Supplier Audit Checklist

System & Process Compliance Auditing

Executive summary					
Audit date	20.10.2022				
Audited company	AG TRANSPORT				
Main activity of the company	International road haulage. Crane services. Rigging services. Heavy and oversized transport.				
Address	Prumyslova 1141, 686 01 Uherske Hradiste, Czech Republic				
Contact person	Tomáš Kepič	**Position**	Managing Director	**Phone**	+420 602 270 150
Audit team	Daniel Jastrzebski	Olaf Tomaszewski			

Audited	Position	Audited	Position
Tomáš Kepič	Managing Director		
Adam Váš	Technical Director		
Barbora Juračková	Administrative worker		

Audit Results

#	Category	Score [%]
1	QUALITY MANAGEMENT	93,3
2	HEALTH & SAFETY MANAGEMENT	84,1
3	ENVIRONMENTAL MANAGEMENT	94,4
4	STRATEGIC MANAGEMENT	82,1
5	CONTINOUS IMPROVEMENT	85,0
6	RISKS & OPPORTUNITIES	95,0
7	CUSTOMER SATISFACTION	82,1
8	TRAINING & AWARENESS	93,7
9	CORPORATE SOCIAL RESPONSIBILITY	82,3
10	SUPPLY CHAIN MANAGEMENT	83,3
11	CONTROL OF PROCESSES	89,2
12	PROCESS / CUSTOMER DOCUMENTATION	85,0
13	STORAGE & PACKING & DELIVERY	100
14	DESIGN & DEVELOPMENT	n/a
	TOTAL SCORE	88,4

Q-ACCEPTANCE CRITERIA	
BEST IN CLASS	>90 %
ABOVE AVERAGE	75-90 %
ACCEPTANCE LEVEL	61-74 %
TO BE IMPROVED	40-60 %
NOT APPROVED	<40 %

QUALITY CHECKED

Assessment chart - AG TRANSPORT
Czech Republic 20.10.2022
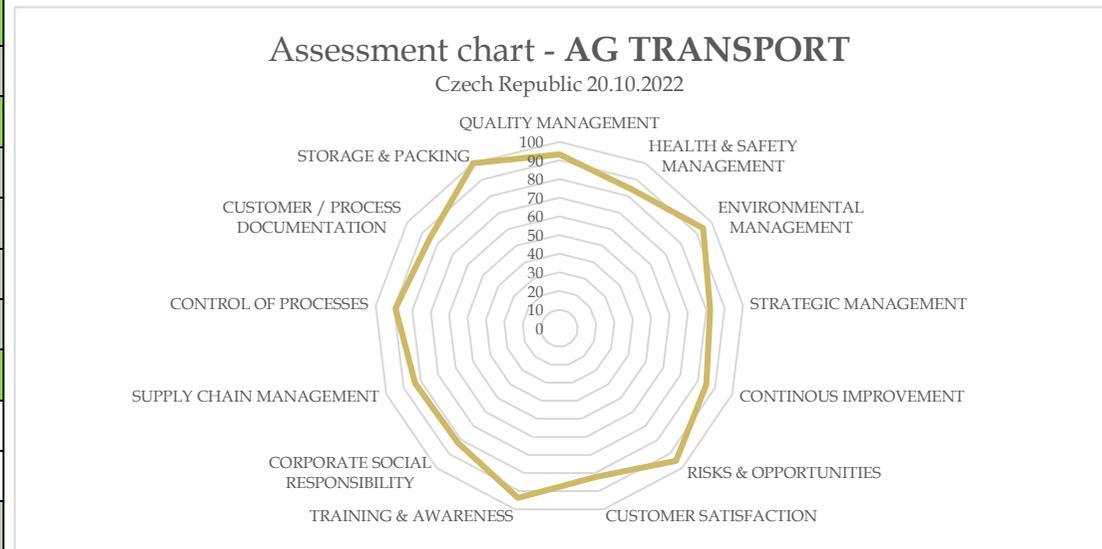
Audit Scoring Criteria

A risk-based internal audit approach allows the audit to concentrate on reviewing the major risks to the organization. The audit's role is to provide assurance that key risks to the organization's objectives are being well controlled.
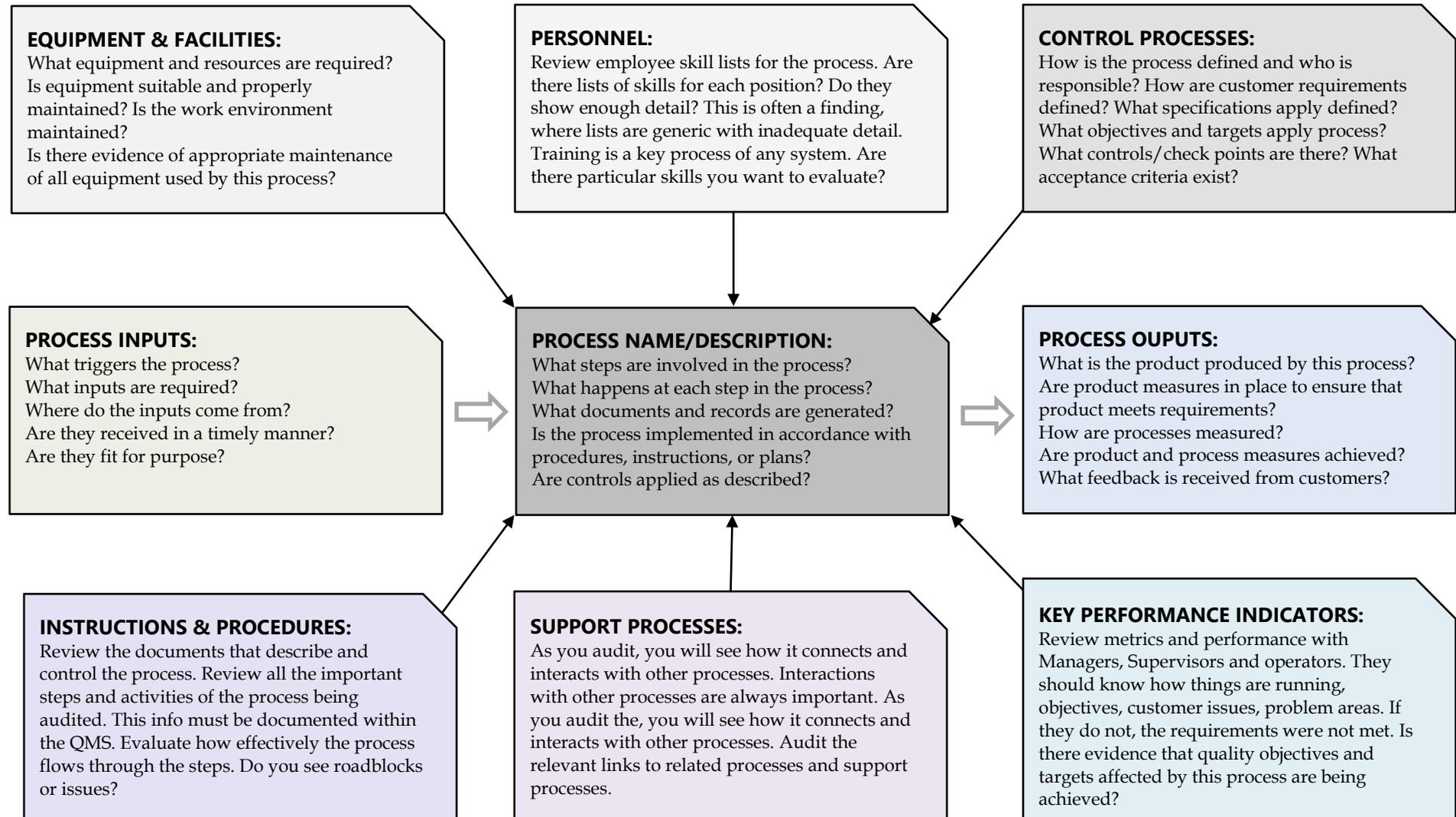
The audit findings 'traffic lights' are intended to visually communicate the risk posed by the audit finding of any system or processes being audited. The rating system is stratified from 'compliant' to 'major non-conformance' to convey a concise and consistent method for scoring each audit finding.

The findings can be transferred into spreadsheets to create charts, summary tables and trend data to present into management review documentation.

This methodology should be uniformly applied to all types of audit (gap analysis, system audits and process audits).

Finding	Definition/Impact	Scoring	Action/Mitigation
COMPLIANT	Compliant means adherence with the requirements of the standard and the QMS. The process is implemented and documented, and records exist to verify this.	**4** – fully compliance **3** – partially compliance (elements in place)	Continue to monitor trends/indicators.
OFI	A **low-risk issue** that offers an opportunity to improve current practice. Processes may cumbersome or overly complex but meet their targets and objectives. Unresolved OFIs may degrade over time to become non-compliant.	n/a	Review and implement actions to improve the process(s). Monitor trends/indicators to determine if improvement was achieved.
MINOR N/C	A medium risk, minor non-conformance resulting in deviation from process practice not likely to result in the failure of the management system or process that will **not** result in the delivery of non-conforming products nor reduce the effectiveness of the QMS.	**2** – slight deviation from requirements	Investigate root cause(s) and implement corrective action by next reporting period or next scheduled audit.
MAJOR N/C	A high risk, major non-conformance which **directly impacts** upon customer requirements, **likely** to result in the customer receiving non-conforming products or services, or which may reduce the effectiveness of the QMS.	**1** – elements in place but not controlled directly impacting on quality measures **0** – no system in place	Implement immediate containment action, investigate root cause(s) and apply corrective action. Re-audit in 4 weeks to verify correction.

Process Activity Map

EQUIPMENT & FACILITIES:
What equipment and resources are required?
Is equipment suitable and properly maintained? Is the work environment maintained?
Is there evidence of appropriate maintenance of all equipment used by this process?

PERSONNEL:
Review employee skill lists for the process. Are there lists of skills for each position? Do they show enough detail? This is often a finding, where lists are generic with inadequate detail. Training is a key process of any system. Are there particular skills you want to evaluate?

CONTROL PROCESSES:
How is the process defined and who is responsible? How are customer requirements defined? What specifications apply defined? What objectives and targets apply process? What controls/check points are there? What acceptance criteria exist?

PROCESS INPUTS:
What triggers the process?
What inputs are required?
Where do the inputs come from?
Are they received in a timely manner?
Are they fit for purpose?

PROCESS NAME/DESCRIPTION:
What steps are involved in the process?
What happens at each step in the process?
What documents and records are generated?
Is the process implemented in accordance with procedures, instructions, or plans?
Are controls applied as described?

PROCESS OUPUTS:
What is the product produced by this process?
Are product measures in place to ensure that product meets requirements?
How are processes measured?
Are product and process measures achieved?
What feedback is received from customers?

INSTRUCTIONS & PROCEDURES:
Review the documents that describe and control the process. Review all the important steps and activities of the process being audited. This info must be documented within the QMS. Evaluate how effectively the process flows through the steps. Do you see roadblocks or issues?

SUPPORT PROCESSES:
As you audit, you will see how it connects and interacts with other processes. Interactions with other processes are always important. As you audit the, you will see how it connects and interacts with other processes. Audit the relevant links to related processes and support processes.

KEY PERFORMANCE INDICATORS:
Review metrics and performance with Managers, Supervisors and operators. They should know how things are running, objectives, customer issues, problem areas. If they do not, the requirements were not met. Is there evidence that quality objectives and targets affected by this process are being achieved?

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Supplier Audit Checklist

System & Process Compliance Auditing

Supplier Audit Questions

1. Quality Management

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
1.1	Is Quality Management System certified according to international standards?	4				Certificates (ISO9001, ISO/TS 16949, VDA), implementation plan, etc.	AG Transport company is certified according to ISO9001:2015. Certification body: Intertek Scope: International Road haulage. Crane services. Rigging services. Heavy and oversized transport Certificate Number: 06110804003 Certification valid until 02.11.2023 Date of issue of the certificate 21.01.2021 Date of initial certification 03.11.2014 AG Transport is also certified according to GMP+ B4 requirements. Scope "Road transport of feeds" Certificate Number: GMP551 Certification valid until 14.10.2023 Date of issue of the certificate 15.10.2020
1.2	Does an independent Quality Management department exist within the company and has a responsible person been named by executive management?	3				Organization chart, QA job description, etc.	There is not separate quality department structure but dedicated personnel with given roles & responsibilities in terms of management systems (this is not only responsibility the personnel have).

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							The responsible person is included into organization chart.
1.3	Has quality policy been established by executive management and have this been making known to all employees? Is it reviewed on regular basis? Available for everyone?	4				Quality policy, strategic plan, tactical objectives, action plans, etc.	AG Transport company issued the separate policies for ISO9001, ISO14001, and ISO45001 standards. The latest IMS Policy was issued on 13.01.2021 Policy is an integrated part of QMS documentation structure. The Policy is signed by Managing Director.
1.4	Have the quality goals (long term and short term) been established by executive management and have these been making known to all employees?	3	x			Quality objectives, strategic plan, action plans, etc.	There are defined Strategic company goals and objectives for 2022 (document dated on 3.01.2022) where some Quality elements can be identified, however there is no fully implemented monitoring system related only to Q objectives (as it is done for HS and E). Personnel assigned to specific goals & objectives is involved in operational tasks to achieve the targets.
1.5	Is the quality system documented, controlled, and maintained to clearly describe current practice? QMS documentation structure.	4				Quality manual and all procedures show revision control (signoffs & dates), history of changes	QMS documentation structure is maintained. In the special ISO binder, there are kept original paper documents (with all required approval-signatures). The clear ISO documentation structure is

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							also kept on the server with full access for personnel.
1.6	Which of the following Q-methods are used regularly? FMEA, APQP, KAIZEN, RCA, 8D, PPAP, QFD, other				n/a	Examples of analysis	According to auditees, and taking into consideration of historical data, there is no need to use any special Q-methods for analysing the incidents or nonconformities. AG Transport company use simple but useful forms to investigate any of nonconformities.
1.7	Does the company establish an internal audit/inspection programme in place? Are audits carried out at planned intervals to determine management system performance?	4				Audit program, audit reports, action plans, etc.	The audit program is established (planned minimum 1 / year). There are assigned 3 trained internal auditors + 1 external auditor to support the process. Audits cover all crucial processes and areas within AG Transport organization.
1.8	Is a corrective action system in place that provides root cause analysis and takes timely and effective action to prevent recurrence?	4				CAPA register, action plans, NCR register, etc.	CAPA actions are defined after audit, and they are included in audit reports. Assigned persons are responsible for timely and effectively implementation of the actions.
1.9	Does the corrective action system cover customer, internal and supplier issues?	4				Management review meetings, CAPA register, etc.	Corrective actions for customer or suppliers' issues are managed by monitoring of Protocols of

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							nonconformity. Claims and actions are registered.
1.10	Are Quality indicators established and monitored on regular basis?	3	x			Q indicators, Q statistics, Q reports, etc.	Achievement of the goals are checked during the annual review and discussed on Management Review meetings. For Q there is no measurable targets (please refer to point #1.4)
1.11	Is the NCR management procedure documented and showing all the responsibilities?	4				NCR management procedure	The process is described in the general IMS Manual (Q1Příručka integrovaného management) dated on 26.01.2022 (the latest revision).
1.12	Is the NCR Register maintained and the status is monitored on regular basis?	4				NCR register, action plans, etc.	Actions are implemented by assigned responsible persons + monitored by assigned personnel, according to audit reports.
1.13	Are nonconforming materials, parts and assemblies are segregated (where practical) and identified to prevent unapproved use?	4				Tags, marking, controlled staging areas, etc.	According to auditees, the process for nonconforming materials is defined and implemented wherever AG Transport operate.

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
1.14	Is there a positive recall system to notify customers of nonconforming product that has already been shipped?	4				Documented procedure and review of system, effective communication with the customer, etc.	There is maintained effective communication with customers. Immediate information is given to customers. Responsibility is assigned.
1.15	Does the company develop and implement pro-active initiatives to improve quality performance?	3				Quality campaigns, Q-inspections, proactive initiatives, Q programs, Q circles, meetings, etc.	There is no formally introduced pro-active culture / approach in the company, however there is always possibility to report any improvement or initiative during the operational meetings. The improvements from the projects / workshop are analysed and considered to be implemented.
1.16	Does the company prepare executive summary reports for management system?	4				Management review, annual report, QHSE summary report, etc.	Regular Management meetings / reviews are performed. All crucial personnel are participating in the meeting. The report is prepared according to defined agenda. Top management is always present during the review. MoMs are available.

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2. Health & Safety Management

TOTAL SCORE: 84,1 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
2.1	Does a Health & Safety Management System in accordance with general regulations exist?	4				Certificates (OHSAS18001, ISO45001, SCC), implementation plan, etc.	AG Transport company is certified according to ISO45001:2018. Certification body: Intertek Scope: International Road haulage. Crane services. Rigging services. Heavy and oversized transport Certificate Number: 0122835 Certification valid until 18 March 2025 Date of issue of the certificate 19.03.2022 Date of initial certification 19.03.2022
2.2	Does the company have a Health & Safety policy statement? Is it reviewed on regular basis? Available for everyone?	4				HS Policy	AG Transport company issued the EHS Policy. The Policy was issued on 12.01.2021. Policy is placed in IMS documentation structure. The policy is signed by Managing Director.
2.3	Have the health and safety goals (long term and short term) been established by executive management and have these been making known to all employees?	4				HS objectives, action plans, strategic objectives, etc.	There are defined HSE goals (document dated on 31.01.2022). Indicators are monitored according to assigned responsibilities. The report is updated periodically (the latest update (16.02.2022).

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Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
2.4	Does the company have a process to investigate and report accidents and incidents in the workplaces?		x	2		Process, investigation form, etc.	There was not found evidence of using formal methodology for root cause analysis of accidents. RCA shall be used to avoid repetition of significant accidents and to implement effective CAPA actions.
2.5	How are accidents at work and the root causes of accidents systematically recorded and measures for avoiding reoccurrence derived?		x	2		HS incidents / accidents register	As above
2.6	Is HS accidents rate monitored? Are statistics carried out and presented on a regular basis?		x	2		HS statistics, HS register, etc. Accident rate=number of recordable accidents * 1.000.000 / number of hours worked TRIR / LTI What is the last 3 years trend?	In general, AG Transport company collects and monitors all the data from accidents, however there were not presented crucial to HS: TRIR / LTI indicators (referred to working hours). This kind of monitoring is preferred & more reliable to effectively managed the HSE performance and gives better picture about the trends and effectiveness of actions taken.
2.7	How are potential risks/hazards to employees identified and how the company decides on preventive actions? Has the company developed and implemented a Risk Assessment process on aspects of Safety at Work?	4				Risk Assessment, action plans, etc.	AG Transport company identified risks/hazards within their scope of works. Very well-prepared Operational Risk Assessment and Safe System of Works. Personnel is equipped with proper PPE and is trained with Basic Safety Rules.

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
2.8	How is assured safety at the workplace (safety instructions, trainings, PPE)?	4				H&S instructions, Risk Assessment, action plans, workplace assessments, PPE, etc	Personnel is equipped with proper PPE and is trained with Basic Safety Rules. Company implemented safety training plans, including internal policies, safety documentation, etc.
2.9	Has the company established processes to ensure compliance with legal requirements and other applicable regulatory requirements?	4				Legal and other requirements list	Company mainly operates in Czech Republic and Slovakia, so there is a good knowledge of required legislation. Legal requirements are identified by external consultants and by using experience and knowledge of competent personnel.
2.10	Plans in case of emergency Does the company have a controlled process to identify and implement emergency mechanisms? Can the company demonstrate that it was verified the effectiveness of its emergency mechanisms (simulations and respective records)?	4				Emergency preparedness plans, emergency drills, etc.	There are defined emergency response documents in case of accidents. Emergency preparedness is checked by external HSE consultant. The site is equipped with adequate PPE & sorbents against chemical spillage.
2.11	Has the company received notice of violations regarding HSE within past 3 years?	-	-	-	-	List of violations, official penalties/ fees, etc.	n/a (no penalties received)
2.12	Has the company received awards for outstanding achievements in HSE within past 3 years?	-	-	-	-	List of awards, confirmation letters, etc.	n/a (no awards received)

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
2.13	Does the company develop and implement initiatives to improve safety in the workplace?	3				Health and Safety campaigns, safety inspections, proactive initiatives, preventive schedule/ planning, programs, safety meetings, committees, etc.	Improving safety is ensured by giving adequate internal trainings to personnel (incl. GWO trainings). There is no formally introduced pro-active culture / approach in the company, however there is always possibility to report any improvement or initiative during the operational meetings. The improvements from the projects / workshop are analysed and considered to be implemented. Most of improvements are reactive – mainly introduced after safety inspections on construction sites. Safety controls are proposed also by external HSE party after safe checks (reactive).

3. Environmental Management

TOTAL SCORE: 94,4 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
3.1	Does an Environmental Management System in accordance with general regulations exist?	4				Certificates (ISO14001), implementation plan, etc.	AG Transport company is certified according to ISO14001:2015. Certification body: Intertek Scope: International Road haulage. Crane services. Rigging services. Heavy and oversized transport Certificate Number: 0122834 Certification valid until 18 March 2025 Date of issue of the certificate 19.03.2022 Date of initial certification 19.03.2022
3.2	Does the company have an Environmental policy statement? Is it reviewed on regular basis? Available for everyone?	4				Environmental Policy	AG Transport company issued the EHS Policy. The Policy was issued on 12.01.2021. Policy is placed in IMS documentation structure. The policy is signed by Managing Director.
3.3	Have the environmental goals (long term and short term) been established by executive management and have these been making known to all employees?	4				Environmental objectives, environmental programs, action plans, strategic objectives, etc.	There are defined EMS goals (document dated on 31.01.2022). Indicators are monitored according to assigned responsibilities. The report is updated periodically (the latest update (06.02.2022).

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Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
3.4	Is Environmental incidents rate monitored?		x	2		E indicators, E statistics, E register, etc.	System of monitoring is maintained, and the summary reports are prepared to show the trends, but AG Transport limited only to monitor consumption of gas, energy, water, diesel, or AdBlue consumption. There were not found evidence for monitoring the environmental incidents (based on indicators) – only absolute number of accidents, or environmental complaints are recorded (environmental accidents / incidents register shows: "0" in the years 2019-2021). Having crucial indicators is preferred & more reliable to effectively managed the E performance and gives better picture about the trends and effectiveness of actions taken. As AG Transport utilizes heavy machinery, it is also recommended to include environmental event indicator related to chemical spillages from vehicles (including minor and major spillages – depending on the amount of chemical substance and the type of pollution).

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		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
3.5	Are the environmental aspects identified and assessed?	4				Environmental aspects register, procedure, etc.	Environmental aspects are documented (dated on 14.02.2022). There are defined significant aspects and adequate control measures. Document is regularly reviewed.
3.6	Does the company develop and implement initiatives to improve environmental aspects in the workplace?	4				Environmental campaigns, initiatives, env. inspections, proactive initiatives, preventive schedule/ planning, programs etc.	Safety checks are done by external advisor, then adequate recommendations are proposed. Internal trainings (e.g., handling of chemicals) are regularly carried out.
3.7	How does the company handle environmental impacts and potential emergency situations?	4				Emergency response procedure, environmental incidents register, action plans, etc.	Safety checks are done by external advisor, then adequate recommendations are proposed. The site is equipped with adequate PPE & sorbents against chemical spillage.
3.8	Has the company implemented processes or systems to manage the waste? (Segregation, disposal, store, recycling, reduction mechanism)? Store and disposal of hazardous waste.	4				Waste management plan, skips, labels, etc.	AG Transport company segregates the waste, and identified hazardous waste (such as used oil, filters, etc.). Waste is registered according to government's requirements. Waste volume is reported to authorities every year. Waste is collected by certified companies.

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
3.9	Does the company guarantee that all waste is disposed legally and properly?	4				Permissions, authorized carriers / transport operators, etc.	AG Transport has signed the contracts for waste disposition with legally approved (with all the permits) companies. Waste segregation is done according to EWC codification.

4. Strategic Management

TOTAL SCORE: 82,1 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
4.1	Has the company defined long term strategy? Vision, Mission, Objectives	3	x			Strategy reviews, vision, mission, strategic objectives, programs, etc.	During the audit, auditees were not able to present an official Vision & Mission document, however AG Transport set out clear Strategy Objectives for the Company. AG Transport follow the approach "step by step" in development strategies.

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Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							To become a global service provider, it is recommended to have both, as it serves as a clear strategic plan of company. Vision statements can also act as a guide for employees and help motivate employees to work toward shared goals.
4.2	How does management demonstrate its clear commitment to and support for quality, occupational health & safety and environmental protection play a leading role within the company?	4				Management review, internal communication, strategic objectives, management involvement in audits, etc.	As AG Transport is still small organization, there are many strategic meetings with crucial personnel organized where Top Management is constantly involved and actively participate in all Management Reviews, review Policies, external audits, etc. It shows very good commitment to support for management system.
4.3	Does executive management participate in periodic quality system reviews that address quality related feedback from customers and internal quality metrics?	4				Management review, analysis of field failures, inspection yields, resource needs, internal audit results, corrective action status, etc.	As above
4.4	How and in which form are the tasks and areas of responsibility defined?	4				Organigram, roles and responsibilities, etc.	Clear roles & responsibilities are defined in the organization. Job descriptions are in place. Reporting dependencies are established.
4.5	Has the company set the Business guidelines / rules?	3	x			Business guidelines, business rules, levels of acceptance for critical activities, decisions, etc.	There are no set specific Business Guidelines. All critical issues and decisions

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							are handled directly by owners according to current needs and taken analysis. The responsibilities in terms of strategic & financial decisions are described in Price Table. Documentation is approved by General Manager.
4.6	Does the company have formal mechanisms in place to implement a business continuity management plan? Is the documented plan applicable to the business scope?		x	2		BCM process in place, IT contingency plan, crisis management plan, crisis team, etc.	There is no documented Business Continuity Management Plan. It is recommended to create clear process flow and division of responsibilities according to different worst-case scenarios to ensure the business will be continued after any business interruption affecting the continuity of deliveries / services to the customers. Backups are ensured by external IT provider. Servers are placed outside the company.
4.7	How is data management / protection executed? Are there specific protocols for cyber security (IT security)?	3				GDPR, certification ISO27001, established process & responsibilities, etc.	Data protection is on the basic level by giving the proper access levels to specific documentation. Accessibility is given according to responsibilities. IT services are managed by external party.

5. Continuous Improvement

TOTAL SCORE: 85,0 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
5.1	Is there a formal approach used to actively pursue cost containment and other continual improvement activities throughout the organization? Are there formal Continuous Improvements Programs in the company involving employees and top management?	3	x			Employee involvement/recognition program, Lean, Six Sigma, kaizen, SPC, 5-S, cost reduction program, continuous improvement programs, actions register, etc.	There is no formal register of actions for continuous improvement activities. Actions are mainly reactive, after internal and external audits. They are managed case by case and their implementation is monitored by assigned responsible persons. It is recommended to activate the personnel to collect proactive actions (e.g., by employee involvement / recognition program) to constantly improve the system. Actions shall be registered and reviewed to identify the good practices and beware of lessons learned.
5.2	Does the organization use any improvement methodology?	3	x			Six Sigma, Kaizen, Lean, 5S, SPC, etc.	As it's been written in point #5.1, most of the actions are the reactive (not proactive), so it is recommended to start using one of common method for better identification, reporting, and implementation of continuous improvement initiatives. More structured methodology shall be taken

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							into consideration to ensure the effectiveness of improvements.
5.3	Are preventive actions taken based on the analysis of significant business trends, design reviews, customer satisfaction surveys or other inputs?	4				Management review meetings, goal setting, performance measurement, internal audits, action plans, customer surveys, etc.	Summary reports are prepared every year. There are organized the Management reviews where the results are discussed, and the strategic decisions are taken. Internal audits are carried out and cover crucial areas and processes. Outputs are used for implementation corrective actions. Customer surveys are distributed among the critical customers to collect feedback and use the received data as a trigger for any invests or other decisions that can help to maintain and extend the pool of customers.
5.4	Do quality reports, trend charts and data analysis identify areas of opportunity and are used by management on a routine basis?	3	x			Product quality yield data, problems and corresponding improvement actions, status of preventive/ corrective/audit results, statistics, etc.	As mentioned in points #1.10, 2.6, 3.4, the basic MEASURABLE INDICATORS shall be established to have the full overview for trends and potential opportunities for improvements in the area of Q and EHS.
5.5	Does the company control the effectiveness of the QMS? How?	4				Q audits / Customer satisfaction results / Q performance indicators (CPK/PPK) / Continuous Improvement programs, etc.	Internal audits and customer satisfactions surveys are the most critical elements for control of effectiveness of the management system. Data is regularly reviewed, and

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							adequate actions are decided to be implemented.

6. Risks and opportunities

TOTAL SCORE: 95,0 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
6.1	Does the company identify risks and opportunities for the scope of activities?	4				List of risks and opportunities, etc.	There is prepared SWOT analysis document (dated on 13.01.2022) which contains all identified strengths, weaknesses, opportunities, and other relevant factors (internal & external). According to auditees, the SWOT analysis is reviewed at least once per year. Additionally, company prepared "analyza rizik" which is a crucial part of Q01 IMS Manual.
6.2	Is the documented risk assessment process / procedure in place?	4				Process, register, etc.	Apart of "business risks", AG Transport company prepared full operational Risk Assessment document for all crucial activities.
6.3	Is the top management involved in identification of the risks & opportunities for the business processes?	4				Examples of risk assessments, management review, etc.	As above
6.4	Are the risks and opportunities presented / discussed / analysed during management meetings?	4				Management review, action plans, risks list, etc.	Risks and opportunities are included into Management Review agenda, and this topic is presented by Managing Director, and discussed during the meeting.

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
6.5	Are the mitigate actions defined & implemented for critical risks?	3				Management review, action plans, risks list, etc.	Mitigate actions are included into chapter of IMS Manual "analyza rizik" and in the operational RAMS for main processes (Heavy transport and Crane works). There are not implemented other types of control & monitoring (e.g., actions plan register).

7. Customer Satisfaction

TOTAL SCORE: 82,1 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
7.1	Does the company analyse the satisfaction level of its clients?	3	x			CS process, CS indicators, etc.	AG Transport company utilizes very simple customer satisfaction survey which is sent to crucial Business Partners. The feedback is analysed, and adequate corrections are made to improve the customer satisfaction process. There are no established measurable indicators, which could be used for more reliable and effective improvements.
7.2	What methodology for examination of customer satisfaction is used?	4				Surveys, F2F interviews, official customer feedback, etc.	As above + direct interviews with customer representatives, if needed.
7.3	Is process for Customer Satisfaction documented?	3	x			CS process, CS report, CS indicators, etc.	The basic survey is used for communication with customers. There are no established measurable indicators, which could be used for more reliable and effective improvements.
7.4	Is customer satisfaction used as a performance monitor?	3	x			CS indicators (loyalty, satisfaction), etc.	There are no defined clear & measurable indicators based on results (notes & feedback) from customer satisfaction surveys.

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							It is recommended to define the clear targets when the satisfaction is on the acceptance level and when there shall be implemented some corrective actions to improve the results and maintain the customers.
7.5	Are the results analysed by top management? Who is responsible for analysing and reporting?	4				CS indicators, CS report, monitoring of trends, management review report, etc.	Feedback from Customers is collected & managed by Managing Director and discussed during managerial meetings.
7.6	Is the adequate action plan defined to improve customer satisfaction in key areas?	3	x			Action plan, CS report, etc.	Actions are introduced after analysis the surveys for points indicated by Customers. The adequacy is assessed, and the actions are monitored on daily basis. No formal documented action plan with clear deadlines was introduced during the audit. Actions are initiated when reasonably as practicable from business continuity and good relations / partnership with customers.
7.7	Is customer claims management/handling organized (responsibilities, root cause, remedial action)?	3	x			Claims process, investigation reports, claims statistics, etc.	According to auditees, claims (and other notifications) are handled directly on construction site between the parties. Claims are only documented by NC protocols.

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							Such claims management can lead to ineffective data collection what in final can lead to missing very important information, like real root causes, lessons learned, etc.). It is recommended to register claims to have a full overview and to be able to analyse the quality trends.

8. Training & Awareness

TOTAL SCORE: 93,7 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
8.1	Does the company develop the training content for introduction in the company?	4				Trainings content, training materials, training aids, work instructions at workstations, etc.	Training requirements are defined for the personnel. There are specified trainings for certain positions.

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							The records from the trainings (incl. list of trained personnel and training validity date) are maintained.
8.2	Does the company organize the trainings dedicated to management system in the company?	4				Q management, HSE management, internal auditors, etc.	There are organized courses for internal auditors, IMS, or language course for personnel.
8.3	How are employees instructed on the topic of occupational health and safety?	4				Training records, training manuals, inductions, etc.	OHS trainings for employees are included into training system. BOZP (HSE), PO (firefighting), Environmental, IMS.
8.4	Have the company established training and competence requirements, educational level for the employees?	4				Training plan / matrix, job descriptions, job skills assessments, etc.	Training requirements are defined for the personnel.
8.5	Are the records from the trainings maintained?	4				Qualification records, certification history	The register is maintained. List of participants is always kept after the training. Scans of certificates / licenses / permissions, etc. are storage on the servers.
8.6	Does the company identify all work activities related to its scope of services that require formal training?	4				Training plan / matrix, job description, etc.	Training requirements are defined for the personnel.
8.7	Does the company perform an evaluation on the effectiveness of the training received by the workers?	3				Records of testing, production quality records, audit records, interview workers to validate training records, etc.	There is no defined system for evaluation of effectiveness of the received trainings, however the skills of personnel are checked

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Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							/ validated on site – feedback is given to back office. Moreover, there is implemented rule for new operators working together with more experienced ones.
8.8	Does the company maintain data base for talent and knowledge management?	3				Trainings register, competence levels, qualification records, certification history, etc.	There is no defined data base for talent / knowledge management (systematic solution), the assessment is based only on feedback from site.

9. Corporate Social Responsibility

TOTAL SCORE: 82,3 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
9.1	Has CSR Policy been established by executive management and have this been making known to all employees?	3				CSR Policy, rules, etc.	AG Transport company implemented Sustainability Policy (dated on 12.01.2021) and Code of Conduct (dated on 15.01.2021), which is a good base for CSR process. Policies are distributed among the employees and are the part of onboarding process.
9.2	Has the company created the Code of Conduct, or similar document, for the employees (and subcontractors)?	4				Code of Conduct, company's rules, etc.	AG Transport company implemented Sustainability Policy (dated on 12.01.2021) and Code of Conduct (dated on 15.01.2021), which is a good base for CSR process.
9.3	Has the company appointed a CSR manager or CSR representative?	3				CSR responsibilities, job description, etc.	Due to the size of the organization, there is no appointed person responsible for CSR, but the responsibilities related to those matters are clearly defined (the ownership belongs to Managing Director).
9.4	How does management commit themselves to respect the basic human rights of employees such as equal opportunities, employees' right to form an association?	4				Code of Conduct	Company issued Code of Conduct and other relevant Policies (Sustainability, Human Rights, Modern Slavery, etc.) in where Top Management undertakes to

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							follow the basic rules & human rights for its employees.
9.5	Has the company defined an action programme on CSR matters, and is it monitored?		x	2		CSR program, CSR indicators, action plan, etc.	There is no CSR related action program documented / formalized effectively monitor the implementation of CSR initiatives.
9.6	Does the company report information on the performance of its business, environment, and performance in CSR issues?	3	x			Annual report, CSR status, etc.	Some elements are in place. Annual report is prepared. It is recommended to include major CSR issues into Management Review.
9.7	Recruitment and anti-discrimination practices Does the company have processes to avoid discriminatory practices both during contracting and throughout the daily work?	4				Clear company's rules, Code of Conduct, induction, etc.	Company issued Code of Conduct and other relevant Policies (Sustainability, Human Rights, Modern Slavery, etc.) in where Top Management undertakes to follow the basic rules & human rights for its employees.
9.8	Does the company have CSR standards in place to avoid any corruption, extortion, and bribery?	4				Anti-bribery policy, Code of Conduct, etc.	As above
9.9	Does the company have CSR standards in place to eliminate abuse and degrading treatment?	4				Clear company's rules, Code of Conduct, etc.	Code of Conduct, "Speak out loudly" approach is promoted.

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
9.10	Is there a confidential ethics channel enabled for the presentation of complaints/queries/violations? Is it accessible to workers and third parties?	4				Whistle-blower, dedicated e-mail, dedicated phone, direct reporting to top management, etc.,	As above + representative person is elected from the employees
9.11	Does the company have a policy or system in place to avoid unethical practices (incl. suppliers, customers)?	4				Suppliers' Code of Conduct, etc.	AG Transport company issued CoC for Suppliers (dated on 15.01.2021) signed by Managing Director, which is a part of supplier's management process.
9.12	How does the company relate with the community? Has the organization's context been defined, and interest groups identified? Does the company have policies and processes to interact with and communicate with the local communities? Does the company promote initiatives such as sponsoring cultural works or activities with specialized charity entities specific to the country of its activity?	3				Programs for local community, integrations, donations, sponsoring, etc.	Interested parties have been defined in the Context of Organization. Company interacts with the local community. Focusing on local suppliers wherever possible and practicable. Christmas parties for employees. Sponsorship (e.g., folk).
9.13	Does the company have processes and policies to use local resources and local suppliers whenever possible?	3				Approved local suppliers' list, local human resources in countries of operation, etc.	The general approach of AG Transport company is to cooperate with the best possible resources, with preferred local suppliers wherever possible.
9.14	Has the company received any sanctions for matter related to unfair competition, monopolistic practices, price-agreement, lobbying?	4				Official penalties, warnings, etc.	No penalties / warnings received.

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Supplier Audit Checklist

System & Process Compliance Auditing

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
9.15	Does the company have documented mechanisms to handle all disciplinary issues and staff complaints?	3				Disciplinary actions, warning system, etc.	AG Transport company is using disciplinary actions (where justified) – verbal and written form is used.
9.16	Does the company have any alcohol and drug use policies?	3				Drugs and alcohol policy, random checks, etc.	Rules included in HR Policy (dated on 15.01.2021) and signed by Managing Director.
9.17	Does the company study the satisfaction level of its employees?	3	x			Evaluations, surveys, etc.	Every employee can report and express their needs, doubts, and expectations during the meetings with direct supervisor, however there is no system solution for studying the satisfaction level. It is recommended to perform such employees survey (anonymous) at least once e year to hear the clear feedback about the conditions of work.

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10.   Supply Chain Management

TOTAL SCORE: 83,3 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
10.1	Is there an organizational structure with formally established responsibilities regarding the selection of subcontractors / suppliers? Procurement? SCM?	3				Organizational chart, job descriptions, etc.	There is no separate SCM department established (due to the size and structure of the company). The process and responsibility are defined.
10.2	Is there a formal process used for the selection, qualification, and re-qualification of suppliers?	3				Supplier quality audits and corrective actions, engineering testing, approval records, production trials, approval criteria, etc.	The process and responsibility for suppliers' management are defined.
10.3	Is there a list of qualified and approved suppliers?	4				List of suppliers, etc.	There is a list of approved suppliers maintained by the company.
10.4	Has the company identified its critical suppliers?	4				List of CTQ suppliers, etc.	Among all the suppliers, there are identified critical suppliers (according to scope of supplies).
10.5	How do the company determine and apply criteria for the evaluation, re-evaluation, and monitoring of performance of external providers?	4				Suppliers' evaluation criteria, monitoring of performance, indicators, regular assessment of key performance indicators / audits at suppliers performed by internal QA experts, etc.	There are defined clear criteria for supplier's evaluation, taking into consideration turnover, frequency, and: A Service quality B Communication

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							C Cost for services D Customer services E QMS and Environment Status
10.6	Are preventive actions taken to continuously improve performance of the supplier base?	3	x			Supplier quality performance analysis, performance trends, supplier audit reports, action plans, etc.	Assigned personnel is dedicated to communicating with supplier, depending on scope of supply. There are not clearly defined rules and the proceeding in case supplier receives poor results. Actions are taken on daily basis (without special plans) and depends on how critical supplier is.
10.7	Is there documented procedure for purchase?	4				Purchasing process, etc.	The process and responsibility for suppliers, procurement, etc. is described in IMS Manual (Q01). Top Management is responsible for the communication, negotiation and maintaining proper partnership relations with critical supplier. The communication is going down to specific personnel responsible for particular departments.
10.8	How does the company assure quality of purchased parts from suppliers?	3				First article inspections / Spot-checks during incoming goods inspection / Material certificates / other, etc.	Purchased products / services are checked according to product certificates and given guarantees.

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							On some items the sampling tests can be applied.
10.9	Are purchases from unapproved suppliers prevented by a properly controlled and available approved supplier list?	3				Approved supplier list, procedures, production material receipt records, purchasing procedure, etc.	The process is controlled according to existing procedures, approved list of suppliers, etc
10.10	How does the company ensure that all purchased product or material conforms to defined customer specifications and applicable regulatory or customer requirements?	3				Receiving inspection, supplier audits, source inspection, qualification testing, Certificate of Compliance, component marking, labelling, etc.	The process is controlled according to existing rules and procedures. Specification is given directly to suppliers, according to customers' needs and expectations. Wherever the products should meet the applicable regulatory requirements, the Certificate of Compliance is requested.
10.11	Is incoming inspection performed per documented procedures and detailed work instructions?	3				Procedures, inspection instructions resources (manpower and equipment) allocated for incoming inspection, etc.	As above
10.12	Is inspected material adequately identified as to acceptance or rejection and traceable to receiving inspection report?	3				Quality control label, marking or use of designated hold area as indicated in the procedure	As above

11. Control of processes / Manufacturing Quality

TOTAL SCORE: 89,2 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
11.1	How does the company ensure compliance with the customer requirements?	4				Customer specifications, requirements, communication, etc.	Responsibilities are divided according to established rules. There is maintained daily communication between AG Transport and customers. The requirements (and possible changes) are monitored by operational meetings.
11.2	Does the organization have documented processes for the development of Quality Control Plans, Procedures, Documentation from controls, Competence of the assigned personnel?	3				Quality Plans, Inspection Test Plans, Quality control, etc.	AG Transport company is utilizing many of operational checklists for controlling tools and equipment within the scope of services.
11.3	Are all measurement and inspection materials calibrated according to established interval dates and are the results recorded in writing?	4				Calibration results, list of calibrated equipment, list of devices CTQ, calibration stickers and records, etc.	There is a list of calibration equipment in place (e.g., tachographs). AG Transport do some of the statutory inspections inhouse (by trained competent personnel) and cooperates also with external companies.
11.4	How does the company control the product identification and traceability? Does a system exist, with which the identification and traceability of material and the products in all phases of the manufacturing process is ensured?				n/a	Process map, traceability documentation, coding system, labelling, etc.	

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Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
11.5	How does the company ensure that equipment and infrastructure are available and are kept in an operational condition?	3				Required resources, production plans, quality plans, control plans, etc.	Equipment is regularly checked on site. The vehicles and machinery pose valid certificates and technical inspections.
11.6	If the requirements are changed after the initial contract review is there a process to guarantee the product is produced under correct conditions?	3				Change management process, checklists, etc.	The project is controlled by responsible personnel on daily communication, according to procedure Project flow. Daily cooperation between the parties is maintained.
11.7	How is the production and service provision process planned and managed?	4				Planning, resources, responsibilities, etc.	Monitoring of requirements, project communication, and clear division of responsibilities is ensured by Project flow procedure.
11.8	Are control plans used to plan and deploy inspection and test functions throughout the production process?				n/a	Process flow chart, statistical tools, key inspection points, inspection/test method acceptable yield rates, etc.	
11.9	Are Gage R&R studies, measurement system analysis or other validation techniques used?				n/a	MSA, R&R, etc.	
11.10	Are appropriate work instructions available where needed that accurately describe all work methods including inspections and tests to be done during production?				n/a	Sample size, frequency, method, document control dates/revision level, etc.	

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
11.11	Are customers notified of low yield production lots or issues that affect product reliability?				n/a	Corrective actions, records of customer notifications, reliability test data, etc.	
11.12	Are key process parameters reviewed and statistically based controls and/or problem-solving tools are used to control variation?				n/a	Histograms, run charts, SPC charts, pareto analysis, cause and effect diagrams, mistake proofing, reaction plan & process corrections, etc.	
11.13	Is process capability measured and actions are taken to maintain established minimum Cpk/Ppk targets?				n/a	Documented process capability studies and results (actual vs target Cpk/Ppk)	
11.14	Are tools stored in an appropriate, clearly defined area, with systematic tracking that provides traceability, particularly of customer-owned tools and equipment?				n/a	Review of storage area, labelling, tooling records, etc.	
11.15	Does a formal preventive maintenance system (PM) exist for production equipment, tools, and devices?	4				Review of system, PM plans, PM schedule and compliance results, etc.	Trained (competent), experienced personnel and external technical advisors carry out the required technical inspections (trucks, trailers, cranes). Maintenance system is monitored according to list of inspections and validity dates (divided into specific equipment).

12.   Customer & Process Documentation

TOTAL SCORE: 85,0 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
12.1	Is there a procedure to control documents? Are new and revised customer specifications reviewed and implemented in a timely manner?	4				Technical review of methods to be used, capability studies on similar parts, documented review procedure, etc.	There is a comprehensive documentation system developed by AG Transport. All processes are described in the main documents IMS Manual (Q01). Due to small sized organization, the documentation management is well maintained and effectively controlled.
12.2	Are current process control documents in place and used for production start-up and continuing production?	4				Specifications, engineering drawings, change notices, work instructions and specifications as applicable, etc.	Transport company developed a clear structure of documentation, including operational RAMS, SSOW, or manpower plan.
12.3	Does customer notification/approval occur for changes to control plans, manufacturing site, product transfers, raw material, or product obsolescence?	3				Customer notification procedure on major changes, etc.	It is ensured by constant communication with customers. This process is managed by qualified employee responsible for dedicated customer.
12.4	Is there a record control system is in place for the identification, storage, protection, retrieval, retention time, and disposition of quality records?	4				Document control procedure, etc.	Documentation management procedure is developed. Documents are stored digitally on dedicated server.

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
							The access to documentation is controlled by accessing levels. Additionally, system documents are printed out and stored in dedicated binder.
12.5	How the customer provided documentation is secured against unauthorized use?	3				Data protection procedure, IT access levels, responsibilities, etc.	The company recognizes risk related to unauthorized use of document, thus there are implemented access level. Employees who have and access to customer documentation are responsible for their confidential.

13. Storage & Packing & Delivery

TOTAL SCORE: 100 [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
13.1	Are storage areas clean and orderly and are tools and equipment properly stored and readily available for use?	4				Observe production, office & product storage areas. (Sort, Set-in-order, Shine, Standardize, Sustain + Safety), etc.	Sampling based on the short visit on site: Workshop area and Parking slot area. Good housekeeping, clean & tidy, HSE rules respected by employees. Areas very well equipped.
13.2	Is proper equipment and methods used to prevent product damage or loss in all phases of the material handling process?	4				Observe handling and transit of raw material, work-in-process, and finished goods, etc.	Sampling based on the short visit on site: Workshop area and Parking slot area. Good housekeeping, clean & tidy, HSE rules respected by employees. Areas very well equipped.
13.3	Are documented procedures followed to ensure proper control and preservation of handling, storage (FIFO), packaging, and delivery of product?				n/a	FIFO practices are defined, packaging specifications, test results, handling, and storage procedures, etc.	
13.4	Is stored product/material periodically inspected, and where applicable, actions are taken to prevent deterioration per documented procedures?				n/a	Lists of shelf-life sensitive materials. Look for poor storage conditions and damage. Handling procedures, etc.	

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidence
13.5	Does the company measure and track on time delivery performance?				n/a	On time indicators, etc.	

14. Design & Development Support

TOTAL SCORE: N/A [%]

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidences
14.1	Are customer needs and requirements incorporated into product designs and/or manufacturing processes?				n/a	Market studies, customer/end-user surveys, technical design reviews, etc.	
14.2	Are Critical-to-Quality (CTQ) characteristics identified, understood and records retained?				n/a	Process capability studies, process plan, manufacturing verification tests, etc.	
14.3	Are product specifications and drawings generated, controlled and maintained for new or changed product designs?				n/a	Product characteristics, application requirements and other information for safe and proper use and disposal, etc.	
14.4	Is design validation an integral part of the design process and occurs prior to production release?				n/a	Design results, manufacturability, productivity and cost studies, confirmation that product fulfils its specified requirements or intended use or applications, etc.	
14.5	Are production samples inspected and provided to customers upon request?				n/a	Completed PPAP or similar forms, inspection reports, availability of qualified resources, etc.	

Ref	Audit Question	Audit Findings				Audit Evidence	Comments / remarks
		COMPLIANT	OFI	MINOR N/C	MAJOR N/C	Provide reference to documented information to justify the finding	Provide short comment to the audit question with clear evidences
14.6	Is product reliability test data available upon request and historical test performance data shows a highly stable process and product design?				n/a	Reliability test summary reports/charts, etc.	

Findings Summary & Action Plan

MAJOR NONCONFORMITY

Filled in by Auditor		Filled in by Supplier			
No.	Conclusion	Root Cause	Action	Accountable person	Deadline
n/a	n/a	n/a	n/a	n/a	n/a

MINOR NONCONFORMITY

Filled in by Auditor		Filled in by Supplier			
No.	Conclusion	Root Cause	Action	Accountable person	Deadline
4.6	There is no documented Business Continuity Management Plan (or any other solution (e.g., Crisis Management Plan). It is recommended to create clear process flow and division of responsibilities according to different worst-case scenarios to ensure the business will be continued after any business interruption affecting the continuity of deliveries / services to the customers.				
9.5	There is no CSR related action program documented / formalized effectively monitor the implementation of CSR initiatives.				

OPPORTUNITIES FOR IMPROVEMENT *(optional)*

Filled in by Auditor		Filled in by Supplier			
No.	Conclusion	Root Cause	Action	Accountable person	Deadline
1.4					
1.10					
2.4					
2.5					
2.6					
3.4					
4.1					
4.5					
5.1					
5.2					
5.4					
7.1					
7.3					
7.4					
7.6					
7.7					
9.6					
9.17					
10.6					

Other Observations, Comments & Notes

No major nonconformities raised.

Overall, very good results from the audit with the score: "ABOVE THE AVARAGE".

Very strong documentation system and IMS management.

Good commitment of top management.

Very good training & competences management.

Very well described and managed Risk & Opportunities process (incl. SWOT, Corporate Risk Analysis, and Operational Risk Assessment).

Organization shall more focus on **measurable indicators** (related to HS, E, or Customer Satisfaction) – data collection, analysis, and related improvements are the base of effective QHSE management. Only basing on the reliable data, and thus analysing trends, the organization is able to take strategic decisions that will bring value for the organization, subcontractors, and customers.

Design & Development Support have been excluded from the audit scope.

Report prepared by (name):	Daniel Jastrzebski	Date:	07.11.2022

Sent to the supplier (date):	09.11.2022
Supplier's representative (name):	Tomáš Kepič

Action plan is to be sent back within 30 days after receiving the final audit report