

# ISO 9001:2015 to AS 9120 B - QMS Transition Instructions/Checklist

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This instruction / checklist is intended for use in upgrading your Quality Management System for the transition from ISO 9001:2015 version to the AS 9120 B revision for Quality management systems used in the aviation, space, and defense distribution industries.

The above Quality Management Systems are compatible with each other and have common requirements.

In the AS 9120 B and ISO 9001:2015 standards the requirements are described in:

- Clause 4 Context of the organization
- Clause 5 Leadership
- Clause 6 Planning
- Clause 7 Support
- Clause 8 Operation
- Clause 9 Performance evaluation
- Clause 10 Improvement

You have the ISO 9001:2015 version in place and now have the objective of upgrading the system to the AS 9120 Rev B revision. The good news is that since you are familiar with formal management systems, this initiative will be relatively straightforward.

Essentially, the documentation package for the management system will contain:

- One condensed Manual to introduce the documented information required for AS 9120 B.
- A group of procedure/system documents in your QMS with updates to reflect a document numbering system related to the new clause numbers and to incorporate the upgrades for AS 9120 B requirements.
- A group of forms and attachments needed for the documented information and systems.

The documentation will need to be reviewed, upgraded, and implemented. The first step is to assign a person responsible for the QMS, such as with a Management Representative to become familiar with the changes for the 2016 version of the AS 9120 B standard. Visit the [AS9100store.com](http://AS9100store.com) for training materials, resources, and information on quality management systems requirements.

The following table with detailed instructions focuses on the areas of the documentation required for the AS 9120 B quality management system. As you undertake the task of upgrading your quality management system from the ISO version to the AS version, note that the intent of the main clauses is shown in **blue font**. In the first left hand column of the instructions, the clause numbers **highlighted in green** indicate where specific AS 9120 B additions are made to ISO 9001:2015, and the clause numbers **highlighted in yellow** indicate where ISO 9001 requirements are carried over for AS 9120 B.

Keep in mind that while you need to focus on the new requirements of AS 9120 B, your company now has an opportunity to review the carry-over ISO 9001 QMS and improve the system while incorporating the AS 9120 B requirements.

Use a copy of the AS standard along with this instruction, to pinpoint for your company, the areas that need attention. You may want to make notes and add comments in the space available to the right and the left of the column for reference documentation. Use the upgrade checklist section on the right side of the table to assign the responsibility for the upgrade and to follow up on its completion.

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AS 9120 Rev B Clause	Changes to the existing ISO 9001:2015 Quality System	Reference document	Changes in existing documentation	Upgrade Checklist	
				Assigned to:	Date Completed
<b>All</b>	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).  Your company now has an opportunity to review the exiting ISO 9001:2015 QMS and improve the system while incorporating the AS 9120 B requirements.		
<b>All</b>	While the specific requirement for a quality manual is not in AS 9120 B and ISO 9001:2015, 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.		
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<b>5.2.1</b>	In AS 9120 B, clause 5.2.1 outlines the requirements for the quality policy.		Review the process for developing a quality policy that is appropriate to the purpose and context of your company and communicating this quality policy.		
<b>5.2.2</b>	In AS 9120 B, clause 5.2.2 outlines the requirements for the availability of the quality policy.		Review the new requirements that the quality policy is available as documented information and available to interested parties.		
<b>5.3</b>	In AS 9120 B, clause 5.3 covers organizational roles, responsibilities, and authorities.	Organization chart	Review the system for ensuring that the responsibilities and authorities for relevant roles are assigned and communicated.		
<b>5.3</b>	In AS 9120 B, clause 5.3 requires the appointment of a management representative. In ISO 9001:2015, a specific management representative was not required to be appointed.		Top management is required to appoint a specific member of the team as the management representative who has the responsibility and authority to oversee the QMS and ensure that it conforms to the requirements of the AS standard. This person must have unrestricted access to top management and organizational freedom to deal with quality management issues. Note that the responsibility of the management representative can include liaison with external parties regarding QMS matters.		
<b>6</b>	This clause talks about the planning for the QMS, where your company needs to consider the issues referred to in 4.1, the requirements of 4.2 and determine the risks and opportunities that need to be addressed. In addition, this section covers the quality objectives that will need to be established for the relevant functions and the plans to achieve them determined. You will also need to carry out changes in a planned and systematic manner when it is determined that change to the QMS is required.				
<b>6</b>	In AS 9120 B, clause 6 focuses on the planning for the quality management system and is a requirement in both AS 9120 B and ISO 9001:2015.	Procedure	Review the information (in a document P-600) that outlines the process for planning for the QMS.		
<b>6.1</b>	The 'Risk-Based-Thinking' approach is new in AS 9120 B where a key purpose of the QMS is to act as a preventive tool.		Review the actions needed to address the risks and opportunities associated with the internal and external issues that are relevant to the QMS.		
<b>6.1.1</b>	In AS 9120 B, clause 6.1.1 focuses on the planning for the QMS and on determining the actions needed to address risks and opportunities.		As applicable to your company, make use of your organizational knowledge, lessons learned and experience with the activities in every procedure to determine the opportunities and risk that need to be addressed and that can: <ul style="list-style-type: none"> <li>• Give assurance that the procedure can achieve its intended results</li> <li>• Enhance desirable effects</li> <li>• Prevent or reduce undesired effects</li> </ul>		

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			<ul style="list-style-type: none"> <li>• Achieve improvement</li> </ul>		
<b>6.1.2</b>	In AS 9120 B, clause 6.1.2 focuses on the planning of actions to be taken to address risks and opportunities.	Procedures	In P-600, review and describe how you plan the actions to address risks and opportunities, how you integrate and implement them in the QMS, and how you evaluate the effectiveness of the actions taken. See procedure <a href="#">P-612</a> and related forms <a href="#">F-612-001</a> , <a href="#">F-612-002</a> , and <a href="#">F-610-001 &amp; F-810-002</a> for more information on the risk management process.		
<b>6.2</b>	In AS 9120 B, clause 6.2 focuses on quality objectives and the planning to achieve them.		Review the system for establishing quality objectives at the relevant functions, levels and processes and the planning to achieve them.		
<b>6.2.1</b>	In AS 9120 B, clause 6.2.1 outlines the requirements for quality objectives.		Refer to specific requirements in clause 6.2.1 a) thru g) and include the items ranging from a) consistent with the quality policy to g) update as required.		
<b>6.2.2</b>	In AS 9120 B, clause 6.2.2 outlines additional requirements for quality objectives.		Refer to specific requirements in clause 6.2.2 a) thru e) and include the items ranging from a) what will be done to e) how the results will be evaluated.		
<b>6.3</b>	In AS 9120 B, the requirement for planning of changes is in clause 6.3.		Review the process for the planning of changes to the QMS and for carrying them out in a planned and systematic way. Refer to specific requirements in clause 6.3 and include items ranging from a) purpose of changes, to d) allocation of responsibilities.		
<b>7</b>	This clause requires that your company determine and provide the resources needed to establish, implement, maintain, and continually improve the QMS. This section covers the resources that support the QMS and include people, infrastructure, environment for the operation of processes, monitoring and measuring resources, and organizational knowledge. In addition, competence, awareness of the human resources / personnel and methods for communication among the personnel, along with systems for documented information need to be determined.				
<b>7</b>	In AS 9120 B, clause 7, Support is a requirement in both AS 9120 B and ISO 9001:2015.	Documented information	Review your existing system for the management of resources.		
<b>7.1</b>	In AS 9120 B, clause 7.1 outlines the requirements for the management of resources.	Procedure	Document the information (in a document P-710) to outline the process for managing the resources of infrastructure and environment for the operation of the processes.		
<b>7.1.1</b>	The requirements to consider the capabilities and the constraints on existing resources and what is required to be obtained from external providers are included in clause 7.1.1.		Review a statement to indicate that when determining and providing resources, consideration is given to capabilities, constraints, and external provision.		
	In AS 9120 B, clause 7.1.2 focuses on		Review the methods required to provide the persons		