AS 9120 A to AS 9120 B - QMS Transition Instructions / Checklist

AS 9120 Rev B Clause	Changes to the existing AS 9120 Rev A Quality System	Reference document	Changes in existing documentation	Upgrade Checklist	
				Assigned to:	Date Completed
All	The SAE international Aerospace standard AS 9120 Rev B is restructured and contains 10 sections or clauses numbered 1 through 10. The standard is revised to incorporate the new clause structure and content of ISO 9001:2015. In addition, aviation, space, and defense(ASD) industry requirements, definitions, and notes are included.	AS 9120 B	The requirement clauses of the new standard are the Clause 4 through Clause 10. Your company needs to become familiar with the new structure and the changes and subsequently upgrade the Quality Management System (QMS).		
All	While the specific requirement for a quality manual is not in AS 9120 B, the standard requires that Documented Information be maintained for the QMS.	Manual	Replace / rework your existing Quality Manual with a condensed version that will introduce the QMS. A quality manual is not included as a requirement in clause 7.5.1 of AS 9120 B; however, the note in 4.4.2 suggests that a quality manual can be used to compile into a single source, the documented information for the QMS.		
---	*In AS 9120 A, the requirement for a Quality Manual was in clause 4.2.2.*	Manual	In the condensed manual include sections for: • Scope of the Quality Management System (QMS), • Distribution Control List, • Revision Status, • Quality Policy and Objective, Strategic Direction, • Organization Chart, • Company Background - Products and Services, • Process Flow Diagram, • List of Documented Information, • Records Documentation Matrix.		
---	The specific requirement for documented procedures is not in AS 9120 B; however documented information is required to plan, establish, implement, and maintain the QMS processes.	Documented information	The QMS documented information may be presented in any suitable format such as in a method, an instruction, a system, a process, a procedure, a manual, etc. You will need to add / replace / rework your QMS		

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	In AS 9120 A, the requirement for control of documents was included in 4.2.3, and the requirement for control of records was in 4.2.4.		procedures to incorporate the AS 9120 B requirements. An early consideration is the development of a process for the control of documented information. Replace / rework the documented procedures for Control of Documents and Control of Records with a procedure, (such as P-750) for Documented Information and include it in section 7.5.		
4	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	Clause 4, Context of the Organization is a new requirement in AS 9120 B, and replaces clause 4 Quality management system in AS 9120 A.	Documented information	Your company must determine the issues and requirements that can impact on the planning of the QMS and that can affect the ability to achieve the intended results of the QMS. For typical guidance, see procedure P-400 for Organizational context and worksheet, F-440-002 to identify issues and requirements.		
4.1	Documented information for the QMS sets the stage for an understanding of the requirements and of the international standard.	Procedure	Document the information (in a document P-400, Organizational Context) to outline the process to understand and determine the internal and external issues that are relevant to the QMS.		
4.2	A stakeholder approach provides for an understanding of the requirements of interested parties.		Include (in a document P-400) the process to understand and determine the needs and expectations of interested parties.		
4.3	*In AS 9120 A, the scope of the QMS was required to be included in a quality manual per par 4.2.2.*		Include (in a document P-400) the process to determine the scope of the QMS. Refer to 4.3 a) thru c) and consider the internal and external issues, the requirements of interested parties, and your products and services.		
4.3	*In AS 9120 A, the application and exclusion of requirements were included in par 1.2.* *Excluded were clause 7, design and*		Include justifications for requirements of the standard that do not apply to the scope of the QMS. Note that conformity to AS 9120 B can only be claimed if the requirements determined to be not		

Documents are in Microsoft Word for ease of editing

AS 9120 Rev B

Quality Management Systems Documentation

Quality Manual / Documented Information

Document No. QM-9120-B

Street Address

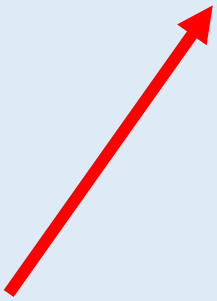
City, State, Zip

Tel,

Cell Phone:

Email:

Web Site:



Blue text throughout the manual highlight areas for customization

Section A Scope or the Quality Management System **Provides general purpose and description of Quality Manual**

General

To determine and establish the scope of the QMS, Your Company determined the boundaries and applicability of the QMS and considered the external and internal issues, the requirements of relevant interested parties, and the products and services of the company. The scope is available and maintained as documented information stating the products and services covered by the QMS.
Your Company applies all the requirements of AS 9120 Rev B when they are applicable within the determined scope of the QMS.
As developed with procedure P-400 for Organizational context, include the scope of your QMS here:

Blue text gives guidance for customization.

_____

_____

For example, if you are a distributor of landing gear tires, the scope of the Quality Management System includes the major product and service categories associated with the distribution of landing gear tires from the Main Street warehouse location to regional, national, and international aviation, space, and defense customers.

Conformity to the standard may only be claimed if the requirements determined as not being applicable do not affect the organization's ability or responsibility to ensure the conformity of its products and services and the enhancement of customer satisfaction.
In the event that any requirement is not applicable at Your Company, justification for any instance where a requirement cannot be applied is documented.
Your Company has determined that the following requirement(s) is/are not applicable to the operations at this site:

_____.

As determined with procedure P-400, identify the requirement(s) that do not apply and document the justification here:

Related documents are referenced.

_____

_____Fo

r example, if you are a distributor of aircraft tires, a requirement that does not apply:

Clause 8.3 for design and development does not apply to the company. The product is designed and developed and meets requirements through the designer and provider of landing gear tires.

Section B References

a. Normative reference
9100:2016 Quality Management Systems – Requirements for aviation, space, and defense organizations,
ISO 9000:2015 Quality Management Systems – Fundamentals and vocabulary.
ISO 9001:2015 Quality Management Systems – Requirements

b. Definitions Applicable definitions are included in documented procedures and instructions at par 3.0 to enhance the understanding of the process.

from the print date unless stamped “controlled copy” in red ink. Copies of these controlled documents are not authorized.

5.4.10 For documented information electronically managed, the data is protected. It is saved on an external drive on a daily basis and stored off-site for protection from loss, unauthorized changes, unintended alteration, corruption, and physical damage.

Blue text throughout the manual highlight areas for customization

5.4.11 Examples of retained documented information include items such as:

- Manufacturer, distributor, and repair station test & inspection reports
- Purchase orders/contracts
- Certificates of conformity, copies of authorized release certificates
- Nonconformance, concession, and corrective actions
- Lot or batch traceability
- Storage, preservation, or shelf life condition, such as time, temperature, humidity.

5.5 Document revisions

5.5.1 Documents are reviewed during regular use and during internal audits and are updated as found necessary during these reviews.

5.5.2 All employees are responsible for reviewing the documents to ensure they are identifiable and legible as they use them and submitting document change requests to update documents or obtaining new copies as necessary.

5.5.2 Documents are revised to update or clarify information using the Document Change Request form, F-750-005.

5.5.3 Revisions to procedures and the description of changes are indicated in the table in the revisions section at the end of the procedure. For example, the letter A in the table and at the end of the procedure number represents the initial issue for a procedure.

5.5.4 The document control coordinator uses the document revision checklist, form F-750-006 to ensure that all steps are completed.

5.5.5 When changes to the QMS are needed, they are carried out in a planned and systematic manner and consideration is given to the integrity of the QMS.

5.5.6 Revisions to documents go through the preceding document approval, identification, and distribution steps. Document changes are approved by an individual in the same function that performed the original review and signed the original document indicating approval.

5.5.7 All changes authored by other individuals have the document owner as a reviewer/approver.

5.6 Obsolete Document Disposition

5.6.1 To prevent the unintended use of obsolete documented information, one copy of the obsolete document is retained and marked “Archive Copy”.

You can search and replace "your company" with your own company name.

INSERT COMPANY NAME/LOGO HERE

GUIDELINES – Evaluation and Selection of External Providers	Date Approved _____	Data Form A-840-001

Providers are evaluated and selected by one of the following methods:

Review methods listed below at par 1.1 to 1.6 and select one or more that are appropriate for your company.

If you have goods or services that vary in its impact on quality you may want to set up categories, the higher the impact the more comprehensive the method. You may need to combine more than one method, for example an audit and samples for inspection and test.

Blue text throughout the manual highlight areas for customization

1.1 The provider is, at a minimum, registered to ISO 9001:2015.

- Purchasing department staff reviews and maintains a copy of their certificate and quality manual on file.
- Purchasing / Quality management staff performs quality system development with the objective of provider conformance to ISO 9001:2015 and leading to AS 9120 B.

1.2 The provider provides graded or classed material, and provides certificate of analysis with the material or item.

1.3 Samples of the materials or items are provided for inspection and test, with satisfactory results.

- The person requesting the purchase documents the sample size required and the inspection and test to be performed on the purchasing documents.
- Completed inspection and test records show the criteria for acceptance and the actual results. If they are acceptable, the requisitioner sends them to purchasing to be kept in the provider's file.

1.4 An audit of the provider confirms that required elements of a quality system are in place and results documented in the provider assessment report F-840-001.

- The Quality manager assigns an individual or team to perform the audit.
- The Quality manager reviews the completed audit checklist, and determines if the supplier meets requirements.
- If the provider meets requirements, the purchasing manager indicates acceptance on the provider assessment report and keeps the audit checklist in the provider's file.
- The approved provider is added to the List of acceptable sources, form F-840-002.

1.5 The provider is specified by the customer contract. The use of customer designated providers does not relieve Your Company of the responsibility to ensure quality.

1.6 The Purchasing department places a trial order.

- Purchasing department orders the material or item, and the requisitioner uses the material, and measures the results.
- If the results are not acceptable, the product that it was used for is controlled according to the control of nonconforming product procedure, P-870.
- If the results are acceptable, they are documented and kept in the provider's file.

INSERT YOUR COMPANY LOGO/NAME HERE

EQUIPMENT PROBLEM REPORT

EQUIPMENT DESCRIPTION:_____

LAST TASK PERFORMED:_____

JOB NUMBER:_____

DATE:_____ TIME:_____

OPERATOR:_____

REPORTED BY:_____

DESCRIPTION OF PROBLEM:

ACTION TAKEN

PROBLEM INVESTIGATED BY:_____

PROBLEM RESOLUTION DATE:_____

INSERT COMPANY NAME/LOGO HERE

AS 9120 Rev A to AS 9120 Rev B - Quality Management Systems – Transition Gap Analysis Checklist

This gap analysis checklist is prepared for use in evaluating your Quality Management System (QMS) against the requirements of AS 9120 Rev B as you transition from AS 9120 A to AS 9120 B. Each requirement is expressed as a question that the user (auditor / assessor) can ask to evaluate your QMS capabilities. You will need to have copies of the AS 9120 A and AS 9120 B standards to use along with this checklist so that you can refer to the requirements if necessary.

While the two versions of the AS 9120 standards do not line up when comparing the requirements:

- New requirements and / or new terminology and new clause numbers are highlighted **in yellow**.
- The intent of the main clauses of the new standard is shown in **blue font.**
- The right-hand column in **green shade** is intended to provide reference / comparison / similarities to the AS 9120 Rev A requirements, and to identify and locate where in the new clauses, the former requirements are relevant.
- Comments highlighted in **red font** indicate removed / missing requirements.

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 main focus for this audit. Remember that the final outcome of this audit should be a list of things that your company needs to do to comply with AS 9120 Rev B.

INSERT COMPANY NAME/LOGO HERE

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

This internal audit checklist is based on the information provided in the Nov 2016 revision of the AS 9120 Rev B, SAE 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. You will see questions on the checklist that refer to the standard and for each clause provisions are made for additional questions.

The auditors are expected to keep in mind that the standard does not requires 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 '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

---	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?		
	Do you consider the relevant issues that affect your ability to achieve the intended results of the Quality Management System (QMS)?		

Requirements of AS 9120 B

Materials

This course is designed to train employees on the requirements of AS 9120 B. The course covers the structure, emphasis, and requirements of the standard.

The course is approximately two hours long; the length may be changed by covering less detail, or by adding the suggested group exercises.

To begin preparing for the training session:

- Print the Notes pages of the Power Point presentation. (Open the PowerPoint presentation, select “Print”, and select “Notes Pages”).
- Print a copy of the Student Manual. You will then be able to prepare for the presentation using this guide and reviewing the speaker notes and student manual.

The content of the student manual matches the information in the PowerPoint slides. Let students know this at the beginning of the presentation to make it easier for them to take notes. The speaker notes provide additional detail.

You will need one copy of the standard for the trainer, and you may want copies for each student to refer to for details. Standards are available electronically from http://as9120store.com/buy-standards/

Additional Information: http://www.as9120store.com

Course Materials

The supplies you will need are:

- PowerPoint: **Guide to Internal Audits** (included).

- PowerPoint: **Requirements of AS 9120 REV B** (included).
  - A complete version with Speaker Notes is in this Trainer's Guide

- PowerPoint: **Steps of Internal Audit** (included).
  - A complete version with Speaker Notes is in this Trainer's Guide

- Student Manual (included).
  - Print one copy for **each student**
  - You may wish to have extra copies of the CAR form
  - It includes reduced versions of all the PowerPoints.

- AeroSource Company - Documented Information (included).
  - Print one copy for **each team** of two or three students.
  - See next page for list of contents.
  - Note that for this training, it is not possible to bring all documents from a fictitious company in the classroom.
  - However, documents relevant to the audit and non-conformances observed are included. In the list of documented information, the relevant manual and procedures are highlighted in **brown font**.

- The AS 9120 REV B Standard (**NOT Included***)
  - You will need one copy for every 2-3 students.
  - Standards are available electronically from http://www.techstreet.com/products

The AS 9120 REV B Standard is a copyrighted document and we are unable to include it.

Provided in Microsoft Word
Easy to customize with
your company name!

Welcome to AS 9120 Rev B

Our Company is working on becoming AS 9120 B registered. This international standard provides for a (QMS), Quality Management System that outlines some basic good business practices that we need to have in place for our distribution business.
By implementing a Quality Management System (QMS) that complies with AS 9120 B we will be able to make our company run more efficiently, increase customer satisfaction, and communicate to potential customers that we have good quality processes in place.

Surveyed AS 9120 Registered Companies state that they have:

- Higher customer satisfaction
- Increased profitability because of efficiencies
- Market advantages
- Improved communications
- Higher job satisfaction

What will employees need to do for the AS 9120 B Quality Management System?

First Management will be determining both the internal and external issues that are relevant to the QMS and will identify our "Key Processes".
Those are the processes that affect the quality of our product and our services. Then they will determine how we will control these processes to make sure that we are all doing them the same way, and the best way our organization has identified.

Controlling the process means having documented information for the quality management system, and training employees or finding other or best ways to make sure that the process is done consistently no matter who is doing it. This means that employees may be required to have certain training, or to follow specific work instructions.

Employees will also need to be aware of how their job affects the quality of our products and customer satisfaction.

AS 9120 Highlights: Things that you will be hearing about as we proceed with this project….

Our Quality Policy

We will identify our Quality Policy, and will be communicating it to all employees. It is important that all of us are aware of what this statement says about our company's vision is for quality and for meeting customers' expectations.

Registration Audit

To become AS 9120 B registered, an independent Registrar will audit our quality system. This Registration Audit will be done after we have set up processes to meet all the requirements of AS 9120 B.
The Registrar will send an auditor or audit team to come in to our facilities and evaluate the processes we have in place.
They will check to see if the processes meet the requirements of the standard, and to see if we are following the processes. If everything looks good, we will be recommended for registration and be recognized globally!

Watch for our next newsletter for more introduction to AS 9120 B, what it will mean to you and your coworkers.