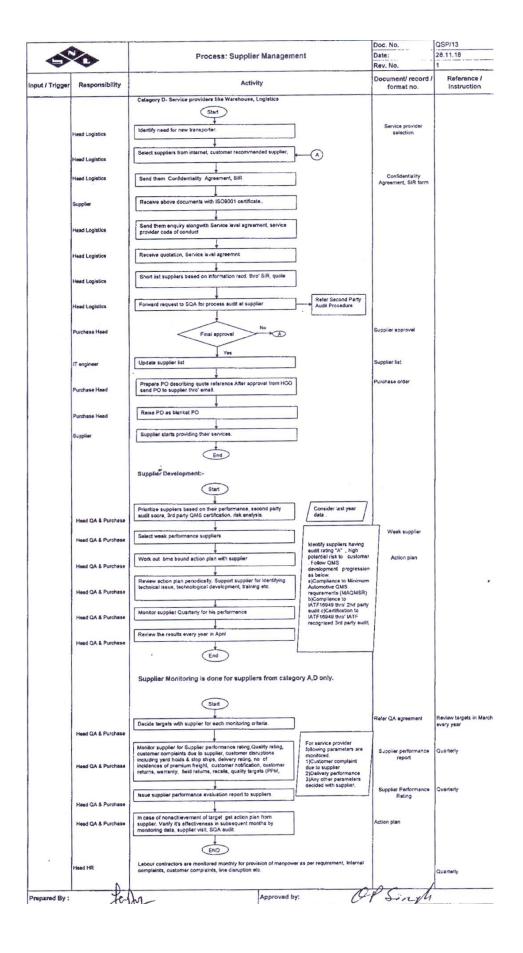
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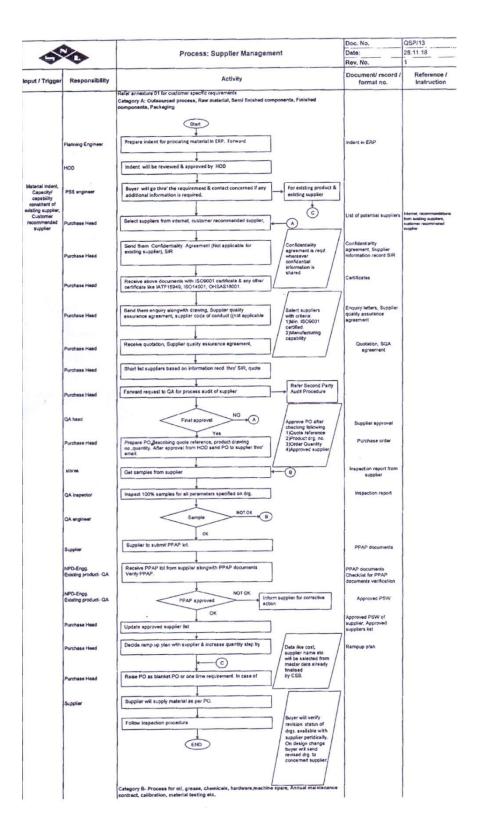
2.control documents.?Ans: Must be control copy form qc.Control of records ? records as per retention period

2. Resposiblity and authorties of people.

Ans: purchase work process



QSP/13 Doc. No. Date: 28.11.18 Process: Supplier Management Rev. No. Document/ record / Reference / Activity Input / Trigger Responsibility format no. Instruction Start Prepare indent for procuring material in ERP. Forward Indent will be reviewed & approved by HOD HOD For existing product & Buyer will go thro' the requirement & contact concerned if any additional information is required. Purchase Head existing supplier 0 Select suppliers from internet, customer recommended supplier, (A) Receive NABL (or equivalent) accreditation certificate from calibration & test lab. NABL certificate Select suppliers with criteria as defined in calibration process. For other suppliers based on past experience, manufacturer, etc. Head Quality Send them enquiry & receive quotation Final approval **→**(A) Purchase Head Supplier list Update supplier list IT engineer Data like cost, supplier name etc. will be selected from master data stready Prepare PO describing quote reference quantity, expected delivery date etc. After approval from HOO send PO to supplier throllemail. Purchase order (Electronically generated finalised by CSS. Supplier will supply material as per PO. Follow Inspection procedure End Note: For machine sparse related requirements in case of emmergency (e.g. Critical equipment breakdown, inspection equipments urgent test or monitoring reports etc.) material can be procured directly on cesh instead of following above mentioned process in such scenarios special deviation approval is required from plant head. Category C- Process for Capital Goods Start Select suppliers from internet, customer recommended supplier, User will discuss technical requirement with supplier, get the Capital Goods Purchase Requisition CGPR will be reviewed & approved by functional head, 100 Buyer will go thro' the requirement & contact concerned if any additional information is required. Purchase Head Send them Confidentiality Agreement (Not applicable for existing supplier) Confidentiality agreement Purchase Head Negotiate for commercial & noncommercial terms. Purchase Head -(A) Final approval Plant Head Supplier list Update supplier list Prepare PO describing quote reference quantity, expected delivery data etc. After approval from HOD send PO to supplier thro' amed. Supplier will supply material as per PO. Verification is done by user & Goods Receipt Note is closed.



			Page 1 of
1	Turtle Diagram	Doc. No. QSP/13	SP/13
IATF16949:2016 Clause no. 8.4. 8.4.2.3,8.4.2.4,8.4.2.5, 8.4.3,8.4.3.1	Clause no. 8.4.1, 8.4.1.1,8.4.1.2,8.4.1.3,8.4.2, 8.4.2.1,8.4.2.2, 5, 8.4.3,8.4.3.1		Date: 28.11.18
Process Owne	Process Owner: Head Strategic Sourcing	Rev. No. 1	
With What ? (Material / Equipment)	With Who ? (Competency / Skill / Training)	o? Il / Training)	
Computer , Internet , Magazines , ERP Software	Competant Buyer, Auditors, Inspectors, Engineers	itors, Inspectors,	
Inputs	Process	Outputs	
Approved Supplier list, Vendor Data Base, Customer Approved Vendor, Enquiry / Drawings, Jindents through ERP, CGPR for capital goods	Supplier Management Management Supplier PPAP	SIR, Quotation, Trial Samples, Quality Assurance Agreementa, Inspection Report, Audit result, Purchase Orders, Material, Developed suppliers, Quality products, Good service providers, supplier PPAP	Quality ection Orders, , Quality iers,
How? (Support processes & methods)	What Result? (Performance indicators)	u lt ? ndicators)	
SIR Form, audit report format, procedures, WI	Quality Rating Delivery rating Premium freight , field returns, DA failure due to supplier	iting Premium r	
Inter Related Processes: Refer Process Interaction Matrix	Risk & opportunities: Refer Risk Analysis Worksheet	Vorksheet	
Prepared Bv	JUN	1	



Process: Supplier Management

Doc. No. QSP /13
Date: 28.11.18
Rev. No. 1

1 Purpose

To establish a procedure for evaluation, selection, ordering, reevaluation, monitoring, development of supplier to ensure consistent supply of quality products

2 Scope

This procedure is applicable to all suppliers.

3 Documented Information

Record Name	Format No.	Indexing Method	Storage Location	Maintained by	Retention Period	Disposition Method
Approved suppliers list	ASL 4105 56	Supplier wise	Purchase	Head Purchase		
Supplier performance report	FO 4105 68	Supplier wise	Purchase	Head SQA	3 years	Destroy
Purchase Order	FO 4105 53	Date wise	Soft copy	Head IT	Active + One Year	Destroy
Confidentiality agreement		Supplier wise	Purchase	Head Purchase		
Supplier information record	FO 4105 61	Supplier wise	Purchase	Head Purchase		
Supplier quality assurance agreement		Supplier wise	Purchase	Head Purchase	-	
Supplier code of conduct		Supplier wise	Purchase	Head Purchase		
Supplier approval	FO 4105 64	Supplier wise	Purchase	Head Purchase		
Service provider selection	FO 4105 64	Supplier wise	Purchase	Head Purchase		
Checklist for PPAP documents verification		Supplier wise	QA / Purchase	Head QA	Active + 1 year	Destroy

Refer annexture 01 for CSR

4 KPI

Measurable	Source of Data Collection	Compilation Frequency	Responsibility	Control Method
Quality Rating	Goods receipt note	Monthly	Head Purchase	Trend Chart
Delivery rating	Goods receipt note	Monthly	Head Purchase	Trend Chart
Premium freight	Purchase order	Monthly	Head Purchase	Trend Chart
Field returns	Customer complaints	Monthly	Head Purchase	Trend Chart
DA failure due to supplier	Plant performance report	Monthly	Head Purchase	Trend Chart

Amendment Record:

Rev. no.	Rev.dt.	Details of change	App. By
1	28.11.2018	Risk & opportunities added in turtle diagramme, Category E & labour contractor monitoring added in flow	KA
2			
3			

Prepared By:

Approved By:

apsingle

	An	nexture no. 09 (customer specific requirements)	
Sr.no.	Customer	Requirements	
1	All	Supplier selection as per IATF 16949 : 2016	
2			
3	2		

4.internal communication process. Ans: Couier ,mail

5. control over supplier? control adequate to the effect of purchase products on subsequent product realization process or final product?

Ans:

6 .Any new supplier added

Ans no after dalal plastics

7. evaluation and reevalution of supplier done

Ans: Supplier Audit

8. Supplier quality management system development plan: ans supplier quality aggreement

9. supplier are audited to assess their quality management systems :

Ans : updated iso certificate

10.supplier performance are monitored by regularly : checks records: Ans supplier rating

- 11. purchase products used in products conforms applicable regulatory requirments Ans : checked by incoming quality eg drawing . std. etc.
- 12 purchase order contains adequate information: Ans yes
- 13.rejeted material sent back within 15 days and 7 days local maintned by store
- 14. inspection and test report : checked by quality.
- 15 raw material identification proper . Tracable wit Mrc No. and test certificates
- 16. Assessment of self life: done by store 05 sample required
- 17. tool material identification : color code done by store
- 18. accepted rejected accepted under deviation stored separately
- 19.data analysis on time delivery products and percentage of accepted supplies Supplier rating .