



AS9100 Rev B to Rev C Gap Analysis Checklist

The gap analysis checklist compares AS9100b quality management system to AS9100C

- Read: [what is an AS9100 Gap analysis](#) for more information
- This list covers all the requirements of the standard and to help you identify and understand the additional aviation, space and defense requirements
- This list is a tool to help you organize your gap analysis, and to evaluate results of the gap.
- Use a [copy of the AS 9100 Rev C](#) Standard along with this checklist and you will be able to understand what the standard requires of your organization and better evaluate your system against the actual requirements.

Throughout this document, you will find the following

- **Sections where Rev C deletions and/or relocations apply are highlighted in blue**
- **AS9100C additions to AS9100b requirements are highlighted in yellow with bold letters.**
- Links to supporting information are [underlined blue text](#)
- Links to buy Standards directly from the source (TechStreet) are [Underlined Bold Red text](#)

Learn about AS9100 Rev C

Please review the links below for specific [AS9100 rev C requirements](#) in addition to AS9100b:

- Consider all the [relevant standards](#) to AS9100 Rev C.
- [Read about AS9101 Rev D](#), the QMS assessment form used by auditors (**AS9101D**)
- [First Article Inspection](#) (FAI) is a unique standard (**AS9102**) and thus not part of the AS9100 Rev C QMS. However, Section 7.5.1.1 (Production Process Verification) of the standard does require testing of a production part, which is the same as FAI.
- [Key Characteristics](#) (**AS9103**)
- [Project Management](#) – (**ISO 10006**).
- [Configuration Management](#) – (**ISO 10007**)
- [Risk Management](#) – (**ARP 9134**)



Steps to perform Gap Analysis

1. Prepared your audit schedule,
2. Assigned responsibility to your auditors for different areas or processes to audit
3. Copy each section of the checklist for the auditors working with that section.
4. As you work through the checklist
 - a. Focus on the **bold highlighted** areas to identify what you will need to do to prepare for registration.
 - b. You will be able to relate to what is in place for the AS9100b
 - c. Identify the areas that need to be developed for the AS9100c.
 - d. Make reference procedures or other documents that you have and that will provide information for the new QMS.
 - e. Take notes on the status of the documents:
 - i. will they need to be revised for the new system?
 - ii. Or can they be used as is?
 - iii. 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 procedures and processes are being complied with, **compliance is not your main objective for this audit. Remember that the final outcome of this audit should be a list of things that your organization needs to do to comply with AS 9100 Rev C.**

Update your Quality Manual, Procedures and Forms

We offer several [other tools](#) to help your organization transition to AS9100 Rev C.

- [AS9100b to AS9100 Rev C QMS Upgrade Kit](#) –
 - Detailed clause by clause instructions on where to change your QMS
 - Includes procedures & forms for additional requirements
- [Employee Training](#) – PC based training which can be taken via the web.
 - It can be [customized](#) to give you better record keeping and automated deployment.
- [PowerPoints](#) - reviewing clause by clause review of AS9100c
- [Audit Checklist](#) - to help you audit to the Rev C Standard
- [Internal Auditor Training](#) – which includes the materials to train your auditors in the Rev C standard.
- [Problem Solving Training](#)
 - [Root Cause Analysis with Corrective Action](#)
 - [FMEA](#)
 - [SPC](#)



4 QUALITY MANAGEMENT SYSTEM

	REQUIREMENTS	CURRENTLY IN PLACE (List documents or evidence)	COMPLIANT Yes or No Estimated % Complete	ITEMS NEEDED
4.1	General Requirements			
<p>This clause asks you to identify how management applies the process approach to achieve the effective and efficient control of processes, resulting in performance improvement. Specifically this section is looking for an overall process evaluation of all quality related processes and their interrelationships. Look to see that your organizational processes are defined and that consideration is given to those items described in a) through f). The management system must also address customer, statutory and regulatory requirements</p>				
	<p>Has the organization established, documented, implemented and maintained the quality system for aviation, space and defense industry as required by the AS9100C standard?</p>			
	<p>Does the QMS address customer and applicable statutory and regulatory requirements?</p>			
	<p>a. Look for documentation that determined the processes included in the QMS</p>			
	<p>b. Look for information on the sequence and interaction of the QMS processes.</p>			
	<p>c. Ask Management if operation and control of processes is effective. How do they know if it is effective?</p>			
	<p>d. Ask how they are able to know if resources and information needed to support processes have been provided. Is there any information on the effectiveness of processes?</p>			



	e. Where applicable, how are the processes monitored, measured and analyzed?			
	f. How are improvements made to processes?			
	What processes does your organization outsource? Are the type and extent of control to be applied to outsourced processes defined within the QMS?			
4.2	Documentation Requirements			
This section addresses how you use documents and records to support effective and efficient operation of your organization. A review of your procedures, work instructions, and records will determine if the standard requirements are met.				
4.2.1	General			
	Does your quality system documentation include the documentation required by the standard?			
	a) Quality Policy and Objectives			
	b) Quality Manual			
	c) Documented procedures and records			
	d) Documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of processes: For example work instructions, quality plans and records.			
	e) Records required for AS9100B	Address this requirement in section 4.1		
	f) Requirements imposed by the applicable regulatory authorities	Address this requirement in section 4.1		



	REQUIREMENTS	CURRENTLY IN PLACE (List documents or evidence)	COMPLIANT Yes or No Estimated % Complete	ITEMS NEEDED
	<p>c) Does planning address the required verification, validation, monitoring, measurement, inspection and test activities?</p> <p>Are there criteria for product acceptance?</p>			
	<p>d) Does planning identify what records are required for the process?</p>			
	<p>e) Is there a process for the planning of <u>configuration management</u>?</p>			
	<p>f) Are resources for support of operation and maintenance of the product addressed during planning?</p>			
	<p>What is the output of your planning process?</p>			
<p>7.1.1</p>	<p><u>Project Management</u></p>			
	<p>Has a process been established for planning and managing product realization in a structured and controlled manner?</p>			
	<p>Is planning managed in a structured controlled manner, ensuring requirements are met:</p> <ul style="list-style-type: none"> - At acceptable risk - Within resources - Within schedule constraints 			



7.1.2	<u>Risk Management</u>			
	Is there a risk management process in place?			
	Does the process address the following?			
	a) Responsibilities			
	b) Risk criteria			
	c) Identification, assessment, and communication of risks through product realization			
	d) Identification , implementation and management of actions to mitigate risks			
	e) Acceptance of remaining risk?			
7.1.3	<u>Configuration Management</u>			
	Is there a configuration management process in place?			
	Does the process address the following?			
	a) Planning			
	b) Configuration Identification			
	c) Change control			
	d) Configuration status accounting			
	e) Configuration audit			



	Configuration management process	This requirement moved from clause 4.3		
7.1.4	Control of Work Transfers			
	Is there a process to plan and control the transfers of temporary or permanent work? Does the process verify the conformity of the work?			
	Control of work transfers	This requirement moved from clause 7.5.1.4		
7.2	Customer-Related Processes			
7.2.1	Determination of Requirements Related to the Product			
If customer requirements are not understood there is the possibility of not meeting the customer needs. A review of customer complaints, surveys, and reports will denote any problems. Also look at any contract, logs, or orders to see if any amendments have been made. If so, is the reason for the amendment documented?				
	a) How are customer requirements determined?			
	b) How do you determine if there are requirements that apply in addition to what the customer has specified?			
	c) How are applicable statutory and regulatory requirements identified?			
	d) Are there additional requirements that your organization considered to be necessary?			
	Do requirements related to product include special requirements?			