INSERT COMPANY NAME/LOGO HERE

AS 9100 Rev D - Quality Management Systems – The Gap Analysis Checklist

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This gap analysis checklist is prepared for use in evaluating a Quality Management System (QMS) against the requirements of the new Aerospace standard. The AS 9100 Rev D standard includes the requirements of ISO 9001:2015 and specifies additional aviation, space, and defense (ASD) industry requirements.

In the checklist, each requirement is expressed as a question that the user (auditor / assessor) can use to evaluate your QMS capabilities. You will need to have copies of the AS 9100 D and ISO 9001:2015 standards to use along with this checklist so that, if required, you can refer to the requirements and the clarification sections of Annex A.

While the structure of the AS and ISO standards are the same when comparing the contents, the additional ASD requirements are highlighted in yellow in the relevant sections of the checklist and the intent of the main clauses of the new standard is shown in blue font.

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 9100 Rev D.

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4	**CONTEXT OF THE ORGANIZATION**				
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.				

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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?				
	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 9100 D can be applied, is the requirement applied by your company?				
	When requirements cannot be applied, and in order to claim conformity to AS 9100 D, how do you determine if your ability or responsibility to ensure conformity of products and services are not affected?				
	Is the scope of the QMS available and maintained as documented information?				
	Does the scope state the products and services covered by the QMS?				
	Does your company provide justification for any instance where a requirement of the standard cannot be applied?				

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4.4	Quality management system and its processes				
4.4.1	As required by the standard, do you establish, document, implement, maintain and continually improve the QMS?				
	Does the QMS also address customer and applicable statutory and regulatory quality management system requirements?				
	Does your company determine the processes needed for the QMS, their interactions and applications throughout your company?				
	That is, for the QMS processes do you determine the:				
	• Inputs required and the outputs expected from the processes?				
	• Sequence and interaction of the processes?				
	• Criteria, methods, including measurements and related performance indicators needed to ensure the effective operation, and control of the processes?				
	• Resources needed and ensure they are available?				
	• Assignment of the responsibilities and authorities for these processes?				
	• Risks and opportunities (per 6.1), and plans to implement the appropriate actions to address them? See also Operational risk management (per 8.1.1)				

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