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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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?		

	• 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?		

	Does the company ensure that all documented information required to accompany the products and services are present at delivery?		
	See the Note in section 8.6.		
	• When there is a formal agreement with the customer, do you deliver a certifying statement that references the original manufacturer's certificate of conformity and documented information that is retained and traceable to your company?		
	• Do the certifying statements indicate that defined requirements have been met throughout your processes?		
	Additional Questions		
8.7	**Control of nonconforming outputs**		
8.7.1	Does your company ensure that outputs that do not conform to requirements are identified and controlled to prevent their unintended use or delivery?		
	See the 1st Note in section 8.7.1:		
	• Do you recognize that the term Nonconforming Outputs includes nonconforming product or service generated internally, received from external providers, identified by a customer?		

	Does the top management review the QMS at planned intervals, to ensure that it continues to be suitable, adequate and effective and aligned with the strategic direction of your company?		
	Additional Questions		
9.3.2	**Management review inputs**		
	As inputs for the planning and conducting management reviews, do you consider the following:		
	The status of actions from previous management reviews?		
	Changes in external and internal issues that are relevant to the QMS?		
	Do you also consider information on the quality performance, including trends in:		
	• Customer satisfaction and feedback from interested parties?		
	• Extent to which quality objectives have been met?		
	• Process performance and conformity of products and services?		
	• Nonconformities and corrective actions?		
	• Monitoring and measurement results?		

