R20.55IATF IATF 16949 Documentation Review

The client (organization) renewing their certification to IATF 16949:2016 shall provide SRI with the following documentation for each certified manufacturing site and supporting function(s) on-site or remote. **When requested, this form should be completed by the client for audits and submitted.** For renewal audits, this form must be completed by the client along with the supporting information. This information is required prior to the audit and should 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. It applies to both manufacturing sites and remote support locations (RSLs).

Please forward the completed form (Microsoft WORD preferred) and attachments to our office via e-mail:
E-mail: to your 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.

P L E A S E P R I N T – To be completed by the client

Completed by		**Date**	
Company name			
Street address, city, state			
Auditee (SRI certificate number):			
Contact's name and phone number:			
Contact's e-mail address:			
Scope of Certification:			
Product design exclusion (includes subcontracted design)**:**	(Product design not to be confused with Process Design and Development)		

Part I: Documentation – An off-site documentation review shall be conducted prior to the renewal audit. This documentation review shall include as a minimum a review of the client's quality management system documentation (i.e., quality manual and procedures), including the evidence of conformity to IATF 16949 requirements, IATF 16949, IATF Rules, Sanctioned Interpretation (SI), and Frequently Asked Question (FAQ) for each certified manufacturing site and supporting function(s) on-site or remote.

Note: 1) - If the organization does not provide any or only some of the required information, topics/subjects identified in black, and it is not complete or is nonconforming to meet the requirement(s), additional audit time on-site shall be scheduled to conduct an in-depth review of documentation prior to the audit opening meeting (***see last page to add time).
2) – The topics/subjects in red are to be verified either prior to the on-site audit, on-site prior to the opening meeting, or during the on-site audit. The SRI auditor may request additional time (***see last page to add time) to verify the topics/subjects in red. If additional time is not requested then the auditor should schedule and block time for the review, of the red topics, during the normal course of the audit.

Clause	Organization to complete – quality manual reference	Requirement	SRI Auditor to Complete				
			Submitted		Verify On-Site	Accepted	
			Yes	No		Yes	No
7.5.1.1		a) The Quality Manual identifies - The scope of the quality management system including details of and justification for any exclusions (ISO 2015 – 4.3 and SI 5);					
7.5.1.1		b) The Quality Manual identifies or there is a reference to, - The organization's processes and their sequences and interactions (input and outputs), including type and extent of control of any outsourced processes (FAQ 12) [IAOB WA 19A NC 1];					
7.5.1.1		c) A document (for example, a table, list, or matrix) indicating where within the organization's quality management system their customer-specific requirements are addressed. (SI 5) (FAQ 8)					
7.5.1.1	Organization to complete, when applicable, Quality Manual as a list of documents	The format and structure of the quality manual: If a series of documents are used, then a list shall be retained of the documents that comprise the quality manual of the organization.					

Instructions for the below table:

1. With the exception of 5.2.2 Quality Policy (documented information), the items listed in black below require a documented process.
2. The organization and SRI Auditor verifies the items listed in black below have a documented process that fully supports the requirements of the specific IATF 16949 clause and the automotive process approach (which may include inputs, outputs, process steps, resources, KPI's, the who, what, when, where, and how effective implementation and the desired results will be achieved). Output documents such as Control Plans, and FMEA's are not documented processes. They could be a tool related to the process and communicate the output of the documented process.

2. Organization to complete – documented information source (see 2. Above)	**Requirement** – Items listed in black font below require a documented process.	SRI Auditor to Complete				
		Submitted		Verify On-Site	Accepted	
		Yes	No		Yes	No
	4.4.1.2 Product safety					

2. Organization to complete – documented information source (see 2. Above)	**Requirement** – Items listed in black font below require a documented process.	SRI Auditor to Complete				
		Submitted		Verify On-Site	Accepted	
		Yes	No		Yes	No
	5.2.2 Quality Policy (ISO 2015) Documented Information					
	5.3.1 Organizational roles, responsibilities, and authorities – these assignments shall be documented					
	6.1.2.1 Documented information as evidence of the results of risk analysis					
	6.1.2.2 Preventive action – process to lessen the impact of negative effects or risk.					
	6.1.2.3 Contingency plans					
	6.2.2.1 (6.2.1 ISO 2015) Quality objectives and planning to achieve them – quality objectives to meet customer requirements are defined,					
	7.1.5.2.1 (7.1.5.1 ISO 2015) Calibration/verification records					
	7.1.5.3.1 Internal laboratory – shall have a defined scope.					
	7.2.1 Competence – supplemental					
	7.2.3 Internal auditor competency					
	7.3.1 Awareness – documented information that demonstrates that all employees are aware…					
	7.3.2 Employee motivation and empowerment					
	7.5.3.2.1 Record retention policy					
	7.5.3.2.2 Engineering specification					
	8.3.1.1 Design and development					
	8.3.2.3 Development of product with embedded software – the organization shall use a process for quality assurance….					
	8.3.3.1 Product design input – process to deploy information gained from previous design projects,					
	8.3.3.3 Special characteristics – process to identify special characters,					
	8.3.4.1 Monitoring – measurements at specified stages during the design and development of products and processes...shall be defined,					
	8.3.4.4 Product approval process					

2. Organization to complete – documented information source (see 2. Above)	**Requirement** – Items listed in black font below require a documented process.	SRI Auditor to Complete				
		Submitted		Verify On-Site	Accepted	
		Yes	No		Yes	No
	8.4.1 evaluation, selection, monitoring of performance re-evaluation of external suppliers (ISO 2015)					
	8.4.1.2 Supplier selection process					
	8.4.2.1 (8.4.2 ISO 2015) Type and extent of control – supplemental (outsourced process)					
	8.4.2.2 Statutory and regulatory requirements					
	8.4.2.4 Supplier monitoring					
	8.4.2.4.1 Second party audits – second part audit process… Documented criteria for determining need, type, frequency, and scope of second party audits.					
	8.5.1 (ISO 2015) Control of production and service provisions – defines characteristics of products, services, or activities to be performed.					
	8.5.1.2 Standardized work – operation instructions and visual standards – included within rules for operator safety.					
	8.5.1.3 Verification of job set-ups – documented information for set-up personnel.					
	8.5.1.4 Verification after shutdown – define necessary actions to ensure product compliance…					
	8.5.1.5 Total productive maintenance – documented total productive maintenance system.					
	8.5.2.1 Identification and traceability – documenting traceability plans.					
	8.5.5.1 Feedback of information from service – process for communication of information on service concerns…					
	8.5.6.1 Control of changes supplemental					
	8.5.6.1.1 Temporary changes – if alternate methods used					
	8.7.1.4 Control of rework product					
	8.7.1.5 Control of repaired product					
	8.7.1.7 Nonconforming product disposition					

2. Organization to complete – documented information source (see 2. Above)	Requirement – Items listed in black font below require a documented process.	SRI Auditor to Complete				
		Submitted		Verify On-Site	Accepted	
		Yes	No		Yes	No
	9.1.2 (ISO 2015) determine the methods for obtaining, monitoring, and reviewing customer satisfaction.					
	9.2.2.1 Internal audit program					
	10.2.3 Problem solving					
	10.2.4 Error-proofing					
	10.2.5 Warranty management process – when the organization is required to provide warranty… The organization shall implement a warranty management process.					
	10.3.1 Continual improvement					

Part II: Additional information – evidence about conformity to IATF 16949 requirements.

As required in 7.5.1.1 d) – List of IATF OEM Customer Information, as listed in IATF Rules and SI 9 revisions

Organization to Complete - IATF OEM Customers			SRI Auditor to Complete	
			Included in QMS	
IATF OEM	Supplier Code	Customer Specific Requirement	Yes	No
BMW Group				
Mercedes-Benz Group AG				
Ford Motor Company				
Geely Group				
General Motors				
Renault Group				
IVECO Group				
Jaguar Land Rover (JLR) Limited				
Stellantis (ex FCA)				
Stellantis (ex PSA)				
Vokswagen AG (VW)				
Volvo Group				

SRI Auditor Comments:

To be completed ONLY by the SRI Auditor:

SRI Lead Auditor Name: _____

Off-site Review Date: _____

*** It is the responsibility of the SRI Auditor to complete the R20.102SA "IATF 16949 Surveillance and Renewal Planning" record and identify the results of the documentation review and pre-planning event. If additional review time on-site is needed to review documentation, the SRI Auditor shall revise the audit plan to conduct an additional in-depth review of the documentation provided by client prior to the start of the opening meeting of the audit. This additional documentation review shall be an addition to the required one (1) hour pre-planning meeting.

SRI Guidelines for where the documentation has not been submitted or the submitted documentation does not meet the minimum requirement:

1. If the organization does not provide any or only some of the required information or nonconforming documentation is identified, for the topics/subjects identified in black, SRI will schedule additional audit time on-site to conduct an in-depth review of documentation prior to the audit opening meeting (***see last page to add time).
2. The topics/subjects in red are to be verified either prior to the on-site audit, on-site prior to the opening meeting, or during the on-site audit. The SRI auditor may request additional time (***see last page to add time) to verify the topics/subjects in red. If additional time is not requested then the auditor should schedule and block time for the review, of the red topics, during the normal course of the audit.
3. Missing or incomplete or nonconforming documentation, for the topics/subjects identified in black, requires ½ hour to four (4) hours to be added. This additional documentation review shall be an addition to the required one (1) hour pre-planning meeting. Verification of a document may be part of the one (1) hour pre-planning meeting provided it will not reduce the time of the one (1) hour pre-planning meeting or to complete the R20.15.

***If required, additional audit time on-site prior to the start of the opening meeting to review missing, incomplete, or nonconforming documentation [list specific number of hour(s)]: _____

On-site Review Date (if required): _____

COMMENTS: