Concentric

Audit Team Leader: _____ Audit Date(s): _____

Audit Team Member(s): _____

Auditee Contact: _____ Additional Auditee(s): _____

Section 1 - Administrative

1	Site Name				
2	Site Address				
3	# of Associates (headcount) & shift breakdown	_____	Total	Shift start/stop time(s):	
			Operations (Direct)	1st	
		_____	Support (In-Direct)	2nd	
		_____	Contract/Temp/Intern, etc.	3rd	
4	Facility size (sqft)	_____	Sqft	Offsite location size (sqft)	
5	Other locations included in this site's QMS scope				
6	Site QMS contact(s)				
7	Existing 3rd-party certifications or registrations				
8	Scope of QMS (including sellable products/services)				
9	ISO 9001:2015 or IATF 16949 clauses that are N/A				
10	Processes dependent on offsite or external providers				
11	Internal audit team members				

Section 2 - 3 Documented Policies & 1 Quality Manual required by IATF 16949:2016

#		Tool/Document	Yes	No	N/A	Ranking	Reference Name/#	Notes	Recommended Action
1	Auto	5.1.1.1 - Corporate Responsibilities policies, including (minimum)							
		a. Anti-bribery Policy							
		b. Employee Code of Conduct Policy							
		c. Ethics Escalation ("whistle-blowing") Policy							
2	QMS	5.2.1 - Quality policy							
3	Auto	7.5.1.1 - QMS documentation (Quality manual)							
4	Auto	7.5.3.2.1 - Record Retention policy							
					Sub-total	0			

Section 3 - 3 Required Documents + 21 Documented Processes

#		Tool/Document	Yes	No	N/A	Ranking	Reference Name/#	Notes	Recommended Action
A	QMS	QMS Scope							
B	QMS	Policy							
C	QMS	Objectives							
1	Auto	4.4.1.2 - Product safety							
2	Auto	7.1.5.2.1 - Calibration/verification records							
3	Auto	7.2.1 - Competence - supplemental							
4	Auto	7.2.3 - Internal auditor competency							
5	Auto	7.3.2 - Employee motivation and empowerment							
6	Auto	7.5.3.2.2 - Engineering specifications							
7	Auto	8.3.1.1 - Design & development of products & services - supplemental							
8	Auto	8.3.3.3 - Special characteristics							
9	Auto	8.4.1.2 - Supplier selection process							
10	Auto	8.4.2.1 - Type and extent of control - supplemental (outsourced processes)							
11	Auto	8.4.2.2 - Statutory & regulatory requirements							
12	Auto	8.4.2.4 - Supplier monitoring							

13	Auto	8.5.6.1 - Control of changes - supplemental							
14	Auto	8.5.6.1.1 - Temporary change of process controls							
15	Auto	8.7.1.4 - Control of reworked product							
16	Auto	8.7.1.5 - Control of repaired product							
17	Auto	8.7.1.7 - Nonconforming product disposition							
18	Auto	9.2.2.1 - Internal audit program							
19	Auto	10.2.3 - Problem solving							
20	Auto	10.2.4 - Error-proofing							
21	Auto	10.3.1 - Continual improvement - supplemental							
					Sub-total	0			

Section 4 - 38 Required Records

NOTE: Internal audit team members may be used to complete the gap assessment of records below.

#		Tool/Document	Yes	No	N/A	Ranking	Reference Name/#	Notes	Recommended Action
0	QMS	4.4 - Confidence (as needed)							
1	QMS	7.1.5.1 - Accurate measurement resources							
2	QMS	7.1.5.2 - Basis used for calibration							
3	QMS	7.2 - Competence of people							
4	QMS	8.2.3 - Requirements review							
5	QMS	8.3.2 - D&D Requirements met							
6	QMS	8.3.3 - D&D Inputs							
7	QMS	8.3.4 - D&D Controls							
8	QMS	8.3.5 - D&D Outputs							
9	QMS	8.3.6 - D&D Changes							
10	QMS	8.4.1 - External provider (supplier) monitoring							
11	QMS	8.5.2 - Unique ID							
12	QMS	8.5.3 - Unsuitable customer or supplier property							
13	QMS	8.5.6 - Changes to product or service							
14	QMS	8.6 - Authorized release							
15	QMS	8.7 - Nonconformity & action authority							
16	QMS	9.1.1 - QMS performance evaluation							
17	QMS	9.2.2 - Audit program results							
18	QMS	9.3.3 - Management Review							
19	QMS	10.2.2 - Nature & action of nonconformities							
20	QMS	10.2.2 - Corrective action results							
21	Auto	6.1.2.1 - Risk analysis							
22	Auto	6.1.2.3(g) - Contingency plans							
23	Auto	7.1.5.1.1 - MSA							
24	Auto	7.1.5.2.1 - Calibration/verification records							
25	Auto	7.1.5.2.1(d) - Calibration/verification validity of previous measurement results							
26	Auto	7.2.3 - Internal auditor competency							
27	Auto	7.5.1.1 - QMS documentation - series of documents list							
28	Auto	7.5.3.2.2 - Engineering specifications							
29	Auto	8.2.3.1.1 - Review of requirements for products & services - supplemental							
30	Auto	8.3.2.3 - Development of product with embedded software							
31	Auto	8.3.4.4 - Product approval process							
32	Auto	8.4.2.3.1 - Automotive product-related software or automotive products with embedded software							
33	Auto	8.4.2.4.1 - Second-party audits							
34	Auto	8.5.1.3(e) - Verification of job set-ups							
35	Auto	8.5.2.1(d) - Identification & traceability - supplemental							
36	Auto	8.7.1.4 - Control of reworked product							
37	Auto	8.7.1.5 - Control of repaired product							

38	Auto	9.1.1.1 - Monitoring & measurement of manufacturing processes							
Other implied records or other evidence (4 Total)									
39	Auto	8.3.6.1 (2nd P) - Documented approval or waiver from customer regarding design changes							
40	Auto	8.3.6.1 (3rd P) - Documented revision level of software & hardware as part of change record							
41	Auto	8.5.2.1 (d) - Record of identification & traceability for timely retrieval (i.e. customer/regulatory response time)							
42	Auto	8.7.1.6 - Documented event of customer notification that N/C product has been shipped							
					Sub-total	**0**			**Assessment Score 0**

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