

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

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---	QUALITY MANAGEMENT SYSTEMS AS 9120 Rev B Requirements	Currently in Place	Compliant Yes / No?	If No - % Completed	Items Needed	AS 9120 Rev A Requirements
4	CONTEXT OF THE ORGANIZATION			4.0 Quality management system		
Intend of clause	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.					----
4.1	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)?					
	Does your company monitor and review the information related to the external and internal issues?					
4.2	Understanding the needs and expectations of interested parties			----		
	With consideration given to their impact or potential impact on your company's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements,					

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	do you determine:					
	• The interested parties that are relevant to the QMS?					
	• The requirements of the interested parties that are relevant to the QMS?					
	Does your company monitor and review the information about these interested parties and their relevant requirements?					
4.3	Determining the scope of the quality management system	----				
	To establish the scope of the QMS, does your company determine the boundaries and applicability of the QMS?					4.2.2 a) The scope of the QMS is required in a quality manual
	When determining the scope of the QMS, do you consider the:					
	• External and internal issues (per 4.1)?					
	• Requirements of relevant interested parties (per 4.2)?					
	• The products and services of your company?					
	When a requirement of AS 9120 B can be applied, is the requirement applied by your company?					
	When requirements cannot be applied, and to claim conformity to AS					4.2.2 a) Justifications for exclusions are required to be