

HARRINGTON GROUP INTERNATIONAL

Quality Management Systems • Since 1991

ULTIMATE
AS9100D AUDIT READINESS GUIDE
& GAP ANALYSIS CHECKLIST

Aviation • Space • Defense • Supply Chain

A clause-by-clause working document for Stage 1 and Stage 2 certification readiness, internal audit planning, and aerospace-specific gap closure.

Standard	SAE AS9100D:2016 (ISO 9001:2015 + ASD adders)
Document type	Audit readiness guide + scored gap analysis
Intended users	Quality managers, MR, internal auditors, program leads
Status legend	C = Compliant P = Partial N = Not in place NA = Not applicable
Revision / date	Rev 1.0 • September 2026

Organization: _____ Site: _____

Completed by: _____ Date: _____

QMS scope (products / processes): _____

DISCLAIMER

This guide is an implementation and readiness tool. It does not reproduce the copyrighted text of SAE AS9100D or ISO 9001:2015. Always assess against the official standard, customer flow-downs (e.g., Boeing D6, Airbus GRAMS, Lockheed, NASA, DoD), statutory/regulatory requirements, and your certification body’s scheme rules (IAQG OASIS / 9104-1). Customer and regulatory requirements take precedence if they conflict with this checklist.

1. How to Use This Guide

Complete this document before you invite a certification body (CB) for Stage 1. Most first-time AS9100 findings are not “missing procedures.” They are missing aerospace evidence: configuration reconstruction, counterfeit-parts controls that actually work, product-safety ownership, special-process linkage to qualified operators, and first-article packages that match the drawing revision on the floor.

Scoring method

1. Walk each question with the process owner and a sample of records — not just the Quality Manual.
2. Mark C only when objective evidence exists, is current, and can be retrieved in the audit room.
3. Mark P when a process exists but is incomplete, untrained, or inconsistently applied.
4. Mark N when the requirement is in scope and nothing usable exists.
5. Mark NA only with a documented justification in the QMS scope (clause 4.3).

Priority column: High = frequent Stage 1/2 finding or flight-safety related. Close High items before scheduling Stage 2.

Recommended sequence

Step	Activity	Output
1	Confirm scope, exclusions, sites, and special processes	Scope statement + process map
2	Complete High-priority aerospace adder section first	Risk list for CM, CPS, safety, FAI
3	Run clause-by-clause gap tables with process owners	Scored checklist
4	Inventory mandatory documents and records	Doc/record matrix
5	Close High/Partial gaps; run internal audit + MR	CAPA + management review minutes
6	Stage 1 readiness review (documentation + implementation samples)	Go / no-go for CB
7	Stage 2 process audit readiness (shop floor evidence)	Certification audit

2. What AS9100D Actually Adds

AS9100D includes all of ISO 9001:2015 and adds aviation, space, and defense requirements. Organizations that treat AS9100 as “ISO 9001 plus a few extra paragraphs” consistently fail Stage 1 on aerospace-specific evidence.

Area	ISO 9001:2015	AS9100D expectation
Product safety	Not explicit	Lifecycle process to identify and control safety risks and critical items
Counterfeit parts	Not addressed	Prevent, detect, segregate, and report suspect/counterfeit parts
Configuration management	Not required	Control product configuration through the lifecycle; reconstruct as-designed / as-built
Operational risk	Risk-based thinking	Structured operational risk at contract, design, and production
Project / program mgmt	Not required	Plan and control complex programs across the product lifecycle
Work transfers	Generic control of changes	Control temporary or permanent process/site/supplier transfers
Key characteristics	Not required	Identify, control, and monitor KCs and critical items
Production process verification	Process control	First article / process verification (typically AS9102)
Special processes	Validation where output not verified	Qualified processes, personnel, and equipment with records
Human factors	Awareness in general	Consider human factors in design and production planning
Traceability	Where required	Lot/serial-level traceability through the supply chain when specified
On-time delivery / quality	Customer satisfaction	Measure and act on product conformity and OTD as QMS objectives
External providers	Purchasing controls	Approved sources, flow-down, right of access, special reqs, risk

Area	ISO 9001:2015	AS9100D expectation
Nonconforming product	Control NC output	Containment, disposition authority, customer notification, scrap control

3. Highest-Frequency Finding Areas

Close these first. Certification bodies and customer auditors return to them on every surveillance cycle.

3.1 Configuration management (8.1.2 / 8.1.3)

Can you reconstruct, for a shipped serial or lot: the approved drawing revision, the traveler/router revision, the BOM revision, the software/firmware load (if any), approved deviations, and the as-built record — three months later? If ERP, PLM, and the floor traveler disagree, you have a finding waiting.

3.2 Counterfeit parts prevention (8.1.4)

A procedure titled “Counterfeit Parts” is not enough. Auditors want approved-source logic, incoming inspection that can actually detect suspect parts, quarantine, reporting (GIDEP / customer / ERAI as applicable), obsolescence awareness, and evidence the purchasing team follows it under schedule pressure.

3.3 Product safety (8.1.3 and related 4.4 / 8.1)

Who owns product safety? How are safety-critical items and characteristics identified, flowed to suppliers, and controlled in production? Safety cannot live only in Engineering.

3.4 First article / production process verification (8.5.1.3)

FAI packages must match the current approved configuration. Partial FAIs after process changes, delta FAIs, and AS9102 form completeness (or customer equivalent) are frequent misses.

3.5 Special processes and competence (8.5.1.2 / 7.2)

Heat treat charts, NDT, welding, plating, painting, and similar processes fail when the operator on the record is not currently qualified for that process/spec, or the NADCAP / customer approval has lapsed.

3.6 Risk that does not reach the floor (6.1 / 8.1.1)

A corporate risk register that never changes a control plan, traveler, or inspection frequency is treated as window dressing.

4. Certification Path (IAQG Scheme)

Phase	What the CB is testing	You must be able to show
Application / OASIS	Legal entity, sites, scope, IAQG rules	Accurate scope; no hidden sites or processes
Stage 1	Documentation + implementation readiness	Manual/process docs, scope, objectives, internal audit, MR, samples
Stage 2	Effective implementation across processes	Shop-floor evidence, records, interviews, product realization trail
Certificate / OASIS	Certified status visible to customers	Correct PEARs / processes listed
Surveillance	Continued effectiveness	OTD, quality escapes, CAPA health, config control still working
Recertification	Full system over the cycle	Trend data, not a last-month cleanup

Note: 9104-1 scheme rules, PEAR (Process Effectiveness Assessment Report) methodology, and OASIS database entries are part of the aerospace certification system — plan for them, not only the clause text.

5. Organization Profile (complete before scoring)

Item	Your answer
Legal entity / sites in scope	
Design responsibility? (yes / no / partial)	
Build-to-print only?	
Software / firmware in product?	
Special processes on-site (list)	
Special processes outsourced (list + approvals)	
Distribution / stockist activity?	
MRO / repair station? (Part 145 or equivalent)	
ITAR / EAR / classified work?	
Primary customers / prime flow-downs	
Current certifications (ISO 9001, NADCAP, etc.)	
ERP / QMS / PLM systems in use	

6. Clause-by-Clause Gap Analysis

Status: C = Compliant P = Partial N = Not in place NA = Not applicable. Write evidence references (doc #, record location, owner) in the notes column during the assessment.

Clause 4 — Context of the Organization

Intent: Know the environment you operate in, who you must satisfy, where the QMS starts and stops, and how processes interact — including aerospace and customer QMS requirements.

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
4.1	Are internal and external issues that affect the QMS determined and reviewed (market, regulation, technology, culture, performance)?	☐ C ☐ P ☐ N ☐ NA		Med

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
4.2	Are relevant interested parties and their requirements determined (customers, primes, regulators, employees, suppliers, IAQG scheme)?	☐ C ☐ P ☐ N ☐ NA		Med
4.3	Is the QMS scope documented, including boundaries, products, sites, and justified non-applicable requirements?	☐ C ☐ P ☐ N ☐ NA		High
4.4.1	Are QMS processes identified with sequence, interaction, criteria, resources, responsibilities, and risks/opportunities?	☐ C ☐ P ☐ N ☐ NA		High
4.4.1	Does the QMS address customer and applicable statutory/regulatory QMS requirements (not only ISO text)?	☐ C ☐ P ☐ N ☐ NA		High
4.4.2	Is documented information maintained to support process operation and retained to have confidence processes are carried out as planned?	☐ C ☐ P ☐ N ☐ NA		Med

Clause 5 — Leadership

Intent: Top management is accountable for the QMS, the quality policy, and a culture that does not trade flight safety or conformity for schedule.

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
5.1.1	Does top management demonstrate accountability for QMS effectiveness, integration into business processes, and promotion of improvement / process approach / risk-based thinking?	☐ C ☐ P ☐ N ☐ NA		High
5.1.2	Is customer focus demonstrated — including product conformity, on-time delivery, and applicable statutory/regulatory requirements?	☐ C ☐ P ☐ N ☐ NA		High
5.2	Is a quality policy established, appropriate, communicated, and available as documented information?	☐ C ☐ P ☐ N ☐ NA		Med
5.3	Are responsibilities and authorities assigned, communicated, and understood — including the management representative role still expected in aerospace practice?	☐ C ☐ P ☐ N ☐ NA		High
5.3	Is there defined authority to stop production / shipment when conformity or safety is in doubt?	☐ C ☐ P ☐ N ☐ NA		High

Clause 6 — Planning

Intent: Risks, opportunities, quality objectives (including quality and OTD), and changes are planned — not improvised after a finding.

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
6.1	Are risks and opportunities that affect QMS intended results determined, with actions planned, implemented, and evaluated?	☐ C ☐ P ☐ N ☐ NA		High
6.2	Are quality objectives established at relevant functions/levels, measurable, aligned to the policy, and inclusive of product conformity and on-time delivery?	☐ C ☐ P ☐ N ☐ NA		High
6.2	Are plans to achieve objectives documented (what, resources, who, when, how evaluated)?	☐ C ☐ P ☐ N ☐ NA		Med
6.3	Are changes to the QMS planned, including purpose, integrity of the QMS, resources, and responsibilities?	☐ C ☐ P ☐ N ☐ NA		Med

Clause 7 — Support

Intent: People, infrastructure, environment, monitoring equipment, knowledge, competence, awareness, communication, and documented information actually support conforming, safe product.

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
7.1.1–3	Are resources, infrastructure, and process environment determined and maintained (including ESD, FOD, temperature, cleanliness where relevant)?	☐ C ☐ P ☐ N ☐ NA		High
7.1.4	Is the environment for operation of processes managed, including human and physical factors that affect product conformity?	☐ C ☐ P ☐ N ☐ NA		Med
7.1.5	Is monitoring and measuring equipment fit for purpose, calibrated/verified, identified, safeguarded, and are out-of-tolerance actions defined?	☐ C ☐ P ☐ N ☐ NA		High
7.1.5	Are measurement traceability and recall systems effective (who owns the list; what happens when a gage is overdue)?	☐ C ☐ P ☐ N ☐ NA		High
7.1.6	Is organizational knowledge determined, maintained, and made available (tribal knowledge risk on special processes)?	☐ C ☐ P ☐ N ☐ NA		Med
7.2	Is competence determined, obtained, and recorded — including special process qualifications and awareness of product safety / counterfeit / ethical behavior?	☐ C ☐ P ☐ N ☐ NA		High
7.3	Are persons aware of the quality policy, relevant objectives, their contribution, implications of nonconformity, and product safety / counterfeit / ethical requirements?	☐ C ☐ P ☐ N ☐ NA		High
7.4	Are internal and external communications relevant to the QMS determined?	☐ C ☐ P ☐ N ☐ NA		Low
7.5	Is documented information controlled (create, update, distribution, obsolete, external docs including customer drawings and specs)?	☐ C ☐ P ☐ N ☐ NA		High
7.5	Can the current approved configuration of documents be distinguished from obsolete copies on the floor?	☐ C ☐ P ☐ N ☐ NA		High

Clause 8 — Operation (the audit's center of gravity)

Intent: Plan and control product realization from contract through delivery and post-delivery, with aerospace controls for risk, configuration, safety, counterfeit parts, suppliers, production, and nonconforming product.

8.1 Operational planning and control

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
8.1	Is operational planning established for product requirements, process criteria, resources, verification/validation, and records — including project/program planning where applicable?	☐ C ☐ P ☐ N ☐ NA		High
8.1.1	Is operational risk management implemented (identify, assess, communicate, mitigate, accept remaining risk) across relevant product realization stages?	☐ C ☐ P ☐ N ☐ NA		High
8.1.2	Is configuration management planned and controlled (identification, traceability, status accounting, change control)?	☐ C ☐ P ☐ N ☐ NA		High
8.1.3	Is product safety managed across the lifecycle (responsibilities, hazard identification, reporting of safety issues, training)?	☐ C ☐ P ☐ N ☐ NA		High
8.1.4	Is prevention of counterfeit or suspect counterfeit parts established (awareness, approved sources, incoming controls, quarantine, reporting)?	☐ C ☐ P ☐ N ☐ NA		High

8.2 Requirements for products and services

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
8.2.1	Is customer communication defined (inquiries, contracts, feedback, complaints, customer property, contingency arrangements)?	☐ C ☐ P ☐ N ☐ NA		Med
8.2.2	Are statutory, regulatory, and customer requirements determined, including special requirements and critical items / key characteristics when specified?	☐ C ☐ P ☐ N ☐ NA		High
8.2.3	Are requirements reviewed before commitment (capability, differences resolved, records retained)? Are risks from 8.1.1 considered at contract review?	☐ C ☐ P ☐ N ☐ NA		High
8.2.4	When requirements change, is documented information amended and relevant persons made aware?	☐ C ☐ P ☐ N ☐ NA		Med

8.3 Design and development (if in scope)

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
8.3.1–2	Is design and development planned (stages, reviews, verification, validation, responsibilities, customer/authority involvement)?	☐ C ☐ P ☐ N ☐ NA		High
8.3.3	Are design inputs complete (performance, statutory/reg, standards, lessons learned, critical items / KCs, product safety)?	☐ C ☐ P ☐ N ☐ NA		High
8.3.4	Are controls applied (reviews, verification, validation, authorization to proceed)?	☐ C ☐ P ☐ N ☐ NA		High
8.3.5	Do design outputs meet inputs, include monitoring/measuring requirements, and identify critical items / KCs?	☐ C ☐ P ☐ N ☐ NA		High
8.3.6	Are design changes controlled, reviewed for product safety / configuration impact, and recorded?	☐ C ☐ P ☐ N ☐ NA		High

8.4 Control of externally provided processes, products and services

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
8.4.1	Are external providers evaluated, selected, monitored, and re-evaluated using defined criteria including product conformity and OTD?	☐ C ☐ P ☐ N ☐ NA		High
8.4.1	Is the approved supplier list controlled? Are customer-designated sources used when required?	☐ C ☐ P ☐ N ☐ NA		High
8.4.2	Is the type and extent of control defined based on risk, including verification activities and right of access (org, customer, authorities) flowed down?	☐ C ☐ P ☐ N ☐ NA		High
8.4.3	Do purchasing information / flow-downs include applicable specs, special requirements, KCs, FAI, record retention, counterfeit, product safety, ethical behavior, and change notification?	☐ C ☐ P ☐ N ☐ NA		High
8.4	Are work transfers to suppliers or other sites planned and verified before and after transfer?	☐ C ☐ P ☐ N ☐ NA		High

8.5 Production and service provision

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
8.5.1	Is production carried out under controlled conditions (documented information, suitable equipment, monitoring, infrastructure, competent persons)?	☐ C ☐ P ☐ N ☐ NA		High
8.5.1.1	Is control of equipment, tools, and software used in production maintained (including NC programs / process software)?	☐ C ☐ P ☐ N ☐ NA		High
8.5.1.2	Are special processes validated, approved, and periodically reviewed (including personnel and equipment)?	☐ C ☐ P ☐ N ☐ NA		High
8.5.1.3	Is production process verification (FAI / equivalent) performed for new parts and significant process changes?	☐ C ☐ P ☐ N ☐ NA		High
8.5.2	Is identification and traceability maintained to the extent required, including configuration status?	☐ C ☐ P ☐ N ☐ NA		High
8.5.3	Is customer or external provider property identified, protected, and issues reported?	☐ C ☐ P ☐ N ☐ NA		Med
8.5.4	Is product preserved (handling, contamination / FOD, packaging, shelf life, ESD, packing/shipping)?	☐ C ☐ P ☐ N ☐ NA		High
8.5.5	Are post-delivery activities determined and performed (warranty, maintenance, technical support, unplanned events)?	☐ C ☐ P ☐ N ☐ NA		Med
8.5.6	Are production / process changes controlled, reviewed, and communicated — including customer approval when required?	☐ C ☐ P ☐ N ☐ NA		High

8.6 / 8.7 Release and nonconforming outputs

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
8.6	Is release of products and services planned, with evidence of conformity and traceability to the person authorizing release?	☐ C ☐ P ☐ N ☐ NA		High
8.7	Are nonconforming outputs identified, controlled, contained, and dispositioned by authorized persons?	☐ C ☐ P ☐ N ☐ NA		High
8.7	Are customer-approved dispositions obtained when required? Is scrap controlled to prevent unintended use?	☐ C ☐ P ☐ N ☐ NA		High
8.7	Are counterfeit or suspect parts processed under both 8.7 and 8.1.4 (not treated as ordinary scrap)?	☐ C ☐ P ☐ N ☐ NA		High

Clause 9 — Performance Evaluation

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
9.1.1	Is QMS performance monitored, including product conformity and on-time delivery?	☐ C ☐ P ☐ N ☐ NA		High
9.1.2	Is customer satisfaction monitored, including complaints, escapes, scorecards, and OTD/quality data from primes?	☐ C ☐ P ☐ N ☐ NA		High
9.1.3	Is analysis and evaluation used to assess conformity, customer satisfaction, process performance, suppliers, and improvement needs?	☐ C ☐ P ☐ N ☐ NA		Med
9.2	Is an internal audit program planned based on importance, changes, and previous results — covering aerospace processes, not only office clauses?	☐ C ☐ P ☐ N ☐ NA		High
9.2	Are auditors independent of the work audited and competent in AS9100 process auditing?	☐ C ☐ P ☐ N ☐ NA		High
9.3	Does management review cover required inputs (performance, audit results, risks, suppliers, OTD/quality, adequacy of resources) and produce decisions/actions?	☐ C ☐ P ☐ N ☐ NA		High

Clause 10 — Improvement

Clause	Requirement / Assessment Question	Status	Evidence / Notes	Priority
10.1	Are opportunities for improvement determined and selected?	☐ C ☐ P ☐ N ☐ NA		Low
10.2	When a nonconformity occurs, is containment, correction, root cause, corrective action, and effectiveness check performed — including customer escapes?	☐ C ☐ P ☐ N ☐ NA		High
10.2	Are human factors considered when determining causes (as applicable)?	☐ C ☐ P ☐ N ☐ NA		Med
10.3	Is the QMS continually improved using performance data, not only audit findings?	☐ C ☐ P ☐ N ☐ NA		Med

7. Mandatory Documented Information Snapshot

AS9100D does not require a long list of named “Level 2 procedures,” but it does require documented information where specified and wherever needed for effective planning, operation, and control. Aerospace customers almost always expect written processes for the items below.

Item	Clause	Type	In place? (Y/N)	Doc / record ID
QMS scope	4.3	Document		
Process description / interaction / responsibilities	4.4.2	Document		
Quality policy	5.2	Document		
Quality objectives and plans	6.2	Document		
Control of externally provided processes/products/services	8.4.1	Documented process		
Control of nonconforming outputs	8.7.1	Documented process		
Nonconformity and corrective action	10.2.1	Documented process		
Evidence processes carried out as planned	4.4.2	Records		
Calibration / verification records	7.1.5	Records		
Competence records	7.2	Records		
Requirements review records	8.2.3	Records		
Design records (if applicable)	8.3	Records		
Supplier evaluation / monitoring	8.4.1	Records		
Traceability / identification records	8.5.2	Records		
Property of customer / external provider issues	8.5.3	Records		
Change control records	8.5.6	Records		
Release / conformity evidence	8.6	Records		
Nonconforming output dispositions	8.7	Records		
Monitoring results / analysis	9.1	Records		
Internal audit program and results	9.2	Records		
Management review	9.3	Records		
Corrective action records	10.2	Records		
FAI / process verification packages	8.5.1.3	Records (typical)		
Configuration / as-built records	8.1.2	Records (typical)		
Counterfeit parts events / training	8.1.4	Records (typical)		
Special process validations / certs	8.5.1.2	Records (typical)		

8. Stage 1 vs Stage 2 Evidence Pack

Stage 1 — bring this binder (physical or electronic)

- Quality manual or equivalent process architecture and scope statement
- Process map / turtle diagrams / interaction chart

- Quality policy and current objectives with OTD and conformity metrics
- Internal audit program, recent audits covering aerospace processes, auditor competence
- Management review minutes with required inputs and actions
- CAPA log showing cause and effectiveness — not just “retrained operator”
- Approved supplier list and sample POs with aerospace flow-down
- Configuration, product safety, counterfeit, FAI, and special-process procedures
- Sample records proving the procedures are not shelfware

Stage 2 — the auditor will pull a product thread

Expect the CB to pick a part number or work order and walk: contract → design/planning → purchasing → receiving → production traveler → special processes → inspection → FAI → release → shipping → any NC/CAPA. Every system that cannot support that thread will generate a finding.

9. Scoring Summary

Tally items marked C / P / N after the assessment. Treat NA separately and confirm each NA against clause 4.3.

Clause group	# items	# C	# P	# N	# NA	High-priority open
4 Context	6					
5 Leadership	5					
6 Planning	4					
7 Support	10					
8.1 Planning / risk / CM / safety / CPS	5					
8.2 Requirements	4					
8.3 Design (if applicable)	5					
8.4 External providers	5					
8.5 Production & service	9					
8.6 / 8.7 Release & NC	4					
9 Performance evaluation	6					
10 Improvement	4					
TOTAL	67					

Readiness rule of thumb: do not schedule Stage 2 with any High-priority N items, or with clusters of P items in configuration, counterfeit parts, product safety, FAI, special processes, or supplier flow-down.

10. Gap Closure Action Register

#	Gap (clause + issue)	Root cause (short)	Action	Owner	Due	Status
1						
2						
3						
4						

#	Gap (clause + issue)	Root cause (short)	Action	Owner	Due	Status
5						
6						
7						
8						
9						
10						

11. 30 / 60 / 90-Day Readiness Plan

Window	Focus	Done when
Days 1–30	Scope, process map, High-risk adders (CM, CPS, safety, FAI, special processes), document inventory	High-risk procedures exist and owners named
Days 31–60	Implement records on live jobs; supplier flow-down; calibration/competence cleanup; internal audit of operations	Sample product thread can be walked without holes
Days 61–90	Full internal audit, management review, CAPA effectiveness, Stage 1 pack, mock Stage 2	CB Stage 1 scheduled with no known High N items

12. Related Standards Often in the Same Audit Conversation

Standard / spec	When it shows up
AS9102	First article inspection forms and content
AS9103	Variation management of key characteristics
AS9110	Maintenance organizations (instead of or with 9100)
AS9120	Distributors / stockists
AS9145	APQP / PPAP in aerospace programs
AS5553 / AS6174	Counterfeit electrical / material prevention (often flowed)
NADCAP / PRI	Special process accreditation expected by primes
Customer QMS (D6, GRAMS, etc.)	Will override or add to AS9100 on that contract
ISO 9001:2015 (base text)	Every AS9100D clause sits on this structure
9104-1 / OASIS	IAQG certification scheme rules your CB must follow

13. Auditor Interview Prompts (practice these)

Use these with process owners one week before Stage 2. If the owner cannot answer without calling Quality, the process is not embedded.

- Show me the current approved configuration for this work order and how you know it is current.
- What do you do if this part looks authentic but the paperwork or marking is wrong?
- Which characteristics on this job are key or safety-critical, and how are they controlled?
- Who can disposition this nonconformance, and when must the customer be notified?
- Is this operator currently qualified for this special process specification?
- What changed on this job since the last FAI, and was a delta FAI required?
- How did this supplier get on the approved list, and what is their current quality/OTD performance?
- If you needed to stop the line for a safety concern, what is the authority path?

14. Notes for Integrated QMS / Software Users

If you run HQMS, CaWeb, Training Manager, Calibration Recall, or a comparable QMS platform, map this checklist to live modules rather than parallel spreadsheets:

- Document control and configuration status of procedures and work instructions
- Training / competence matrix tied to special processes and audit roles
- Calibration recall with out-of-tolerance impact assessment
- CAPA / 8D with effectiveness checks and escape linkage
- Audit scheduling by process (not only by clause) with PEAR-style effectiveness notes
- Supplier rating on conformity and OTD, with flow-down templates on POs

15. Document Control Block

Field	Entry
Document title	Ultimate AS9100D Audit Readiness Guide & Gap Analysis Checklist
Revision	1.0
Date	September 2026
Owner	Quality / Management Representative
Classification	Internal working tool
Related standards	SAE AS9100D; ISO 9001:2015; IAQG 9104-1 (scheme)
Prepared for	Harrington Group International clients and internal use

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Quality management software and professional resources since 1991.