Audit & Compliance Alert

March 2020

Subject: COVID-19 Level III / IV Exemptions - Deviations in Order to Maintain Auditor Authorizations & Membership Requirements

Given the unprecedented global travel restrictions set in place to control the COVID-19 pandemic, we recognize it may prove impossible to complete auditor check-rides, the number of required annual audits, and training as required by the P&P. We understand there are a variety of reasons why these requirements may be difficult to accomplish to include: vendor visitor restrictions, governmental restrictions to locations designated as level 3 by the CDC, or interim Air Carrier travel restrictions in an attempt to control the spread of the virus.

Due to the interim policies instituted by the government, vendors, and our members that are outside of the auditor’s control, C.A.S.E. Representatives should submit a request for an exemption/deviation for any items listed under “Maintaining Authorization” on P&P 2-3-1 in accordance with the policies set forth in the C.A.S.E. P&P manual [1-9-1].

We suggest auditors request a 6-month extension to accomplish their check-ride, with the understanding that the new date will not change the current cycle for the next recurrent check-ride. For example; if the checkride is due March 2020 and it is extended to October 2020, the next check-ride will be due March 2022. We are hopeful all interim policies/restrictions will be lifted well in advance of the 6-month extension request but will address later in the summer, if need be.

If the check-ride can be accomplished sooner than indicated in the exemption/deviation letter (no vendor visitor restriction, local audit requiring no air travel, etc.), by all means, the audit should be accomplished as early as possible. Performing an extended checkride audit as soon as possible will help alleviate a backlog and help with Level IV availability.

Under NO circumstances should a vendor be deleted from the C.A.S.E. register for declining an audit due to an interim policy restricting visitor access to the facility. Should an auditor feel the need to delete a vendor due to facility access, please contact Mike Teague of the Audit & Compliance committee for guidance prior to taking any register action.

Please understand, the interim travel policies related to the pandemic is beyond any member/auditor’s control, however, as part of everyone’s membership obligations, C.A.S.E. related activities (checkrides, training, minimum audits) should not be considered discretionary travel and should not be included in restricted travel plans for budgetary reasons; meaning, once the pandemic subsides and vendors lift visitation restrictions, every attempt should be made to restore normal C.A.S.E. auditing activities regardless of individual member budgetary concerns/restrictions. The Audit & Compliance committee, has never exempted a member from any P&P member requirement due to a reduced budget or cost cutting initiative.

Please contact the Audit & Compliance committee with any questions, comments, or concerns.