

Questionnaire for preparation for an audit according to automotive standards



Dear Client,

As a certification body performing certifications of QM systems, we require some information regarding your company in order to plan and prepare certification / surveillance / transfer and recertification audits. Please help us by answering the questions below in order to ensure a smooth certification procedure.

Please complete the questionnaire and attach any necessary information / documents in the form of annexes (one questionnaire per site).

1. General information on the production site:

Name of site: _____

Address: _____

Postcode, town: _____

Country: _____

Contact: _____

Function: _____

Telephone: _____

Mobile: _____

Telefax: _____

E-mail: _____

2. Do you wish to have multi-site certification (different sites within one organisation)?

☐

yes

☐

no

If so, please give the following information regarding the organisation headquarters:

Name: _____

Address: _____

Postcode, Town: _____

Country: _____

3. Target certification

☐

ISO/TS 16949:2009

☐

ISO 9001:2008

☐

RREG 70/156/EEC

☐

VDA 6.1

☐

VDA 6.2

☐

VDA 6.4

☐

Further standards

4. Possible exclusions:

☐

“Product development” according to Clause 7.3

Note: Product development should be excluded if there is no development responsibility for mass production parts supplied to the customer, i.e. when the development of all the products supplied is carried out by the customer. The calculation / design of tools is not considered to be product development in this sense.

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5. Management System Certificates already existed by the production site

Certificate No. / IATF No.	Norm / Standard / Regulations	Certification company	Date of the last audit day of the certification or recertification audit (dd.mm.yyyy)	Certificate valid until (dd.mm.yyyy)

6. Is this audit a transfer audit?

☐ yes

☐ no

7. Is this site a previous manufacturing site extension?

☐ yes

☐ no

8. Information on the number of employees at the production site

Note: The man days on site depend on the number of employees.

Total number of employees

(= Employees including permanent, part-time, contract, average number of daily workers for previous six (6) month period, and temporary employees)

9. Area of Application / Scope for the certification of the production site:

The **products/services** that are to be certified, named **in English** as they should appear on the certificate. E.g. "Manufacturing of ..."

Example for scope for the certification:

- "design and manufacturing of widgets", "manufacturing of widgets" or "manufacturer of widgets", "assembly, heat treat, welding, plating, painting, etc. of widgets"
- Shall not include: For the auto industry, Development, Sales, Engineering, Servicing, Warehousing, Sequencing, etc

10. Aufteilung des Produktionsstandortes in Automotive und nicht Automotive

☐ yes

☐ no

when the following conditions are met:

- approval from the relevant Oversight office prior to implementation,
- all automotive manufacturing processes are physically separated from non-automotive manufacturing,
- personnel working in the automotive manufacturing process areas are completely dedicated,

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- all support personnel (onsite or remote) are included in the headcount. No ratios can be applied.

Note: If the automotive manufacturing processes are integrated on the manufacturing floor or within a building with non-automotive processes, then this requirement can not be applied!

11. Main products of the production site:

Please list the **main products** (e.g. vehicle wings, mudguards, cooling system)

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12. Manufacturing processes performed at the production site:

Please list the **manufacturing processes** (e.g. stamping, annealing, hardening, assembly), including the shifts, where it occurs

Manufacturing processes (examples)	Number of shifts (examples)
Stamping	1,2,3
Heat Treatment	1,2,3
Assembly	1,2,3
Moulding	1,2,3

Shift (examples)	Shift time (examples)
1	6.00 a.m. to 2.00 p.m.
2	2.00 p.m. to 10.00 p.m.
3	10.00 p.m. to 6.00 a.m.

Weekend shift with no rotating shift schedule	<input type="checkbox"/> yes, description <input type="checkbox"/> no
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13. Are there any remote locations which support the site in its activities (e.g. sales / development offices, but also external despatch warehouses)?

Please list the remote locations.

Organisation unit, Address	Number of relevant employees	Function according to the following list (another functions are not allowed)

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14. Does production site exist who will be supported from the audited location as a Remote location (e.g. sales / development offices, but also external despatch warehouses)? The organisation (the audited location) also acts as a Remote Location for other sites, with the functions shown in the Table below.

Please list the supported sites.

Supported site, Address	Number of relevant employees	Function according to the following list (another functions are not allowed)

List of remote functions

English (a-z)	German	German (a-z)	English
Aftersales	Kundendienst	Auslieferungssteuerung	Sequencing
Calibration	Kalibrierung	Beschaffung	Procurement
Contract review	Vertragsprüfung	Einkauf	Purchasing
Corporate quality	Zentrales QM	Entwicklung	Design
Customer service	Kundenservice	Festlegung der Unternehmenspolitik	Policy making
Design	Entwicklung	Forschung und Entwicklung	R&D
Distribution	Versand	Garantie	Warranty
Engineering	Prozessplanung	Garantiebewertung	Warranty evaluation
Facilities	Gebäude und Einrichtungen	Gebäude und Einrichtungen	Facilities
Facilities Planning	Werksplanung	Informationstechnologie	Information technologies
Human resources	Personal	Instandhaltung	Maintenance
Information technologies	Informationstechnologie	Kalibrierung	Calibration
Labelling	Kennzeichnung	Kennzeichnung	Labelling
Laboratory	Labor	Kundendienst	Aftersales
Logistics	Logistik	Kundendienst	Services
Maintenance	Instandhaltung	Kundenservice	Customer service
Marketing	Marketing	Labor	Laboratory
Packaging	Verpackung	Lagerung	Warehousing
Policy making	Festlegung der Unternehmenspolitik	Lieferantenbetreuung	Supplier control
Procurement	Beschaffung	Lieferantenentwicklung	Supplier development
Purchasing	Einkauf	Logistik	Logistics
R&D	Forschung und Entwicklung	Marketing	Marketing
Repair	Reparatur	Personal	Human resources
Sales	Verkauf	Prozessplanung	Engineering
Sequencing	Auslieferungssteuerung	Reparatur	Repair
Services	Kundendienst	Schulung	Training
Strategic planning	Strategische Planung	Strategische Planung	Strategic planning
Supplier control	Lieferantenbetreuung	Technische Unterstützung	Technical support

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Supplier development	Lieferantenentwicklung	Test	Testing
Technical support	Technische Unterstützung	Verkauf	Sales
Testing	Test	Verpackung	Packaging
Training	Schulung	Versand	Distribution
Warehousing	Lagerung	Vertragsprüfung	Contract review
Warranty	Garantie	Werksplanung	Facilities Planning
Warranty evaluation	Garantiebewertung	Zentrales QM	Corporate quality

Which remote locations were audited by a different certification company?

Please note those remote locations which are audited by a different certification company.

Please attach the audit report, nonconformity management and audit plan of the different certification company.

Organisation unit, Address	Certification company

15. Customers and customer-specific requirements of the production site

	Customer	Supplier code / DUNS	Customer-specific requirement
	BMW		
	Chrysler		
	Daimler (Mercedes)		
	Fiat		
	FORD		
	GM		
	PSA		
	Renault		
	VW		
	Tier 1		
	Tier 2		
	Tier 3		

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16. Please give us the following information on the current status of customer complaints (Customer Special Status Condition)

- GM: CSL-I, CSL-II or New Business Hold,
- FORD: Q1 Revocation
- CHRYSLER: "Needs Improvement"...
- VW: Business on Hold
- FIAT CS1, CS2, CS3
- Other

What status in the last 12 months?

17. Changes in comparison with the last audit:

What major changes have taken place in the last year? Please fill in the table below.

Change	No change	If changes have taken place, please describe and explain
Product (new / discontinued products)		
Process (new manufacturing processes)		
New customers since the last audit		
Organisation (new / changed departments/divisions, responsibilities)		
Relocation		
Scope of the certification		

18. Submitted information / documents:

The following documents must be sent to TÜV NORD CERT for preparation and planning of each audit (in order to comply with ISO/TS 16949 Certification Rules, Clause 5.7):

Important:

In situations where all of the required information is not provided by the client prior to the issuance of the audit plan, the audit plan shall include time allocated to collect and review the missing information prior to the start of the opening meeting. This activity has to be included as additional time and additional 8 hour day time in audit plan.

x	Quality Management Manual with Revision including linking of the processes to elements of the ISO/TS 16949 standard
x	Current organisation chart of the company
x	Information about company website
x	Organisational processes, taking into account their sequence and interactions (process landscape) with Relationship of the remote location(s) and / or outsourced processes
x	Current internal performance data for the last 12 months

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x	Customer satisfaction with Performance and / or assessments Copy of the last customer assessments and/or customer scorecards (Customer according to item 15 has to be prioritized, specifically OEM customer)
x	Overview of customer complaints for the last 12 months (Customer according to item 15 has to be prioritized, specifically OEM customer)
x	Results of internal audits within the last 12 months
x	Results of the management review since the last audit
x	Status of processing of corrective / improvement actions from the last audit
x	Audit report, Nonconformity Management and audit plan from the certification body who conducts the audit in the remote location
x	Performance data of the management system for the entire last certification period of 3 years (additionally for recertification audits)
x	Zuordnung der Remote location zu den Produktionsstandorten mit den jeweilig zutreffenden Funktionen (additionally for corporate audit scheme)
x	Information about the connection between production site and Headquarter (e.g. process landscape organization chart, reference list, interfaces) (additionally for corporate audit scheme)
x	Information about the knowledge of the results from Headquarter management review in the site (additionally for corporate audit scheme)
x	Information about centrally structured and managed information system for customer complaints and Customer Special Status Condition How is the information flow for customer complaints and Customer Special Status Condition from (number, ppm, etc?) (additionally for corporate audit scheme)
x	Information about structured and managed internal audits. (additionally for corporate audit scheme)
x	Information about structured and managed quality management system (additionally for corporate audit scheme)
x	Audit report of the last 3 years and Nonconformity Management of the last certification body (additionally for transfer audits)
x	Evidence of the last certification body that nonconformities from the last audit are "closed" (additionally for transfer audit).
x	Certificates of the last certification body (additionally for transfer audits)

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19. Membership of industry associations:

Is the above company / group of companies a member of an industry association (e.g. automotive industry association, forging industry association, casting industry association ...)?

☐

Yes, which?

☐

No

20. Advisory/consultancy services:

Have advisory/consultancy services been used in the last 2 years with regard to the establishment and the development of the QM System?

☐

Yes, by whom?

☐

No

21. Confirmation:

We hereby confirm that the information given in this questionnaire and in the Annexes is complete and correct, and that we will inform TÜV NORD CERT GmbH immediately in the case of legal, commercial and organisational changes in the company, major changes in the processes or areas of activity and in the case of specific OEM changes of status.

The absences for submission of the required documents and needed for the audit planning lead to start of decertification process (see Rules, 4. Edition, item 5.7)

We agree that the certification body will inform the IATF if the certification company is changed, and that the certification will place the audit report(s) at the disposal of the IATF or VDA-QMC if they so request. In addition, IATF or VDA-QMC Representatives and their representative have the right to enter the audited company at any time, and can participate in audits in the company in order to perform a witness audit or audits. This also applies to the "Internal Witness Audits of the Certifier" (neutral assessment of an auditor by a member of staff of the certifier). Witness Audits cannot be refused. They do not give rise to any additional costs.

Place/Date

Name, Function

Signature*)

*) If sent by email, the address of the sender is accepted

Annexes according to point 18
