

AFI AIM RBIS QMS OVERSIGHT CHECKLIST

Audited/Inspected AIM Office:	
Name of auditor/Inspector:	
Date of audit/inspection:	

Reference	Questions or items to check	Example of evidence to be reviewed	Level of Implementation (Satisfactory=SA, Unsatisfactory=UN)	Observations
CHAPTER 4. CONTEXT OF THE ORGANIZATION				
ISO 9001:2015, 4.1	QMS 1.1: Has the aeronautical information management provider (AIMP) determined external and internal issues relevant to its purpose and strategic direction?	1) Check if the external and internal issues relevant to the organization purpose and strategic direction have been determined 2) Verify if the organization monitors and reviews information about these external and internal issues	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 4.2	QMS 1.2: Has the AIMP determined the interested parties that are relevant to its QMS and their requirements?	1) Verify the list of determined interested parties 2) Verify the requirements of these interested parties 3) Verify if the informations about these interested parties and thier relevant requirements are monitored and reviewed	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 4.3	QMS 1.3: Has the AIMP determined the boundaries and applicability of the QMS to establish its scope?	1) Verify the scope of its QMS is available as a documented information 2) Verify that, when determining the scope, the organization considers: - its external and internal issues - the requirements of its relevant interested parties - its products and services 3) Verify that the scope: - states the type of products and services covered; - provide justification for any requirement determined as non applicable	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 4.4	QMS 1.4: Has the AIMP determined the processes needed and their interactions?	1) Verify that all the needed processes have been determined as documented information 2) Verify for each process that the following have been determined: - inputs required and output expected - sequence and interactions - criteria and methods needed to ensure the effective operation and control - resources needed - assignment of responsibilities and authorities - risks and opportunities addressed - means of evaluation	<input type="checkbox"/> SA <input type="checkbox"/> UN	
CHAPTER 5. LEADERSHIP				
ISO 9001:2015, 5.2	QMS 2.1: Has the AIMP established and communicated a quality policy?	1) Verify that a quality policy is established as documented information and applies to AIM 2) Verify that this established quality policy: - is appropriate to the purpose and context of the AIMP - provides a framework for setting quality objectives - includes a commitment to satisfy applicable requirements - includes a commitment to continual improvement of QMS - is communicated, understood and applied within AIMP organization - is available to relevant interested parties, as appropriate	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 5.3	QMS 2.2: Has the AIMP assigned responsibilities and authorities for relevant roles?	1) Verify that the responsibilities and authorities have been assigned for: - ensuring that QMS conforms to the requirements of IOS 9001:2015; - ensuring that the processes are delivering their intended outputs; - reporting to Top management on the performance of the QMS and on opportunities for improvement; - ensuring the promotion of customer focus throughout the organization; - ensuring that the integrity of the QMS is maintained when changes to the QMS are planned and implemented.	<input type="checkbox"/> SA <input type="checkbox"/> UN	
CHAPTER 6. PLANNING				
ISO 9001:2015, 6.1	QMS 3.1: Has the AIMP determined the risks and opportunities when planning for its QMS?	1) Verify that when determining risks and opportunities to be adressed, AIMP considers: - external and internal issues; - the interested parties and their requirements. 2) Verify that AIMP has planned: - actions to adress these risks and opportunites; - how to integrate and implement these actions into its QMS processes; - how to evaluate the effectiveness of these actions.	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 6.2.1	QMS 3.2: Has the AIMP established quality objectives at relevant functions, levels and processes needed for QMS?	1) Verify that quality objectives are established at relevant functions, levels and processes (strategic, tactics and operational) 2) Verify that objectives: - are consistent with the quality policy; - are measurable; - take into account applicable requirements; - are relevant to conformity of product and services and to enhance customer satisfaction; - are monitored; - are communicated; - are updated as appropriate. 3) verify that quality objectives are maintained as documented information.	<input type="checkbox"/> SA <input type="checkbox"/> UN	

ISO 9001:2015, 6.2.2	QMS 3.3: Has the AIMP planned how to achieve its quality objectives?	Verify that when planning how to achieve its quality objective, AIMP determines: - what will be done; - what resources will be required; - who will be responsible; - when it will be completed; - <u>how the results will be evaluated.</u>	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 6.3	QMS 3.4: When the AIMP determines a need for changes to its QMS, does the changes be carried out in a planned manner?	Verify that the AIMP considers: - the purpose of the changes and their potential consequences - the integrity of the QMS; - the availability of resources; - the allocation or reallocation of responsibilities and authorities.	<input type="checkbox"/> SA <input type="checkbox"/> UN	
CHAPTER 7. SUPPORT				
ISO 9001:2015, 7.1	QMS 4.1: Has the AIMP determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the QMS?	Verify that the AIMP has determined and provided: - the persons needed; - the organisational knowledge necessary for the operation of its processes and to achieve conformity of products and services; - and maintained the necessary infrastructure (buildings and associated utilities, equipment including hardware and software, transportation resources, information and communication technology); - the environment necessary for the operation of its processes; - the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of product and services requirements	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 7.2	QMS 4.2: Has the AIMP determined the necessary competences of person(s) doing work under its control that affect the performance and effectiveness of the QMS?	Verify that: - the necessary competences have been determined (e.g. job description, job analysis, etc); - the concerned persons are competent on the basis of appropriate education, training or experience; - where applicable, actions are taken to acquire the necessary competences and their effectiveness is evaluated (e.g. training, hiring, On the Job Training, mentoring, reassigning, adjusting job, subcontracting); - appropriate documented information is retained as <u>evidence of competence (training records).</u>	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 7.3	QMS 4.3: Has the AIMP provided QMS awareness to all personnel under its control?	Verify that all personnel under the AIMP control are aware of: - the quality policy; - relevant quality objectives; - their contribution to the effectiveness of the QMS, including the benefits of improved performance; - the implications of not conforming with the QMS requirements.	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 7.4	QMS 4.4: Has the AIMP determined the internal and external communications relevant to its QMS?	Check if the relevant communication needs include: - on what to communicate; - when to communicate; - with whom to communicate; - how to communicate; - <u>who communicates.</u>	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 7.5	QMS 4.5: Has the AIMP QMS include other required documented information?	1) Verify the documented information that have been determined as necessary by the AIMP 2) Verify that, when creating and updating all documented information, the AIMP ensure appropriate: - identification and description (e.g; title, date, author, or reference number); - format (e.g. language, software version, graphics) and media (paper or electronic); - review and approval for suitability and adequacy. 3) Verify that all required or necessary documented information are controlled and the AIMP has adressed the following activities to ensure availability and use where and when needed and adequate protection (loss of confidentiality, improper use, loss of integrity): - distribution, access, retrieval and use; - storage and preservation, including preservation of legibility; - control of changes (e.g; version control); - retention and disposition.	<input type="checkbox"/> SA <input type="checkbox"/> UN	
CHAPTER 8. OPERATION				
ISO 9001:2015, 8.1	QMS 5.1: Does the AIMP plan, implement and control the processes needed to meet the requirements for the provision of product and services?	1) Check if the organization has : - determined the requirements for the products and services - established the criteria for the processes and for the acceptance of products and services; - determined the resources needed to achieve conformity to product and service requirements; - implemented control of the processes in accordance with the criteria; - determined, maintained and retained documented informations; 2) Check if organization control planned changes, review the consequence of unintended changes and take actions to mitigate any adverse effect; 3) Check if the outsources processes are controlled	<input type="checkbox"/> SA <input type="checkbox"/> UN	

ISO 9001:2015, 8.2	QMS 5.2: Has the AIMP determined and reviewed the requirements for products and services?	<p>Check if the organization:</p> <p>1) has a communication process with its customer which includes:</p> <ul style="list-style-type: none"> - providing information relating to products and services; - handling enquiries, contract or orders, including changes; - obtaining customer feedback relating to products and services, including customer complaints; - handling or controlling customer property; - establishing specific requirements for contingency actions, when relevant, <p>2) has defined the requirements for products and services, including:</p> <ul style="list-style-type: none"> - any applicable statutory and regulatory requirements; - those considered necessary by the organization, <p>3) ensured that it can meet the claims for the products and services it offers.</p> <p>4) conduct reviews of product/service requirements on a regular basis;</p> <p>5) retain documented information (as applicable) on the results of the reviews and on any new requirements for the products and services</p>	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 8.3	QMS 5.3: Has the organization established, implemented and maintained an appropriate design and development process to ensure the subsequent provision of products and services?	<p>Check if:</p> <p>a. the design and development stages, as well as the review and validation activities have been determined;</p> <p>b. the interfaces between the people involved in Design and Development have been managed (responsibilities and authorities);</p> <p>c. internal and external resource needs have been determined;</p> <p>d. the input elements for the product/service requirements have been determined and records kept;</p> <p>e. the input elements include:</p> <ul style="list-style-type: none"> - functional and performance requirements; - information from previous similar designs; - legal and regulatory requirements; - applicable standards or internal rule of art; - consequences of a potential failure, <p>f. The expected results of the activities of the design and development process are monitored and reviews are conducted to assess the ability to achieve these results;</p> <p>g. compliance and/or measure discrepancies between output elements and D&D entry requirements are verified;</p> <p>h. validation activities are implemented to ensure that products or services meet the requirements before implementation;</p> <p>i. When the results are not achieved at the time of reviews, verification and validation, actions are implemented;</p> <p>j. documented information about the proper functioning of the design and development process is retained.</p>	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 8.4	QMS 5.4: Does the organization ensure that externally provided processes, products and services conform to requirements?	<p>check if:</p> <ul style="list-style-type: none"> - criteria are established for the evaluation, selection, performance monitoring and re-evaluation of external service providers as documented information; - the risks of the impact of outsourcing processes, products and services are taken into account; - there are any means defined to verify that the product/service provided meets organization requirements; - the conformity of products and services carried out by external service providers is verified; - the organization communicate its requirements to service providers (elements to be provided, skills, means of mastery, verification to be carried out) 	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 8.5	QMS 5.5: Does the organization implement production and service provision activities under controlled conditions ?	<p>1) Verify that controlled conditions include, as applicable:</p> <ul style="list-style-type: none"> - availability of documented information; - availability and use of suitable monitoring and measuring resources; - implementation of monitoring and measurement activities at appropriate stages; - use of suitable infrastructures and environment for the operation of the processes; - appointment of competent persons, including any required qualifications; - validation and periodic revalidation, of the ability to achieve planned results of the processes where the resulting output cannot be verified by subsequent monitoring or measurement; - implementation of actions to prevent human errors; - implementation of release, delivery and post-delivery activities. <p>2) Check the means used to identify outputs when necessary;</p> <p>3) Check the steps taken to preserve the property of the customer or external service provider when it is under organization control (identification, verification, protection, safeguarding, report to the customer or</p>	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 8.6	QMS 5.6: Does the organization implement planned arrangements to verify that the products and services requirements have been met?	<p>Check if:</p> <ul style="list-style-type: none"> - the release of products and services to the customer is carried out only if the execution is satisfactory to the planned provisions (unless approved by a competent authority or by the customer); - the documented information about the release is retained. 	<input type="checkbox"/> SA <input type="checkbox"/> UN	

ISO 9001:2015, 8.7	QMS 5.7: Does the organization ensure that the output elements of processes, products, or services that do not meet the requirements are identified and controlled in order to prevent their use or delivery?	<p>1) Verify that the organization take appropriate actions (correction, isolation, customer information, derogation ..) based on the nature of the nonconformity and its effect on the conformity of product and services.</p> <p>2) Verify that this also apply to nonconforming products and services detected after delivery of product, during or after the provision of services.</p> <p>3) Check if conformity to the requirements is verified after nonconforming outputs are corrected.</p> <p>4) Check the retained documented information .</p>	<input type="checkbox"/> SA <input type="checkbox"/> UN	
CHAPTER 9. PERFORMANCE EVALUATION				
ISO 9001:2015, 9.1	Has the organization defined and implemented monitoring activities?	<p>1) Check if the organization has determined:</p> <ul style="list-style-type: none"> - What needs to be monitored and measured; - the methods to be used for monitoring, measurement, analysis and evaluation needed to ensure valid results; - when the monitoring and measuring has to be performed; - when the results from monitoring and measurement has to be analysed and evaluated; <p>2) Check if documented informations are retained as evidence of the monitoring results (including performance and effectiveness of QMS evaluation, customer's perception of the level of satisfaction of its requirements)</p>	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 9.2	Has the organization conducted internal audits at planned intervals?	<p>Check if the organization has:</p> <ul style="list-style-type: none"> - planned, established, and implemented an audit programm including the frequency, the methods, responsibilities; - defined audit criteria and scope for each audit; - selected auditors to ensure objectivity and impartiality of the audit process; - ensured that the results of the audits are reported to the relevant management; - taken appropriate correction and corrective actions without undue delay; - retained documented information as evidence of the implementation of the audit program and audit results? 	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 9.3	Are the management reviews planned and carried out?	<p>Check if:</p> <ul style="list-style-type: none"> - the management review inputs take into account all the elements listed in the standard (9.3.2); - following the management review, decisions and actions relating to opportunities for improvement and possible changes are taken; - documented information are retained as evidence of the results of management reviews ? 	<input type="checkbox"/> SA <input type="checkbox"/> UN	
CHAPTER 10. IMPROVEMENT				
ISO 9001:2015, 10.1 and 10.2	Has the organization taken actions taken to meet customer requirements and increase customer satisfaction?	<p>Verify if the organization:</p> <ul style="list-style-type: none"> - react to the matching of a nonconformity or customer complaint (control, correction, measurement of consequences); - analyse and evaluate non-conformities/customer complaints; - take corrective action to eliminate the causes of detected nonconformities to prevent their recurrence; - measure the effectiveness of corrective actions; - keep documented information as evidence of non-conformities and actions taken; - update the risks and opportunities identified during planning if necessary; - modify its QMS if necessary. 	<input type="checkbox"/> SA <input type="checkbox"/> UN	
ISO 9001:2015, 10.3	Does the organization ensure the continual improvement of the effectiveness of its QMS?	<p>Check if the organization has considered the results of analysis and evaluation, and the outputs from management review to determine if there are needs or opportunities that can be addresses as part of continual improvement</p>	<input type="checkbox"/> SA <input type="checkbox"/> UN	