External Provider Audit Checklist

Purpose: The external provider audit checklist serves as a guide for verifying an external provider's conformance to Valmont quality requirements and assessing quality system maturity. The checklist shall be completed by a qualified Valmont auditor, or a qualified auditor representing Valmont, and shall be used as a reference when preparing the external provider audit report.

Instructions for Auditor: Complete each checklist item, answering "Yes" or "No", while conducting an external provider audit. Summarize results as specified at the bottom of each page. Refer to the checklist when completing the external provider audit report; items 1 thru 10 on each page are required, and items 11 thru 15 on each page are recommended.

Part A: Quality Assurance

1	Is there a policy approved by executive management that authorizes personnel to stop work in order to remedy nonconforming product or nonconforming work.	□ **Yes**	□ **No**
2	Have specific and measurable quality goals been established, is performance evaluated against these goals, and are goals adjusted appropriately with improvement?	□ **Yes**	□ **No**
3	Is the QMS reviewed at least annually by executive management?	□ **Yes**	□ **No**
4	Is each section of the QMS subjected at least annually to internal audit by a qualified internal auditor who is independent of the function(s) audited?	□ **Yes**	□ **No**
5	Is there a management representative for the QMS who reports directly to executive management and who is responsible for implementation of the QMS?	□ **Yes**	□ **No**
6	Are facilities and equipment adequate to support the work performed and achievement of consistent quality work?	□ **Yes**	□ **No**
7	Are communication processes established to ensure that regular communication takes place at appropriate levels regarding quality and in a manner that is readily understandable to personnel?	□ **Yes**	□ **No**
8	Do personnel who manage, perform, and verify work affecting quality possess the required qualifications and the ability to successfully perform their work?	□ **Yes**	□ **No**
9	Do personnel whose work affects quality receive appropriate initial and periodic training from qualified trainers?	□ **Yes**	□ **No**
10	Is there a documented and enforced procedure for investigating nonconformances, identifying root cause, implementing corrective actions, and verifying results?	□ **Yes**	□ **No**
11	Is the QMS certified to ISO 9001, AISC 207-16, or another recognized national or international quality system standard? (1 point + ***20 bonus points***)	□ **Yes**	□ **No**
12	Does the internal audit program involve routine auditing of systems, processes, and products by auditing personnel who are certified to a national or international standard for quality auditing, such as ASQ CQA or an ISO Lead Auditor? (1 point + ***10 bonus points***)	□ **Yes**	□ **No**
13	Does management review consider previous reviews, audit results, customer feedback, product and process nonconformances, equipment performance, training and employee competency, and proposed or required modifications to the quality management system?	□ **Yes**	□ **No**
14	Have specific and measurable quality goals been established ***at the department level*** that are aligned with the organization's overall quality goals?	□ **Yes**	□ **No**
15	Is a documented assessment of employee competency conducted at least annually for all employees whose work affects quality, in order to identify potential training needs?	□ **Yes**	□ **No**

Notes:

# of Nonconformances (Part A) # of "No" responses to Items 1-10, Part A	_____	**Audit Score (Part A)** # of "Yes" Responses to Items 1-15, Part A	_____ out of 45
# of Nonconformances (Overall) # of "No" responses to Items 1-10, all parts	_____	**Audit Score (Overall)** # of "Yes" Responses to Items 1-15, all parts	_____ out of 100

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1	Has executive management adopted a quality policy stating its commitment to quality and communicated the policy throughout the organization, including conspicuous posting?	□ **Yes** □ **No**	**Part B: Document Review and Communication**
2	Does the organization have a quality manual that is approved by executive management and that includes or references the quality policy, quality goals, and all QMS documents necessary to support quality?	□ **Yes** □ **No**	
3	Is there a documented and enforced procedure for reviewing customer requirements before accepting responsibility for an order (or project)?	□ **Yes** □ **No**	
4	Is there a documented and enforced procedure to control QMS documents (e.g. procedures, forms) and project documents (e.g. contracts, shop drawings)?	□ **Yes** □ **No**	
5	Is there a documented and enforced procedure that defines the process for reviewing and updating QMS documents and the frequency of review?	□ **Yes** □ **No**	
6	Are controlled documents readily accessible, easily identifiable, and legible to personnel whose work affects quality?	□ **Yes** □ **No**	
7	Are controlled document changes clearly communicated to all personnel whose work affects quality, and are appropriate steps taken to take prevent inadvertent use of obsolete documents?	□ **Yes** □ **No**	
8	Does the organization maintain an up-to-date library of relevant external standards and provide appropriate access to personnel?	□ **Yes** □ **No**	
9	Is there a documented and enforced procedure that describes identification, collection, storage and retrieval, retention, and disposition of quality records?	□ **Yes** □ **No**	
10	Are quality records stored in such a way that they are protected from damage, deterioration, and loss, and readily available for a period of at least ten years?	□ **Yes** □ **No**	
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11	Does the quality manual include or reference an org chart, an equipment list, a facility plan, and job descriptions and qualification evidence for key positions affecting quality?	□ **Yes** □ **No**	
12	Are QMS documents provided in a paper-less format for all personnel whose work affects quality, and are corresponding records paper-less?	□ **Yes** □ **No**	
13	Does the organization maintain a comprehensive library of relevant training materials and provide appropriate access to personnel?	□ **Yes** □ **No**	
14	Are "how-to" documents like work instructions and visual aids provided to all personnel whose work affects quality for all primary tasks?	□ **Yes** □ **No**	
15	If implemented, do "how-to" documents incorporate effective use of images and videos to support comprehension and engagement for the learner?	□ **Yes** □ **No**	
Notes:			

# of Nonconformances (Part B)	**Audit Score (Part B)**
# of "No" responses to Items 1-10, Part B _____	# of "Yes" Responses to Items 1-15, Part B _____ out of 15

External Provider Audit Checklist

1	Do purchasing documents clearly specify purchased products and services and provide sufficient detail to ensure customer requirements are understood?	□ **Yes** □ **No**	**Part C: Materials and Traceability**
2	Is there a documented and enforced procedure that describes how external providers are evaluated, including on the basis of capability to meet quality requirements?	□ **Yes** □ **No**	
3	Is product ***stored*** in a manner that will prevent damage, deterioration, or use of product in manner other than what was intended by the customer?	□ **Yes** □ **No**	
4	Is product ***loaded*** in a manner that will prevent damage, deterioration, or use of product in manner other than what was intended by the customer?	□ **Yes** □ **No**	
5	Is product ***shipped*** in a manner that will prevent damage, deterioration, or use of product in manner other than what was intended by the customer?	□ **Yes** □ **No**	
6	Is there a documented and enforced procedure to identify and control nonconforming product that addresses identification, documentation, evaluation, and treatment of nonconforming product, and notification of the relevant functions concerned?	□ **Yes** □ **No**	
7	Are there controls in place to ensure that rework of nonconforming product, if approved, is completed and re-inspected in accordance with quality requirements?	□ **Yes** □ **No**	
8	Is there a documented and enforced procedure for how material is identified and traced from the point of material receipt to the point of delivery to the customer?	□ **Yes** □ **No**	
9	Is product approved for release labeled and/or stored in such a way that it is clearly distinguishable from work in progress (or other work that is not approved for release)?	□ **Yes** □ **No**	
10	Are personnel responsible for material handling qualified to safely and effectively operate assigned equipment?	□ **Yes** □ **No**	
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11	Is selection of external providers limited to organizations with a quality system certified to a recognized national or international standard, such as ISO 9001:2015?	□ **Yes** □ **No**
12	Are external providers evaluated at least annually based on their performance against quality and delivery requirements?	□ **Yes** □ **No**
13	Is a detailed status of each customer order readily available in real time to the customer, including the current operation (e.g. cutting, forming, assembly)?	□ **Yes** □ **No**
14	Is nonconforming product controlled via an appropriate, designated storage space; a classification in the ERP system; and physical labeling of the product (e.g. hold tag)?	□ **Yes** □ **No**
15	Are records of nonconformances routinely incorporated in communication and training with all personnel whose work affects quality?	□ **Yes** □ **No**
Notes:		

# of Nonconformances (Part C)	**Audit Score (Part C)**
# of "No" responses to Items 1-10, Part C _____	# of "Yes" Responses to Items 1-15, Part C _____ out of 15

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1	Are documented and enforced procedures for manufacturing processes established to ensure a consistent, acceptable level of quality?	□ **Yes** □ **No**	**Part D: Quality Control**
2	Are manufacturing processes monitored for conformance to process control requirements to the extent necessary to maintain consistent, acceptable results?	□ **Yes** □ **No**	
3	Is there a documented and enforced equipment maintenance procedure defining the evaluation and preventive maintenance necessary to meet quality and delivery requirements?	□ **Yes** □ **No**	
4	Is there a documented and enforced procedure for inspection and testing activities to ensure that the products and services meet customer requirements?	□ **Yes** □ **No**	
5	Are the necessary qualifications of QC inspectors (or the qualifications of production personnel who perform QC functions) clearly defined and documented?	□ **Yes** □ **No**	
6	Is product inspected at material receipt?	□ **Yes** □ **No**	
7	Is product inspected in-process as appropriate?	□ **Yes** □ **No**	
8	Is product inspected after completion but before release?	□ **Yes** □ **No**	
9	Is final inspection documented, showing what was inspected, the results of the inspection, and who performed the inspection?	□ **Yes** □ **No**	
10	Is there a documented and enforced procedure for calibration and maintenance of IM&TE to ensure that measurements are accurate, precise, and traceable to a national standard?	□ **Yes** □ **No**	
Notes:			

11	Is there a comprehensive continuous improvement program established that is led by a full-time certified Six Sigma Black Belt (or Master Black Belt)? (1 point + ***10 bonus points***)	□ **Yes** □ **No**
12	Is quality planning facilitated with the use of failure modes and effects analysis (FMEA) and corresponding control plans based on FMEA results?	□ **Yes** □ **No**
13	Does calibration of IM&TE include provisions for unique identifiers, an equipment list, service use, calibration instructions based on manufacturer's recommendations, storage and handling of IM&TE, actions to be taken when calibration requirements are unmet, and method to prevent inadvertent use of uncalibrated equipment?	□ **Yes** □ **No**
14	Are processes clearly mapped and analyzed through value stream mapping?	□ **Yes** □ **No**
15	Is overall equipment effectiveness (OEE) evaluated for all major manufacturing equipment and utilized as a means of maximizing productivity?	□ **Yes** □ **No**
Notes:		

# of Nonconformances (Part D) # of "No" responses to Items 1-10, Part C _____	**Audit Score (Part D)** # of "Yes" Responses to Items 1-15, Part C _____ out of 25