



The ISO 9001 to AS9100 Rev C Gap Analysis Checklist

The gap analysis checklist compares ISO 9001 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
- **AS9100C requirements are highlighted in bold letters.**
- 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.

Learn about AS9100 Rev C

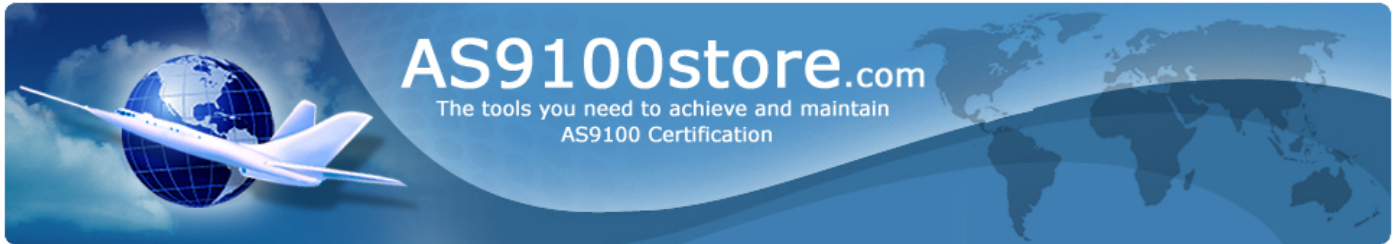
Please review the links below for specific [AS9100 rev C requirements](#) in addition to ISO 9001: **(Red links open up to TechStreet so you can buy the standard directly from them)**

- 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

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 ISO 9001
 - 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.

- [ISO 9001 to 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 Y/N? Estimated % Complete	ITEMS NEEDED
	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>				
	Has the organization established, documented, implemented and maintained the quality system as required by the AS9100C standard?			
	a) Look for documentation of the processes included in the QMS			
	b) Look for information on the relationship and sequence of the QMS processes.			
	c) Ask Management if operation and control of processes is effective. How do they know if it is effective?			



	d) Ask how they are able to know if resources and information needed to support processes have been provided.			
	e) Is there any information on the effectiveness of processes?			
	f) How are improvements made to processes?			
	What processes does your organization outsource? How is the process controlled?			
	Does the QMS address customer and applicable statutory and regulatory requirements?			
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.				
General				
	Is there a list or other means of identifying other documentation required by your QMS?			
	Does your quality system documentation include the documentation required by the standard?			



	a) Quality Policy and Objectives			
	b) Quality Manual			
	c) Procedures			
	d) Documents for planning and control of processes: for example work instructions, quality plans and records			
	Do the employees have access to and are they aware of relevant QMS documentation and changes?			
	Quality Manual			
	Review the Quality Manual if available.			
	a) What is the scope of your QMS?			
	What processes have been excluded? Are justifications for exclusions detailed? Are the justifications appropriate?			
	b) Does the manual reference the quality system procedures?			

	product provided?			
	c) Does planning address validation requirements? Where are the monitoring, measuring, inspection and test and criteria for the product documented?			
	d) Does planning identify what records are required for the process?			
	e) Is there a process for <u>configuration management</u>?			
	f) Are resources for support of operation and maintenance of the product addressed during planning?			
	What is the output of your planning process?			
	<u>Project Management</u>			
	Has a process been established for planning and managing product realization in a structured and controlled manner?			
	Is planning managed in a structured controlled manner, ensuring requirements are met			

	<ul style="list-style-type: none"> - At acceptable risk - Within resources - Within schedule constraints 			
Risk Management				
	Is there a <u>risk management process</u> in place?			
	Does the process address the following areas?			
	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?			
Configuration Management				
	Is there a <u>configuration management process</u> in place?			
	Does the process address the following areas?			
	a) Planning			



8 MEASUREMENT, ANALYSIS AND IMPROVEMENT

	REQUIREMENTS	CURRENTLY IN PLACE (List documents or evidence)	COMPLIANT Y/N? Estimated % Complete	ITEMS NEEDED
	General			
Verify that your organization is monitoring, measuring, and improving the processes. How this is being done is defined by your organization. Assess if your organization has determined the need for, and use of statistics. Statistics may be used for design verification, process control, key characteristics , process capability, SPC , design of experiments , FMEA .				
	a) How is product conformance demonstrated? Is there a measuring and monitoring process in place?			
	b) How is the conformity of the QMS ensured? Is there a measuring and monitoring process in place?			
	c) Does measuring and monitoring allow continual improvement of the effectiveness of the QMS?			
	Does the process include identification of methods, including statistical techniques for the measuring and monitoring and depending on the nature of the product, support the following activities:			



	a) Design verification			
	b) Process control			
	c) Inspection			
	d) <u>Failure mode, effect and critical analysis</u>			
	Monitoring and Measurement			
	Customer Satisfaction			
<p>This clause does not define how your organization is to monitor information on customer perceptions. For compliance to this clause, verify how your organization monitors the customer information, follow through on the methods being used. Are the methods being used consistent with the quality policy and quality objectives?</p>				
	What methods does your organization use to monitor information on customer perception regarding fulfilling customer requirements?			
	Does it include monitoring information on:			
	a) Product conformity			
	b) On-time delivery			
	c) Customer complaints and corrective action requests			
	Has a plan been developed for customer satisfaction improvement?			