

SOP Template: Supplier Audit Scheduling and Execution Steps

This SOP describes the process for **supplier audit scheduling and execution steps**, including planning audit timelines, notifying suppliers, preparing audit checklists, conducting on-site or remote audits, evaluating supplier compliance, documenting findings, and communicating results. The goal is to ensure supplier quality and compliance with contractual and regulatory requirements through systematic and effective audit procedures.

1. Purpose

To define the process for scheduling, preparing, conducting, documenting, and communicating the results of supplier audits to ensure quality and compliance.

2. Scope

This procedure applies to all supplier audits performed for new or existing suppliers as part of the company's supplier management and quality assurance program.

3. Responsibilities

Role	Responsibility
Audit Coordinator	Schedules audits, communicates with suppliers, and maintains audit documentation.
Lead Auditor	Plans, prepares, and conducts the audit, leads evaluation and reporting activities.
Audit Team	Supports the audit process and provides subject matter expertise.
Supplier Representative	Facilitates the audit process at the supplier's worksites and provides requested information.

4. Procedure

- Audit Planning and Scheduling**
 - Determine the audit scope, objectives, and criteria based on risk assessment and supplier's criticality.
 - Develop a proposed audit schedule (annual, biannual, or as required).
 - Assign audit team members and identify Lead Auditor.
- Supplier Notification**
 - Send formal audit notification to supplier at least 30 days in advance (unless otherwise justified).
 - Provide preliminary audit agenda, objectives, and expected documentation to be reviewed.
- Audit Preparation**
 - Prepare tailored audit checklist(s) based on supplier type, standards, regulatory and contractual requirements.
 - Review prior audit reports and performance history.
 - Arrange logistics for on-site or remote audit.
- Audit Execution**
 - Conduct opening meeting with supplier to review scope, introduce audit team, and confirm logistics.
 - Perform audit activities: interviews, documentation review, facility tour, and process observations.
 - Record all observations, findings, and objective evidence.
- Evaluation of Supplier Compliance**
 - Compare audit evidence against requirements and criteria.
 - Identify and categorize findings (e.g., nonconformance, observation, opportunity for improvement).

6. Documentation of Findings

- Draft audit report with clear, factual, and objective findings.
- Summarize strengths and areas for improvement.
- Review draft report internally prior to sharing with supplier.

7. Communication of Results

- Conduct closing meeting to share preliminary findings with supplier.
- Issue formal audit report to supplier within agreed-upon timeframe.
- Define and document required supplier corrective actions and due dates, if applicable.
- Monitor corrective action closure and verify implementation.

5. Records and Documentation

- Audit notification letters/emails
- Audit checklists
- Attendance records
- Audit reports
- Corrective action requests and supplier responses
- Closure and verification documents

6. References

- Company supplier management policy
- ISO 9001: Quality Management Systems requirements
- Relevant industry or regulatory standards