

## AS9100D GAP ANALYSIS TOOL

### 9. EVALUATION GAP ANALYSIS QUESTIONNAIRE

#### 9.1 MONITOR, MEASURE, ANALYZE, AND EVALUATE QMS PERFORMANCE

##### 9.1.1 PLAN HOW YOU'RE GOING TO MONITOR, MEASURE, ANALYZE, AND EVALUATE

1	SHL	Do you plan how to monitor, measure, analyze, and evaluate your QMS?	Y	N	X	
2	SHL	Do you plan how to monitor QMS performance and effectiveness?	Y	N	X	
3	SHL	Do you figure out what needs to be monitored and how to do it?	Y	N	X	
4	SHL	Do you determine your organization's QMS monitoring requirements?	Y	N	X	
5	SHL	Do you select monitoring methods that can produce valid results?	Y	N	X	
6	SHL	Do you establish when monitoring should be done and who should do it?	Y	N	X	
7	SHL	Do you plan how to measure QMS performance and effectiveness?	Y	N	X	
8	SHL	Do you figure out what needs to be measured and how to do it?	Y	N	X	
9	SHL	Do you determine your organization's QMS measurement requirements?	Y	N	X	
10	SHL	Do you select measurement methods that can produce valid results?	Y	N	X	
11	SHL	Do you establish when measuring should be done and who should do it?	Y	N	X	
12	SHL	Do you plan how to analyze QMS performance and effectiveness?	Y	N	X	
13	SHL	Do you select analytical methods that are capable of producing valid results?	Y	N	X	
14	SHL	Do you decide when monitoring and measurement results should be analyzed?	Y	N	X	
15	SHL	Do you plan how to evaluate QMS performance and effectiveness?	Y	N	X	
16	SHL	Do you select evaluation methods that are capable of producing valid results?	Y	N	X	
17	SHL	Do you decide when monitoring and measurement results should be evaluated?	Y	N	X	
18	SHL	Do you monitor, measure, analyze, and evaluate QMS performance and effectiveness?	Y	N	X	
19	SHL	Do you monitor the performance and effectiveness of your organization's QMS?	Y	N	X	
20	SHL	Do you record monitoring results and retain and control these records?	Y	N	X	
21	SHL	Do you measure performance and effectiveness of your organization's QMS?	Y	N	X	

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22	SHL	Do you record measurement results and retain and control these records?	Y	N	X	
23	SHL	Do you analyze performance and effectiveness of your organization's QMS?	Y	N	X	
24	SHL	Do you record analytical results and retain and control these records?	Y	N	X	
25	SHL	Do you evaluate performance and effectiveness of your organization's QMS?	Y	N	X	
26	SHL	Do you record evaluation results and retain and control these records?	Y	N	X	
<b>9.1.2 MONITOR CUSTOMERS' PERCEPTIONS AND IMPROVE CUSTOMER SATISFACTION</b>						
27	SHL	Have you established methods for obtaining customer information?	Y	N	X	
28	SHL	Have you figured out how you're going to find out how customers feel about how well you're meeting their needs and expectations?	Y	N	X	
29	CAN	Do you consider getting information about customers by doing surveys?	Y	N	X	
30	CAN	Do you consider getting information about customers by getting feedback?	Y	N	X	
31	CAN	Do you consider getting information about customers by meeting with them?	Y	N	X	
32	CAN	Do you consider getting information about customers by examining compliments?	Y	N	X	
33	CAN	Do you consider getting information about customers by looking at dealer reports?	Y	N	X	
34	CAN	Do you consider getting information about customers by analyzing warranty claims?	Y	N	X	
35	CAN	Do you consider getting information about customers by studying market-share data?	Y	N	X	
36	SHL	Have you established methods for monitoring customer perceptions?	Y	N	X	
37	SHL	Have you figured out how you're going to monitor how your customers feel about how well you're meeting their needs and expectations?	Y	N	X	
38	SHL	Do you monitor customer perceptions?	Y	N	X	
39	SHL	Do you monitor product conformity?	Y	N	X	
40	SHL	Do you monitor service conformity?	Y	N	X	
41	SHL	Do you monitor on-time delivery performance?	Y	N	X	
42	SHL	Do you monitor corrective action requests?	Y	N	X	
43	SHL	Do you monitor customer complaints?	Y	N	X	

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44	SHL	Have you established methods for reviewing customer perceptions?	Y	N	X	
45	SHL	Have you figured out how you're going to review and evaluate information about how customers feel about how well you're meeting their needs and expectations?	Y	N	X	
46	SHL	Have you figured out how you're going to evaluate customer satisfaction?	Y	N	X	
47	SHL	Do you use product conformity information to evaluate customer satisfaction?	Y	N	X	
48	SHL	Do you use service conformity information to evaluate customer satisfaction?	Y	N	X	
49	SHL	Do you use on-time delivery performance to evaluate customer satisfaction?	Y	N	X	
50	SHL	Do you use corrective action requests to evaluate customer satisfaction?	Y	N	X	
51	SHL	Do you use customer complaints to evaluate customer satisfaction?	Y	N	X	
52	SHL	Have you established methods for improving customer satisfaction?	Y	N	X	
53	SHL	Do you develop plans to improve customer satisfaction?	Y	N	X	
54	SHL	Do you address deficiencies identified by the evaluation of customer satisfaction?	Y	N	X	
55	SHL	Do you implement plans to improve customer satisfaction?	Y	N	X	
56	SHL	Do you assess the effectiveness of improvement plans and evaluate results?	Y	N	X	

#### 9.1.3 EVALUATE SATISFACTION, EFFECTIVENESS, PERFORMANCE, AND CONFORMANCE

57	SHL	Do you analyze your monitoring and measurement results?	Y	N	X	
58	SHL	Do you analyze and evaluate appropriate data and information?	Y	N	X	
59	SHL	Do you use your analytical results to evaluate satisfaction?	Y	N	X	
60	SHL	Do you evaluate the degree of customer satisfaction?	Y	N	X	
61	SHL	Do you use your analytical results to evaluate effectiveness?	Y	N	X	
62	SHL	Do you evaluate the effectiveness of your organization's QMS?	Y	N	X	
63	SHL	Do you determine if you need to improve QMS effectiveness?	Y	N	X	
64	SHL	Do you evaluate the effectiveness of your organization's planning?	Y	N	X	
65	SHL	Do you determine if your plans are effectively implemented?	Y	N	X	

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66	SHL	Do you evaluate the effectiveness of your organization's actions?	Y	N	X	
67	SHL	Do you evaluate the effectiveness of actions taken to address risks?	Y	N	X	
68	SHL	Do you evaluate the effectiveness of actions taken to address opportunities?	Y	N	X	
69	SHL	Do you use your analytical results to evaluate performance?	Y	N	X	
70	SHL	Do you evaluate the performance of your organization's QMS?	Y	N	X	
71	SHL	Do you determine if you need to improve its performance?	Y	N	X	
72	SHL	Do you evaluate the performance of your external providers?	Y	N	X	
73	SHL	Do you use your analytical results to evaluate conformance?	Y	N	X	
74	SHL	Do you evaluate the conformity of products and services?	Y	N	X	
75	CAN	Do you evaluate your product and service problems?	Y	N	X	
76	CAN	Do you evaluate product and service problems reported by external sources?	Y	N	X	
77	CAN	Do you evaluate product and service problems reported using advisories?	Y	N	X	
78	CAN	Do you evaluate product and service problems reported by means of alerts?	Y	N	X	
79	CAN	Do you evaluate problems reported by means of government alerts?	Y	N	X	
80	CAN	Do you evaluate problems reported by means of industry alerts?	Y	N	X	
81	SHL	Do you evaluate product and service problems revealed by internal sources?	Y	N	X	

#### 9.2 USE INTERNAL AUDITS TO EXAMINE CONFORMANCE AND PERFORMANCE

##### 9.2.1 AUDIT YOUR QUALITY MANAGEMENT SYSTEM AT PLANNED INTERVALS

82	SHL	Do you conduct internal conformance audits at planned intervals?	Y	N	X	
83	SHL	Do you determine if your organization's QMS meets requirements?	Y	N	X	
84	SHL	Do you determine if your QMS meets internal requirements?	Y	N	X	
85	SHL	Do you determine if your QMS meets external requirements?	Y	N	X	
86	SHL	Do you determine if your QMS meets AS9100D requirements?	Y	N	X	
87	SHD	Do you determine if your QMS meets customer requirements?	Y	N	X	

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88	SHD	Do you determine if your QMS meets regulatory requirements?	Y	N	X	
89	SHD	Do you determine if your QMS meets statutory requirements?	Y	N	X	
90	SHL	Do you examine the effectiveness of your organization's QMS?	Y	N	X	
91	SHL	Do you find out if your organization's QMS is effectively implemented?	Y	N	X	
92	CAN	Do you use performance indicators to see if QMS is effectively implemented?	Y	N	X	
93	SHL	Do you find out if your organization's QMS is being effectively maintained?	Y	N	X	
94	CAN	Do you use performance indicators to see if QMS is being effectively maintained?	Y	N	X	

#### 9.2.2 DEVELOP AN INTERNAL AUDIT PROGRAM FOR YOUR ORGANIZATION

95	SHL	Did you plan the development of an internal audit program (or programme)?	Y	N	X	
96	SHL	Did you develop a program that can find out if your QMS meets requirements?	Y	N	X	
97	SHL	Did you ensure it can determine if it meets your organization's requirements?	Y	N	X	
98	SHL	Did you ensure it can determine if it meets the AS9100D requirements?	Y	N	X	
99	SHL	Did you develop a program that can determine if your QMS is effective?	Y	N	X	
100	SHL	Did you establish your organization's internal audit program?	Y	N	X	
101	SHL	Do you establish internal audit responsibilities?	Y	N	X	
102	SHL	Do you establish internal audit methods?	Y	N	X	
103	SHL	Do you expect auditors to be objective?	Y	N	X	
104	SHL	Do you expect auditors to be impartial?	Y	N	X	
105	SHL	Do you establish internal audit planning requirements?	Y	N	X	
106	SHL	Do you expect auditors to consider the results of previous audits?	Y	N	X	
107	SHL	Do you expect auditors to consider the impact proposed changes could have?	Y	N	X	
108	SHL	Do you expect auditors to consider the importance of the processes being audited?	Y	N	X	
109	SHL	Do you establish internal audit reporting requirements?	Y	N	X	

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110	SHL	Do you expect auditors to report results to management?	Y	N	X	
111	SHL	Do you establish internal audit schedules?	Y	N	X	
112	SHL	Do you expect audits to be done at planned intervals?	Y	N	X	
113	SHL	Do you apply your organization's internal audit program?	Y	N	X	
114	SHL	Do you define the scope for each internal audit?	Y	N	X	
115	SHL	Do you specify audit criteria for each internal audit?	Y	N	X	
116	SHL	Do you select impartial and objective internal auditors?	Y	N	X	
117	SHL	Do you carry out internal audits at planned intervals?	Y	N	X	
118	SHL	Do you report internal audit results to management?	Y	N	X	
119	SHL	Do you correct nonconformities and take corrective action?	Y	N	X	
120	SHL	Do you expect action to be taken without undue delay?	Y	N	X	
121	SHL	Do you maintain your organization's internal audit program?	Y	N	X	
122	SHL	Do you retain documented information about your audit program?	Y	N	X	
123	SHL	Do you retain your internal audit results and control these results?	Y	N	X	
124	SHL	Do you retain a record of implementation and control these records?	Y	N	X	

#### 9.3 CARRY OUT MANAGEMENT REVIEWS AND DOCUMENT YOUR RESULTS

##### 9.3.1 REVIEW SUITABILITY, ADEQUACY, EFFECTIVENESS, AND DIRECTION

125	SHL	Do you review your organization's quality management system at regular intervals?	Y	N	X	
126	SHL	Do you review the suitability of your organization's quality management system?	Y	N	X	
127	SHL	Do you review the adequacy of your organization's quality management system?	Y	N	X	
128	SHL	Do you review the effectiveness of your organization's quality management system?	Y	N	X	
129	SHL	Do you review the direction of your organization's quality management system?	Y	N	X	
130	SHL	Do you review how well it's aligned with your organization's strategic direction?	Y	N	X	

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