HMD23LR001

HAZARDOUS MATERIALS GROUP ATTACHMENT

Attachment 7

Lucid Audit Checklist for LG Facility

Category	No.	Questions	Notes
General Requirements	1.1	Does the Supplier prepare for product / process realization using the Advanced Product Quality Planning steps with documentation?	LGES prepare for product / process with APQP process to satisfy customers requests, and product and process quality during the development process. (Attachment)
	1.2	Are sufficient employees dedicated to Quality Assurance? Is this up or down from previous years?	LGES is sufficient employees dedicated to Quality Assurance. (Attachment)
	1.3	Certifications / Standards (check scope). - Currently certified to TS16949 or plan to achieve	Supplier has ISO9001 / IATF 16949(Attachment)
	1.4	Environmental Certification - Currently have certification or plan to achieve	LGES has a ISO-14001. (Attachment)
	1.5	Does the supplier have a comprehensive training plan.	LGES has a traning plan. (Attachment)
Documentation	2.1	DFMEA	DFMEA (Attachment)
	2.2	PFMEA	PFMEA (Attachment)
	2.3	Control Plan	CP (Attachment)
Management Review	3.1	Is there a member of Senior Management responsible for Quality?	LGES has a member of Senior Management responsible for Quality. (Attachment)
	3.2	There is evidence showing that members of Senior management have attended the Quality Systems Management Review?	LGES has a regular meeting on weekly and monthly. Senior management attends the meeting to discuss the agenda. (Attachment)
	3.3	Does your company have a separate Quality Assurance Department?	LGES has a Quality Assurance Department.
	3.4	Does your company have a Quality Manual describing systems / procedures?	LGES has a quality operation manual. The purpose of manual is to clarify the responsibility, authority and operational procedures in performing quality management activities. (Attachment)
	3.5	Is the Management Review scheduled and completed on a regular bases?	LGES establishes quality center annual quality objectives(KPI) through quality objectives with full Top Management attendance.(Attachment)
	3.6	Would your company be able provide examples of past performance in quality, reliability and delivery?	LGES inputs all test results into GQMS and we can check the result of previous. (Attachment)
Internal Audits	4.1	Are Internal Audits scheduled to include all ISO / TS Elements?	LGES has a documented procedures and systems for Internal Audits and It is planned based on IATF/ISO.(Attachment)
	4.2	Are there records of the audits and their results?	Audit results have led to validated corrective actions that have been leveraged to drive documented significant improvements through out the Quality System. (Attahcment)
	4.3	Are Corrective Actions taken as the result of Internal Audits validated and confirmed to be effective?	Audit results have led to validated corrective actions that have been leveraged to drive documented significant improvements through out the Quality System. (Attachment)
	4.4	Are all Internal Auditors trained and qualified?	All Internal Auditors have been trained and qualified.(Attachment)
Sub Supplier Control	5.1	Is there selection criteria and a procedure that describes how to get a supplier on the Approved Supplier List and how to get them off ?	LGES has procedures that covers the requirements for adding and removing a suppier. (Attachment)
	5.2	Are LGES requirements communicated to 2nd tier or raw material suppliers?	If SQM recevies customer's quality requirement from LG PM team, SQM releases it to suppliers and manage supplier's quality by referring to customer quality requiremens.
	5.3	Are sub-suppliers clear of the change points, timing and requirements?	Sub-suppliers are aware of requirements regarding 4M change points by EC table from LGES. (Attachment)
	5.4	Supplier Performance Management (SPM) review - Frequency with Core Suppliers & participants ?	Based on 'SQ Grade Operation' SQM evaluates supplier's quality grade every half year and leaves a history through E-approval. SQM team notifies the procurement department about semi-annually quality evaluation results of cooperating companies and cooperating company of SQ grade evaluation results once a year by February. (Attachment)
	5.5	Supplier Visit / Audit - Frequency & Audit Criteria	1. Based on Supplier Audit process, SQM proceed regular audit -. Regular Audits frequency is decided by both part importance and SQ result in last year. 2. The Irregular audit targets should be suppliers of serial production phase or new suppliers (Attachment) (Irregular audits for serial production suppliers: When there is a quality issue or 4M/parts approval verification is needed.). 3. Potential Assessment (System Audit) is implemented before sourcing
Incoming Material	6.1	Certificate of Analysis. / Conformance	Supplier requests & receives a certificate of analysis for all raw materials. Verification of sub-suppliers results is carried out where possible.(Attachment)
	6.2	Inspection standards.	Detailed inspections standards are available for all incoming parts requiring inspection. (Attachment)
	6.3	Company operates a FIFO system	In case of a first-in-first-out procedure, the first-in-first-out process is carried out with five digits in front of the control number (Low number first shipped) and a warning message is printed by the system in case of a first-in-first-out violation. (Attachment)
Process Control in factory	7.1	Are the manufacturing processes controlled and documented?	LGES controls the manufacturing process with document. (Work Instructions, Control Plan, SOP etc.)
	7.2	Does your company have a documented change control system for engineering releases, drawings, specifications, etc?	LGES has the documented procedures for 4M change management and proceeds according to the procedures.(Attachment)
	7.3	Can the Supplier provide traceability of the product?	Each cell is assigned a barcode.(Attachment)
	7.4	Are key process parameters established and controlled?	The process parameters established in CP and controlled by SOP.(Attachment)
Control & Monitoring of test equipment	8.1	Does all equipment have a unique designation.	All equipment have a unique number and designation and managed by GMIMS system.(Attachment)
	8.2	Are all gauges calibrated?	All gauges calibrated according to procedure and managed by GMIMS system. (Attachment)
	8.3	Are there instructions or procedures for the calibration/validation?	LGES has a documented procedures and systems for work on measuring instruments such as new registration of meters, calibration execution, repair execution, lost process, and disposal process. (Attachment)
Preventative maintenance	9.1	Is preventative - predictive maintenance being done on machines and tooling?	LGES has a preventative maintenance system and manage in-line.
	9.2	Is there a planned maintenance system	
	9.3	Are maintenance contracts in place for key equipment	
	9.4	Are maintenance check sheets available for high frequency checks	
	9.5	Is the maintenance schedule up to date & are all records available	
	10.1	Method of analysis : Supplier analyses all concerns in a systematic, structured way to closure using either their own or customer documentation e.g. 8D. Results submitted in accordance to required timing.	
	10.2	Root cause analysis : Full root cause analysis carried out via structured problem investigation process. 5Y/Ishikawa/component inspection	LGES analyses all concerns according to 8D documentation and manages improvement plans. (Attachment)

Control of Non conforming product	10.3	Corrective actions : Corrective actions are implemented for all concerns, effectiveness is verified & signed off with customer buy off.	
	10.4	Preventive actions : All corrective actions are input to PFMEA for concern prevention. Control Plan & Work Instructions have been updated where necessary.	
	10.5	Is the Supplier following a documented procedure / process for controlling, segregating, and processing nonconforming product?	LGES has a Guideline for establishing/verifying temporary measures and improvement measures after nonconformity inssuing when incoming inspection nonconformity occurs (Attachment)
Production Monitoring	11.1	Is there documented evidence to verify that all of the measurements are in accordance with the CQP.	LGES manages the CTQ items with SPC system.
	11.2	Is there documented evidence that the Control Plan is being adhered to.	LGES regularly does internal audit to check the process are managed according to CP. (Attachment)
	11.3	How are Quality Targets set with your company?	LGES establishes quality targets for major defects related to production processes. (Attachment)
Packaging and Dispatch	12.1	Does the supplier have a packing instructions for the final product?	LGES has a packing instruction. (Attachment)