Gap checklist: ISO 9001 and IATF 16949

Walk your plant with this checklist and tick **Y** (in place and evidenced), **P** (partly) or **N** (not in place) for each line. Use the evidence column to decide: if you cannot show it to an auditor, it is not in place yet. ISO 9001 companies complete clauses 4 to 10. Automotive suppliers complete the IATF 16949 section as well.

This checklist summarises the areas the standards cover in our own words. It does not replace the standards themselves, which are available from ISO, the IATF and the SABS.

ISO 9001 · Clause 4 · Context of the organisation

#	Check	Evidence to look for	Y	P	N	Notes
1	**Scope of the management system is defined, with any exclusions justified**	Written scope statement; justification for anything not applicable	☐	☐	☐	
2	**Internal and external issues are identified and reviewed**	Issues list or SWOT; evidence of review in management review	☐	☐	☐	
3	**Interested parties and their requirements are known**	Register of customers, owners, regulators, suppliers, staff and their needs	☐	☐	☐	
4	**Processes, their sequence and interactions are mapped**	Process map; owners, inputs, outputs and measures per process	☐	☐	☐	

Clause 5 · Leadership

#	Check	Evidence to look for	Y	P	N	Notes
5	**Top management takes visible ownership of the system**	Management review minutes, objectives sign-off, resources approved	☐	☐	☐	
6	**Quality policy is approved, communicated and understood**	Signed policy; staff can explain what it means for their job	☐	☐	☐	
7	**Roles, responsibilities and authorities are assigned**	Organogram, job descriptions or responsibility matrix	☐	☐	☐	

Clause 6 · Planning

#	Check	Evidence to look for	Y	P	N	Notes
8	**Risks and opportunities are identified with actions**	Risk register per process; actions and owners for high risks	☐	☐	☐	
9	**Measurable quality objectives are set and tracked**	Objectives with targets, owners, plans and trend data	☐	☐	☐	
10	**Changes to the system are planned**	Change records showing purpose, consequences and resources	☐	☐	☐	

Clause 7 · Support

#	Check	Evidence to look for	Y	P	N	Notes
11	**Infrastructure and work environment are maintained**	Maintenance plans and records for key equipment	☐	☐	☐	
12	**Measuring equipment is calibrated or verified**	Calibration register, certificates, status labels, overdue control	☐	☐	☐	
13	**Competence is defined and evidenced**	Competence matrix; training records; effectiveness checks	☐	☐	☐	
14	**Staff are aware of the policy, objectives and their contribution**	Induction records; interviews on the floor	☐	☐	☐	
15	**Documents are controlled and records retained**	Approved current versions only; revision history; retention rules	☐	☐	☐	

Clause 8 · Operation

#	Check	Evidence to look for	Y	P	N	Notes
16	**Customer requirements are reviewed before acceptance**	Contract or order review records; amendments handled	☐	☐	☐	
17	**Design and development is controlled (if applicable)**	Design plans, inputs, reviews, verification, validation, changes	☐	☐	☐	
18	**Suppliers and outsourced processes are controlled**	Approved supplier list; evaluations; purchase order requirements	☐	☐	☐	
19	**Production or service delivery is under controlled conditions**	Work instructions, set-up approval, monitoring at the right stages	☐	☐	☐	
20	**Identification and traceability are maintained where required**	Labels, batch or serial records, traceability tests	☐	☐	☐	
21	**Product is released only after planned checks**	Inspection and release records with authorised sign-off	☐	☐	☐	
22	**Non-conforming output is identified and controlled**	Red tags, quarantine area, disposition records	☐	☐	☐	

Clause 9 · Performance evaluation

#	Check	Evidence to look for	Y	P	N	Notes
23	**Performance is monitored, measured and analysed**	KPI dashboard; trend analysis; actions on poor results	☐	☐	☐	
24	**Customer satisfaction is measured**	Surveys, complaints analysis, scorecards from customers	☐	☐	☐	
25	**Internal audits cover all clauses and processes**	Audit programme, competent auditors, reports, follow-up	☐	☐	☐	
26	**Management review is held with all required inputs**	Minutes covering inputs; decisions and actions recorded	☐	☐	☐	

Clause 10 · Improvement

#	Check	Evidence to look for	Y	P	N	Notes
27	**Non-conformities lead to root-cause corrective action**	Corrective action log; root-cause analysis; effectiveness checks	☐	☐	☐	
28	**Corrective actions are closed on time**	Overdue action list; closure evidence	☐	☐	☐	
29	**Continual improvement is evident**	Improvement projects, trends getting better over time	☐	☐	☐	

IATF 16949 · Automotive additions

#	Check	Evidence to look for	Y	P	N	Notes
30	**Customer-specific requirements are identified and deployed**	CSR matrix per OEM linked to processes and records	☐	☐	☐	
31	**Product safety process is defined**	Identification of safety characteristics, special approvals, traceability	☐	☐	☐	
32	**Contingency plans exist and are tested**	Plans for supply, equipment and labour interruptions; test records	☐	☐	☐	
33	**APQP is used for new parts and changes**	APQP plans and gate reviews; cross-functional team records	☐	☐	☐	
34	**PFMEA and control plans are current and linked**	PFMEA, process flow and control plan revision-aligned	☐	☐	☐	
35	**PPAP is submitted and approved per part**	PPAP files and customer approvals	☐	☐	☐	
36	**MSA and SPC are applied where required**	Gauge R&R; or attribute studies; SPC charts on critical characteristics	☐	☐	☐	
37	**Manufacturing process audits cover every shift**	Process audit schedule and reports across shifts	☐	☐	☐	
38	**Layered process audits are running (if required by customer)**	LPA schedule, checklists and completion rates	☐	☐	☐	
39	**Supplier development and second-party audits are in place**	Supplier QMS status, audits, development plans	☐	☐	☐	
40	**Warranty and field failures are analysed, including NTF**	Warranty analysis records; no-trouble-found process	☐	☐	☐	
41	**Internal auditors meet competence requirements**	Auditor qualifications, including core tools and CSR knowledge	☐	☐	☐	

What next?

Count your N and P answers per clause. The clauses with the most of them are where to start. If you want a second pair of eyes, OIS Consult runs a free 30-minute readiness call and on-site gap assessments across South Africa. Book at **oisconsult.com**, email **info@oisconsult.com** or call **+27 81 549 0011**.