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)?		

8.3.2	Design and development planning		
	In determining the stages and controls for design and development, does your company consider the:		
	• Nature, duration and complexity of the design and development activities?		
	• Requirements that specify process stages, including applicable design and development reviews?		
	• Required design and development verification and validation?		
	• Responsibilities and authorities involved in the design and development process?		
	• Internal and external resources needed for the design and development process?		
	• Need to control interfaces between individuals and parties involved in the design and development process?		
	• Need for involvement of customer and user groups in the design and development process?		
	• Requirements for subsequent provision of products and services?		
	• Level of control expected by customers or other interested parties?		

	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?		

