

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 titles 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)?		

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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:		
	<ul style="list-style-type: none"> • Inputs required and the outputs expected from the processes? 		
	<ul style="list-style-type: none"> • Sequence and interaction of the processes? 		
	<ul style="list-style-type: none"> • Criteria, methods, including measurements and related performance indicators needed to ensure the effective operation, and control of the processes? 		
	<ul style="list-style-type: none"> • Resources needed and ensure they are available? 		
	<ul style="list-style-type: none"> • Assignment of the responsibilities and authorities for these processes? 		
	<ul style="list-style-type: none"> • Risks and opportunities (per 6.1), and plans to implement the appropriate actions to address them? 		



A Guide to Internal Auditing AS 9120 B

Types of Audits

There are three kinds of audits that can be conducted in your organization:

- 1. *First party audit* or an **Internal audit** - that is the topic of this presentation.**
- 2. *Second party audit*, carried out by a customer or a customer's representative, usually to ensure that you comply with contractual requirements.**
- 3. *Third party audit*, carried out by a Registrar, usually to certify that your quality management system is in compliance to the AS 9120 B standard.**

Why Audit?

The Internal Audit process is one of the most important Requirements in an AS or ISO-Based standard.

AS and ISO Standards require that an audit program be established, implemented, and maintained.

- AS 9120 B, Par. 9.2.2
- ISO 9001:2015, Par. 9.2.2
- ISO 14001:2015, Par. 9.2.2
- Etc.

**Failure to perform Internal audits becomes a significant
“Road-Block to Registration – It will Ground You”.**