



AS9120 Rev A QUALITY MANAGEMENT SYSTEM - INTERNAL AUDIT CHECKLIST

GUIDELINES FOR USE OF THE CHECKLIST

This checklist is based on the June 2009 release of the AS9120A standard for “**Quality Management Systems – Requirements**”.

The checklist is best used by trained and practicing auditors to evaluate or assess Quality Management Systems requirements based on AS9120A. You will see questions on the checklist that refer to the standard. **Highlighted in yellow are the questions that are additions to ISO 9001:2008.**

The auditors are expected to use a greater degree of discretion and therefore must be **careful** and **thoughtful** prior to establishing a **deficiency** against a requirement. Evidence for visible top management commitment and quality management action must be looked for.

The bold numerical typescripts used in the first two columns of the checklist with titles indicate the “**Requirements**”. The numbers and titles 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

As required during the audit, the assessments do not need to follow the order or sequence shown in the checklist.

The auditors need to bear in mind that requirements elaborated in standards such as ISO 9004:2008 are only guidelines and therefore must not be misinterpreted as required by this standard.

Auditor attention is drawn to the requirements in clause 1.2 of AS9120A for permissible exclusions. Auditors need to ensure that exclusions are supported with appropriate justification.



4. QUALITY MANAGEMENT SYSTEM

	REQUIREMENTS	Observations/Comments/Documents Reviewed	Results
4.1	General Requirements		
	Is there is a Quality Management System in place that has been established and documented to meet the requirements of the AS9120A Standard?		
	Is the system maintained and is there evidence of continual improvement to the effectiveness of the system?		
	Does the QMS address all customer, statutory and applicable statutory and regulatory quality management system requirements?		
	a) Look for documentation of the processes included in the QMS.		
	b) Look for information on the relationship and sequence of the QMS processes.		



7.1.1	Configuration Management		
	<p>Is there a configuration management process in place?</p> <p>Does it include:</p> <ul style="list-style-type: none"> • Configuration management planning • Configuration identification • Change control • Configuration status accounting • Configuration audit 		
7.1.2	Control of Work Transfers		
	<p>Does your organization have a process to plan and control the temporary or permanent transfer of work?</p> <p>Does it include verifying the conformity of work to the requirements?</p>		
7.2	Customer-Related Processes		
7.2.1	Determination of Requirements Related to the Product		
	<p>a) How are customer requirements determined?</p> <p>Does it include delivery and post delivery activities</p>		
	<p>b) How do you determine if there are requirements that apply in addition</p>		