INSERT COMPANY NAME/LOGO HERE

AS 9120 Rev B - Quality Management Systems – The Internal Audit Checklist

This checklist is based on the information provided in the Nov 2016 version of the AS 9120 Rev B International Aerospace Standard. The checklist is best used by trained and practicing auditors to evaluate or assess Quality Management Systems requirements based on the standard as you transition from ISO 9001:2015. You will see questions on the checklist that refer to the standard and for each clause provisions are made for additional questions.

Both the versions of the AS and ISO standards deal with Quality Management Systems and line up when comparing the contents, the new requirements and / or new terminology. The additions for ISO 9001 to AS 9120 B are highlighted in yellow. The auditors are expected to keep in mind that the standard does not require mandatory procedures for the various QMS processes; however, the auditors will expect documented information to be available because in the clauses of the standard, the phrase such as 'documented procedures' is used to specify that a process, a method, a system, a work instruction, or an arrangement be documented.

The auditors must use a great deal of discretion and therefore must be careful and thoughtful prior to establishing a deficiency against a requirement. Evidence for visible top management leadership, commitment and quality management action must be looked for.

The **bold** numbers and tittles used in the first two columns of the checklist indicate the "Requirements" and may be referred to on nonconformity reports prepared by the auditor.

During assessment of each requirement, auditors record the status of the evaluation by indicating in the right-hand column a

Yes - for Acceptable Condition or **No -** for Deficient Condition

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---	QUALITY MANAGEMENT SYSTEMS	OBSERVATIONS / COMMENTS	STATUS OK Yes / No
4	**CONTEXT OF THE ORGANIZATION**		
4.1	**Understanding the organization and its context**		
	Does your company determine the external and internal issues that are relevant to your purpose and strategic direction?		

4.4	**Quality management system and its processes**		
4.4.1	As required by the standard, do you establish, document, implement, maintain, and continually improve the QMS?		
	Does the QMS also address customer and applicable statutory and regulatory quality management system requirements?		
	Does your company determine the processes needed for the QMS, their interactions and applications throughout your company?		
	That is, for the QMS processes do you determine the:		
	• Inputs required and the outputs expected from the processes?		
	• Sequence and interaction of the processes?		
	• Criteria, methods, including measurements and related performance indicators needed to ensure the effective operation, and control of the processes?		
	• Resources needed and ensure they are available?		
	• Assignment of the responsibilities and authorities for these processes?		

	• Risks and opportunities (per 6.1), and plans to implement the appropriate actions to address them?		
	• Methods for monitoring, measuring, and evaluation of processes and, if needed, the changes to processes to ensure that they achieve intended results?		
	• Opportunities for improvement of the processes and the QMS?		
4.4.2	Does your company maintain the necessary documented information to support the operation of processes?		
	Does your company maintain and retain the necessary documented information to provide the confidence that the processes are being carried out as planned?		
	Does the documented information include:		
	• General description of relevant interested parties, per section 4.2 a?		
	• Scope of the QMS, including boundaries and applicability, per section 4.3?		
	• Description of the processes needed for the QMS and their application throughout the organization?		
	• Sequence and interaction of the processes?		

	• Assignment of the responsibilities and authorities for these processes?		
	With reference to the Note in section 4.4.2:		
	• Do you compile the above items of the QMS in a single source of documented information and referred to as a quality manual?		
	Additional Questions		
5	**LEADERSHIP**		
5.1	**Leadership and commitment**		
5.1.1	**General**		
	Does top management demonstrate leadership and commitment with respect to the QMS by:		
	• Taking accountability for the effectiveness of the QMS?		
	• Ensuring that the quality policy and quality objectives are established for the QMS and are compatible with the strategic direction and the context of the organization?		
	• Ensuring that the quality policy is communicated, understood, and applied within the company?		

