**R20.102-S IATF 16949 Surveillance and Renewal Planning**

In addition to providing the information requested below, please complete this form Sections 1 through 3 electronically and submit to SRI.

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| **Please forward the completed form (Microsoft WORD preferred) and attachments to our office via e-mail:**  **E-mail:** to your Audit Operations (formerly Customer Care) Coordinator [first initial+ last name]@sriregistrar.com  (e.g., smazur@sriregistrar.com)  **Or: Direct to your assigned Auditor with notice to SRI at time of submittal.** |

In accordance with IATF Rules 5.7.1 client information for audit planning, Annex 3 and IATF expectations, prior to each scheduled surveillance and renewal/recertification audit, the IATF 16949 client (organization) shall provide SRI with the below information and/or documentation. The client should utilize the Automotive Quality Management System Standard [IATF 16949:2016], “IATF Rules” for achieving and maintaining IATF recognition (5th Edition), applicable CSRs, SIs, FAQs, etc., most current editions when completing this request for information. This information is required prior to the audit and **must be received at SRI /submitted to the assigned Lead Assessor ten weeks prior to the scheduled event** and ***accepted by the Lead Assessor at least eight weeks prior to the scheduled event***. Failure to submit the information in a timely manner, or to omit materials, **may result in additional time added to the one (1) hour onsite preplanning meeting or initiation of the decertification process (refer to IATF Rules 5.7.2).** A copy of the final audit report may be submitted to the IATF upon request.

**Client Information required 10 weeks prior to the surveillance/renewal audit (*refer to Rules 5.7, Audit planning*):**

**“*Client” Please Put a Check Mark in the Box for the Items that are Applicable and Provided. Please organize your submission in folders to corresponding the numbered items listed here on pages 1 and 2, as applicable.***

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| ***1.*** |  | Quality Manual (QM) [Reference IATF 16949 FAQs 8 and 12] process map(s) and/or turtle diagrams, including evidence about conformity to IATF 16949, requirements, scope of the QMS and justification for any exclusions, documented processes for the QMS or reference to them, description, sequence and interaction (inputs and outputs) of the processes. The QM should identify or reference all Key/COP processes and the support processes on-site, support provided to or received from another location. Your process definitions must match between your QM, process map(s) and/or turtle diagrams. |
| ***2.*** |  | Identify all outsource processes and their linkages and interface. |
| ***3.*** |  | Identification of remote support functions and their linkages and interfaces. Your process definitions must match between your QM, process map(s) and/or turtle diagrams. Where your title does not exactly match the IATF Approved Remote Support Location (RSL) Titles (see approved RSL titles list in table on page 2 of this form), place the relevant IATF Approved Remote Support Location (RSL) Titles in parenthesis (). Exampling: Tooling (Production Equipment Development). Where more than one IATF Approved Remote Support Location (RSL) Title is rolled into your support process title identify all the IATF Approved Remote Support Location (RSL) Titles. Example: People Services (Human Resources – Policy Making – Strategic Planning) or Quality (Quality System Management – Internal Audit Management – Continuous Improvement – Testing). |
| ***4.*** |  | Identify all IATF OEM, Non IATF OEM, and Automotive Customers and where in the QM is a document (i.e., matrix) that identifies where within the QMS the Customer Specific Requirements (CSRs) are addressed (see IATF 16949-SI 5). Note: Jaguar Land Rover, Geely Group, and IVECO Group are now an IATF OEMs. |
| ***5.*** |  | Customer satisfaction/performance data since the last audit (see SI 26), (including, when provided by your customer, a copy of the latest customer reports and/or scorecard), |
| ***6.*** |  | Internal performance data since the last audit, including Quality Objectives and measures of performance, process effectiveness and efficiency (see IATF 16949 SI 12 and 13) |
| ***7.*** |  | Internal audit - Summary of internal system, manufacturing process and product audit results conducted since the last audit   1. total number of nonconformities by audit type, 2. the classification of each nonconformity, 3. the relevant requirement (audit criteria). |
| ***8.*** |  | Management review results output/action item list since the last audit. |
| ***9.*** |  | Summary of Customer Complaint summary since the last audit including repeat problems. |
| ***10.*** |  | If your Remote Support Location(s) [Function(s)] is audited by another CB (CB other than SRI), submit all information required by IATF Rule, section 5.5, Option 2:   1. Proof that the other CB is recognized by the IATF, 2. the audit plan submitted by the other CB of the remote support location(s), 3. the audit report submitted by the other CB of the remote support location(s), 4. the corrective actions submitted by the other CB applicable to the remote support location(s), 5. the verification of the corrective actions submitted by the other CB of the remote support location(s), 6. copies of all on-site verification activities reports submitted by the other CB of the remote support location(s). |
| ***11.*** |  | FOR RENEWAL/RECERTIFICATION: In accordance with IATF Global Expectations, the information above is collected for the three (3) year certificate cycle. |
|  |  | NOTE: **The renewal audit must be completed within three (3) years (+0 days) of the last day on-site of the initial registration or previous renewal audit *(refer to Rules 5.1.1, Audit cycle)*. Timing for the renewal event must be such that the renewal event is completed, adequate time is available to close any cited corrective actions (up to 90 days) and SRI has time (30 days) to convene the Registration Review Panel and make a decision.** Accreditation requirements dictate that the renewal certificate be issued prior to the expiry date on the current certificate. **Failure to (1) have the renewal event within three (3) years of the initial event or previous renewal event and/or (2) to have the certificate issued prior to the expiry date will result in delisting and the client starting the registration process at Stage 1, not a renewal. This is a requirement of the Accreditation Body and no exceptions can be made for any reason.** |
| ***12.*** |  | **TRANSFER AUDIT: Audit Reports from the Previous Three Year, Evidence that all Nonconformities issued by the Existing CB for the Site and Remote Support Functions are Closed (see IATF Rules 7.1).** |
| ***13.*** |  | **Site with Extended Manufacturing site:** Completed R20.27 application provided in WORD format to the SRI Office (no handwritten or PDF applications will be accepted). The IATF requires this form to be submitted at each audit event. |

Note: Organizations should visit the IATF website (<https://www.iatfglobaloversight.org/>) regularly for Latest News, IATF Stakeholder Communiqués, OEM Requirements, etc.

Note: If an Extended Manufacturing Site is applicable to the certificate structure, the information requested above shall be submitted, as applicable, for the Extended Manufacturing Site.

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| **IATF Approved Remote Support Location (RSL) Titles** | | |
| Aftersales  Calibration  Continuous Improvement  Contract Review  Customer Service  Distribution  Engineering  Facilities Management  Finance  Human Resources  Information Technologies  Internal Audit Management | Laboratory  Logistics  Maintenance  Management Review  Marketing  Packaging  Policy Making  Process Design  Product Design  Production Equipment Development  Purchasing | Quality System Management  R & D  Repair  Sales  Sequencing  Servicing  Strategic Planning  Supplier Management Testing  Training  Warehousing  Warranty Management |

**Comments:**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Section 1:** P L E A S E P R I N T – to be completed by the client | | | | | | |
| **Completed by** |  | | **Date** | |  | |
| **Company name** |  | | | | | |
| **Main Site, street address, city, state** |  | | | | | |
| **Where applicable, Extended Manufacturing Site(s), street address, city, and state** |  | | | | | |
| ***Certification Structure:*** | Single Manufacturing Site | | | | | |
| Corporate Scheme | | | | | |
| Single Manufacturing Site with Extended Site(s) – Rform R20.27 SRI Application and Review for Single Manufacturing Site with Extended Manufacturing Site(s) has been received from SRI completed and submitted Yes  No | | | | | |
| ***Language(s) of the audit [all comprehend - English and Non-English and employee count by language spoken.]*** *(For non-English spoken languages at the site, where English is not spoken by an employee, translation / translator maybe required.)* |  | **Non-automotive operations (i.e., machining, painting) and warehouse(s) associated w/ the site** | | | |  |
| **Total # of current employees on-site (permanent, part time, contract, temporary, average number of daily workers for previous 6-month period, all shifts, all processes, all activities)** |  | **Employee count changed since last event** | | | | Increase  Decreased  No change |
| **Total # of Remote Support personnel (non site/off site persons) providing support to the site:** |  | **Remote support personnel changed since last event** | | | | Increase  Decreased  No change |
| **Current # of Shifts and Times (split, dedicated, weekend, etc.)** |  | **Shifts changed since last event** | | | | Increase  Decreased  No change |
| **Are there any raw material or components (parts) manufactured on-site that is used in the automotive product you ship to your customer, where the processes are not audited to IATF requirements?** | | | |  | | |
| **Was a consultant(s) used to implement the quality management system?**  **Provide information on the use of consultancy, including qualifications, accreditations, and/or certifications:** | | Yes  No | | | | |

**Section 2: Changes to Process Names, Support Activities Provided to other Location(s) or Received from other Location(s):**

**Client to complete -** Complete the sections below:Provide a list of any changes to support processes **Provided to other sites and/or locations from this facility; or Received From other sites and/or locations** (be sure to include name of the process and address of the site). Add attachments if additional space is needed.

| **Process Name** | **Location (Physical Address)** | **Provided to Another Location** | **Received From Another Location** | **No. of Employees Allocated to the site at the support location where support is received from** | **Type of change** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  | added,  eliminated,  changed process name  changed location |
|  |  |  |  |  | added,  eliminated,  changed process name  changed location |
|  |  |  |  |  | added,  eliminated,  changed process name  changed location |

**Section 3 – Miscellaneous Information:**

Have there been any Changes since the last assessment (legal status, commercial status, ownership, organization, and management, contact address or location, scope of operations under the certified QMS, IATF subscribing OEM customer Special Status, major changes to the management system and processes, etc.). Please complete the following:

|  |  |
| --- | --- |
| **Legal Status Changed?** | YES  NO (If YES – Please Explain      ) |
| **Commercial Status Changed?** | YES  NO (If YES – Please Explain      ) |
| **Ownership Status Changed?** | YES  NO (If YES – Please Explain      ) |
| **Organization and Management Changes?** | YES  NO (If YES – Please Explain      ) |
| **Contact Address or Certificate Location (see IATF FAQ’s 1, 2, 3) Changed?** | YES  NO (If YES – Please Explain      ) |
| **Scope of Operations:** Certificate Scope Statement Change? | YES  NO (If YES – Please Explain      ) |
| **Scope of Operations:** Certificate Structure Change (see IATF Rules Annex 4)? | YES  NO (If YES – Please Explain      ) |
| **Scope of Operations:** Scope of Audit – Activity/Process Changes? | YES  NO (If YES – Please Explain      ) |
| **Scope of Operations:** Scope of Audit – New Processes/Activities? | YES  NO (If YES – Please Explain      ) |
| **Scope of Operations:** Scope of Audit – Additional Equipment or New Equipment? | YES  NO (If YES – Please Explain      ) |
| **Scope of Operations:** Scope of Audit – New Customers and/or New CSR’s? | YES  NO (If YES – Please Explain      ) |
| **Scope of Operations:** Scope of Audit – New of Changed Support Activities Received from or Provided to a location? | YES  NO (If YES – Please Explain      ) |
| **IATF OEM Customer Special Status [e.g., FCA US LLC (Chrysler) on Status; Ford Q1 Revocation; General Motors New Business Hold, Special Status Notifications]?** | YES  NO (If YES – Please Explain      ) |

Is external customer performance data being directly reported from any IATF OEM, Non-IATF OEM and/or Automotive Customer to the remote support location(s) (see IATF Rules 5.7.2.a)?  Yes  No - If yes, which location(s):

Identify all legal, statutory, and regulatory requirements applicable to the product or process:

Identify all product safety requirements by regulation and/or standard (e.g., FMVSS, CMVSS):

CQI-8, Special Process: Layered Process Audits Guideline applies:  Yes  No  N/A

CQI-9, Special Process: Heat Treat System Assessment applies:  Yes  No  N/A

CQI-11, Special Process: Plating System Assessment applies:  Yes  No  N/A

CQI-12, Special Process: Coating System Assessment applies:  Yes  No  N/A

CQI-14, Special Process: Customer Centric Warranty Mgmt applies:  Yes  No  N/A

CQI-15, Special Process: Welding System Assessment applies:  Yes  No  N/A

CQI-17, Special Process: Soldering System Assessment applies:  Yes  No  N/A

CQI-19, Special Process: Sub-tier Supplier Management Process Guideline:  Yes  No  N/A

CQI-23, Special Process: Molding System Assessment applies:  Yes  No  N/A

CQI-27, Special Process: Casting (Foundry) System Assessment applies:  Yes  No  N/A

List any other applicable CQIs which are not listed above:

CQI-      , Special Process:       applies:  Yes  No  N/A

CQI-      , Special Process:       applies:  Yes  No  N/A

CQI-      , Special Process:       applies:  Yes  No  N/A

Is your organization (certified site) owned by a large organization?  Yes  No (If no, skip questions A and B.)

1. Does any part (parent or sister companies) of the larger organization have a direct impact on the management of your organization (certified site) or is providing services (e.g., sales, purchasing, process design, product design, warehousing, etc.… see RSL titles list page 2 of this form for IATF approved remote support location titles, processes, components, or product to your organization (certified site)?  Yes  No (if no, skip question B.)
2. How do you treat the relationship with the organization that has a direct impact on the management of your organization (certified site) or is providing services (e.g., sales, purchasing, process design, product design, warehousing, etc.… see RSL titles list page 2 of this form for IATF approved remote support location titles, processes, components, or product to your organization (certified site)?  Supplier/external provider,  Support activity, or  Extended manufacturing site(s)