**IATF Documentation Review**

This form is to be completed prior to all IATF Renewal and Transfer Audits for each certified manufacturing site. For Renewal Audits, the client is to provide the requested information on this form along with any requested documentation / materials to their Audit Support Specialist no later than 60 calendar days prior to the start of their audit event. Client to submit in WORD format to allow Auditors to complete Section 5 upon completing their review.

**SECTION 1 – Company Information (To be completed by the client representative)**

|  |  |  |  |
| --- | --- | --- | --- |
| Company Name: |  | Auditee #:(PRI Certificate #) |  |
| Site / Division: |  |
| Address Line 1: |  |
| Address Line 2: |  |
| Address Line 3: |  |
| City:(or equivalent) |  | State:(or equivalent) |  |
| Postal Code:(or equivalent) |  | Country: |  |
| Scope Statement: |  |
| Product Design Exclusion: |  | **Product Design not to be confused with Process Desing & Development** |
| Submitted by: |  | Date: |  |

**SECTION 2 – Quality Manual Information**

This section lists QM items required for the off-site documentation review. Clients are to complete all sections identified as “Client Use” and submit all applicable files with this form once all client sections are completed. Please be sure to clearly communicate locations within the QM where the requested “QM Reference” information can be found.

| **Quality Manual (QM) – Indicate where in the QM the following items are identified:** |
| --- |
| **IATF Clause** | **Requirement** | **Client Use**  | **Auditor Use** |
|  |  | **QM Reference** | **Submitted** | **Verify** **On-Site** | **Accepted** |
|  |  |  | **YES** | **NO** |  | **YES** | **NO** |
| 7.5.1.1 a) | The scope of the QMS including details of & justification for exclusions |  |[ ] [ ] [ ] [ ] [ ]
| 7.5.1.1 b) | The organization’s processes or a reference to where they are listed. |  |[ ] [ ] [ ] [ ] [ ]
| 7.5.1.1 c) | Sequences and interactions (inputs & outputs), including type and extent of control of any outsourced processes or a reference to where this information is listed. |  |[ ] [ ] [ ] [ ] [ ]
| 7.5.1.1 d) | A document indicating where within the organization’s QMS their Customer Specific Requirements (CSRs) are addressed. |  |[ ] [ ] [ ] [ ] [ ]
| If the format/structure of the QM is a series of documents, a list shall be retained of the documents that comprise the QM. The applicable documents covering a – d above to be listed as QM Reference and submitted with this form. If NOT, please enter NA in QM reference box. |  |[ ] [ ] [ ] [ ] [ ]

**SECTION 3 – Documented Information**

This section lists documented information required for the off-site documentation review. Clients are to complete all sections identified as “Client Use” and submit all applicable files with this form once all client sections are completed. Please be sure to clearly communicate locations within the QM the requested information can be found and file /process names when listing your QM & Documentation (Doc) References.

All sections shaded in blue require a documented process and this process should be submitted with this form. If the Lead Auditor find any issues with the submitted information, additional audit time may be required for an on-site documentation review. Any time added would occur before the opening meeting of the audit. Possible reasons for time being added could be that there was no or only a partial submission of the required information, or that some of the submitted information was not in conformance with IATF Requirements.

| **Documented Information (Doc)** |
| --- |
| **IATF Clause** | **Requirement** | **Client Use**  | **Auditor Use** |
|  |  | **QM / Doc****Reference** | **Submitted** | **Verify** **On-Site** | **Accepted** |
|  |  |  | **YES** | **NO** |  | **YES** | **NO** |
| 4.4.1.2 | Product Safety |  |[ ] [ ] [ ] [ ] [ ]
| 5.2.2 | Quality Policy  |  |[ ] [ ] [ ] [ ] [ ]
| 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 | Preventative Action – process to lessen the impact of negative effects or risks. |  |[ ] [ ] [ ] [ ] [ ]
| 6.1.2.3 | Contingency Plans |  |[ ] [ ] [ ] [ ] [ ]
| 6.2.2.1 | Quality objectives and planning to achieve them – quality objectives to meet customer requirements are defined |  |[ ] [ ] [ ] [ ] [ ]
| 7.1.5.2.1 | 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 of their impact… |  |[ ] [ ] [ ] [ ] [ ]
| 7.3.2 | Employee motivation & 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 & processes…shall be defined, … |  |[ ] [ ] [ ] [ ] [ ]
| 8.3.4.4 | Product approval process |  |[ ] [ ] [ ] [ ] [ ]
| 8.4.1 | Evaluation, selection, monitoring of performance re-evaluation of external suppliers  |  |[ ] [ ] [ ] [ ] [ ]
| 8.4.1.2 | Supplier selection process |  |[ ] [ ] [ ] [ ] [ ]
| 8.4.2.1 | Type and extent of control – supplemental (outsourced processes) |  |[ ] [ ] [ ] [ ] [ ]
| 8.4.2.2 | Statutory & Regulatory requirements |  |[ ] [ ] [ ] [ ] [ ]
| 8.4.2.4 | Supplier monitoring |  |[ ] [ ] [ ] [ ] [ ]
| 8.4.2.4.1 | Second-party audits – second-party audit process…Documented criteria for determining need, type, frequency, and scope of second-party audits. |  |[ ] [ ] [ ] [ ] [ ]
| 8.5.1 | Control of production and service provisions – defines characteristics of products, services, or activities to be performed  |  |[ ] [ ] [ ] [ ] [ ]
| 8.5.1.2 | Standardized work – operation instruction 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 | Nonconformity product disposition |  |[ ] [ ] [ ] [ ] [ ]
| 9.1.2 | Determine the methods for obtaining, monitoring, and reviewing customer satisfaction  |  |[ ] [ ] [ ] [ ] [ ]
| 9.2.2.1 | Intern Audit Program |  |[ ] [ ] [ ] [ ] [ ]
| 10.2.3 | Problem Solving |  |[ ] [ ] [ ] [ ] [ ]
| 10.2.4 | Error-proofing |  |[ ] [ ] [ ] [ ] [ ]
| 10.2.5 | Warranty Management – when the organization is required to provide warranty…The organization shall implement a Warranty Management process |  |[ ] [ ] [ ] [ ] [ ]
| 10.3.1 | Continual Improvement |  |[ ] [ ] [ ] [ ] [ ]

**SECTION 4 – IATF OEM Information**

Organization to list any applicable IATF OEMs, including Supplier Codes and CSRs. This information will then be reviewed by a member of the Audit Team to ensure it is included in the QMS as required by IATF rules. Please be sure to list even you supply the OEM via Re-Sale, Trading Company, Bulk Materials, or some other indirect manner.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Does your Organization have any IATF OEM Customers? | [ ]  | YES | [ ]  | NO | **(If YES, see table below)** |

|  |  |
| --- | --- |
| **Client Use**  | **Auditor Use** |
| **IATF OEM** | **Supplier Code** | **Customer Specific Requirement (CSR)** | **Included in QMS** |
|  |  |  | **YES** | **NO** |
|  |  |  |[ ] [ ]
|  |  |  |[ ] [ ]
|  |  |  |[ ] [ ]
|  |  |  |[ ] [ ]
|  |  |  |[ ] [ ]
|  |  |  |[ ] [ ]

**SECTION 5 – Documentation Review Results (To be completed by Lead Auditor)**

In this section, the Lead Auditor is to record any comments and/or added time required based on the review of the client’s documentation.

|  |
| --- |
| **COMMENTS (please indicate which items require time to be added, if any)** |
|  |
| Is Added Documentation Review Time required? | [ ]  | YES | [ ]  | NO | **If YES, Added Time must be between 0.5 and 4 hours with no less than 15 minute increments** |
| If **YES**, how much time (in hours) will be added: |  |
| Lead Auditor Name: |  | Date: |  |