

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, production? - 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.*