GENERAL

as9120 rev a the gap analysis checklist

Published: September 19, 2026 | Index ID: #-

Introduction

In today's highly competitive automotive supply chain, meeting stringent quality standards is not just a regulatory requirement—it's a business imperative. **AS9120 Rev A** is the industry benchmark for automotive suppliers, ensuring that quality management systems align with the expectations of original equipment manufacturers (OEMs). Yet, many organizations find themselves falling short of full compliance, often due to hidden gaps in their processes. Conducting a thorough **gap analysis checklist** for AS9120 Rev A is the first step toward bridging those gaps, aligning operations, and securing certification.

This article walks you through the intricacies of AS9120 Rev A, explains why a gap analysis is essential, and presents a detailed, step by step checklist. Whether you're a quality manager, auditor, or supplier looking to align with OEM requirements, this guide will provide actionable insights and practical tools to help you succeed.

Understanding AS9120 Rev A

What Is AS9120?

AS9120 is a quality management system (QMS) standard specifically tailored for automotive suppliers. It merges the ISO 9001 framework with additional automotive-specific requirements, ensuring that suppliers can consistently meet the needs of OEMs. The "Rev A" designation refers to the latest revision of the standard, incorporating updates to align with evolving industry practices.

Key Elements of AS9120 Rev A

- Scope and Context: Defines the product and service boundaries, customer expectations, and regulatory obligations.
- Leadership and Commitment: Requires top management to demonstrate ownership of the QMS and foster a culture of continuous improvement.
- Risk-Based Thinking: Emphasizes identifying, assessing, and mitigating risks throughout the product life cycle.
- Resource Management: Covers human resources, infrastructure, and working environment.
- Product Realization: Outlines planning, design, development, purchasing, production, and service provision.
- Measurement, Analysis, and Improvement: Focuses on monitoring performance, conducting internal audits, and driving corrective actions.
- Documented Information: Requires maintaining records, procedures, and documents that demonstrate compliance.

Why Gap Analysis Matters for AS9120 Rev A

Even the best intentioned QMS can fall short of AS9120 Rev A if gaps remain unaddressed. A gap analysis offers several critical benefits:

1. Identifies Non-Conformities: Pinpoints areas where processes or documentation do not meet the standard's requirements.
2. Prioritizes Improvements: Helps focus resources on the most impactful changes.
3. Reduces Audit Findings: Minimizes the risk of audit non-conformities and potential certification delays.

4. Aligns Stakeholders: Creates a shared understanding of compliance status across the organization.
5. Facilitates Continuous Improvement: Establishes a baseline for ongoing QMS refinement.

The Gap Analysis Process

A systematic approach ensures that every aspect of the standard is evaluated. Below is a step by step guide to performing an effective gap analysis for AS9120 Rev A.

Step 1: Define the Scope and Objectives

Clarify which parts of the organization, processes, or product lines will be included. Determine the objectives—whether it's to prepare for a certification audit, to improve internal processes, or to satisfy an OEM's pre qualification requirements.

Step 2: Gather Existing Documentation

Collect all relevant documents such as:

- Quality manual and procedures
- Process flowcharts and work instructions
- Audit reports and corrective action records
- Training records and competency matrices
- Supplier evaluation and monitoring documentation

Step 3: Benchmark Against AS9120 Rev A

Using the standard's clauses as a reference, assess how current documents and practices align. This involves mapping each requirement to existing procedures or identifying where documentation is missing.

Step 4: Identify Gaps

Document every discrepancy between current state and the standard's expectations. Gaps may be:

- Documented information missing or incomplete
- Processes lacking risk assessment or control measures
- Insufficient training or competency evidence
- Non conforming product handling procedures

Step 5: Prioritize Gaps

Not all gaps carry the same weight. Use a risk matrix to evaluate the impact and likelihood of each gap. Prioritize those that pose the greatest risk to product quality, safety, or compliance.

Step 6: Develop an Action Plan

Create a detailed plan that assigns responsibilities, timelines, and resources for closing each gap. Include measurable objectives and verification methods.

Step 7: Monitor and Review

Track progress against the action plan, conduct follow up audits, and adjust strategies as needed. Continuous monitoring ensures that the QMS remains aligned with AS9120 Rev A over time.

Gap Analysis Checklist for AS9120 Rev A

Below is a comprehensive checklist you can use to evaluate each clause of AS9120 Rev A. For each item, mark whether the organization meets the requirement, partially meets it, or does not meet it. This structured approach

ensures no area is overlooked.

Clause 4 – Context of the Organization

- 4.1 Understanding the organization and its context – Yes/Partial/No
- 4.2 Understanding the needs and expectations of interested parties – Yes/Partial/No
- 4.3 Determining the scope of the QMS – Yes/Partial/No
- 4.4 QMS and its processes – Yes/Partial/No

Clause 5 – Leadership

- 5.1 Leadership and commitment – Yes/Partial/No
- 5.2 Quality policy – Yes/Partial/No
- 5.3 Organizational roles, responsibilities, and authorities – Yes/Partial/No

Clause 6 – Planning

- 6.1 Actions to address risks and opportunities – Yes/Partial/No
- 6.2 Quality objectives and planning to achieve them – Yes/Partial/No
- 6.3 Planning of changes – Yes/Partial/No

Clause 7 – Support

- 7.1 Resources – Yes/Partial/No
- 7.2 Competence – Yes/Partial/No
- 7.3 Awareness – Yes/Partial/No
- 7.4 Communication – Yes/Partial/No
- 7.5 Documented information – Yes/Partial/No

Clause 8 – Operation

- 8.1 Operational planning and control – Yes/Partial/No
- 8.2 Requirements for products and services – Yes/Partial/No
- 8.3 Design and development – Yes/Partial/No
- 8.4 Purchasing – Yes/Partial/No
- 8.5 Production and service provision – Yes/Partial/No
- 8.6 Release of products and services – Yes/Partial/No
- 8.7 Control of nonconforming outputs – Yes/Partial/No

Clause 9 – Performance Evaluation

- 9.1 Monitoring, measurement, analysis, and evaluation – Yes/Partial/No
- 9.2 Internal audit – Yes/Partial/No
- 9.3 Management review – Yes/Partial/No

Clause 10 – Improvement

- 10.1 General – Yes/Partial/No
- 10.2 Nonconformity and corrective action – Yes/Partial/No
- 10.3 Continual improvement – Yes/Partial/No

Common Gap Areas and How to Address Them

While every organization’s gaps will differ, certain areas frequently emerge as weak points during AS9120 Rev A gap analyses. Below are common gaps and practical solutions.

1. Incomplete Documented Information

Many suppliers struggle with maintaining up to date procedures, work instructions, and records. **Solution:** Adopt a centralized document control system, schedule regular reviews, and assign ownership for each document.

2. Limited Risk Management Practices

Risk-based thinking is a core requirement, yet some organizations treat it as an optional add on. **Solution:** Implement a standardized risk assessment framework (e.g., FMEA, HACCP) and integrate it into product development and production planning.

3. Inadequate Competence Verification

Competence gaps often surface during audits. **Solution:** Create a competency matrix, conduct regular training needs assessments, and track completion through a learning management system.

4. Poor Supplier Management

AS9120 Rev A requires rigorous supplier evaluation and monitoring. **Solution:** Develop a supplier scorecard, conduct periodic audits, and establish corrective action protocols.

5. Inefficient Internal Audit Processes

Internal audits that lack structure can miss critical issues. **Solution:** Use audit checklists aligned with AS9120 Rev A, train auditors on audit techniques, and maintain a corrective action database.

Tools and Resources for Gap Analysis

Leveraging the right tools can streamline the gap analysis process and improve accuracy.

Software Solutions

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