INSERT COMPANY NAME/LOGO HERE

AS 9120 Rev B - Quality Management Systems – The Gap Analysis Checklist

This gap analysis checklist is prepared for use in evaluating a Quality Management System (QMS) against the requirements of the new Aerospace standard AS 9120 Rev B. Each requirement is expressed as a question that the user (auditor / assessor) can use to evaluate your QMS capabilities. You will need to have a copy of the AS 9120 B standard to use along with this checklist so that you can refer to the requirements and the clarification sections of Annex A. The intent of the main clauses of the new standard is shown in blue font.

After you have prepared an audit schedule, and assigned responsibility to your auditors for different areas or processes to audit, copy each section of the checklist for the auditors working with that section. As you work through the checklist take notes on what is in place, and what needs to be developed.

In the space for 'currently in place', list or reference the procedures or other documents, or evidence that you have reviewed and that will provide information for the new QMS. Take notes on the status of the documents, that is, will they need to be revised for the new system, or can they be used as is? Also, note where processes are in place, but documentation is needed. Focus on what is in place, and what needs to be developed.

While you do want to know if documented information is in place and if procedures and processes are being complied with, compliance is not your focus for this audit. Remember that the outcome of this audit should be a list of things that your company needs to do to comply with the AS 9120 Rev B standard.

---	QUALITY MANAGEMENT SYSTEMS REQUIREMENTS	Currently in Place	Compliant YES / NO?	If No - % Completed	Items Needed
4	**CONTEXT OF THE ORGANIZATION**				
Intend of clause	This first clause introduces two sub-clauses relating to the context of the organization, (1) understanding the organization and its context and (2) understanding the needs and expectations of interested parties. Together they require that you determine the issues and requirements that can impact on the planning of the Quality Management System (QMS). In addition, the scope of the QMS and the QMS processes along with their applicability and interactions need to be determined.				
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?				

	See the Note in section 7.5.3.2:				
	Examples of retained documented information may include, but is not limited to: • Manufacturer, distributor, and inspection reports • Purchase orders, contracts • Certificates of conformity, copies of authorized release certificates • Nonconformance, concession, and corrective actions • Documented information of lot or batch traceability • Documented information of storage, preservation, or shelf life condition, such as time & temperature				
8	**OPERATION**				
Intent of clause	This clause requires that your company plan, implement and control the processes required for the QMS and to implement the actions to address risks associated with understanding the context of the organization (4.1) and the needs and expectations of the interested parties (4.2). Operational planning and control include systems for configuration management, prevention of counterfeit and suspected unapproved part. In addition, systems for customer related processes, design and development, control of external providers, control of production and service provision, and including identification and traceability, preservation of products, and control of nonconforming outputs are required.				
8.1	**Operational planning and control**				
	Does your company plan, implement and control the processes needed to meet requirements for the provision of products and services and to implement the actions to address risks and opportunities by:				
	• Determining requirements for the product and services?				
	See the 1st Note in section 8.1:				

	• Taking actions necessary to contain the effect of the nonconformity on other processes, products and services?				
	• Prompt reporting of nonconformities affecting delivered products and services to the customer and to relevant interested parties?				
	• Defining corrective actions for nonconforming products and services detected after delivery, as appropriate to their impacts?				
	See the 2nd Note in section 8.7.1:				
	• Do you recognize that interested parties requiring notification of nonconforming products and services can include external providers, internal organizations, customers, distributors, and regulatory authorities?				
	Does your company deal with nonconforming outputs in one or more of the following:				
	• Correction?				
	• Segregation, containment, return or suspension of provision of products and services?				
	• Informing the customer?				
	• Obtaining authorization for acceptance with a concession?				
	Are nonconforming products identified and controlled until they are dispositioned as scrap, return to an				

