

C.A.S.E.
AIR CARRIER SECTION
POLICIES AND PROCEDURES

DISTRIBUTORS OF NEW AND SURPLUS PARTS
AUDIT CHECKLIST

Audit Type: Pre-Award: Surveillance: Follow-Up:

Distributor's Name: _____

Address: _____

City: _____ **State:** _____ **Zip:** _____

Division of: _____ **Phone:** _____

E-mail: _____ **Fax:** _____

Years in Business: _____ **Size-Number of Personnel:** _____

Distributor Contacts: _____

Quality Control: _____ **Phone:** _____

Inspection: _____ **Phone:** _____

Material Control: _____ **Phone:** _____

Auditor's recommendation of surveillance audit interval: _____ **months**

Quality System: Accepted Not Accepted

Corrective action required by _____ **prior to acceptance.**

Corrective action required by _____ **for continued acceptance.**

Acceptable corrective action received on _____

Auditor's Signature: _____ **Date:** _____

C.A.S.E. Register (circle one): **Add** **Delete** **Update** **No Action**

NOTE: Initiate and complete a Vendor Expectations and Limitations (VEL) prior to taking register action to add or update the vendor.

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NOTE : This checklist is based on the requirements stated in C.A.S.E. 3-A standard, chapter 4-4-0 of this manual. The reference numbers enclosed in the brackets [] that appear throughout this document refer to the applicable paragraph(s) in the standard.

| | YES | NO | N/A |
|---|-------|-------|-------|
| 1. Policy | | | |
| A. Refer to 3-A standard. | | | |
| 2. Quality System and Quality Manual | | | |
| A. Is there a documented quality program? [2A] | _____ | _____ | _____ |
| B. Does the quality manual describe the Quality Department and its relationship to the rest of the organization? [2A] | _____ | _____ | _____ |
| 3. Quality Organization | | | |
| A. Does the manual identify specific persons, by title, as responsible for the following quality functions? [3B] | | | |
| 1) Quality Program | _____ | _____ | _____ |
| 2) Inspection | _____ | _____ | _____ |
| 3) Tool and Test Equipment Calibration | _____ | _____ | _____ |
| 4) Technical Data Control | _____ | _____ | _____ |
| 5) Shelf Life Program | _____ | _____ | _____ |
| 6) Scrapped Parts | _____ | _____ | _____ |
| B. Is the quality manual current and made available to all employees? [3C] | _____ | _____ | _____ |
| C. Is there a roster of: [3D] | | | |
| 1) Persons that are authorized to perform inspections? | _____ | _____ | _____ |
| 2) A list of inspections they are authorized to perform? | _____ | _____ | _____ |

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| | YES | NO | N/A |
|--|-------|-------|-------|
| 3. D. Does the distributor maintain a current list of manufacturers who officially authorize them as their distributor? [3E] | _____ | _____ | _____ |
| 4. Inspection Procedures | | | |
| A. Are all parts inspected for physical damage and preservation? [4A] | _____ | _____ | _____ |
| B. Are standard parts verified as meeting technical specifications? [4B] | _____ | _____ | _____ |
| C. Are there acceptable sampling procedures used? [4C] | _____ | _____ | _____ |
| D. Are fasteners and raw stock inspected for condition, presence of certifications, and test reports? [4D] | _____ | _____ | _____ |
| E. If inspection stamps are used, does the policy require a stamp to be retired for a minimum of two (2) years after an inspector leaves? [4E] | _____ | _____ | _____ |
| 5. Shipping Procedures | | | |
| A. Are all parts shipped in ATA 300 containers or equivalent? [5A] | _____ | _____ | _____ |
| B. Do appropriately trained personnel conduct an inspection of items being shipped, including but not limited to: [5B] | | | |
| 1) Obvious physical damage? | _____ | _____ | _____ |
| 2) Installation of plugs and caps? | _____ | _____ | _____ |
| 3) Verification of quantity, part number, serial number, model number, etc.? | _____ | _____ | _____ |
| 4) Packing slip information as required by customer? | _____ | _____ | _____ |
| 5) Verification of airworthiness approval, material certification, traceability documents, etc.? | _____ | _____ | _____ |
| 6) HAZMAT materials properly inspected? | _____ | _____ | _____ |

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| | YES | NO | N/A |
|--|-------|-------|-------|
| 6. Technical Data Control | | | |
| A. Is there a documented system to obtaining technical data and maintaining it up to date? [6A] | _____ | _____ | _____ |
| B. Is the appropriate and current technical data readily available to personnel? [6A] | _____ | _____ | _____ |
| C. Is AD status verification provided on date of sale? [6B] | _____ | _____ | _____ |
| D. Is there a system to prohibit hand entries or corrections to technical data? [6A] | _____ | _____ | _____ |
| E. Is technical data stored in a manner that will protect it from dirt and damage? [6C] | _____ | _____ | _____ |
| 7. Record Keeping | | | |
| A. Does distributor request adequate test and inspection records with each order of parts? [7A] | _____ | _____ | _____ |
| B. Are records confirming fastener integrity maintained for a minimum of two (2) years (i.e. chemical and physical properties)? [7B] | _____ | _____ | _____ |
| C. Are records with flammability requirements retained for a minimum of two (2) years after sale? [7C] | _____ | _____ | _____ |
| D. Is traceability and certification documentation maintained for a minimum two (2) years after sale? [7D] | _____ | _____ | _____ |
| E. Does the vendor's purchase records/sales orders chain of custody lead to a production approval holder (e.g. PMA, TSO, PC, TC, STC), FAA/NAA certificate holder, or manufacturer of standard parts? [7E] | _____ | _____ | _____ |
| F. Do all life-limited parts records confirm their life-limited status from previous operator? [7F] | _____ | _____ | _____ |
| G. Are records protected against damage, alteration, deterioration, and loss? [7G] | _____ | _____ | _____ |

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| | | YES | NO | N/A |
|------------|---|-------|-------|-------|
| 7. | H. Can each part, carton, or package of parts be linked to its certification and/or test records by some unique identifier? [7H] | _____ | _____ | _____ |
| | I. Are export Certificates of Airworthiness obtained for all non-U.S. manufactured parts? [7H] | _____ | _____ | _____ |
| | J. Do serviceable parts have airworthiness approval documents attached from an FAA/NAA certificate holder or air carrier? [7H] | _____ | _____ | _____ |
| | K. Are teardown reports provided for serviceable parts? [7I] | _____ | _____ | _____ |
| | L. Are parts subjected to extreme stress or heat identified? [7J] | _____ | _____ | _____ |
| 8. | Training | | | |
| | A. Are personnel who perform supervisory, inspection, record keeping, parts handling, shipping and receiving functions properly trained and competent? [8A] | _____ | _____ | _____ |
| | B. Are inspection personnel properly authorized? [8B] | _____ | _____ | _____ |
| | C. Are both formal classroom and on-the-job training documented and maintained for a minimum of two (2) years after the person leaves the company? [8D] | _____ | _____ | _____ |
| 9. | Shelf Life Control | | | |
| | A. Is there a documented shelf life program? [9A] | _____ | _____ | _____ |
| | B. Is there a list of shelf life-limited materials and parts and their limits? [9B] | _____ | _____ | _____ |
| 10. | Measuring and Test Equipment | | | |
| | A. Does the distributor have the tools required to assure conformity of the inventory to specification? [10A] | _____ | _____ | _____ |
| | B. Is there a documented program to maintain serviceability and calibration of those tools? [10A, 10B] | _____ | _____ | _____ |

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|---|-------|-------|-------|
| 10. C. Are historical records containing repair and calibration accuracy data for that tooling maintained? [10C] | _____ | _____ | _____ |
| D. Is the calibration of tools traceable to the National Institute of Standards and Technology, or appropriate governmental or OEM standards? [10C] | _____ | _____ | _____ |
| E. If personally owned measuring tools are allowed on the premises, are they controlled by the program? [10C] | _____ | _____ | _____ |
| 11. Procurement | | | |
| A. Are approved quality materials and parts purchased and are proprietary and licensing rights observed? [11A] | _____ | _____ | _____ |
| B. Does the system assure that special requirements are adequately communicated to the distributor's sources? [11B] | _____ | _____ | _____ |
| C. Are new parts purchased from approved manufacturers or distributors authorized by the manufacturer? [11C] | _____ | _____ | _____ |
| D. Is a list of approved suppliers maintained, including a quality history of each? [11D] | _____ | _____ | _____ |
| 12. Material Control | | | |
| A. Is material handled to preclude damage and deterioration? [12A] | _____ | _____ | _____ |
| B. Are storage areas periodically checked for overall effectiveness? [12B] | _____ | _____ | _____ |
| C. Is there a closed loop system for implementing corrective action following the detection of non-conforming parts and materials? [12C] | _____ | _____ | _____ |
| D. Is the non-conforming part/material segregated from useable stock? [12C] | _____ | _____ | _____ |

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|--|-------|-------|-------|
| 12. E. Are non-aircraft parts segregated from aircraft parts? [12D] | _____ | _____ | _____ |
| F. Is batch segregation utilized for aircraft fasteners, materials requiring flammability testing, and other material requiring batch control? [12E, 12F] | _____ | _____ | _____ |
| G. Do purchases, less sales, equal inventory? [12E] | _____ | _____ | _____ |
| H. If practical, is the manufacturer's original packaging used? [12E] | _____ | _____ | _____ |
| I. Does packaging clearly identify contents? [12G] | _____ | _____ | _____ |
| J. Is material susceptible to electrostatic discharge damage, and flammable, toxic, or volatile material handled in accordance with proper requirements? [12H, 12I] | _____ | _____ | _____ |
| K. Is a system in place to preclude part number ambiguity? [12I, 12J] | _____ | _____ | _____ |
| L. Are serviceable and unserviceable parts segregated? [12L] | _____ | _____ | _____ |
| 13. Housing and Facilities | | | |
| A. Are good housekeeping and storage practices being maintained to ensure inventory is not damaged? [13A] | _____ | _____ | _____ |
| B. Is storage secure to prevent cannibalization of parts for a repair process? [13A] | _____ | _____ | _____ |
| 14. Internal Audit and Surveillance | | | |
| A. Is there an internal surveillance function that audits programs to ensure compliance with customer and regulatory requirements? [14A] | _____ | _____ | _____ |
| B. Are audit results documented including effective corrective action? [14A] | _____ | _____ | _____ |

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YES NO N/A

15. Scrapped Parts Procedure

- A. Is there a documented procedure in place for mutilating scrapped parts which will preclude their being returned to service? [15A] _____|_____|_____
- B. Does the Distributor maintain record of scrapped life limited parts for a minimum of two (2) years? [15B] _____|_____|_____
- C. Does the distributor identify the individual responsible for verifying compliance with this procedure? [15C] _____|_____|_____
- D. Does the distributor impose the procedure on subcontractors and repair facilities with which they do business? [15D] _____|_____|_____

16. Certification Forms

- A. Does the quality manual contain instructions and samples of forms? [16A] _____|_____|_____

NOTES:
