

R20.11TS: IATF 16949 Registration Audit Process Flow Chart



Note: This information applies to both IATF 16949:2016 and ISO/TS 16949:2009 (until superseded).

A. Pre-Registration Audit Procedures

1. OBTAINING INFORMATION, APPLICATION, SURVEY, AND OTHER INITIAL DOCUMENTATION	Applicant requests details of registration. SRI sends an application package to the applicant, who completes and returns the SRI Registration Survey, R20.28, to registrar in order to obtain a cost proposal.
2. ESTABLISH REGISTRATION SCOPE AND COST	<p>SRI receives the R20.28 survey or equivalent, reviews all aspects of registration, and prepares a written cost proposal for a site or corporate, scheme approach.</p> <p>After receipt and acceptance of the proposal, the applicant;</p> <ol style="list-style-type: none"> a) notifies SRI by phone or fax, and provides whatever details are needed to best establish estimates of scheduling, b) completes the application, and returns it to SRI with: <ol style="list-style-type: none"> 1) signed and dated Proposal 2) application fee and/or Readiness Review Fee, 3) a completed application, form R20.3, SRI Application and Cost Proposal Terms and Conditions. <p>Upon receipt of the above three items, SRI formally reserves the slots in the audit schedule, and sends to the client additional information concerning the registration process.</p>
3. AUDIT TEAM SELECTION	SRI determines the most appropriate lead auditor, and sends client biographies of the auditor(s) to both client and auditor(s) for confirmation of avoidance of a conflict of interest.
4. PRE-ASSESSMENT (Optional)	At the Pre-Assessment audit, the auditor(s) (<u>who shall not be</u> part of the audit team selected for the Stage 1 or Stage 2 audit) will review the quality manual, sample lower level documentation, and conduct limited implementation verification. This activity may allow the interval between the Stage 1 and Stage 2 audits to be reduced by several weeks.
5. STAGE 1 - ON-SITE READINESS REVIEW	The client undergoes an on-site review of Readiness documentation, including the <u>Management Manual</u> and requisite readiness materials noted on the R20.102, IATF 16949 Registration Readiness Review. Two days are typically required for this activity. A full report is issued on the manual, and the completed R20.102 indicates Readiness of the organization to proceed to Stage 2. All logistics are defined and scheduling is established for the Stage 2 Registration audit. The Stage 2 registration audit is normally scheduled <u>to begin no sooner than ten weeks</u> after the Stage 1 audit.
6. AUDIT PLAN	A registration audit plan (for Stage 2) is developed as an output of the Stage 1 event and reported to applicant and team members before the registration assessment. The registration audit must be conducted less than 90 days after acceptance by the lead auditor of the readiness materials from Stage 1.

B. On-Site Registration Audit (Stage 2)

1. ONE (1) HOUR PRE-PLANNING MEETING ON-SITE	Auditor meets with client to review changes in performance information.
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2. CORRECTIVE ACTION REVIEW	Auditor verifies corrective action(s), where applicable, from previous audit event.
3. PRE-AUDIT CONFERENCE	A formal opening meeting is held with applicant.
4. PHYSICAL AUDIT	Physical process audit occurs over all days involving the examination of objective evidence.
5. FINAL DAY TEAM MEETING	Audit team meets privately to prepare conclusions.
6. MEETING WITH THE MANAGEMENT REP	Audit team presents summary of observations, and required corrective actions, if any. The client has <u>30 days to respond</u> , and 60 days to <u>complete and close</u> approved corrective actions. If a follow-up corrective action audit is needed, an appropriate schedule is defined. For any Major (HOLD) CANS issues, root cause and correction is required in 20 days.
7. POST-AUDIT CONFERENCE	The audit team presents the audit findings, answers any questions, and provides written results. The final audit report is provided within 15 days from the SRI office.

C. Post-Audit Registration Procedures

1. REPORTING	SRI reports the audit results, and any nonconformance requiring corrective action, to the client and logs information into the IATF database.
2. CORRECTIVE ACTION PLANS AND EVIDENCE	Corrective action plans and improvement evidence is provided to registrar by the client, for SRI review, acceptance, and closure within 90 days of the last day on site at the registration event.
3. SPECIAL (FOLLOW-UP) AUDIT	If required by SRI, a member of the audit team conducts a continued assessment focused on corrective actions areas.
4. DECISION ON REGISTRATION	After a recommendation for registration is received from the Audit Team Leader, the audit documentation is submitted for review and approval to the SRI Registration Review Panel, RRP. After registration acceptance, SRI contacts the client with news of the registration decision.
5. APPEALS	The applicant always has the option to appeal or enter a complaint.
6. REGISTRATION	After meeting all registration requirements, signing the SRI registration agreement, and paying all outstanding fees, the client is issued a registration certificate and becomes an SRI registrant.

D. Post-Registration Procedures

1. SURVEILLANCE/ CONFORMANCE	Surveillance is conducted at typical intervals of nine months, but may range up to one year under specific conditions, commencing with the date of the final registration audit. Each surveillance will assess processes identified by the client plus certain documentation (Readiness Materials) that must be reviewed at each event. All conditions of the registration must be maintained by the registrant.
2. RENEWAL SURVEILLANCE	As agreed at registration, a renewal surveillance occurs at the end of three years. Its manday duration is as noted in the "Rules for achieving IATF recognition." The renewal must occur well in advance of the certificate expiry date to ensure no lapse in certification. Failure to conduct the renewal as noted will result in the need for a full re-assessment.