AS9100D Audit Checklist
(Overview)

AS9100D-AC-001

Clause 4 - Context of the Organization

Evidence/Remarks

- Have we identified our key processes and their interactions? ☐
- Do we understand the needs of stakeholders and customers? ☐
- Is our scope of certification clearly defined and communicated? ☐

Note: Auditors will expect to see a process map, stakeholder analysis, and a clearly defined scope statement in the QMS.

Clause 5 - Leadership

Evidence/Remarks

- Can leadership show commitment to the QMS? ☐
- Is the quality policy communicated/understood by employees? ☐
- Are roles, responsibilities, and authorities defined? ☐

Note: Leadership commitment is demonstrated through management review, communication of the quality policy, and clear assignment of roles within the organization.

Clause 6 - Commitment

Evidence/Remarks

- Do we have a process to identify risks and opportunities? ☐
- Are quality objectives measurable/aligned with business goals? ☐
- Are actions for risks and opportunities implemented/reviewed? ☐

Note: Evidence of planning often includes a risk register, measurable objectives, and follow-up on actions.

Clause 7 - Planning

Evidence/Remarks

- Do employees have the necessary competence and training? ☐
- Are resources, infrastructure, and environment adequate? ☐
- Is knowledge management and document control effective? ☐

Note: Training records, controlled documents, and adequate resources are expected as audit evidence.

Clause 8 - Operation

Evidence/Remarks

- Documented process for: design, purchasing, prodution? ☐
- Are suppliers and external providers controlled? ☐
- Is there evidence of product conformity before delivery? ☐
- Are risks like counterfeit parts and FOD addressed? ☐

Note: Documented procedures, supplier controls, inspection records, and risk-based controls for counterfeit parts and FOD are key.

Clause 9 - Performance Evaluation

Evidence/Remarks

- Are customer satisfaction and feedback monitored? ☐
- Are internal audits planned, executed, and documented? ☐
- Do management reviews cover all required inputs and outputs? ☐

Note: Customer feedback, internal audit results, and management review minutes provide core evidence.

Clause 10 - Improvement

Evidence/Remarks

- Do we have a process for handling nonconformities? ☐
- Are corrective actions implemented and effective? ☐
- Is there evidence of continual improvement initiatives? ☐

Note: Nonconformity logs, corrective action records, and continual improvement projects demonstrate compliance.

**This checklist is provided as a general guidance tool to help organizations prepare for AS9100D audits. It is not a substitute for the full AS9100D standard, certification requirements, or professional auditing expertise. Each organization is responsible for ensuring compliance with applicable regulatory, customer, and certification body requirements.*