INSERT COMPANY NAME/LOGO HERE

AS 9110 Rev C - Quality Management Systems – The Gap Analysis Checklist

This gap analysis checklist is prepared for use in evaluating a Quality Management System (QMS) against the requirements of the new Aerospace standard AS 9110 Rev C. Each requirement is expressed as a question that the user (auditor / assessor) can use to evaluate your QMS capabilities. You will need to have a copy of the AS 9110 C standard to use along with this checklist so that you can refer to the requirements and the clarification sections of Annex A. 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 focus for this audit. Remember that the outcome of this audit should be a list of things that your company needs to do to comply with the AS 9110 Rev C standard.

---	QUALITY MANAGEMENT SYSTEMS REQUIREMENTS	Currently in Place	Compliant YES / NO?	If No - % Completed	Items Needed
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.				
4.1	**Understanding the organization and its context**				
	Does your company determine the external and internal issues that are relevant to your purpose and strategic direction?				
	Do you consider the relevant issues that affect your ability to achieve the intended results of the Quality				

	Management System (QMS)?				
	Does your company monitor and review the information related to the external and internal issues?				
4.2	**Understanding the needs and expectations of interested parties**				
	With consideration given to their impact or potential impact on your company's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, do you determine:				
	• The interested parties that are relevant to the QMS?				
	• The requirements of these interested parties that are relevant to the QMS?				
	Does your company monitor and review the information about these interested parties and their relevant requirements?				
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 9110 C can be applied, is the requirement applied by your company?				
	When requirements cannot be applied, and to claim conformity to AS 9110 C, 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?				
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?				
	Are approvals, certificates, ratings, capability list, and licenses also addressed in the QMS?				

	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)				
	• Methods for monitoring, measuring, and evaluation of processes and, if needed, the changes to processes to ensure that they achieve intended results?				
	• Opportunities for improvement of the processes and the QMS?				

