**R20.102 IATF 16949 Registration Readiness Review - Client Guide**

The client (organization) applying for certification to IATF 16949:2016 shall be prepared to provide SRI with the following information (*refer to Rules 6.5, Stage 1 readiness review activities*) and documentation during the Stage 1 “Readiness Review.” Client must 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. This information and documentation are required as indicated in the “IATF Rules”. **The information on this form, R20.102, must be made available by the client for each value-added site to be registered.** This information must be reviewed at the client’s site(s), typically ***no less than ten weeks prior to the anticipated Stage 2 registration audit***. Reserving Stage 2 registration dates is encouraged. Stage 2 dates are generally confirmed following approval of the “Readiness Review” by SRI. (Note: An optional Pre-Assessment audit may facilitate earlier confirmation.) Postponement of the Stage 1 readiness review could result in delaying your Stage 2 registration audit dates. Note: Organizations should visit the IATF website (https://www.iatfglobaloversight.org/) regularly for Latest News, IATF Stakeholder Communiqués, OEM Requirements, etc.

**Information the client is to prepare for the SRI Auditor to review at the Stage 1 Readiness Review:**

1. Management system documentation for each site to be audited including:
2. Quality manual including the interaction with support functions on-site or remote;
3. Description of remote location(s) and support provided to or received from as part of the IATF 16949;
4. Description of processes showing the sequence and interactions, including the identification of remote support functions and outsourced processes;
   * Note: Where a Remote Support Location(s) [Function(s)] is audited by another certification body (CB, not SRI), the following information applicable to the remote support location(s) [function(s)] must be provided to SRI. Refer IATF Rule 5.5, Option 2: a. Proof that the other CB is recognized by the IATF, b. the audit plan submitted by the other CB of the remote support location(s), c. the audit report submitted by the other CB of the remote support location(s), d. the corrective actions submitted by the other CB applicable to the remote support location(s), e. the verification of the corrective actions submitted by the other CB of the remote support location(s), f. copies of all on-site verification activities reports submitted by the other CB of the remote support location(s).
5. Required procedures and records, including control plans.
6. Evidence that all the requirements of IATF 16949 are addressed by your processes.
7. Access to your website to validate information provided.
8. Key indicators and performance trends for the previous twelve (12) months (minimum) including customer report cards (consider PPM's, delivery, cost of management, objectives, capacity, utilization, productivity, efficiencies, etc.).
9. Information on the use of consultancy relating to the management system.
10. Relevant legal obligations / regulations applicable to the product or processes.
11. Process map(s) and/or turtle diagrams.
12. Evidence of one full cycle of Internal Audits to IATF 16949 followed by a Management Review. [One full cycle of internal audits (QMS, Manufacturing and Product) in the process approach to IATF 16949 followed by a management review to that must be completed prior to the audit and be available at the Stage 1.]
13. List of qualified internal auditors and criteria (how) they were qualified.
14. A complete list of automotive customers (IATF OEMs, Non ITAF OEMs, Automotive Customers) and their customer-specific requirements (including revision and/or date of issue and any waivers obtained). Note: Jaguar Land Rover, Geely Group, and IVECO Group are now IATF OEMs.
15. The IATF definition of supplier applicability must apply to the client seeking registration (refer to Rules 1.0, Eligibility for certification to IATF Rules)
16. Customer complaint summary and responses for the past year.
17. Customer scorecards (access to the customer websites, for retrieval of information where applicable).
18. Notifications of Customer Special Status (Q1 Revocation, New Business Hold, CS II, Top Problem Supplier Location, etc.).

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

***IMPORTANT NOTICE (refer to Rules 3.2, Notice of changes by client):*** According to accreditation body requirements, failure to provide accurate or knowingly omit required information, may result in additional time being added to the one (1) hour pre-planning meeting. If changes occur between Stage 1 and Stage 2, the client (organization) is required to notify the SRI office in writing. If you have questions, please contact: **SRI Quality System Registrar ● Tel.: 724-934-9000**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| 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** |  | | | | |
| **Facility to be registered (if different)** |  | | | | |
| **Where applicable, Extended Manufacturing Site(s), Street address, city, 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 | | | | |
| **Describe automotive supply chain linkage to IATF OEMs, Non-IATF OEMs and Automotive Customers.** | |  | | | |
| **Language(s) of the audit** (all comprehend – English and Non-English and employee count by language spoken) |  | **Current # of Shifts and Times (split, dedicated, weekend, etc.)** | | |  |
| **Total # of employees and temps** (all shifts, all processes, all activities) |  | **Non-automotive operations** (i.e., painting, machining) and warehouse(s) associated with the site | | |  |
| **Are there any raw material or components (parts) manufactured on-site that are 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 | | | |
| **Organization’s web address:** | |  | | | |

**Customer-Specific Requirements** – Complete the sections below or provide, in a similar format structure, your own list of automotive customers. Provide a copy of the supplier’s score (report) card. For IATF eligibility purposes, production part purchase order, or completed PPAP (warrant sign-off or similar document) for at least one (1) automotive customer. **\*** Provide a summary sheet of customer complaints including probations or status for the previous twelve months. If the Customer Performance Goals are not met, complete the client comment column indicating actions taken or being taken by the client.

| ***IATF OEMs, non-IATF OEMs, and Automotive Customers*** supplier code(s) to meet defined formats (re-confirm) | **Score Card Available**  supplier code(s) to match code listed on the score (report) card | **Customer Performance Goals Met** (if no, complete client comments) | **# Customer Complaints\*** | **Client Comments** | **Customer Specific Requirement including date of issue revision level, and any waivers obtained** |
| --- | --- | --- | --- | --- | --- |
| **Stellantis (ex FCA US LLC) (Chrysler)** – 5 digits may be followed by 1 or 2 capital letters  Enter Supplier Code  Check if N/A | Yes  No  N/A, add comment as to Why. | Yes  No  On Status |  |  |  |
| **Ford** – 5 characters, alphanumeric  Enter Supplier Code  Check if N/A | Yes  No  N/A, add comment as to Why. | Yes  No  On Status |  |  |  |
| **General Motors** – 9 digits without any blanks  Enter Supplier Code  Check if N/A | Yes  No  N/A, add comment as to Why. | Yes  No  On Status |  |  |  |
| **Volkswagen AG**  – 9 digits without any blanks  Enter Supplier Code  Check if N/A | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| **Groupe Renault** – 6 digits, 2 digits  Enter Supplier Code  Check if N/A | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| **Stellantis (ex Groupe PSA)** – 6 characters, 2 characters  Enter Supplier Code  Check if N/A | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| **Stellantis (ex FCA Italy SpA) (Fiat)** - 4 digits, 3 digits, 3 digits  Enter Supplier Code  Check if N/A | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| **Daimler AG (Mercedes)** – 8 digits (mandatory), 1 character (optional)  Enter Supplier Code  Check if N/A | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| **BMW** – 5 digits, 2 digits  Enter Supplier Code  Check if N/A | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| **Jaguar Land Rover (JLR Ltd.) -** 5 characters, alphanumeric  Enter Supplier Code  Check if N/A | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| **Greely Group** – 6 characters, alphanumeric Enter Supplier Code | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| **IVECO Group** - 3 characters followed by 2 Digits  Enter Supplier Code | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| Other  Enter Supplier Code | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| Other  Enter Supplier Code | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| Other  Enter Supplier Code | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| Other  Enter Supplier Code | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| Other  Enter Supplier Code | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| Other  Enter Supplier Code | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |
| Other  Enter Supplier Code | Yes  No  N/A, add comment as to Why. | Yes  No  On status |  |  |  |

Provide a description of the automotive products manufactured:

Product design responsible (includes subcontracted design)?  Yes  No

Software design responsible?  Yes  No

Do you embed software into your products?  Yes  No

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:       System Assessment applies:  Yes  No  N/A

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

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

**Process Information – Performance and Identification of KEY/COP Processes, Support Processes, and applicable Remote Support Location (RSL) Processes:**

| **Section A: Key/COP Processes:** Complete the section below or provide in a similar format structure using your own list of QMS Processes that match your Quality Manual Description and Interaction of Processes. Identify all Key/COP processes and the support processes on-site. Your process definitions must match between your QM, this document, and your process map(s), and/or turtle diagrams. Mark the Process K = Key/COP or S = Support. If the internal metrics of effectiveness and efficiency are not met, complete the client comment column indicating actions taken or being taken by the client. In the # Customer Complaints column, indicate the actual number of complaints since the last regular SRI audit event for the past year and list the affected process(es). \* Add attachments if additional space is needed. | | | | |
| --- | --- | --- | --- | --- |
| **Section 3A: KEY/COP & Support Processes**  (Physical, not mailing) | **At Goal Effective** | **At Goal Efficiency** | **# Customer Complaint** (which processes are impacted) | **Client Comments** |
| **EXAMPLE:** Molding  Key/COP  Support | < 1% Scrap  < 100 PPM per quarter | 90 % Machine Availability | 4 | Scrap spike in Jan, Feb, March – CA 635 issued. Apr and May <1%  4 customer issues – 3 closed and accepted by the customer, 1 awaiting customer approval. |
| Key/COP  Support |  |  |  |  |
| Key/COP  Support |  |  |  |  |
| Key/COP  Support |  |  |  |  |
| Key/COP  Support |  |  |  |  |
| Key/COP  Support |  |  |  |  |
| Key/COP  Support |  |  |  |  |
| Key/COP  Support |  |  |  |  |
| Key/COP  Support |  |  |  |  |
| Key/COP  Support |  |  |  |  |
| Key/COP  Support |  |  |  |  |

| **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 |

| **Section B: Support Provided to Another Location**: Complete the section below or provide in a similar format structure using your own list of QMS Processes that match your Quality Manual Description and Interaction of Processes. Identify all support provided to another location from your site. Your process definitions must match between your QM, this document, your process map(s) and/or turtle diagrams, and the list of IATF Approved Remote Support Location (RSL Titles identified above). Where your title does not exactly match the IATF Approved Remote Support Location (RSL) Titles place the relevant IATF Approved Remote Support Location (RSL) Titles in parenthesis ( ). Example 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). If the internal metrics of effectiveness and efficiency are not met, complete the client comment column indicating actions taken or being taken by the client. In the # Customer Complaints column, indicate the actual number of complaints since the last regular SRI audit event for the past year and list the affected process(es). \* Add attachments if additional space is needed. | | | | |
| --- | --- | --- | --- | --- |
| **Section B: Support Processes Provided to Another Location**  (Physical, not mailing) address of the location the support is provided to. | **At Goal Effective** | **At Goal Efficiency** | **# Customer Complaint** (which processes are impacted) | **Client Comments** |
| **EXAMPLE 1:** Tooling (Production Equipment Development)  203 Main St., Akron, Ohio | < First off 1% Scrap | Tooling available for PPAP | 4 | Scrap spike in Jan, Feb, March – CA 635 issued. Apr and May <1%  4 customer issues – 3 closed and accepted by the customer, 1 awaiting customer approval. |
| **EXAMPLE 2:** People Services (Human Resources – Policy Making – Strategic Planning)  9 Front St., Chicago, Illinois | Manpower forecast maintained | Years of service avg. 5 years | 0 |  |
| RSL Title  Enter Address |  |  |  |  |
| RSL Title  Enter Address |  |  |  |  |
| RSL Title  Enter Address |  |  |  |  |
| RSL Title  Enter Address |  |  |  |  |
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| RSL Title  Enter Address |  |  |  |  |
| RSL Title  Enter Address |  |  |  |  |

| **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 |

| **Section C: Support Received From Another Location**: Complete the section below or provide in a similar format structure using your own list of QMS Processes that match your Quality Manual Description and Interaction of Processes. Identify all support provided to another location from your site. Your process definitions must match between your QM, this document, your process map(s) and/or turtle diagrams, and the list of IATF Approved Remote Support Location (RSL Titles identified above). Where your title does not exactly match the IATF Approved Remote Support Location (RSL) Titles place the relevant IATF Approved Remote Support Location (RSL) Titles in parenthesis ( ). Example 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). If the internal metrics of effectiveness and efficiency are not met, complete the client comment column indicating actions taken or being taken by the client. In the # Customer Complaints column, indicate the actual number of complaints since the last regular SRI audit event for the past year and list the affected process(es). \* Add attachments if additional space is needed. | | | | |
| --- | --- | --- | --- | --- |
| **Section C: Support Processes Received from Another Location**  (Physical, not mailing) address of the location the support is received from. | **At Goal Effective** | **At Goal Efficiency** | **# Customer Complaint** (which processes are impacted) | **Client Comments** |
| **EXAMPLE 1:** Tooling (Production Equipment Development)  203 Main St., Akron, Ohio | < First off 1% Scrap | Tooling available for PPAP | 4 | Scrap spike in Jan, Feb, March – CA 635 issued. Apr and May <1%  4 customer issues – 3 closed and accepted by the customer, 1 awaiting customer approval. |
| **EXAMPLE 2:** People Services (Human Resources – Policy Making – Strategic Planning)  9 Front St., Chicago, Illinois | Manpower forecast maintained | Years of service avg. 5 years | 0 |  |
| RSL Title  Enter Address |  |  |  |  |
| RSL Title  Enter Address |  |  |  |  |
| RSL Title  Enter Address |  |  |  |  |
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| RSL Title  Enter Address |  |  |  |  |

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 the outsource processes (testing, calibration services, heat treating, plating, machining, painting, etc.) that affect product conformity requirements:

Are you currently certified to IATF 16949 or have you been previously certified to IATF 16949?  Yes  No - If yes, provide details of the certification:

Is your organization (to be a 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 (to be a certified site) or is providing services (e.g., sales, purchasing, process design, product design, warehousing, etc.… see Section 3 table for IATF (TS) approved remote support location titles, processes, components, or product to your organization (to be a 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 (to be a certified site) or is providing services (e.g., sales, purchasing, process design, product design, warehousing, etc.… see Section 3 table for IATF (TS) approved remote support location titles, processes, components, or product to your organization (to be a certified site)?  Supplier/external provider,  Support activity, or  Extended manufacturing site

Please provide a response to the following:

Internal Auditors:

|  |  |
| --- | --- |
| **Audit Type** | **No. of qualified auditors** |
| Quality Management System audits |  |
| Manufacturing Process audits |  |
| Product audits |  |

Please complete the following:

|  |  |  |  |
| --- | --- | --- | --- |
| **IATF Clause Documents** | | **Organization document name** | **Revision Level** |
| **Required documented process** | |  |  |
| 4.4.1.2 | Product Safety |  |  |
| 7.1.5.2.1 | Calibration/verification records |  |  |
| 7.2.1 | Competence |  |  |
| 7.2.3 | Internal auditor competency |  |  |
| 7.3.2 | Employee motivation and empowerment |  |  |
| 7.5.3.2.2 | Engineering specifications |  |  |
| 8.3.1.1 | Design and development of products and services |  |  |
| 8.3.3.3 | Special characteristics |  |  |
| 8.4.1.2 | Supplier selection process |  |  |
| 8.4.2.1 | Type and extent of control |  |  |
| 8.4.2.2 | Statutory and regulatory requirements |  |  |
| 8.4.2.4 | Supplier monitoring |  |  |
| 8.5.6.1 | Control of changes |  |  |
| 8.5.6.1.1 | Temporary change of process controls |  |  |
| 8.7.1.4 | Control of reworked product |  |  |
| 8.7.1.5 | Control of repaired product |  |  |
| 8.7.1.7 | Nonconforming product disposition |  |  |
| 9.2.2.1 | Internal audit programme |  |  |
| 10.2.3 | Problem solving |  |  |
| 10.2.4 | Error-proofing |  |  |
| 10.3.1 | Continual improvement |  |  |

A copy of the final audit reports may be submitted to the IATF upon request.