

**R20.36S SRI Audit Team Recommendation**  
Surveillance



**Instructions:** The Lead Assessor should complete before the Post-Audit Conference, obtain the management representative's signature, and then give a copy to the client before returning the original to SRI headquarters. The auditor must fax a copy to SRI in care of Cindy Martin at 1-800-549-9434 immediately upon completion.

PLEASE PRINT

Company Name	ABC Metals, Inc.	
Plant/facility	Logansport, IN	#833-01
Standard	QS-9000:1998 (non-design)	
Audit Type	Registration Audit	
Date(s) of	11/29/04 - 12/01/04	
	Start:	FINISH:
Lead/Team Auditor(s)		
Lead Auditor Signature	<i>Glen L Anderson</i>	
Team Auditor Signature		

Duration (man-days) for this activity: 3.0 Current Employee Count: 35

Brief explanation why man-days vary from plan/schedule for this activity:

**SURVEILLANCE RECOMMENDATION**

- Unconditional Approval:** The audit results are successful. A recommendation is made to SRI to maintain auditee registration.
- Conditional Approval:** The audit results show "minor" nonconformances. The auditee will supply corrective action documentation within 30 days of the event. Upon receipt and approval by SRI, a recommendation can be made for registration. (QS-9000 and AS9100) Minor CANs must be verified by SRI as being effectively implemented within 60 working days of the CAN date or probation will result. (ISO/TS 16949) Minor CANs must be closed within 90 days of issuance or client must be placed on "probation."
- Registration Status Alert (QS-9000 or ISO/TS 16949 Probation):** Major "Hold" nonconformances are present. (ISO 9000) Registration will be suspended if a statement of Corrective Action is not received and approved within four weeks, and a re-audit for verification is not performed by SRI within 90 days. (QS-9000 or ISO/TS 16949)  SRI has issued a Major "Hold point" nonconformance (the auditee must provide a corrective action plan within 10 business days to SRI and their affected customer(s));  Ford Q-1 Revocation,  DaimlerChrysler quality rating "Needs Improvement" or  GM "New Business Hold" exist;  Minor nonconformance corrective action has not been verified by SRI as being effectively implemented within 60 days (90 days for ISO/TS 16949) of the date noted on the CAN.
- Registration Suspension (QS-9000 or ISO/TS 16949 Revoked):** Major system nonconformances are present, and have not been corrected after the client received a "Registration Status Alert." QS-9000 or ISO/TS 16949 Probation has not been lifted within four (4) months of its issuance. Recommend that registration be suspended (QS-9000 or ISO/TS 16949 revoked) until a statement of Corrective Action is received and approved within four weeks, and a re-audit for verification is performed by an SRI auditor.

Timing of next audit event (planned): JUNE, 2005 \* Duration (man-days): 2.5  
 Timing of CA audit event (planned): \_\_\_\_\_ Duration (man-days): \_\_\_\_\_  
 Time added for Corrective Action Notification(s) (CANs) review:  One hour  Two hours  
 Time added for on-site CAN validation/verification at next assessment event:  Half (1/2) a day  One day  
 Brief explanation why you recommend that man-days vary from plan/schedule for the next event:

DESIGNS TS-16949 READINESS REVIEW DURING WEEK OF APRIL 25, 2005

Recommendation by Lead Assessor provided to:

*Daniel Kendall*  
 \_\_\_\_\_  
 Client Signature

12-1-04  
 \_\_\_\_\_  
 Date