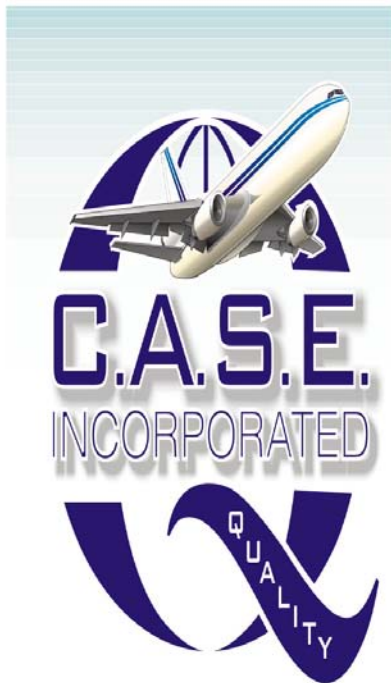


AIR CARRIER SECTION

Policies and Procedures



COORDINATING
AGENCY FOR
SUPPLIER
EVALUATION

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

Revision 71 Highlights

<u>Section</u>	<u>Description of Change</u>
Revision Record	Revised to show Rev. 71
L.E.P.	Revised to indicate current effective pages
1-2-0	Updated CHANGEPOOL definition
2-3-0	Clarified experience requirements and added records retention
2-3-1	Added CBT language
3-2-0	Clarified PENDCA submission timeframe, removed TCCA requirement
3-4-0	Updated request for assistance
3-5-0	Added significant finding review process
3-6-0	Clarified process for audits not completed do to loss of sustaining membership
4-2-0	Clarified CACS-7 retention, added schedule as a requirement of internal audit and clarified security requirement
4-3-0	Added requirement for ATA-103
5-1-0	Updated
CACS-1	Added question
CACS-4	Removed redundant communication question
CACS-5	Updated for use on fuel check rides
CACS-7	Clarified
CACS-9	Added CBT
CACS-20	Updated for 4-2-0 changes
Appendix 1	Updated for membership changes

NOTE: All other section revisions and changes not otherwise defined above were made for manual consistency or for grammatical/typographical errors.

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

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

Revision Record

REV.	DATED	DATE FILED	BY	REASON REMOVED	DATE	BY
49	Complete Re-issue 06/30/2006	Previously Complied With (PCW)				
50	12/15/2006	PCW				
51	6/15/2007	PCW				
52	12/15/2007	PCW				
TEMP	1/30/2008	PCW		Obsolete	PCW	
53	6/15/2008	PCW				
54	12/15/2008	PCW				
55	6/15/2009	PCW				
56	12/15/2009	PCW				
TR2	5/5/2010	PCW		Obsolete	PCW	
57	6/15/2010	PCW				
58	12/15/2010	PCW				
59	6/15/2011	PCW				
60	12/15/2011	PCW				
61	6/30/2012	PCW				
62	12/15/2012	PCW				
63	6/15/2013	PCW				
64	12/15/2013	PCW				
65	6/15/2014	PCW				
66	12/15/2014	PCW				

C.A.S.E.

AIR CARRIER SECTION POLICIES AND PROCEDURES

LIST OF EFFECTIVE PAGES

REV. NO. 71

<u>Title/Number</u>	<u>Page</u>	<u>Date</u>
Title Page		Undated
Revision Record	-1	6/15/2017
	-2	6/15/2017
L.E.P.	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
	-5	6/15/2017
	-6	6/15/2017
	-7	6/15/2017
	-8	6/15/2017
	-9	6/15/2017
	-10	6/15/2017
Temporary L.E.P.	-1	6/15/2010
	-2	6/15/2010
Table of Contents	Title Page	Undated
Table of Contents	-1	12/15/2016
	-2	12/15/2016
	-3	12/15/2016
	-4	12/15/2016
Introduction and Policy	Title Page	Undated
Introduction	-1	6/15/2008
	-2	6/15/2008
Policy Statement	-1	6/15/2016
	-2	6/15/2016
	-3	6/15/2016
	-4	6/15/2016
	-5	6/15/2016
	-6	6/15/2016

C.A.S.E.

AIR CARRIER SECTION POLICIES AND PROCEDURES

<u>Title/Number</u>	<u>Page</u>	<u>Date</u>
1-1-0	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
1-2-0	-1	6/15/2017
	-2	6/15/2017
1-3-0	-1	12/15/2015
	-2	12/15/2015
1-4-0	-1	12/15/2012
	-2	12/15/2012
1-5-0	-1	12/15/2015
	-2	12/15/2015
1-6-0	-1	12/15/2011
	-2	12/15/2011
1-7-0	-1	12/15/2015
	-2	12/15/2015
	-3	12/15/2015
	-4	12/15/2015
1-8-0	-1	6/15/2015
	-2	6/15/2015
	-3	6/15/2015
	-4	6/15/2015
1-9-0	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
1-9-1	-1	12/15/2015
	-2	12/15/2015
1-9-2	-1	6/30/2012
	-2	6/30/2012
1-9-3	-1	6/15/2015
	-2	6/15/2015

C.A.S.E.

AIR CARRIER SECTION POLICIES AND PROCEDURES

<u>Title/Number</u>	<u>Page</u>	<u>Date</u>
1-9-4	-1	12/15/2015
	-2	12/15/2015
1-9-5	-1	12/15/2012
	-2	12/15/2012
1-10-0	-1	6/15/2013
	-2	6/15/2013
1-11-0	-1	6/15/2017
	-2	6/15/2017
1-12-0	-1	12/15/2016
	-2	12/15/2016
1-13-0	-1	12/15/2012
	-2	12/15/2012
1-14-0	-1	12/15/2016
	-2	15/15/2016

Chapter 2	Title Page	Undated
2-0-0	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
2-1-0	-1	6/15/2015
	-2	6/15/2015
2-2-0	-1	6/15/2016
	-2	6/15/2016
2-3-0	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
2-3-1	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
	-5	6/15/2017

C.A.S.E.

AIR CARRIER SECTION POLICIES AND PROCEDURES

<u>Title/Number</u>	<u>Page</u>	<u>Date</u>
2-3-1	-6	6/15/2017
	-7	6/15/2017
	-8	6/15/2017
	-9	6/15/2017
	-10	6/15/2017
	-11	6/15/2017
	-12	6/15/2017
	-13	6/15/2017
	-14	6/15/2017

Chapter 3	Title Page	Undated
3-1-0	-1	12/15/2015
	-2	12/15/2015
3-2-0	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
	-5	6/15/2017
	-6	6/15/2017
	-7	6/15/2017
	-8	6/15/2017
3-3-0	-1	6/15/2015
	-2	6/15/2015
3-4-0	-1	6/15/2017
	-2	6/15/2017
3-5-0	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
	-5	6/15/2017
	-6	6/15/2017
3-6-0	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
	-5	6/15/2017
	-6	6/15/2017

C.A.S.E.

AIR CARRIER SECTION POLICIES AND PROCEDURES

<u>Title/Number</u>	<u>Page</u>	<u>Date</u>
Chapter 4	Title Page	Undated
4-1-0	-1	12/15/2015
	-2	12/15/2015
4-2-0	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
	-5	6/15/2017
	-6	6/15/2017
	-7	6/15/2017
	-8	6/15/2017
	-9	6/15/2017
	-10	6/15/2017
	-11	6/15/2017
	-12	6/15/2017
	-13	6/15/2017
	-14	6/15/2017
	-15	6/15/2017
	-16	6/15/2017
	-17	6/15/2017
	-18	6/15/2017
	-19	6/15/2017
	-20	6/15/2017
	-21	6/15/2017
	-22	6/15/2017
Supplement 1A to 4-2-0	-1	12/15/2015
	-2	12/15/2015
Supplement 1B to 4-2-0	-1	12/15/2016
	-2	12/15/2016
	-3	12/15/2016
	-4	12/15/2016
Supplement 2 to 4-2-0	-1	12/15/2011
	-2	12/15/2011

C.A.S.E.

AIR CARRIER SECTION POLICIES AND PROCEDURES

<u>Title/Number</u>	<u>Page</u>	<u>Date</u>
4-3-0	-1	6/15/2017
	-2	6/15/2017
4-4-0	-1	12/15/2015
	-2	12/15/2015
	-3	12/15/2015
	-4	12/15/2015
	-5	12/15/2015
	-6	12/15/2015
Chapter 5	Title Page	Undated
5-1-0	-1	6/15/2017
	-2	6/15/2017
Chapter 6	Title Page	Undated
CACS-1	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
CACS-2	-1	12/15/2014
	-2	12/15/2014
CACS-4	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
CACS-5	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
CACS-6	-1	12/15/2015
	-2	12/15/2015
	-3	12/15/2015
	-4	12/15/2015
CACS-7	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017

C.A.S.E.

AIR CARRIER SECTION POLICIES AND PROCEDURES

<u>Title/Number</u>	<u>Page</u>	<u>Date</u>
CACS-8	-1	12/15/2016
	-2	12/15/2016
CACS-9	-1	6/15/2017
	-2	6/15/2017
CACS-10	-1	6/15/2015
	-2	6/15/2015
CACS-11	-1	12/15/2014
	-2	12/15/2014
CACS-20	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
	-5	6/15/2017
	-6	6/15/2017
	-7	6/15/2017
	-8	6/15/2017
	-9	6/15/2017
	-10	6/15/2017
	-11	6/15/2017
	-12	6/15/2017
	-13	6/15/2017
	-14	6/15/2017
	-15	6/15/2017
	-16	6/15/2017
Supplement 1A to CACS-20	-1	12/15/2015
	-2	12/15/2015
	-3	12/15/2015
	-4	12/15/2015
Supplement 1B to CACS-20	-1	12/15/2016
	-2	12/15/2016
	-3	12/15/2016
	-4	12/15/2016

C.A.S.E.

AIR CARRIER SECTION POLICIES AND PROCEDURES

<u>Title/Number</u>	<u>Page</u>	<u>Date</u>
Supplement 2 to CACS-20	-1	12/15/2011
	-2	12/15/2011
CACS-25	-1	12/15/2016
	-2	12/15/2016
	-3	12/15/2016
	-4	12/15/2016
	-5	12/15/2016
	-6	12/15/2016
	-7	12/15/2016
	-8	12/15/2016
	-9	12/15/2016
	-10	12/15/2016
	-11	12/15/2016
	-12	12/15/2016
	-13	12/15/2016
	-14	12/15/2016
CACS-26	-1	12/15/2016
	-2	12/15/2016
	-3	12/15/2016
	-4	12/15/2016
	-5	12/15/2016
	-6	12/15/2016
	-7	12/15/2016
	-8	12/15/2016
	-9	12/15/2016
	-10	12/15/2016
	-11	12/15/2016
	-12	12/15/2016
	-13	12/15/2016
	-14	12/15/2016
	-15	12/15/2016
	-16	12/15/2016
CACS-40	-1	12/15/2015
	-2	12/15/2015
	-3	12/15/2015
	-4	12/15/2015
	-5	12/15/2015
	-6	12/15/2015

C.A.S.E.

AIR CARRIER SECTION POLICIES AND PROCEDURES

<u>Title/Number</u>	<u>Page</u>	<u>Date</u>
Appendices	Title Page	Undated
Appendix 1	-1	6/15/2017
	-2	6/15/2017
	-3	6/15/2017
	-4	6/15/2017
	-5	6/15/2017
	-6	6/15/2017
Appendix 2	-1	12/15/2013
	-2	12/15/2013
Appendix 3	-1	12/15/2015
	-2	12/15/2015
	-3	12/15/2015
	-4	12/15/2015
Appendix 4	-1	12/15/2015
	-2	12/15/2015
	-3	12/15/2015
	-4	12/15/2015

C.A.S.E.

AIR CARRIER SECTION POLICIES AND PROCEDURES

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

TEMPORARY REVISION LIST OF EFFECTIVE PAGES

| REV. NO. _____

<u>Title/Number</u>	<u>Page</u>	<u>Date</u>
---------------------	-------------	-------------

| **NOTE :** There are currently no issued and/or active Temporary Revisions.

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

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TABLE OF CONTENTS

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

TABLE OF CONTENTS

	Chapter/Section
INTRODUCTION AND POLICY STATEMENT	
Introduction.....	Introduction
Policy Statement.....	Policy
PROGRAM DESCRIPTION AND ADMINISTRATION	
	Chapter 1
Program Description.....	1-1-0
Definitions.....	1-2-0
Chair - Air Carrier Section.....	1-3-0
Vice-Chair - Air Carrier Section.....	1-4-0
Secretary.....	1-5-0
Operations Committee.....	1-6-0
Membership and Promotions Committee.....	1-7-0
Standards and Procedures Committee.....	1-8-0
Audit and Compliance Committee.....	1-9-0
Deviations and Exemptions.....	1-9-1
Audit and Compliance Alert System.....	1-9-2
Member or Auditor Status Change.....	1-9-3
Vendor Appeal Process.....	1-9-4
Investigation Process.....	1-9-5
Newsletter Committee.....	1-10-0
Database Committee.....	1-11-0
Fuel Committee.....	1-12-0
Training Committee.....	1-13-0
Maintenance Technical Committee.....	1-14-0

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

MEMBERSHIP REQUIREMENTS AND OBLIGATIONS	Chapter 2
Membership Eligibility and Requirements.....	2-0-0
Company Representative to C.A.S.E.	2-1-0
Vendor Surveillance Program	2-2-0
Audit Personnel - Minimum Requirements.....	2-3-0
Auditor Authorization Program.....	2-3-1
PROGRAM OPERATION	Chapter 3
C.A.S.E. Data Center and Website.....	3-1-0
C.A.S.E. Register - Revision and Control.....	3-2-0
Air Carrier Section Policies and Procedures Manual.....	3-3-0
Request for Assistance or Reassignment of Allocated Audits	3-4-0
C.A.S.E. Vendor Audit Criteria.....	3-5-0
C.A.S.E. Audit Allocation Procedure.....	3-6-0
C.A.S.E. AUDIT & INSPECTION STANDARDS	Chapter 4
C.A.S.E. Standards Description.....	4-1-0
C.A.S.E. 1-A Standard.....	4-2-0
Component Repair/Overhaul Vendor Quality Program Requirements	
MAG-US Supplement	Supplement 1A to 4-2-0
MAG-EU Supplement	Supplement 1B to 4-2-0
Canadian AMO Supplement	Supplement 2 to 4-2-0
C.A.S.E. 2-A Standard.....	4-3-0
Fuel Into-Plane and Storage Vendors - Quality Program Requirements	
C.A.S.E. 4-A Standard.....	4-4-0
Contract Maintenance Vendors / On-Call Maintenance Quality Program Requirements	

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

OPERATION COMMITTEE ROSTER

Chapter 5

Operations Committee..... 5-1-0

FORMS

Chapter 6

Application for Associate Membership..... CACS-1
 Application for Sustaining Membership CACS-2
 Auditor Qualification Record..... CACS-4
 Auditor/Auditor Candidate Evaluation CACS-5
 Air Carrier Evaluation Report..... CACS-6
 Vendor Expectations and Limitations CACS-7
 Proxy Grant..... CACS-8
 Auditor Training Written Test Score..... CACS-9
 Standards and Procedures Change Request Form..... CACS-10
 Annual Activity Report..... CACS-11
 Component Repair/Overhaul Vendor Audit Checklist..... CACS-20

MAG-US Supplement..... Supplement
 1A to CACS-
 20

MAG-EU Supplement..... Supplement 1B
 to CACS-20

Canadian AMO Checklist..... Supplement 2
 to CACS-20

Into-Plane Audit Checklist..... CACS-25

Fuel Storage Audit Checklist..... CACS-26

Contract Maintenance Vendors / On-Call Maintenance Checklist... CACS-40

APPENDICES

“Air Carrier Data” Documents List..... Appendix 1

DOD Representation Exceptions/Acceptances..... Appendix 2

“Air Carrier Maintenance Training” Documents list..... Appendix 3

“Air Carrier Fuel Training” Documents List..... Appendix 4

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

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**INTRODUCTION
AND
POLICY STATEMENT**

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

INTRODUCTION

The Air Carrier Section (ACS) of the Coordinating Agency for Supplier Evaluation (C.A.S.E.), is a non-profit group established by certificated air carriers for the benefit of air carriers. Its purpose is to share non-prejudicial vendor surveillance, information, and tasks required by 14 CFR 121.373(a) and 135.431(a). This is done through association with C.A.S.E., a non-profit corporation established for and dedicated to vendor surveillance. Data is supplied by the air carrier members to other air carrier members through the C.A.S.E. Data Center. The Data Center collects, collates, and provides this information to air carrier members as the C.A.S.E. Register.

The FAA views the C.A.S.E. program as an acceptable means of complying with the surveillance requirements of 121.373(a) and 135.431(a) for those vendors listed in the C.A.S.E. Register.

As the controlling regulatory agency, the FAA (AFS-300) is accorded full access to the C.A.S.E. ACS *Policies and Procedures* manual (to include revision service) and full access to the C.A.S.E. computer system.

The policies and procedures described in this manual do not conflict with anti-trust laws nor the Code of Federal Regulations.

This ACS *Policies and Procedures* manual was developed by the air carrier members and is maintained by them. Its purpose is to provide guidance to the membership so that business may be conducted in an orderly manner. The terms used herein are intended to be generic in nature and speak to the function of a group or department rather than to the title.

The standards contained in this manual were developed by the members to provide the members with the highest possible degree of safety from the vendors/suppliers. The standards include the applicable regulatory requirements plus the typical flow-down requirements and industry standards essential for a total quality program with the vendors/suppliers.

The audit checklists contained in this manual are intended to provide the auditor with a standardized method of validating the vendors/suppliers continually meet the applicable regulatory and member flow-down requirements of the standards.

Audits conducted to the C.A.S.E. standards are intended to supplement the surveillance requirements of the members' Continuing Analysis and Surveillance System (CASS) and ensure appropriate corrective actions are taken. It is not intended to meet all the requirements of a member's CASS. Each member must determine how to utilize this method of surveillance with their method of performance analysis for full compliance to 14 CFR 121.373(a) add 135.431(a).

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

POLICY STATEMENT

1. FAA Acceptance and Regulatory Compliance

- A. This Policy Statement is accessible to the Manager, Aircraft Maintenance Division; AFS-300, FAA - Washington, D.C. Should the Manager determine that a need for a change to this statement exists, the Manager shall notify the ACS chair. Formal acceptance of each revision to this statement is not required.
- B. The policies, procedures, or standards defined in this manual shall not be contrary to the applicable Code of Federal Regulations.

2. Purpose of the Organization

- A. The Air Carrier Section (ACS) of C.A.S.E. was organized as a means of sharing non-prejudicial vendor/supplier quality approval data among the membership. This increases surveillance coverage of vendors/suppliers and thereby upgrades their quality programs. It also has an economic impact on each C.A.S.E. member by decreasing the cost of surveillance and by making the members' surveillance programs more effective.

3. Manual Requirements

- A. The Air Carrier Section shall have a written manual which details policies and procedures appropriate for conducting its business.
- B. This manual shall include, but is not limited to:
 - 1) Membership requirements and obligations.
 - 2) Selection of a Section chair and vice-chair.
 - 3) Establishment of committees, which may include, but is not limited to:
 - a) Membership and Promotions.
 - b) Audit and Compliance.
 - c) Standards and Procedures.
 - d) Operations.
 - 4) Duties and responsibilities of committees.
 - 5) Selection of committee chairs.
 - 6) Selection of representatives to the executive committee.
 - 7) Operating procedures.
 - 8) Standards against which vendors are audited.
 - 9) Minimum requirements for audit personnel.
 - 10) An auditor authorization program.
 - 11) A roster of committee chairs. Membership and authorized auditor rosters are maintained in the C.A.S.E. database.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

NOTE: In cases where a *Policies and Procedures Manual* section relates to a particular committee, if “chair” is used, it refers to the chair of that committee. Should another chair be meant to be addressed, the word “chair” will be preceded by other identifying data (e.g. ACS chair, Audit and Compliance chair, etc.).

4. Operations

- A. The Section shall be headed by a chair selected from the Section sustaining membership.
- B. Administrative activities shall be conducted by appropriate committees selected from the membership. Duties and responsibilities of each committee shall be described in another section of this manual.
- C. The Air Carrier Section of C.A.S.E. shall be represented on the Board of Directors of the C.A.S.E. corporation as required.
- D. The Air Carrier Section of C.A.S.E. shall meet as a Section a minimum of twice per calendar year and more often if needs dictate. These meetings usually coincide with the C.A.S.E. semi-annual meetings.
- E. Each authorized auditor is responsible for providing evaluation data to the C.A.S.E. Data Center to maintain an up-to-date list of acceptable vendors/suppliers. An acceptable vendor/supplier is one who meets the standards set forth in the standards chapter of this manual and one in whom the auditor has a high degree of confidence that the vendor will continue to meet the C.A.S.E. standards.
- F. Audits in support of C.A.S.E. must be to the appropriate C.A.S.E. standard.

5. Audit Standards

- A. C.A.S.E. audit standards are either developed by the membership or are adopted by the membership from some industry or government standard. These standards shall reflect all of the requirements of applicable Federal Regulations. They may include requirements which are not specified in regulations but also those in which experience dictates as a need, however, nothing in the standards shall be contrary to applicable Federal Regulations.
- B. C.A.S.E. audit standards shall be revised as required to stay abreast of industry changes and needs, and to comply with changes in the regulations.
- C. New standards may be developed as the membership recognizes a need.

6. Membership

- A. The Air Carrier Section recognizes one (1) class of membership: sustaining. It also recognizes one (1) membership level preceding sustaining membership: associate.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 1) Sustaining members are voting members and control the operation of the Section. Each member firm is entitled to one (1) vote on each matter submitted to the membership for vote.
 - 2) Associate members are non-voting members. Associate members have the right to attend the ACS general session and standing committee meetings. They are encouraged to participate in the discussions to provide the membership with the benefit of their valuable experience and expertise, however, they have no vote in the decisions made by the membership. Requirements for associate membership must be met before submitting an application for sustaining membership and before initiating the Level III auditor training process.
- B. Membership in the Air Carrier Section of C.A.S.E. shall be limited to certificated air carriers operating in accordance with the aviation regulations of their certifying government.
- C. Applications for membership shall be submitted to the Membership and Promotions committee chair. The chair and committee members shall evaluate the application and supporting data for compliance with CFRs, governing surveillance, and analysis of vendors/suppliers, and for the applicant's compatibility/compliance with C.A.S.E. requirements.
- D. Member firms are expected to continue to maintain their vendor/supplier surveillance program, related manual coverage, and related documentation in a manner compatible with CFR and C.A.S.E. requirements.
- E. Members are expected to attend meetings regularly and to actively participate in the work of the organization.

7. Air Carrier C.A.S.E. Register

- A. The purpose of the Register is to provide a list of vendors/suppliers that have been evaluated and accepted by a C.A.S.E. authorized auditor.
- B. The Register shall be maintained by a Data Center and made available to all sustaining members.
- C. The content of the Register shall be updated continuously by the membership as a result of surveillance activities.
- D. Only auditors authorized through the C.A.S.E. air carrier auditor authorization program shall be allowed to submit change information to the database.
- E. The FAA specifies that only C.A.S.E. sustaining member air carriers may use the Register to satisfy their surveillance requirements in accordance with 14 CFR Part 121.373(a) and 135.431(a), Continuing Analysis and Surveillance.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

8. Audit Personnel

- A. Auditors that provide input to the accepted vendor/supplier database must be authorized to do so through the C.A.S.E. auditor authorization program. Authorization is accomplished through evaluation of the auditors' experience, by written, oral and practical tests, and a review of test results by the Audit and Compliance committee.
- B. The program is controlled by the membership and administered by the Audit and Compliance committee.
- C. Requirements for authorization shall be stringent enough to provide members with a high degree of confidence that the auditor is capable of performing an adequate evaluation of a vendor/supplier in accordance with C.A.S.E. standards.
- D. Operation of the auditor authorization program and auditor personnel requirements are described in other sections of this manual.

9. Professional Ethics

- A. General
 - 1) One of the hallmarks of any organization seeking recognition as a professional entity is the establishment of a code of ethics. These guidelines significantly affect the reputation of the professional organization and the confidence in which it is held by the business community.
 - 2) The auditor shall always maintain personal integrity and objectivity when performing an audit to a C.A.S.E. standard and be independent of the facility being audited. Additionally, the audit shall be performed to the technical standard set forth by the C.A.S.E. organization and the applicable CFRs.
 - 3) Behavior - the auditor shall always behave professionally and shall not discriminate against race, religion, gender, or national origin. Auditors shall be polite and respectful while interacting with those being audited.
- B. Independence - Independence can be defined as the ability to act with integrity and objectivity. Independence would be compromised if, for example:
 - 1) On the date of the audit, the auditor has a direct or indirect financial interest in the business facility being audited.
 - 2) A professional or personal relationship exists between the auditor and the facility's management that could impair or compromise integrity or objectivity during the audit.
- C. General and Technical Standards
 - 1) The auditor shall not provide consulting services to a business entity for the purpose of preparing this entity for the receipt of an audit in support of C.A.S.E. in exchange for consideration in any form.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 2) The auditor shall always dress and conduct an audit in a professional manner; a manner which will enhance the stature of the C.A.S.E. organization.
 - 3) The auditor shall not concurrently engage in any business or occupation that would create a conflict of interest in rendering an audit in support of C.A.S.E.
 - 4) The auditor shall always observe the C.A.S.E. standards and strive continually to improve personal competence and the quality of auditing technique.
 - 5) The auditor shall never accept unlawful discounts or gifts from the facility being audited.
 - 6) The auditor shall not engage in types of outside employment or other relationships that involve conflict of interest to the C.A.S.E. organization.
- D. Confidential Communication
- 1) Should the chair of a committee specify items discussed as confidential, those items shall not be communicated outside of that committee by committee attendees.
 - 2) All correspondence related to any C.A.S.E. ACS business or investigation shall not be communicated outside of the ACS without the approval of the ACS chair or, in the ACS chair's absence, the ACS vice-chair.

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

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CHAPTER 1

PROGRAM DESCRIPTION AND ADMINISTRATION

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

PROGRAM DESCRIPTION

1. C.A.S.E. is an acronym for Coordinating Agency for Supplier Evaluation. The C.A.S.E. Corporation is a non-profit organization operated exclusively for the benefit of the Corporation's members. C.A.S.E. provides a system for distributing non-prejudicial vendor/supplier surveillance information to members. This information is provided to the C.A.S.E. Data Center by the members themselves.
2. The purpose of the Air Carrier Section (ACS) of C.A.S.E. is to provide air carriers with a vehicle to exchange non-prejudicial audit and quality control information and to share vendor/supplier technical audit workload.
3. The FAA has found that C.A.S.E. is an acceptable means of complying with the vendor surveillance and analysis portion of CASS required by 14 CFR 121.373 (a) and 135.431 (a).
4. Membership and participation in C.A.S.E. is a way of maintaining continuing analysis and surveillance over vendors/suppliers at reduced manpower and cost. This is accomplished by sharing information and the burden of on-site visits with other air carriers who are sustaining members of C.A.S.E.
5. Vendor/supplier surveillance information is shared through the C.A.S.E. Register, a database listing of vendors/suppliers. Vendors/suppliers listed in the Register, have received an on-site audit by a C.A.S.E. authorized auditor and found in compliance with applicable standards. The Register is revised periodically by the C.A.S.E. Data Center. Vendors/suppliers are added to and deleted from the Register as a result of evaluations of those vendors/suppliers conducted by air carrier members.
6. The procedures and standards established in this manual are for the purpose of guiding and directing the functions of the C.A.S.E. Corporation's ACS in accordance with the bylaws of the Corporation.
7. Contents of this manual shall not conflict with the aviation regulations that govern sustaining members.
8. Certificated air carriers may join C.A.S.E. as members of the ACS. By joining, they agree to abide by the policies of the Corporation and the procedures and specifications of the ACS as contained in this manual.
9. No sustaining member shall have more than one (1) vote on any one (1) standing committee.

C.A.S.E.

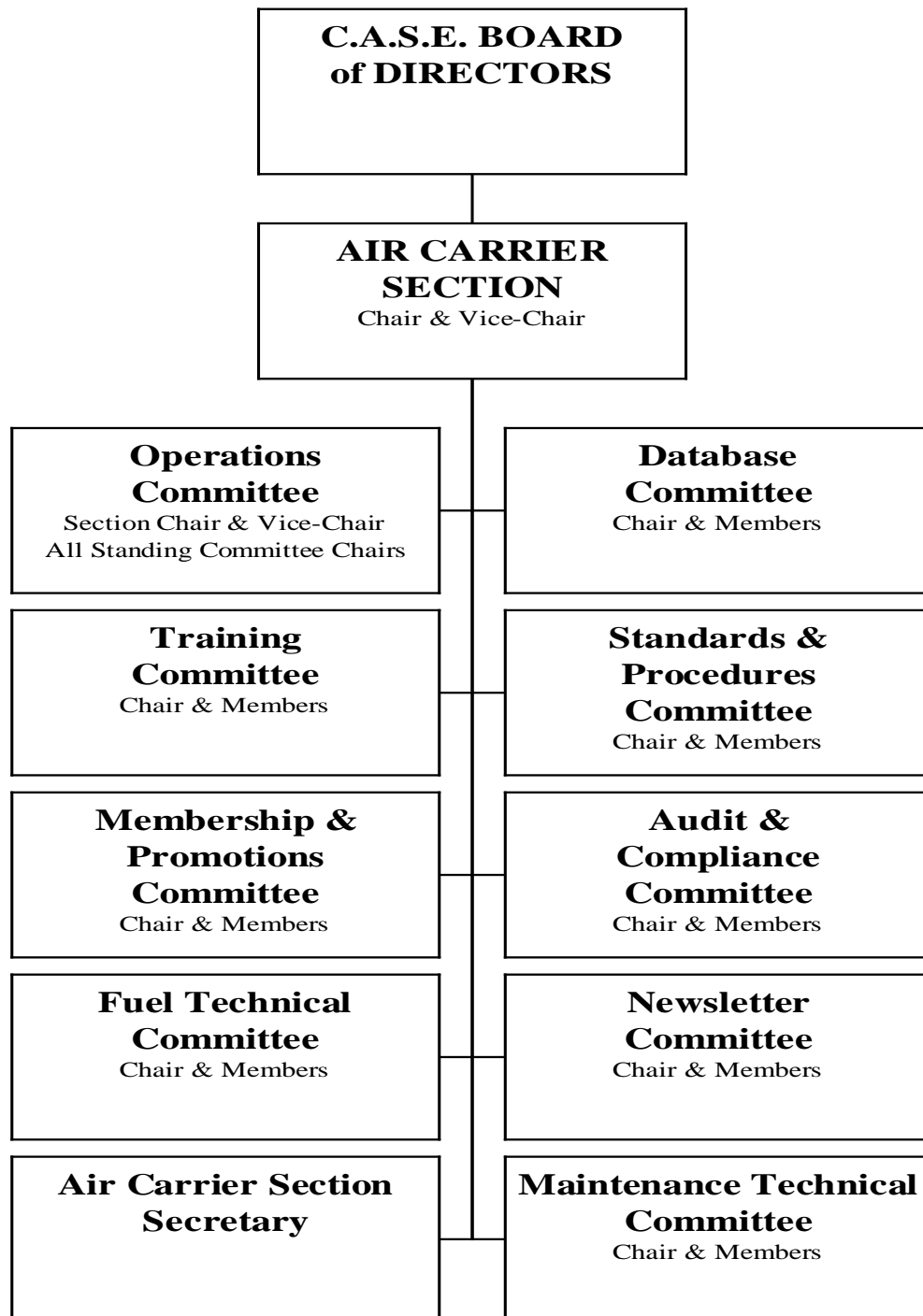
AIR CARRIER SECTION

POLICIES AND PROCEDURES

10. In order to be effective, the ACS must have a policies and procedures manual to provide a framework within which members conduct business, however, because of the diversity of the membership and the broad range of their internal policies and procedures, compliance with the “letter of the law” may be burdensome or impossible. The membership, therefore, recognizes the need to permit deviations to or exceptions from certain provisions as provided in 1-9-1.
11. The ACS is led by a chair and vice-chair selected from within the ACS by a simple majority of sustaining air carrier members present. Various committees direct and conduct the operations of the ACS.
12. The ACS is represented on the C.A.S.E. Board of Directors by the ACS chair and vice-chair.

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

Air Carrier Section Organization



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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

DEFINITIONS

1. General

- A. The terms defined herein are used frequently in oral and written communications concerning C.A.S.E.

2. Definitions

- A. **ADDVEN** - A database code for “add vendor.” Used in an electronic transmittal authorizing the Data Center to add a specific vendor to the Register.
- B. **ADVERTISE** - Publicize in any form (i.e. promotion or other solicitation of business).
- C. **C.A.S.E. 1-A STANDARD** - Provides minimum requirements to be met by a repair/overhaul vendor’s (ROV) quality program.
- D. **C.A.S.E. 2-A STANDARD** - Provides minimum requirements for an aircraft jet fuel vendor’s quality program. Encompasses storage facilities and into-plane servicing.
- E. **C.A.S.E. 4-A STANDARD** - Provides minimum requirements to be met by a contract/on-call vendor’s quality program.
- F. **CACS** - An acronym for C.A.S.E. Air Carrier Section.
- G. **CHANGEPOOL** - A database code used to communicate general information changes for a specific vendor such as change of company name, change of contact name, updated certificate expiration date or other information **not involved with an audit**.

NOTE: When submitting an ADDVEN, PENDCA, or UPAUD, this function is automatically performed.
- H. **CORE CLASS** - Training class covering C.A.S.E. policies and procedures, 1-A standard, 2-A standard, or C.A.S.E. database.
- I. **DELVEN** - A database code for “delete vendor.” Used in an electronic transmittal to the Data Center authorizing deletion of a specific vendor from the Register.
- J. **FUEL AUDITOR** - An auditor authorized to conduct audits of vendors/suppliers of fuel storage facilities, fueling services, and related equipment in support of C.A.S.E.
- K. **JOINTAUDIT** - A database code for “joint audit.” This transmittal code is used to inform the Data Center that an allocation electronically linked to the master allocation of a large facility has been accomplished. This allows credit for participation in a joint audit to be recorded in a member’s audit performance record area of the database.
- L. **MAINTENANCE AUDITOR** - An auditor authorized to conduct audits of vendors/suppliers of maintenance, repair, overhaul, or servicing actions (except fueling) of aircraft parts and components in support of C.A.S.E.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- M. **MAG** – An acronym for U.S./European Community Maintenance Annex Guidance.
- N. **MOE** – An acronym for Maintenance Organization Exposition.
- O. **NAA** - An acronym for National Aviation Authority.
- P. **NOACT** - A database code for “no action.” This transmittal code is used to inform the Data Center that a vendor, **not listed on the Register**, will not allow a C.A.S.E. audit to be conducted, or fails to satisfy the appropriate standard.
- Q. **ODA** - An acronym for Organization Designation Authority.
- R. **OEM** - An acronym for Original Equipment Manufacturer.
- S. **PENDCA** - A database code for “Pending Corrective Action.” This transmittal code is used to inform the Data Center that a vendor has been audited but the auditor is awaiting a response from a vendor.
- T. **REPAIR STATION** - Generic term used to refer to Part 145 certificated repair stations and/or Canadian Approved Maintenance Organizations (AMO).
- U. **ROV** - An acronym for Repair/Overhaul Vendor.
- V. **SUPPLIER EVALUATION/VENDOR AUDIT** - An on-site evaluation and assessment of a vendor’s or supplier’s quality systems to verify compliance with applicable C.A.S.E. standards.
- W. **UPAUD** - A database code for updating audit information. Used in an electronic transmittal authorizing the Data Center to update audit information for a vendor currently listed on the Register.
- X. **VEL** - An acronym for Vendor Expectations and Limitations.
- Y. **VENDOR** - Organization that provides overhaul/repair/maintenance/servicing/distribution of aircraft, components, or appliances.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

CHAIR - AIR CARRIER SECTION

1. General

- A. This section describes the position of Air Carrier Section (ACS) chair.
- B. During the Fall meeting in each even-numbered year, the sustaining membership shall elect a chair for the ACS to a two-year term. The incumbent chair may run for re-election. In the event the ACS chair is unable to complete the two-year term, the ACS vice-chair will assume the duties of the chair until the next meeting, at which time the sustaining membership shall elect a chair for the remainder of the term.

2. Duties and Responsibilities

- A. The chair is responsible to the membership for the overall operation of the ACS and facilitates the business of the ACS. The chair ensures the operations of the ACS are in compliance with the C.A.S.E. bylaws. Each standing committee chair reports to the ACS chair.
- B. The chair represents the ACS on the C.A.S.E. Board of Directors and attends Board of Directors meetings as scheduled. The chair coordinates with the chairs of the other C.A.S.E. Sections on matters of mutual concern. The ACS Chair may over-ride a decision of a standing ACS committee chair without a membership vote if it is determined that such a decision would be detrimental to the organization (e.g. an impending legal action). A majority vote from the Board of Directors is required before such action is taken.
- C. The chair sets the agenda for the ACS meetings based on the input of the sustaining membership and the standing committees.
- D. The chair moderates the ACS general session meetings and Operations committee meetings at the semi-annual C.A.S.E. meetings.
- E. The chair coordinates the standing committees, through each committee chair, to handle issues that affect more than one (1) committee at a time. The chair may attend committee meetings as required.
- F. The ACS chair is responsible to ensure that any ACS publications do not conflict with the C.A.S.E. bylaws, the ACS *Policies and Procedures* manual, nor the CFRs. The chair coordinates with the Board of Directors to review ACS *Policies and Procedures* manual revisions (including temporary revisions). Other publications (website postings, *The Supplier* newsletter, etc.) originating from within the ACS may be withheld from distribution, pending further review by the Operations committee, when, in the chair's opinion, there may be a conflict.
- H. The ACS chair may appoint persons from member air carriers to serve on committees or in working groups if no volunteers come forward to fill such positions.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

VICE-CHAIR - AIR CARRIER SECTION

1. General

- A. This section describes the position of Air Carrier Section (ACS) vice-chair.
- B. During the Spring meeting of each even-numbered year, the sustaining membership shall elect a vice-chair for the ACS to a two-year term (except as noted in 2.D.). The incumbent vice-chair may run for re-election. In the event the ACS vice-chair is unable to complete the two-year term, the ACS chair may appoint a person from the ACS membership to serve as vice-chair until the next meeting, at which time the sustaining membership shall elect a new vice-chair for the remainder of the term.

2. Duties and Responsibilities

- A. The vice-chair will attend all ACS general session and C.A.S.E. Board of Directors meetings and is a voting member of the Board of Directors.
- B. The vice-chair will assist the ACS chair with setting the agenda for the ACS meetings and the operation of those meetings.
- C. In the event the ACS chair is unable to attend ACS meetings, the vice-chair will assume all duties associated with those meetings.
- D. Should the ACS chair be unable to complete the two-year term of office, the ACS vice-chair will become the acting chair of the ACS until the next meeting, at which time the sustaining membership shall elect a new chair for the remainder of the term.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

SECRETARY

1. General

- A. This section defines the duties and responsibilities of the Air Carrier Section (ACS) secretary.
- B. During the Spring meeting in each odd-numbered year, the sustaining membership shall elect a secretary for the ACS to a two-year term. The incumbent secretary may run for re-election. In the event the secretary cannot complete the two-year term, the ACS chair can appoint a person from the ACS membership to serve as secretary until the next meeting, at which time the sustaining membership shall elect a secretary for the remainder of the term.
- C. Should the secretary not be present at General Session or Operation Committee meetings the ACS chair will appoint a replacement for that meeting.

2. Duties and Responsibilities

- A. The secretary shall take the minutes of the:
 - 1) Spring and Fall ACS general session meetings.
 - 2) Spring and Fall ACS Operations committee meetings.
- B. The secretary shall assemble, publish, and distribute the minutes from all C.A.S.E. Spring and Fall ACS general session meetings.
- C. The secretary shall collect proposals for changes to the minutes (if any) submitted from any ACS member.
- D. The secretary shall present the ACS general session meeting minutes along with any proposed changes at the next ACS general session meeting for final acceptance vote by the sustaining members.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

OPERATIONS COMMITTEE

1. General

- A. This section defines the duties and responsibilities of the Air Carrier Section (ACS) Operations committee.
- B. The Operations committee is made up of the ACS chair, vice-chair, and the various standing committee chairs identified in chapter 5 of this manual. The ACS chair shall also act as chair of the Operations committee. The secretary is a non-voting member of the Operations committee.
- C. The Operations committee shall not be considered a standing committee with scheduled meetings and a standard scope of activities, rather, it shall act as an advisory board to the ACS chair and assist in planning meetings and other events of the ACS.
- D. Each standing committee chair shall appoint, designate, or elect a committee vice-chair. The vice-chair should be familiar with the workings of that committee and have the ability to continue the committee's work in the absence of the chair. This includes, but is not limited to, attending Operations committee meetings should the chair not be available. The standing committee vice-chairs shall also be identified in chapter 5 of this manual.

2. Duties and Responsibilities

- A. The committee shall review all instances of non-compliance received from the Audit and Compliance committee.
- B. The committee shall meet at the discretion of the ACS chair as the need arises.
- C. The committee shall review membership delinquency notices reported by the Data Center and take appropriate action.
- D. The committee shall participate on Level IV Evaluator interview and evaluation review boards per 2-3-1, paragraph 5.A.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

MEMBERSHIP AND PROMOTIONS COMMITTEE

1. General

- A. This section defines the duties and responsibilities of the Membership and Promotions committee.
- B. During the Fall meeting in each even-numbered year, the sustaining membership shall elect a committee chair to a two-year term. The incumbent chair may run for re-election. In the event the committee chair is unable to complete the two-year term, the committee vice-chair will assume the duties of the chair until the next meeting, at which time the sustaining membership shall elect a committee chair for the remainder of the term.

2. Duties and Responsibilities

A. Chair

- 1) Receives all applications for membership.
- 2) Maintains records of membership status.
- 3) Acknowledges receipt of informal applications by providing applicants with:
 - a) Acknowledgement letter.
 - b) Formal “Application for Air Carrier Membership.”
- 4) On receipt of formal application, evaluates applications utilizing the appropriate application checklist found in chapter 6 of this manual.
- 5) Reproduces applications and forwards a copy to each committee member whenever:
 - a) Applicant’s eligibility for a sustaining (voting) membership is a consideration.
 - b) Applicant’s eligibility for C.A.S.E. membership, or class of membership, is questionable.

NOTE: Include excerpts from applicant’s supporting documentation, as appropriate.
- 6) Monitors membership files and sends membership transmittals to the C.A.S.E. Data Center whenever a change to a member’s information and/or status occurs.
- 7) Reports membership status of the section at ACS general session meetings.
- 8) Forwards a copy of the bylaws and a copy of the *ACS Policies and Procedures* manual to companies accepted as associate-level members.
- 9) Forwards a copy of revisions of the bylaws and *ACS Policies and Procedures* to active associate members as soon as practicable after revisions are released.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 10) Arranges for verification audit of applicant.
- 11) Issues reply to applicants who have been determined to be ineligible for sustaining membership and forwards notice of eligibility for associate membership.
- 12) Issues acceptance letters and associate membership certificates to applicants eligible for associate membership only.
- 13) Issues acceptance letters and sustaining membership certificates to eligible applicants.
- 14) Coordinates recommendations as necessary. In the event of disagreement as to the course of action to be taken on an application and such disagreement cannot be resolved through normal correspondence, the application shall be held in abeyance pending action at next scheduled committee meeting. Applicants for sustaining membership must receive majority approval of the committee members to be accepted.
- 15) Advises Operations committee of accepted applicants.
- 16) Annually verifies the status of associate members to ensure that membership dues (as appropriate) are paid, and progress is being made toward sustaining membership.
- 17) Assembles a roster identifying all attendees at the ACS general session meetings and Operations committee meetings.
- 18) Collects the minutes of all standing committee meetings.

B. Committee Members

- 1) Evaluate applications for sustaining membership utilizing the “Application for Sustaining Membership” found in chapter 6 of this manual.
- 2) Return applications, together with recommendations, to the committee chair in a timely manner.
- 3) Perform surveillance and/or verification audits as required of membership to assure validity/currency of membership rosters.
- 4) Maintain correspondence and membership files.

3. Membership Audits

- A. The committee shall perform a member verification audit of sustaining members to verify compliance with current policies and procedures a minimum of once every 36 calendar months.
 - 1) The audit may be by on-site visit or by requesting pertinent information from the carrier’s company representative to C.A.S.E.
 - 2) Audits will be recorded using the C.A.S.E. Air Carrier Evaluation Report (CACS-6).

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 3) The chair shall assign auditors.
- 4) Audits conducted by DOD may be accepted in lieu of an air carrier performing the audit.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

STANDARDS AND PROCEDURES COMMITTEE

1. General

- A. This section defines the duties and responsibilities of the Air Carrier Section (ACS) Standards and Procedures committee. It also describes the system or procedure to cause revision to the ACS *Policies and Procedures* manual.
- B. The committee consists of a chair and an adequate number of members to accomplish its assignment in an efficient manner.
- C. During the Spring meeting in each even-numbered year, the sustaining membership shall elect a committee chair to a two-year term. The incumbent chair may run for re-election. In the event the committee chair is unable to complete the two-year term, the committee vice-chair will assume the duties of the chair until the next meeting, at which time the sustaining membership shall elect a committee chair for the remainder of the term.
- D. Any sustaining member may request changes, deletions, or additions to the manual through their company representative. The committee welcomes comments and suggestions on manual content from associate level members.
- E. Whenever a vote is required for either membership or committee acceptance, a simple majority of voting members shall rule.

2. Duties and Responsibilities

- A. The Standards and Procedures committee is responsible for maintaining the ACS *Policies and Procedures* manual and shall periodically review the manual to verify that:
 - 1) The content does not conflict with the bylaws, the CFRs, nor within itself.
 - 2) The format is consistent and easy to read and understand.
 - 3) There are no typographical errors.
- B. Committee members shall attend and participate in committee meetings.
- C. The committee is responsible for evaluating any drafts or suggestions regarding changes, deletions, or additions to the manual. Responses to mail out evaluation requests shall be in writing to the committee chair.
- D. The committee is responsible for all aspects of manual preparation from inception to the finished product. This includes but is not limited to: authorship of the publications, editing, format, content arrangement and numbering system. The format and writing style shall be consistent throughout the manual as much as possible. The method of publication and distribution is at the discretion of the general membership, however, the committee will oversee those functions.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- E. The committee is empowered to make unilateral revisions to the manual that do not change the technical requirements of the document, however, changes, additions, or deletions that affect policy, specifications, or requirements that are either imposed upon or removed from the membership must be accepted by the membership.

3. Manual Revision Procedures

- A. A request for a change to the manual should be in writing on form CACS-10 (preferred) to the Standards and Procedures committee chair (5-1-0). Requests in other written forms may also be considered.
- B. The CACS-10 should be in draft form. The committee will review and make corrections, as required, for publishing.
- C. When there is an apparent need for a particular standard or procedure for which no draft has been submitted, the chair may appoint a committee member to prepare the draft.
- D. The chair circulates copies of drafts to all committee members for their critique and sends an informational copy to the ACS chair.
- E. The committee chair assures that each proposed item receives the consideration of the committee and is either accepted (revised, if required), rejected, or held for further consideration (tabled).
- F. If required, the chair circulates drafts to the membership for their approval. This may be prior to an ACS general session meeting with the vote taking place during the meeting or it may be by mail ballot.
- G. The chair will, prior to distribution, submit the final draft of any revision, including Temporary Revisions, to the ACS chair for final proofreading by the Board of Directors to ensure that no conflicts exist between the revision and the bylaws, the CFRs, nor within the manual itself.
- H. Pending concurrence from the ACS chair, the chair forwards the revision to the C.A.S.E. General Manager for posting on the C.A.S.E. website.
- I. Temporary Revisions
 - 1) In order to address instances when it may be absolutely necessary to add, change, or delete policies and procedures outside of the standard revision cycle, a temporary revision (TR) shall be utilized.
 - 2) If membership vote has not been completed, the Standards and Procedures chair circulates a draft along with mail ballots via electronic mail (e-mail) to the sustaining member representatives and also posts the draft on the website for a minimum fifteen (15) business day review and comment period. If warranted, the Audit and Compliance Alert System may be used as a means of

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

notification.

- 3) Acceptable voting methods include e-mail, and secure website.
- 4) The chair is responsible for:
 - a) Ensuring e-mails are sent to all member representatives,
 - b) Ensuring comments received are posted on the website,
 - c) Collecting and tabulating voting results, And,
 - d) Reporting result details on the website.
- 5) If approved by a majority of the membership and accepted by the Board of Directors, the TR shall be issued. Issuance would be by posting on the website, in addition to e-mailing copies, via e-mail, to the member representatives.
- 6) Temporary revisions will have the words “Temporary Revision” and the effective date in the footer of each page.
- 7) Temporary revision pages will be placed facing the affected pages that are being changed.
- 8) The Revision Record will have “TR” placed in the “Rev.” column of each change.
- 9) A Temporary Revision List of Effective Pages (L.E.P. Temporary Revision) will be created and inserted immediately following the ACS *Policies and Procedures*’ L.E.P.
- 10) Insertion instructions will also accompany the TR.
- 11) During the next revision cycle, the Revision Record will be revised, removing the “TR”, the policy will be incorporated, and the inserted page(s) will be removed.

4. Mail Ballots

- A. Mail ballots or electronic mail (e-mail) shall be used if possible and practical:
 - 1) To expedite non-controversial revisions to the manual that require membership and/or committee approval.
 - 2) To approve final drafts of documents or manual changes already discussed and accepted in principle by the membership.
- B. Replies to mail ballots shall be returned as soon as possible, but no later than fifteen (15) business days from the date distributed.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

5. Committee Meetings

- A. The chair of the Standards and Procedures committee is responsible for calling and conducting committee meetings.
- B. Committee meetings should be held as part of the semi-annual C.A.S.E. meetings whenever possible. Committee business may be conducted by mail or e-mail unless face-to-face discussion is deemed necessary.
- C. The chair prepares an agenda for each committee meeting, listing each item submitted for review. The chair shall provide committee members with a copy of the agenda a minimum of a week before the committee meeting whenever possible.
- D. The committee shall review each proposed item and either accept (with revisions, if appropriate), reject, or table (hold for further consideration or action) it.
- E. The chair shall make a report of committee activities at ACS general session meetings.
- F. The chair (or designee) shall prepare and distribute minutes of the committee meetings within fifteen (15) business days of the committee meeting or as soon thereafter as possible. The chair shall provide copies to all committee members, the ACS chair, and to others persons that both attend the committee meetings and also request a copy be provided.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

AUDIT AND COMPLIANCE COMMITTEE

1. General

- A. This section describes the responsibilities of the Audit and Compliance committee and the processes by which it shall audit and report on the functions and activities of the Air Carrier Section (ACS) to verify that the provisions of the *ACS Policies and Procedures* manual and the bylaws are upheld.
- B. During the Fall meeting in each odd-numbered year, the sustaining membership shall elect a committee chair to a two-year term. The incumbent chair may run for re-election. In the event the committee chair is unable to complete the two-year term, the committee vice-chair will assume the duties of the chair until the next meeting, at which time the sustaining membership shall elect a committee chair for the remainder of the term.

2. Duties and Responsibilities

- A. The chair shall assure that the responsibilities of the committee are carried out.
- B. The committee shall assist the chair in accomplishing the responsibilities of the committee as directed by the chair.
- C. The committee shall provide representation at each ACS general session or special membership meeting to verify that:
 - 1) A quorum is present.
NOTE: This also applies to each Level IV candidate interview.
 - 2) Proxies are in order. And,
 - 3) Sustaining member votes/abstentions are accounted for.
- D. The committee shall forward during each general session the current DOD audit report to the Membership and Promotions chair, to be used to maintain membership status.
- E. The committee manages the ACS auditor authorization program. They will:
 - 1) Verify annually that each sustaining member's list of C.A.S.E. authorized auditors is current and accurate.
 - 2) Maintain a current list of C.A.S.E. - ACS authorized auditors in the ACS area of the database.
 - 3) Arrange for C.A.S.E. - ACS authorization of new auditors.
 - 4) Maintain files of auditor qualifications and approval.
- F. The chair, or chair's designee, shall investigate allegations of auditor, Evaluator, and member non-compliance. If the allegation, investigation, or action being considered is against a member of the committee, an auditor whose company is represented on the committee, or a member air carrier for which a committee member is employed, that committee member must be excluded from Audit and Compliance committee activities regarding that allegation, investigation, or action

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

being considered. The committee may interview the excluded committee member during the normal course of the investigation. The results of such investigations shall be reported to the ACS Operations committee for resolution and appropriate action as follows:

- 1) **Level III Auditor:** The committee will determine, by majority vote, if the non-compliance warrants action, up to and including loss of C.A.S.E. authorization(s). If the action being considered is against a member of the committee, or against an auditor whose company is represented on the committee, that committee member must abstain from voting and that vote will not be counted among the total. The auditor may appeal the decision of the committee to the Operations committee. All members of the Operations committee must be represented for the appeal.
 - 2) **Level IV Evaluator:** The committee will determine, by majority vote, if the non-compliance warrants action, up to and including loss of C.A.S.E. authorization(s). If the action being considered is against a member of the committee, or against an Evaluator whose company is represented on the committee, that committee member must abstain from voting and that vote will not be counted among the total. The committee will present the results of their investigation and recommendations to the Operations committee for consideration. The Operations committee will review the information provided, allow the individual to present their explanation of the non-compliance, and determine if any further action is required. Recommendation for further action must be based upon majority agreement of the Operations committee. A recommendation for revocation from the Operations committee shall be presented to the membership and requires a majority vote by a quorum of the sustaining membership. The affected member must abstain from voting and that vote will not be counted among the total.
 - 3) **Sustaining/Associate Members:** The committee will present the results of their investigation and recommendations to the Operations committee for consideration. The Operations committee will forward their comments and recommendations to the Board of Directors in accordance with the bylaws.
- G. The chair shall make a report of committee activities at ACS general session meetings. The chair shall issue an Audit and Compliance Alert (1-9-2) when the committee deems it appropriate to rapidly communicate or otherwise highlight information and maintains a master list of alerts.
- H. The chair shall maintain all masters and records of the committee. At transfer of chair responsibilities, all such files shall be turned over to the new chair.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- I. The chair shall be responsible for conducting the voting for ACS positions during the ACS general session meetings. The positions up for vote are currently slated as follows:

Even Numbered Years		Odd Numbered Years	
Spring	Fall	Spring	Fall
ACS vice-chair	ACS chair	ACS secretary	Maintenance Technical chair
Database chair	Fuel Technical chair	Training chair	Newsletter chair
Standards & Procedures chair	Membership & Promotions chair		Audit & Compliance chair

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

DEVIATIONS AND EXEMPTIONS

1. General

- A. The Audit and Compliance committee may provide a deviation and/or exemption in cases where both of these conditions exist:
- 1) The circumstances are beyond the control of the petitioner, And,
 - 2) Logistical issues threaten the status of a sustaining member or the status of an active auditor.
- B. The committee chair may act alone in this regard or may seek the counsel of the committee before granting such a request. Before an exemption or extension is granted an interview will be done to determine the commitment of the C.A.S.E. representative and current management. If necessary, a mentor will be assigned by the Membership and Promotions chair.
- C. Except as provided in paragraph A, deviation or exemption to a current policy and/or procedure as voted on by the sustaining membership may not be granted by the Audit and Compliance committee or its chair. In the event that the Audit and Compliance committee finds what it believes to be justifiable cause for such a request, the matter, along with the justification, will be presented to the Operations committee for consideration. The Operations committee may act on behalf of the sustaining membership to grant such a request, provided that in the opinion (majority vote) of the Operations committee, the deviation and/or exemption is in the best interest of the Air Carrier Section of C.A.S.E. The ACS chair will report any such deviation to the membership at the next ACS general session meeting.
- D. Deviations or exemptions may be one time or for a prescribed or indefinite period of time as deemed appropriate by the Audit and Compliance committee. All deviations or exemptions shall be in writing from the member's C.A.S.E. representative and next higher level of Management and shall be maintained on file by the Audit and Compliance committee chair. Copies of the exemptions shall be sent to the member representative granted the exemption, all other committee chairs and the ACS chair.
- E. The Audit and Compliance committee shall review all active deviations and exemptions. At each ACS general session meeting, the Audit and Compliance committee chair shall report their status to the membership.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

AUDIT AND COMPLIANCE ALERT SYSTEM

1. General

- A. This Audit and Compliance Alert procedure may be used by the Audit and Compliance committee as a rapid means of communicating an urgent message to members. Alerts are published electronically via the C.A.S.E. website.
- B. An alert may be used to highlight established policies, notify members of problems or new regulatory requirements, etc. Contents of an alert will **NOT** supercede current policies and procedures.
- C. The Audit and Compliance committee chair controls the alert system. Any comments, suggestions, or questions regarding alerts should be addressed to the chair.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

MEMBER OR AUDITOR STATUS CHANGE

1. Sustaining Membership Status Change

- A. 14 CFR Part 119.51 requires an air carrier to notify the FAA of any amendment to its Operations Specifications. The C.A.S.E. program Operations Specifications page D90, paragraph C, specifies in part that, "Should the certificate holder cease to maintain an active sustaining membership, this authorization is cancelled." The chairs of both the Membership and Promotions committee and the Audit and Compliance committee shall notify a member of the decision to downgrade that member from sustaining to associate membership. If this action occurs the affected member must notify their FAA Principal Maintenance Inspector in writing within ten (10) business days.
- B. When a member status is downgraded, loss of membership, loss of certificate etc... there will be no refund of dues or assessments paid. Should the member regain sustaining status, any unused portion of dues or assessments would become active and applicable assuming sustaining status is regained in the time frame for which the dues or assessments were applicable. For example; dues would apply to the year for which they were paid.

2. Auditor Authorization Status Change

- A. If a non-compliance investigation results in a change to an auditor's C.A.S.E. authorization, the Audit and Compliance committee chair will notify the air carrier's representative and the C.A.S.E. Data Center of the change.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

VENDOR APPEAL PROCESS

1. General

- A. The Air Carrier Section membership realizes that on occasion a vendor may have reason to appeal the decision of an individual auditor in situations where that vendor believes that deletion from the Register was for reasons other than non-compliance to the standard. In those cases the following procedure shall apply.

NOTE: If the auditor involved in the appeal process is employed by the same air carrier as the Audit and Compliance committee chair, the chair shall relinquish control of the investigation and appoint a lead investigator. That lead investigator will control the appeal process and take it to fruition.

- B. The vendor will notify, in writing, the Audit and Compliance committee chair. The chair will take all available information from the vendor. The chair will have sixty (60) calendar days from the date of receipt of said notice to complete the investigation and advise the vendor of the results of that investigation.
- C. Upon receipt of an appeal, the chair will expediently notify the Operations committee.
- D. The chair will contact both the auditor that conducted the original audit and the auditor's C.A.S.E. Representative and gather the facts pertinent to the allegations brought by the vendor.
- E. The chair and vice-chair will determine if the appeal was requested for reasons other than failure to meet a standard (e.g. impropriety, unprofessionalism, conflict of interest, etc.) and, if warranted, will continue the investigation.
- F. Based on the facts presented by the vendor and the original auditor, the chair shall either uphold the original audit or cause a re-audit of the vendor by a sustaining air carrier not involved in the appeal process. In the latter case, the A&C Chair may submit an ADDVEN, before the re-audit takes place, when it is confirmed the DELVEN transmittal did not meet P&P requirements. This action will require a unanimous vote from the Operations Committee.
- G. If a re-audit is accomplished, the chair and the person performing the re-audit shall review the completed audit package from the re-audit and determine if reinstatement of the vendor in the Register is warranted. If both agree that reinstatement is appropriate, the chair will ask the auditor who performed the re-audit to notify the Data Center accordingly. The chair will then notify the Operations committee of the outcome.
- H. The chair will notify, in writing, the vendor, the original auditor, and the auditor's C.A.S.E. representative regarding the results of the investigation.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

INVESTIGATION PROCESS

1. General

- A. There are occasions where an investigation is required to ensure a member's compliance with policies and procedures and/or that an Evaluator's/Auditor's conduct meet the expectations of the organization, in those cases the following procedure shall apply.
- B. The investigation will be conducted by the Audit & Compliance committee chair or a designated Lead Investigator.

NOTE: Any member of the Audit & Compliance or Operations Committee employed by the air carrier or its employees involved in the investigation shall be excluded from the investigation process. If this includes the Audit & Compliance Chair, a Lead Investigator will be assigned, and control the investigation process through fruition.
- C. Upon receipt of an investigation the A&C chair or his designee will expediently notify the Operations Committee.
- D. The vendor/air carrier/individual will notify in writing to the Audit & Compliance Committee Chair explaining the reasons for an investigation. The chair or his designee will have sixty (60) calendar days from receipt of said notice to complete the investigation and advise the Operations Committee of the results. In the event of scheduling issues and/or the need for personal interviews the Operations Committee may extend the completion due date to allow for interviews to be conducted at scheduled organization meetings.

NOTE: The Lead Investigator will also contact the member representative, as applicable, gather the facts pertinent to the investigation and, if warranted, will continue the investigation.
- E. Due to the sensitivity of investigations, all interviews conducted by the chair or his designee will have a minimum of two members of the Audit & Compliance Committee present, which may include the ACS Chair & Vice-Chair.
- F. The Audit & Compliance Chair or his designee will forward the results and recommended actions resulting from the investigation to the Operations Committee for review. If these actions affect vendor status in the register, the Vendor Appeal Process 1-9-4 Section 1E-H may be applied.
- G. After the Operations Committees concurrence with recommended actions is received, the Audit & Compliance Chair or his designee will notify in writing the vendor/air carrier/individual, C.A.S.E. Representative, and the air carriers Quality Representative, Manager or Director as applicable, the results and any corrective actions resulting from the investigation. In addition the Database committee may be notified if these actions affect vendor or auditor status.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

NEWSLETTER COMMITTEE

1. General

- A. This section defines the duties and responsibilities of the Newsletter committee. The purpose of the Newsletter committee is to be the focal point for all articles and information to be included in the C.A.S.E Air Carrier Section (ACS) newsletter *The Supplier*.
- B. The Newsletter committee shall not be considered a standing committee with scheduled meetings and does not have a standard scope of activities.
- C. During the Fall meeting in each odd-numbered year, the sustaining membership shall elect a committee chair to a two-year term. The incumbent chair may run for re-election. In the event the committee chair is unable to complete the two-year term, the ACS chair will appoint a chair until the next meeting, at which time the sustaining membership shall elect a committee chair for the remainder of the term.
- D. Members' representatives and auditors are expected to participate in the publication of the newsletter by submitting articles, topics, questions, or any pertinent information for inclusion into the newsletter. The newsletter is a representation of the C.A.S.E ACS and a method by which its knowledge can be shared within the industry.
- E. The committee shall consist of a chair and an adequate number of committee members to ensure a timely and informative newsletter.
- F. Each issue of *The Supplier* will be reviewed and approved for release by the C.A.S.E. ACS chair.
- G. The newsletter will be published a minimum of one (1) time per calendar year.

2. Duties and Responsibilities

- A. The chair:
 - 1) Acts as the editor of the newsletter.
 - 2) May delegate duties and assignments associated with the newsletter to committee members. Such duties may include research, writing, proof reading, editing, etc.
 - 3) Will be responsible for ensuring that copyrights are not infringed upon for any articles reproduced from other publications.
 - 4) Is responsible for ensuring posting of the newsletter on the C.A.S.E. website.
 - 5) Will establish the deadlines and the publication and distribution dates for the newsletter.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

B. Committee Members:

- 1) Are responsible for researching articles and subject matter to ensure only factual and accurate information is submitted for publication.
- 2) Are expected to take on assignments from the chair to solicit and/or write articles on various subject matters.
- 3) Will be asked to proofread and critique articles and drafts of the newsletter prior to publication.
- 4) Are expected to submit assignments in a timely fashion to ensure deadlines are met.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

DATABASE COMMITTEE

1. General

- A. This section defines the duties and responsibilities of the Database committee whose purpose is to provide a central focus for technical support to the Air Carrier Section sustaining membership, review user problems, review and recommend system enhancements, and to monitor and facilitate the audit allocation system.
- B. During the Spring meeting in each even-numbered year, the sustaining membership shall elect a committee chair to a two-year term. The incumbent chair may run for re-election. In the event the chair is unable to complete the two-year term, the committee vice-chair will assume the duties of the chair until the next meeting, at which time the sustaining membership shall elect a committee chair for the remainder of the term.

2. Duties and Responsibilities

- A. The chair shall assure that the responsibilities of the committee are carried out.
- B. The committee members shall assist the chair in the accomplishment of the responsibilities delegated to the committee.
- C. The committee shall:
 - 1) Promote education regarding the use of the database and, when possible, provide assistance and technical support to on-line users.
 - 2) Provide all database users with a technical advisor. This advisor shall provide first line technical support to assigned members.
 - 3) Review all database technical problems and notify the membership of a course of action that involves any capital expenditures.
 - 4) Review proposed enhancements to the database and make recommendations to the sustaining membership.
 - 5) Schedule and monitor the annual audit allocation process to ensure it is properly executed in accordance with 3-6-0.
 - 6) Develop an initial user training program and make said programs available to the membership.
 - 7) Provide assistance to the Audit and Compliance committee in the performance of internal audits of the database and shall facilitate the correction of findings resulting from those audits.
 - 8) Aid members in determining how a vendor allocation should be split (if required) and to assign allocation numbers for each new allocation created by a split. Additionally, electronically link split allocations to the master allocation within the database.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

FUEL TECHNICAL COMMITTEE

1. General

- A. This section defines the duties and responsibilities of the Fuel committee. The purpose of the Fuel Technical committee is to develop and maintain the technical data required to support the C.A.S.E. fuel auditors.
- B. During the Fall meeting in each even-numbered year, the sustaining membership shall elect a committee chair to a two-year term. The incumbent chair may run for re-election. In the event the chair is unable to complete the two-year term, the committee vice-chair will assume the duties of the chair until the next meeting, at which time the sustaining membership shall elect a committee chair for the remainder of the term.

2. Duties and Responsibilities

- A. The chair:
 - 1) Shall assure that the responsibilities of the committee are carried out.
 - 2) Shall conduct committee meetings at the C.A.S.E. semi-annual meetings and call special meetings of the committee as needed.
 - 3) May delegate duties and responsibilities as required.
 - 4) Will interface with the fuel industry and air carrier personnel as necessary to assure C.A.S.E. 2-A standard qualified auditors are provided with the most current information available.
 - 5) Will assure the C.A.S.E. 2-A standard remains current.
- B. The committee members:
 - 1) Shall assist the chair in accomplishing the duties of the committee as directed by the chair.
 - 2) Will be assigned tasks at the direction of the chair.
 - 3) Will assure the 2-A Fuel Audit checklist remains current with the latest revision of the C.A.S.E. 2-A standard.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

TRAINING COMMITTEE

1. General

- A. This section describes the duties and responsibilities for the Training committee.
- B. During the Spring meeting in each odd-numbered year, the sustaining membership shall elect a chair to a two-year term. The incumbent chair may run for re-election. In the event the chair is unable to complete the two-year term, the committee vice-chair will assume the duties of the chair until the next meeting, at which time the sustaining membership shall elect a committee chair for the remainder of the term.

2. Duties and Responsibilities

- A. The chair is responsible for:
 - 1) Conducting committee meetings at the C.A.S.E. semi-annual meetings and calling special meetings of the committee as needed.
 - 2) Ensuring that committee meeting minutes are kept and reporting committee activities at ACS general session meetings.
 - 3) For the requirements, content, and scheduling of training classes.
 - 4) The procurement of classrooms, equipment, and reference material required to conduct comprehensive training courses.
 - 5) Grading tests, maintaining records of those tests, and issuing certificates to those that successfully pass the course.
 - 6) Scheduling qualified instructors for all core classes.
 - 7) Granting individuals instructing and performing necessary duties during training sessions the benefit of free credit for those courses in which they instruct or assist.
 - 8) Updating auditor qualification training information in the C.A.S.E. database for all sustaining members following completion of all scheduled training sessions.
- B. The committee members:
 - 1) Are responsible for carrying out tasks as assigned by the chair.
 - 2) Provide input at committee meetings to foster the continual improvement of the training program.
 - 3) Assist in scheduled training as directed by the chair.
 - 4) Assist any member regarding their training needs.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

MAINTENANCE TECHNICAL COMMITTEE

1. General

- A. This section defines the duties and responsibilities of the Maintenance Technical committee. The purpose of the Maintenance Technical committee is to develop and maintain the technical data required to support the C.A.S.E. 1-A/4-A Standards.
- B. During the Fall meeting in each even-numbered year, the sustaining membership shall elect a committee chair to a two-year term. The incumbent chair may run for re-election. In the event the chair is unable to complete the two-year term, the committee vice-chair will assume the duties of the chair until the next meeting, at which time the sustaining membership shall elect a committee chair for the remainder of the term.

2. Duties and Responsibilities

- A. The chair:
 - 1) Shall assure that the responsibilities of the committee are carried out.
 - 2) Shall conduct committee meetings at the C.A.S.E. semi-annual meetings and call special meetings of the committee as needed.
 - 3) May delegate duties and responsibilities as required.
 - 4) Will interface with the maintenance industry, applicable NAAs and air carrier personnel as necessary to assure the Chair of the C.A.S.E. Standards & Procedures Committee is provided with the most current information available in order to revise and maintain the 1A /4A Standards..
 - 5) Will assure any changes to regulatory guidance is reviewed and determine effectivity to the C.A.S.E. 1-A/4-A and forward suggested enhancements or supplements to current documentation to the Chair of the Standards & Procedures Committee.
- B. The committee members:
 - 1) Shall assist the chair in accomplishing the duties of the committee as directed by the chair.
 - 2) Will be assigned tasks at the direction of the chair.
 - 3) Will assure the 1-A/4-A Audit checklist remains current with the latest revision of the C.A.S.E. 1-A/4-A standard.

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

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CHAPTER 2

MEMBERSHIP REQUIREMENTS AND OBLIGATIONS

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

MEMBERSHIP ELIGIBILITY AND REQUIREMENTS

1. General

- A. Membership in the Air Carrier Section (ACS) recognizes one (1) class of membership: sustaining. It also recognizes one (1) membership level preceding sustaining membership: associate. Applicants for membership to the ACS shall file their application(s) with the Membership and Promotions (M&P) committee chair. The applicable forms appear in chapter 6 of this manual.
- B. Sustaining membership is limited to air carriers that have a minimum of one (1) C.A.S.E. Level III auditor or Level IV Evaluator qualified to the 1-A or 2-A standard who is a full-time employee of that member. Air carriers interested in sustaining membership but who are without an auditor eligible for C.A.S.E. authorization are encouraged to join as associate members. They are then eligible to participate in C.A.S.E. activities and training and can work toward getting a C.A.S.E. authorized auditor. Before entering the qualification process for sustaining membership, applicants must meet all requirements of an associate member as specified on CACS-1 and CACS-2 found in chapter 6.
- C. If a sustaining member loses all Level III/IV auditors/Evaluators, within thirty (30) calendar days, that member shall apply to the Audit and Compliance committee chair for an exemption to this requirement until such time as it has a qualified replacement. The time limit for obtaining the replacement shall be established by the Audit and Compliance committee chair.

2. Associate Membership

- A. Associate members shall be limited to air carriers who are interested in membership or in promoting or assisting in promoting the purposes of this corporation. To qualify for associate level membership, an air carrier must:
 - 1) Be a certificated air carrier operating in accordance with the aviation regulations of the certificating government (FAA/NAA). For U.S. carriers, this is limited to carriers certificated and operating under Parts 121 or 135 of the Federal Regulations.
 - 2) Agree to the bylaws of C.A.S.E.
 - 3) Agree to comply with all requirements specified in the C.A.S.E. *ACS Policies and Procedures* manual.
 - 4) Establish and maintain, with appropriate hardware and software as defined by the Database committee, connection to the C.A.S.E. computer system.
- B. Steps for attaining associate membership (and subsequently sustaining membership) are:
 - 1) Complete a CACS-1 (Application for Associate-Level Membership) and submit it, along with a copy of your Air Carrier Certificate, to the M&P committee chair (or designee).

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 2) Upon review and acceptance, the applicant is encouraged to pursue sustaining membership. This consists of:
 - a) Preparing and submitting copies of the applicant's:
 - i) Vendor audit program.
 - ii) Level I and Level II auditor training program.
 - iii) Level II auditor training records.
 - b) Requesting a membership audit (when applicant is prepared).
 - c) Requesting a M&P committee review a minimum of thirty (30) calendar days prior to the applicable Spring/Fall C.A.S.E. semi-annual meeting.
- C. A M&P committee member performs an audit of the applicant and reviews the membership request package for completeness. The results are then forwarded to the M&P committee members for evaluation during the applicable Spring/Fall C.A.S.E. semi-annual meeting.

NOTE: Evaluation to be attended by the applicant's Level II(s) and/or management.
- D. A vote of the M&P committee is performed and, if accepted, the applicant is informed of their associate status pending payment of membership dues. The M&P committee chair confers with the Treasurer to ensure that the member is invoiced and payment received.
- E. The new associate member may then begin preparations to qualify for sustaining membership by:
 - a) Preparing a CACS-2 (Application for Sustaining Membership) and a CACS-6 (Air Carrier Evaluation Report) and submitting them, along with applicable supporting data, to the M&P committee chair.
 - b) Submitting a Letter of Agreement from its management to the M&P committee chair stating their intent to abide with the ACS Policies and Procedures and bylaws of C.A.S.E.
 - c) Preparing an auditor as a qualified Level III auditor.
- F. Once the member has an auditor qualified as a Level III auditor or Level IV Evaluator, the M&P committee chair forwards the submitted items to the M&P committee members for review.

NOTE: This may be accomplished via phone, or electronic means.
- G. The applicant is then notified if sustaining membership is to be granted. If not, the M&P chair provides the reason for disapproval. If granted, the applicant is notified along with the Audit & Compliance and Database committees, as well as the C.A.S.E. General Manager, so that Register access may be granted.

3. Sustaining Membership

- A. ACS sustaining members shall:
 - 1) Be certificated air carriers operating in accordance with the aviation

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

regulations of the certificating government. For U.S. carriers, this is limited to carriers certificated and operating under 14 CFR Parts 121 or 135.

- 2) Agree to the bylaws of C.A.S.E.
- 3) Agree to comply with all requirements specified in the C.A.S.E. *ACS Policies and Procedures* manual and to share audit information (via transmittals) with C.A.S.E. members in good standing. Further, member air carriers shall commit to allocating appropriate resources (time, money, expertise, etc.) to fulfill audit obligations to the highest degree of safety.
- 4) Agree to complete the on-site audit portion of all allocated audits during the scheduled month (3-6-0) and communicate on a timely basis the status of assigned or performed audits through the transmittal process.
- 5) Maintain documented vendor/supplier audit procedures in their manual system. Procedures must meet the minimum standards specified in 2-2-0 of the C.A.S.E. *ACS Policies and Procedures* manual.
- 6) Maintain a history file of vendor/supplier audits, findings, and corrective action (follow-up system) in accordance with the C.A.S.E. *ACS Policies and Procedures* manual.
- 7) Maintain a list of approved vendors/suppliers for control and internal dissemination. This list is to include all vendors from which a document (e.g. FAA form 8130-3, TC Form 1, EASA Form 1) is received which is filled out on the "return to service" side of the form. The member must also assure that the usage list submitted to the C.A.S.E. Data Center be updated when vendors are removed from or added to the list of approved vendors/suppliers. These lists will be audited for accuracy and completeness by other members during the course of membership audits (1-7-0).

NOTE: Due to anti-trust considerations, members shall not communicate to a vendor that their decision to not use that vendor is based solely upon ACS Register status.

- 8) Maintain records of vendor/supplier quality problems and performance and of component reliability.
- 9) Maintain a minimum of one (1) C.A.S.E. Level III auditor or Level IV Evaluator qualified to the 1-A or 2-A standard.

NOTE: All auditors/Evaluators must be full-time employees of their air carrier, however, they are not required to be full-time Quality Department employees. This includes both maintenance and fuel auditors/Evaluators.

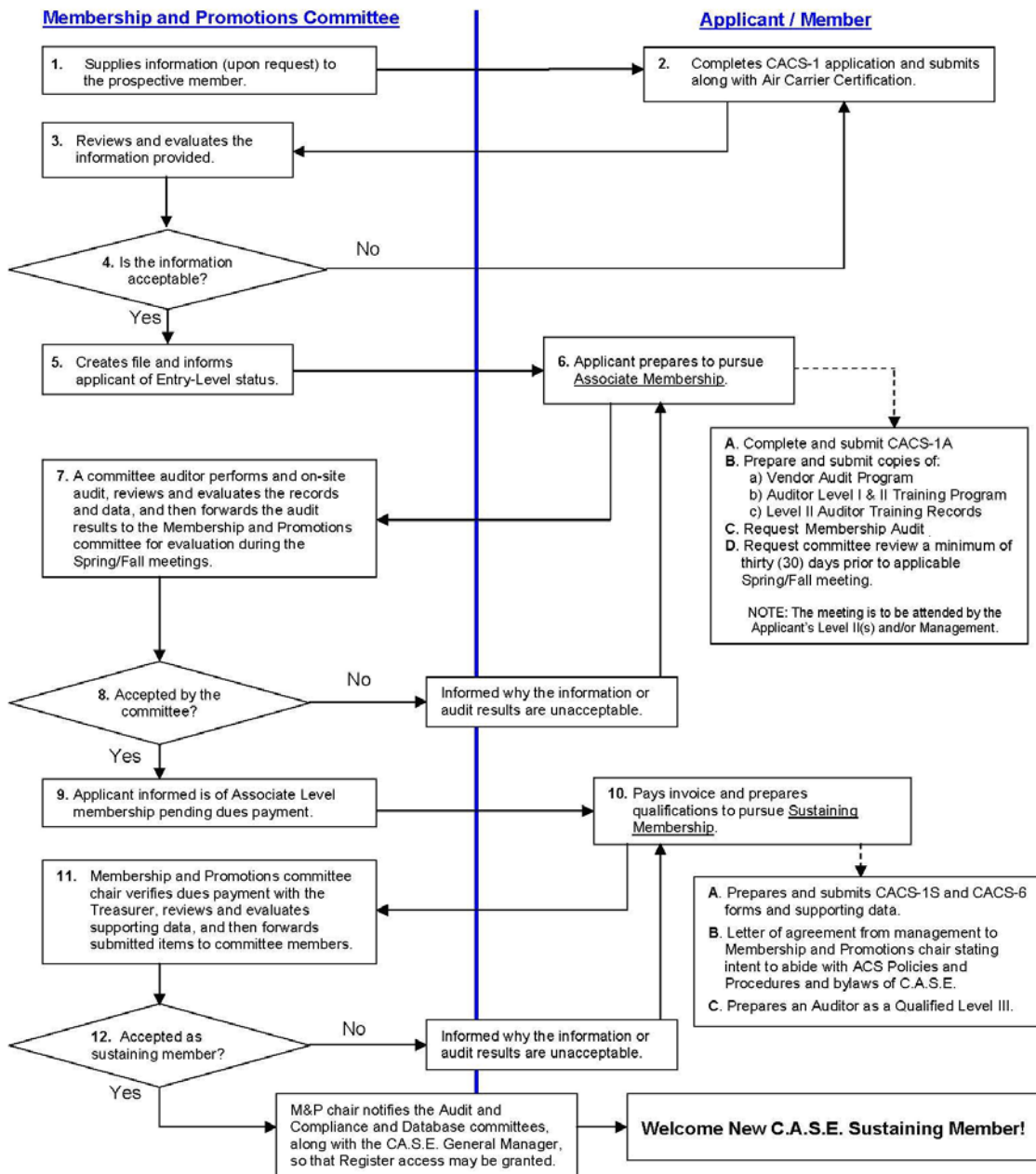
- 10) Establish and maintain, with appropriate hardware and software as defined by the Database committee, connection to the C.A.S.E. computer system.
- 11) Provide revision service for the C.A.S.E. *ACS Policies and Procedures* manual to their FAA/NAA representative(s) should that member elect to provide a copy (copies).

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

C.A.S.E. Membership Flow Chart



C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

COMPANY REPRESENTATIVES TO C.A.S.E.

1. Duties and Responsibilities

- A. A sustaining member company's representative to C.A.S.E. is expected to attend C.A.S.E. semi-annual meetings. The representative (or designee) is required to serve actively on a minimum of one (1) committee. Active participation is considered to be by attendance and by making contributions to the committee in the form of discussions, research, and time spent in support of committee functions. If the representative (or designee) is absent for two (2) consecutive meetings, the company's sustaining membership in C.A.S.E. may be terminated.
- B. Sustaining members' representatives shall:
- 1) Serve on special assignments as requested by the Air Carrier Section (ACS) chair or the Board of Directors.
 - 2) Have an individual e-mail address and must monitor that system during the business week.
 - 3) Respond in the time frame indicated to all communications between the ACS management and the members' representatives.
 - 4) Assure proper inputs to the C.A.S.E. Register.
 - 5) Assure response to queries from the C.A.S.E. Data Center.
 - 6) Pass on complete procedures to replacement representative when changes in representation occur.
 - 7) Assure that the representative's company has a vendor surveillance program, procedures, and auditors that remain in compliance with the requirements of this manual.
 - 8) Annually ensure that a self audit is conducted, using an Air Carrier Evaluation Report (CACS-6), to verify continued compliance.
 - 9) Respond to other member's request for an audit.
 - 10) Assure on-site audits are performed on all vendors assigned by the audit allocation program.
 - 11) Assure that any corrections required to the representative's name, company name, mailing address, phone number, etc., are accomplished in a timely manner in the C.A.S.E. database.
 - 12) Annually verify that Membership Dues have been paid. (Membership and Promotions Committee will be notified of an outstanding balance at the Spring Meeting. Non-payment will be addressed by suspension or termination of membership per the by-laws, if payment of dues are not received by April 30.)

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 13) Annually provide the Audit and Compliance committee chair (or designee) with a completed Annual Activity Report (CACCS-11) certifying that:
- a) Each of its auditors has complied with the minimum requirements for retaining their C.A.S.E. Level III or Level IV authorization (2-3-1, paragraph 7.C. and/or D).
 - b) The member's company information in the C.A.S.E. database has been checked for accuracy. And,
 - c) The contact information in the C.A.S.E. database for the member's representative, representative's Manager/Director, and each of its auditors has been checked for accuracy (2-3-1, paragraph 7.E.).
 - d) A CACS-6 form has been completed for this reporting year and is being kept on file.
 - e) The member's performance regarding allocations has been reviewed.

NOTE: It is expected that the representative will address all performance discrepancies discovered in a timely manner.
 - f) The information regarding the member's most recent membership verification audit has been noted.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

VENDOR SURVEILLANCE PROGRAM

1. Minimum Requirements

- A. Each sustaining member of the Air Carrier Section must have an internal program of vendor surveillance that is either FAA accepted or in accordance with the regulations of the certificating government and meets the requirements listed below. The program shall be described in detail in the member's manual system.
- B. The manual must specify:
 - 1) The department responsible for vendor surveillance.
 - 2) An on-site audit for vendors/suppliers submitted to the C.A.S.E. Register and maintained in the Register.
 - 3) The requirement to maintain adequate records.
- C. There must be published procedures that define the extent of the surveillance program and lists the details of the following areas:
 - 1) Type of audits to be conducted:
 - a) Initial approval audit.
 - b) Follow-up audits.
 - 2) Minimum requirements for audit personnel (2-3-0).
 - 3) Extent of audit records as required in paragraph 1.D. of this procedure.
 - 4) Detailed use of audit forms to the minimum audit format requirements described in chapter 6.
 - 5) Handling of unapproved vendor/suppliers through interaction (including such areas as notification, scheduling, and audit requests) with:
 - a) Procurement.
 - b) Vendor audits.
 - c) Material review.
 - d) Receiving inspection.
 - e) Engineering.
- D. The records must provide adequate documentation and objective evidence of vendor surveillance activities by maintaining the following:
 - 1) Records listing audit activity from the audit request through the final notification of status.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 2) A listing of approved vendors/suppliers updated periodically and transmitted to all using departments.
- 3) Individual vendor/supplier files containing audit requests, completed audit forms, and related documentation, such as inter-department correspondence and vendor/supplier correspondence.
- 4) The material and data necessary to update the C.A.S.E. Register as described in 3-2-0.
- 5) For each audit for which Register action was taken, records must be maintained for a minimum of thirty-six (36) calendar months from the date of the audit or until the audit is superseded by another sustaining member's audit of the facility to that standard.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

AUDIT PERSONNEL - MINIMUM REQUIREMENTS

1. Qualifications

- A. Only auditors of sustaining members or candidates for sustaining membership are eligible. All auditors, including both maintenance and fuel, must be full-time employees of their air carrier, however, they are not required to be full-time Quality Department employees.
- B. Consideration will only be given to auditors submitted by:
 - 1) A sustaining member's representative to C.A.S.E. Or,
 - 2) An associate member applying for sustaining membership.
- C. Candidates to be authorized for standards other than the fuel standard must have:
 - 1) A minimum of 36 calendar months experience in aircraft maintenance/quality control/quality assurance experience with a comprehensive knowledge of quality systems. And,
 - 2) A minimum of twelve (12) calendar months as a full-time air carrier technical auditor of maintenance or modification activities. Or,
 - 3) If audit duties are collateral with other duties, and candidates are members of the Air Carrier's Quality Assurance staff, a portion of the duties for the past twenty-four (24) calendar months must have been devoted to conducting audits of maintenance or modification activities.
- D. Candidates to be authorized for fuel standards must have:
 - 1) Thirty-six (36) calendar months experience as a fuel storage facility employee, aircraft fuel servicing employee, oil company and/or air carrier quality assurance/quality control, or similar related occupation. And,
 - 2) A minimum of six (6) calendar months as a full-time auditor of fuel farms and/or fueling facilities, equipment, and activities. Or,
 - 3) If audit duties are collateral with other duties and candidates are members of the Quality Assurance staff, a portion of the duties for the past twenty-four (24) calendar months must have been devoted to conducting audits of fuel farms and/or fueling facilities, equipment, and activities.
- E. Within a twelve (12) calendar month period preceding an application, auditor candidates:
 - 1) For 1-A authorization must have conducted twelve (12) vendor facility audits to the 1-A standard. Six (6) of the required twelve (12) audits must have been accomplished within a six (6) calendar month period preceding the application.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 2) For 2-A authorization must have conducted a minimum of six (6) audits of fuel into-plane facilities and a minimum of six (6) audits of fuel storage facilities to the 2-A standard. Six (6) of the minimum twelve (12) audits specified above (three (3) of each type) must have been accomplished within a six (6) calendar month period preceding the application.
- F. Auditor candidates must participate in pre-check-ride evaluations:
- 1) For 1-A standard auditors, three (3) of the twelve (12) audits specified in paragraph E.1) must have been conducted as a pre-check-ride evaluation with any authorized Level III/IV (each by a different Level III/IV).
 - 2) For 2-A standard auditors, six (6) of the twelve (12) audits specified in paragraph E.2) (three (3) for each type of facility), must have been conducted as a pre-check-ride evaluation with an authorized Level III/IV. Each of the three (3) pre-check-ride evaluations for each fuel facility type must be conducted by a different Level III/IV (e.g. the same Level III/IV may conduct both one (1) fuel storage facility pre-check-ride evaluation and one (1) fuel into-plane facility pre-check-ride evaluation).

Observations and partial evaluations will not be allowed for final check-ride consideration. Each Level III/IV conducting a pre-check-ride evaluation must provide the candidate with constructive written comments using C.A.S.E. form CACS-5 identifying a candidate's strengths and weaknesses. Failure to provide such comments may nullify the pre-check-ride evaluation. This document becomes part of the candidate's auditor training record.

- G. Auditors must be qualified to conduct the specific category of audits that are to be accomplished. The training, knowledge, experience, and expertise required for fuel auditing is markedly different from that required for auditing maintenance, modification, and servicing facilities. Therefore, the candidate requirements, evaluation and authorization of the candidates, and the requirements for maintaining authorization, though comparable, differ in their technical aspects. This is true for both the Level III auditor and the Level IV Evaluator. Each must be judged against the requirements for either fuel audits or maintenance/modification/servicing audits, as applicable.
- 1) Candidates for authorization to conduct fuel vendor audits must complete the required number of audits on fuel vendors only.
 - 2) Candidates for both fuel auditor and maintenance auditor must comply with the requirements of both authorizations in their entirety.
 - 3) Level IV Evaluators may only evaluate against the standards for which they themselves are authorized to audit.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

H. Following training, fuel auditors must be knowledgeable of fuel tests required by the C.A.S.E. 2-A standard (e.g. free water, membrane filtration, specific gravity, visual grading, etc.). They must understand why and when these tests are to be performed, able to perform each test, be able to interpret the test results, and to understand the meaning of the results.

2. C.A.S.E. Auditor Authorization

A. Before a member's auditor is authorized to perform an audit, and submit information to the C.A.S.E. Data Center, in support of the ACS on behalf of that member, they must be a qualified Level III/IV auditor/Evaluator and authorized through the Audit and Compliance committee (2-3-1).

3. Auditor Records

A. Once a level III auditor candidate, current level III/IV completes training (CACS-9), initial check ride process or renews their auditor authorization, those documents; CACS-4, CACS-5 and CACS-9, will be attached to the auditor's/Evaluator's record in the database by the Audit and Compliance Committee and will be updated as required for each training or evaluation. The auditor or Evaluator records will be viewable by the specific individual or their company representative.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

AUDITOR AUTHORIZATION PROGRAM

1. General

- A. This Auditor Authorization Program is limited to the Air Carrier Section (ACS) of C.A.S.E. References to a C.A.S.E. authorized auditor, auditor requirements, or C.A.S.E. auditor authorization are limited to the ACS.
- B. The Auditor Authorization Program is managed by the Audit and Compliance committee chair of the ACS. Its purpose is to provide a system to verify that members' auditors are qualified to conduct a satisfactory audit to C.A.S.E. ACS standards as stated in the *Policies and Procedures* manual. This program also specifies minimum requirements that will maintain audit skills at a level acceptable to the membership.
- C. To promote standardized performance of vendor facility audits by all C.A.S.E. members, the Auditor Training and Qualification portion of this program provides general instructions and guidance for experienced auditors with respect to specific C.A.S.E. standards. Initial auditor training and qualification up to Level II company auditor status is solely the responsibility of the member air carriers. It is not the intention of the C.A.S.E. Auditor Training Program to provide instruction for apprentice auditors.
- D. The training program consists of four (4) phases. Upon successful completion of each phase of training, the trainee is qualified for the respective "Level" authorization. Auditor qualification levels are:
 - Level I - Company Auditor Trainee
 - Level II - Qualified Company Auditor
 - Level III - C.A.S.E. Authorized Auditor
 - Level IV - C.A.S.E. Authorized Evaluator
 - 1) Levels I and II cover the training activities that qualify an individual as an auditor for their employer.
 - 2) Level III training is designed to acquaint an experienced auditor with specific requirements of the C.A.S.E. audit program. The Audit and Compliance committee must evaluate and accept the candidate's training, experience, and capabilities before issuing the candidate a Level III C.A.S.E. authorization.
 - 3) Level IV, the Evaluator designation, is designed to authorize an individual to conduct the review, examination, and check-ride of a Level III applicant. Sustaining membership present at ACS general session meetings must accept, by a minimum 90% affirmative vote, the candidate's qualifications and experience for authorization as a Level IV Evaluator.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- E. Before a candidate for Level III auditor authorization can be recommended to the Audit and Compliance committee for consideration, the candidate must successfully pass:
- 1) Web-based training prerequisites and written examinations of the C.A.S.E. *Policies and Procedures* manual and the standard for which authorization is being sought (i.e. 1-A, 2-A). The minimum passing grade of 70%. Test results are valid for twelve (12) calendar months from the date the tests were taken. If the individual concerned has not completed all requirements and been accepted as a Level III auditor prior to the expiration dates listed above, that individual must repeat the classes and the written tests successfully to re-qualify for a check-ride.
 - 2) An oral examination by a Level IV Evaluator on C.A.S.E. policy and procedures, and general auditing procedures, techniques, and skills. And,
 - 3) A practical demonstration of auditing knowledge and skill to the satisfaction of a Level IV Evaluator.
- F. Should an authorized auditor change employment from one sustaining member carrier to another sustaining member carrier, the individual's authorization shall remain valid provided the following are complied with:
- 1) The auditor complies with the requirements to retain certification.
 - 2) The auditor notifies, in writing within thirty (30) calendar days, the Data Center and the Audit and Compliance committee chair of the change of employer. The notification must include the employer's name, **mailing** address and the auditor's telephone number(s).
- G. Should an authorized auditor/Evaluator transfer from a Sustaining member to an Associate member Air Carrier, they may no longer exercise the privileges of their authorization. Should that Associate member become a Sustaining member within six (6) calendar months of hiring the former authorized auditor/Evaluator, their authorization privileges shall be reinstated. The auditor/Evaluator is required to ensure compliance with the Maintaining Authorization section (2-3-1, para. 7.B. through D.) by:
- 1) performing the minimum required number of audits,
 - 2) completing any training due within the required time limits, And,
 - 3) completing any check-ride due within the required time limits.
- NOTE:** Should the calendar year end during the six (6) calendar month timeframe, the auditor/Evaluator is required to submit, to the Audit and Compliance committee, an Annual Activity Report (CACS-11).
- H. Level III auditors and Level IV Evaluators employed by member carriers may not act as paid consultants to assist vendors in qualifying for audits to C.A.S.E. standards. To do so would be a conflict of interest and is not acceptable.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

2. Initial Level III Authorization Procedure

A. Information on candidate requirements, check-ride requirements and expectations, and materials that the candidate should bring to the check-ride may be found in paragraph 3 of this section.

B. Each candidate must meet the requirements of this *Policies and Procedures* manual, sections 2-3-0 and 2-3-1. All candidates, when submitting their C.A.S.E. Level III application to the Audit and Compliance committee chair (or designee), shall provide:

- 1) All completed observations and evaluations (CACS-5 forms). The most recent evaluation must recommend the candidate for a check-ride.
- 2) A **copy** of their completed C.A.S.E. Auditor Qualification Record (CACS-4).

NOTE: The original must be retained by the candidate and subsequently be signed by the Level IV Evaluator after the candidate has successfully completed the check-ride.

- 3) A copy of their FAA airframe and/or powerplant (or equivalent NAA issued) certificate(s)(license(s)), if applicable.
- 4) Copies of diploma(s), if applicable.
- 5) Proof of experience (training records, Level I and Level II completion records). It is imperative that candidates provide documented evidence of their experience (e.g. a brief resume of quality experience). Candidates must also submit documented evidence of their Level I and Level II qualifications for their air carrier (2-3-1, paragraph 8).
- 6) A copy of their Written Test Score (CACS-9).

CAUTION: Failure to meet the requirements of the preceding paragraph will, at a minimum, delay check-ride approval until all requirements are accomplished.

C. The chair shall confer with other committee members as required to determine whether or not the candidate meets the minimum requirements (2-3-0).

D. A committee member shall contact the member in writing. If the candidate:

- 1) Does not meet minimum requirements, the reasons for rejection will be identified.
- 2) Meets minimum requirements, the member shall be notified that the candidate is to make arrangements with a Level IV Evaluator for a check-ride within ninety (90) days of receiving notification. The candidate shall arrange with a C.A.S.E. Level IV Evaluator from another C.A.S.E. member to observe the candidate's performance on an actual audit; a check-ride. If a Level IV Evaluator has participated in the candidate's pre-check-ride evaluation process, that Evaluator may not conduct the check-ride. Level IV Evaluators are listed in the C.A.S.E. computer system.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- E. After the candidate has made arrangements for a check-ride, the individual shall inform the Audit and Compliance committee chair (or designee) in writing, identifying the Evaluator, the facility to be audited, and the proposed audit date.
- F. The Level IV Evaluator conducts the check-ride and files a written report (CACS-5) with the Audit and Compliance committee chair (or designee). A candidate will conduct the entire audit from introductory briefing through exit briefing. At the discretion of the Level IV Evaluator, the check-ride may proceed through audit closure (excluding Register action for initial candidates). The report shall contain the name of the agency audited, an evaluation of the candidate auditor's capabilities, the candidate's signature in the ethics statement block (for both initial and recurrent check-rides), and a recommendation to approve or disapprove the candidate auditor. If the recommendation is to disapprove, the report must give supporting reasons and an individual re-qualification plan shall be developed by the Level IV Evaluator to define what the auditor must do before re-applying to complete another check-ride. The Audit and Compliance Committee will have the final approval of the re-qualification plan and will notify the appropriate parties. The Level IV Evaluator also records the Level III candidate's satisfactory communication skills on the candidate's qualification record (CACS-4).
- G. The Audit and Compliance committee chair (or designee) notifies the member in writing that the candidate auditor is either approved as a Level III auditor or disapproved.
 - 1) If approved, the candidate's name is added to the list of C.A.S.E. authorized auditors. A Level III Certificate of Designation and a wallet size identification card are sent to the member.
 - 2) If disapproved, the member is given the reasons why.

3. Check-ride Requirements and Expectations

A. General

- 1) This section describes in general terms what is expected of a candidate for C.A.S.E. Level III auditor authorization and what the candidate may anticipate. It details:
 - a) What each candidate should do for preparation prior to each observation/evaluation.
 - b) The documents, manuals, and paperwork with which the candidate must be familiar.
 - c) Those items each candidate must bring on each observation/evaluation and check-ride, including a minimum of three (3) evaluations prior to the check-ride.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

B. Observation/Evaluation Requirements (CACS-5)

- 1) The purpose of the pre-check-ride observations/evaluations are to ensure that candidates have a good understanding of applicable CFRs, C.A.S.E. ACS policies and procedures, C.A.S.E. history, Title 49 of the United States Code (49 U.S.C.) § 44701 (formerly the Aviation Act of 1958), Anti-Trust laws, the 1-A or 2-A standard (as applicable), industry practices, professionalism, and sound auditing techniques. **This is not on-the-job training.** Candidates should already have adequate auditing experience so that Level III/IV auditors/Evaluators can determine if a candidate is capable of consistently applying the appropriate standard and pass a check-ride. Pre-check-ride evaluations test the candidate's knowledge and how such knowledge is applied.
- 2) Each auditor candidate must have completed Level I/Level II training according to their air carrier's requirements before being eligible for a C.A.S.E. Level III qualification (2-3-0 and 2-3-1, paragraph 1.D.). For each observation/evaluation the candidate must bring the following materials:
 - a) Documentation the candidate is a qualified Level I/II auditor for their air carrier.
 - b) Applicable CFRs.
 - c) C.A.S.E. ACS 1-A or 2-A standard, as applicable.
 - d) An appropriate checklist that covers all C.A.S.E. ACS requirements for the system sought.
 - e) All CACS-5s from previous observations/evaluations.
 - f) A blank hard copy of the Vendor Expectations and Limitations for discussion and to ensure the candidate understands its purpose.
- 3) Evaluators shall make appropriate comments for all applicable aspects listed on the CACS-5 form. Comments should be in sufficient detail, and clearly state, the candidate's strengths and areas needing improvement. Make comments clear enough for the candidate to understand and for subsequent Level III/IV auditors/Evaluators to adequately appraise performance.
- 4) Failure to meet any requirements in this section will void the evaluation.

C. Pre-check-ride Requirements

- 1) The authorization process presupposes the candidate:
 - a) Has the experience and qualifications defined in 2-3-0.
 - b) Is thoroughly familiar with the applicable miscellaneous regulations or CFRs, C.A.S.E. ACS *Policies and Procedures* manual, and the procedures necessary for conducting a high quality technical audit.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- c) Has a good understanding of the history of C.A.S.E., Title 49 of the United States Code (49 U.S.C.) § 44701 (formerly the Aviation Act of 1958), and the legal implications of anti-trust laws.
- d) Has successfully passed the written examination for a Level III candidate appropriate for the authorization sought and that the test date has not expired (paragraph 1.E.1.).
- e) Has had the appropriate documents to take the Level III check-ride approved by the Audit and Compliance committee chair (or designee).

D. Check-ride Requirements

- 1) The “check-ride” by a Level IV Evaluator basically consists of three (3) general elements:
 - a) An introductory discussion between the Evaluator and the candidate.
 - b) An actual technical audit conducted by the candidate and observed by the Level IV Evaluator. And,
 - c) An oral examination and post-audit discussion between the Evaluator and candidate.
- 2) Depending on the Evaluator and the circumstances at the time of the check-ride, some or all of the above elements may be combined and/or they may be conducted in a different order.
- 3) During the introductory discussion, the Evaluator and candidate get to know each other. The Evaluator also explains to the candidate how the check-ride will take place, what is expected of the candidate, and what the candidate can expect from the Evaluator.
- 4) During the audit phase of the check-ride, the candidate conducts an actual audit of a vendor appropriate for the certification sought (e.g. a repair vendor for 1-A standard auditor certification, a fuel vendor (with both fuel into-plane, fuel storage facilities and a hydrant system) for 2-A standard auditor certification).
 - a) A candidate will conduct the entire audit from the introductory briefing through exit briefing. At the discretion of the Level IV Evaluator, the check-ride may proceed through audit closure (excluding Register action for initial candidates).
 - b) The candidate may use any checklist as long as it covers all aspects of the C.A.S.E. specification.
 - c) The Level IV Evaluator shall act as an observer and evaluate the candidate’s performance.
- 5) In the third element of the check-ride, the Evaluator provides the candidate with an oral performance critique and conducts an oral examination. The

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

candidate shall be thoroughly versed in audit skills, legal requirements, and C.A.S.E. The candidate shall be prepared to discuss such topics as:

- a) Applicable regulations and specifications:
 - i) Maintenance auditors: 14 CFR Parts 1, 21, 39, 43, 65, 120, 121 (subpart L), 135 (subpart J), 145, 183, and MAG.
 - ii) Fuel auditors: ATA 103, NFPA 407.
- b) The C.A.S.E. ACS *Policies and Procedures* manual.
- c) The use and maintenance of the C.A.S.E. Register.
- d) C.A.S.E. history.
- e) Title 49 of the United States Code (49 U.S.C.) § 44701 (formerly the Aviation Act of 1958).
- f) Professionalism.
- g) Audit techniques.
- h) Anti-trust considerations.
- i) Anything else applicable to a qualified auditor or the technical audit function.
- j) The “Vendor Appeal Process” (1-9-4).

E. Supporting Documents and Reference Material

- 1) The candidate shall bring to the check-ride evidence supporting their qualifications and appropriate reference material (in hard copy or electronic format). Examples include:
 - a) Previous CACS-5 form(s):
 - i) For initial candidates: three pre-check-ride evaluations
 - ii) For recurrent candidates: previous check-ride.
 - b) For maintenance auditors, a copy of 14 CFR Parts 1, 21, 39, 43, 65, 120, 121 (subpart L), 135 (subpart J), 145, 183, and MAG.
 - c) For fuel auditors, a copy of ATA 103 and NFPA 407.
 - d) A current copy of the C.A.S.E. ACS *Policies and Procedures* manual.
 - e) A copy of their most recent completed Written Test Score (CACS-9).
 - f) A blank hard copy of the Vendor Expectations and Limitations (the first two (2) pages of CACS-7).
 - g) A blank hard copy of CACS-5 (page 4 may be filled out in advance).
 - h) The completed, original Auditor Qualification Record (CACS-4) and the letter of check-ride authorization from the Audit and Compliance committee (initial candidates only).

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

NOTE: Candidates seeking both maintenance and fuel auditor Level III must have separate CACS-4 forms for each standard qualification.

4. Level IV Qualification Process

- A. Level IV Evaluators can only be authorized to evaluate against the standard which they themselves are authorized to audit.
- B. The Level IV candidate must have the following experience and qualifications:
- 1) Be an active and authorized Level III C.A.S.E. auditor having successfully passed two consecutive recurrent check-rides and have conducted a minimum of twenty-five (25) audits to the appropriate standard.
 - 2) Have conducted six (6) vendor facility audits within past six (6) months to the C.A.S.E. standard appropriate for the authorization sought.
 - 3) Training/teaching experience (i.e. participated as a C.A.S.E. trainer either as a classroom instructor or on-the-job trainer).
 - 4) Have been an active committee participant (either as a full committee member or as an attendee) for a minimum of two (2) consecutive years.
 - 5) Participate in check-ride evaluations as follows:
 - a) Perform a minimum of four (4) Level III check-rides under the supervision of a current Level IV Evaluator. During the first check-ride evaluation the level IV candidate will observe a current level IV Evaluator conducting a level III check-ride. This first observation will establish expectations the level IV candidate will be evaluated on during the remaining observations. The remaining three (3) check-ride observations by three (3) different level IV Evaluators the level IV candidate will perform and submit in writing an analysis of the check-ride, keeping a copy for their records. The candidate will perform all the duties of a level IV Evaluator as outlined in 2-3-1, 3.D. The level IV Evaluator will submit all required paperwork for the level IV candidate.
 - b) The Level IV Evaluators shall provide the Level IV candidate with completed CACS-5s which shall be valid for twelve (12) calendar months from date of observation/performance.
- C. The member's company representative to C.A.S.E. must submit a written request to the Audit and Compliance committee chair for each Level IV candidate. The request must be submitted sufficiently in advance of a C.A.S.E. semi-annual meeting (approximately thirty (30) calendar days) for the chair to review the applicant's qualifications. The request shall:
- 1) Verify that the applicant meets the requirements of the training and qualification requirements section of this publication.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 2) Describe how the experience and qualifications are met.
 - 3) Include supporting data requested.
 - 4) List the six (6) vendor audits conducted within the past six (6) months.
 - 5) Submit the three (3) copies of the analysis of check-ride conducted with the Level IV Evaluator.
- D. The Audit and Compliance committee must agree, by majority vote, that the candidate's experience and qualifications meet the requirements in paragraph B of this section and that the request meets the requirements of paragraph C of this section.
- E. If the candidate does not meet the requirements, the chair shall send a letter of rejection and explanation to the candidate's company representative to C.A.S.E.
- F. If the candidate meets the requirements, the chair shall send a letter to the candidate's company representative to C.A.S.E. accepting the application and inviting the candidate to a panel interview at the next C.A.S.E. semi-annual meeting.

5. Level IV Interview Process

- A. Candidates with acceptable credentials shall be interviewed and evaluated by an air carrier review board. The review board shall consist of the Operations committee and any current Level IV Evaluators available. There shall be a minimum of three (3) Evaluators present on site and/or by conference call. All review board members may participate in the interview and evaluation but no member air carrier may have more than one vote. An Audit and Compliance representative chair shall chair the board. The Level IV candidate must meet the acceptance of the review board by a minimum 80% affirmative vote of the Operations Committee and a minimum of 80% affirmative vote by the level IV Evaluators. Prior to the interview portion, the level IV Evaluators which participated in the candidates check-rides will speak on their experiences with the candidate during the check-ride process.
- B. The level IV candidate will submit a "Level IV Package" along with a presentation, to all present at the interview which will include but not limited to:
- 1) A history of audits to the 1-A/2-A standard.
 - 2) Paperwork generated during the three (3) check-rides.
 - 3) Training documentation as a C.A.S.E. instructor.
 - 4) C.A.S.E. committee member participation.
 - 5) Any other documentation the candidate would like to provide.
- C. The review board shall interview each candidate on topics pertinent to the audit function and to the Level IV Evaluator's duties. Examples of pertinent topics to consider are:

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 1) Desire to be a Level IV Evaluator.
 - 2) Level IV Evaluator's review of the candidate's Level III check-ride.
 - 3) Candidate's instructor/trainer background and experience.
 - 4) History of audits conducted to the 1-A/2-A Standard.
 - 5) Candidate's version of how to conduct a check-ride.
 - 6) Candidate's responses to situational questions pertaining to conducting an audit, anti-trust considerations, conflict of interest, and conducting a check-ride.
 - 7) Problem solving skills and maturity of decisions.
 - 8) Whatever else a member feels pertinent and valuable for an Evaluator to consider in performing a check-ride for a Level III candidate.
- D. Candidates rejected by the board will be so informed immediately by the board chair and their names will not be forwarded to the general membership. The chair shall inform the candidate of the reasons for rejection.

6. Level IV Authorization

- A. The Audit and Compliance committee chair shall present the names and candidates accepted by the board to the full membership for acceptance.
- B. The Audit and Compliance committee chair shall present a summary of the board's findings and recommend the candidate be accepted. After a discussion of the board's findings, the candidate shall be available for questions unanswered by the board's evaluation.
- C. A Level IV candidate must meet the acceptance of the members present at the ACS general session meetings by a minimum 90% affirmative vote.
- D. The candidate shall be notified immediately of the membership's decision to accept or reject the applicant as a C.A.S.E. Level IV Evaluator.
- E. The Audit and Compliance committee chair shall issue a Certificate of Designation to each successful candidate as soon as practical.

7. Maintaining Authorization

- A. C.A.S.E. authorized auditors and Evaluators must continue to function as active C.A.S.E. auditors to retain such C.A.S.E. authorizations. If the auditor/Evaluator fails to meet the minimum requirements listed below, the auditor/Evaluator is deleted from the C.A.S.E. authorized auditor roster.
- B. All Level III auditors must attend and pass on-site and web-based recurrent training, with a minimum score of 70% (on-site tests will be closed book), on the C.A.S.E. ACS:
 - 1) Policies and procedures.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 2) Standard(s) to which they are qualified and authorized (i.e. 1-A and/or 2-A).

NOTE: All recurrent training must be completed a minimum of once every four (4) training sessions.

NOTE : Instructors of the P&P and/or applicable standard class(es) need not take the tests but are given credit as if having attended the class(es) and passed.

- C. To retain Level III authorization an auditor must:

- 1) Conduct six (6) audits to the applicable C.A.S.E. standard within the past twelve (12) months;
 - a) 1-A standard for maintenance auditor.
 - b) 2-A standard for fuel auditor. And,
- 2) Successfully pass a check-ride with an appropriate Level IV Evaluator every twenty-four (24) calendar months. Should the auditor not successfully pass a check-ride, the Level IV Evaluator is responsible for developing an individual re-qualification plan defining what the auditor must do before attempting to re-gain authorization. The Audit and Compliance committee shall approve this plan. This may include recurrent training, further observations/pre-check-ride evaluations, additional audits, or combinations thereof. Once the re-qualification plan is completed, the auditor may re-apply to complete a check-ride.

NOTE: The required audits (C.1.) must cover all parts of the C.A.S.E. audit standard but can still be counted as one (1) of the required audits should the audit not result in adding or updating a vendor in the C.A.S.E. Register.

NOTE: In order to allow flexibility in setting up a check-ride, the check-ride may be performed within a three (3) calendar month window without the re-authorization month having to be changed. For example, if a check-ride is due in June, the auditor could perform the check-ride in May, June or July but the recurrent check-ride would remain as June two (2) years hence.

Check-rides done in advance of the window would result in a change of the month in which recurrence is due.

NOTE: Performing a check-ride is considered equivalent to conducting an audit for authorized Level IV Evaluators for the purposes of this paragraph.

- D. To retain Level IV authorization, an Evaluator must:

- 1) Conduct six (6) audits to the appropriate C.A.S.E. standard within the past twelve (12) months, And,
- 2) Actively attend and participate in Level IV standardization meetings through on site attendance or by conference call, if an Evaluator misses two or more consecutive meetings, their authorization will be reviewed by the A&C committee. The Audit and Compliance committee will be responsible for organizing the Level IV standardization meetings during normally scheduled C.A.S.E. semi-annual meetings.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 3) Evaluators shall participate as a training instructor a minimum of once every four (4) training sessions.
- E. For a member's auditor(s) to retain their Level III or Level IV authorization, that member's representative must file an Annual Activities Report (CACS-11) for the previous January-December calendar year. The report must be submitted to the Audit and Compliance committee member as assigned on the Audit and Compliance webpage matrix not later than January 31st of the year following the reporting year (2-1-0, paragraph 1.B.12)).
- F. To regain C.A.S.E. authorization that was lost because:
- 1) The company representative to C.A.S.E. failed to file the required annual certification statement (2-1-0, paragraph 1.B.12)),
 - 2) The Level III auditor failed to maintain their authorization as specified in paragraphs B. and C., Or,
 - 3) The Level IV Evaluator failed to maintain their authorization as specified in paragraphs B. and D.,

The company representative to C.A.S.E. must re-submit the auditor's name, in writing, to the Audit and Compliance committee requesting that authorization be restored. The auditor must be authorized per the standard authorization procedure. The Audit and Compliance committee chair may waive the documentation review and/or check-ride if the applicant's skill level is still adequate to accomplish an acceptable audit to a C.A.S.E. standard.

- G. To regain Level III authorization that was allowed to lapse for reasons other than those noted in paragraph F.:
- 1) No more than twelve (12) calendar months may have passed since the date the auditor's/Evaluator's check-ride would have expired had they continued to function as an authorized auditor/Evaluator.
 - 2) The representative to C.A.S.E. must submit, in writing to the Audit and Compliance committee, a request that authorization be restored, And,
 - 3) The auditor candidate must:
 - a) Complete and pass both the policies and procedures training and training for the specific standard sought,
 - b) Complete a minimum of six (6) audits to the standard sought within the previous twelve (12) months,
 - c) Satisfactorily complete at least one pre-check-ride evaluation with a recommendation for check-ride, And,
 - d) Satisfactorily complete a check-ride.

NOTE: Once the auditor's training or check ride has expired and the auditor hasn't received an extension from the Audit and Compliance Committee, the auditor will be locked out of the data base for submitting audit transmittals for the audits completed.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

An override for the auditor's authorization can be made in the data base based on the granting of the exemption from the Audit and Compliance Committee.

8. Training and Qualification Requirements

NOTE: This information provides a potential member an aid in understanding the Air Carrier Section's minimum expectations of an applicant's company auditor training qualification program at the time of the pre-membership audit. It should be reviewed early in the application process and used to provide goals for potential Level III applicants. The trainee is ultimately expected to have achieved a Level II company auditor status. The timeline to obtain a Level I or II status rests with each carrier's internal program.

- A. Level I – An applicant's Level I auditor training program shall provide at a minimum:
- 1) Auditing techniques and professional behavior.
 - 2) Basic people and interviewing skills.
 - 3) Technical writing skills.
 - 4) Introduction to the CFRs relative to vendor surveillance.
 - 5) CAS/Surveillance program orientation.
 - 6) Introduction to its company's maintenance procedures manual.
 - 7) On-site audit on-the-job training.
 - 8) Formal Root Cause Analysis and Comprehensive Corrective Action training.
 - 9) Fuel auditors shall also receive training in the following:
 - a) ATA 103 and IATA fuel quality control and fueling service.
 - b) API 1581 and 1542.
 - c) Applicable sections of NFPA 77, 407, and 10.
 - d) 14 CFR 139.321.
 - e) FAA AC 150/230-4.
 - f) Company fuel handling quality manual.
 - g) Company aircraft specific fueling manual.
- B. Level II – This describes the professional auditor that the Air Carrier Section's members expect to see representing their interests in the field. The training, testing, and evaluation process utilized by the air carrier to create a Level II auditor should produce this level of expertise and award Level II company auditor status. As an end result, this person has the skills to:
- 1) Handle the entire audit process in a professional and positive manner.
 - 2) Evaluate a vendor against their company's program and the appropriate sections of the CFRs.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 3) Where and when applicable, cite the vendor for non-compliance.
 - 4) Explain in detail the rationalization for any finding.
 - 5) Evaluate the vendor's corrective action.
- C. Before awarding the applicant sustaining membership status, the ACS intends to audit the applicant carrier's program and test the carrier's potential Level III candidate. The general requirements for an auditor applicant to receive the Air Carrier Section's Level III status are contained elsewhere in this manual.
- D. Level III – classroom and web-based training/check-ride shall include:
- 1) C.A.S.E. policies and procedures with written examination.
 - 2) 1-A and/or 2-A standard, as appropriate, with written examination.
 - a) For maintenance auditor:
 - i) 14 CFR Parts 43, 65, 120, 121 or 135 (as appropriate), and 145.
 - b) For fuel auditor:
 - i) ATA-103.
 - ii) API 1581.
 - iii) Appropriate portion of NFPA 77 and 407.
 - c) For all auditors:
 - i) Title 49 of the United States Code (49 U.S.C.) § 44701 (formerly the Aviation Act of 1958).
 - ii) Anti-Trust and Corporate Law.
 - iii) Twelve (12) vendor facility audits conducted to the C.A.S.E. standard (appropriate for the authorization sought) within the twelve (12) month period preceding the application. Six (6) of these audits must have been completed within the past six (6) months (2-3-0).
 - iv) Evaluation check-ride conducted by Level IV Evaluator from another C.A.S.E. air carrier member.
 - 3) One time training in the C.A.S.E. database course prior to Level III authorization.
- E. Recommendation of candidate to C.A.S.E. Audit and Compliance committee for Level III approval (CACCS-4) shall be made upon completion of a check-ride and approval from a Level IV Evaluator (CACCS-5),
- F. Granting of Level III designation shall be accomplished by the Audit and Compliance committee in accordance with the auditor authorization program procedures.

CHAPTER 3

PROGRAM OPERATION

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

C.A.S.E. DATA CENTER AND WEBSITE

1. General

- A. The C.A.S.E. Data Center is an electronic data collection and dissemination tool. The servers for the Data Center are maintained at AVINFO in Doral, FL, through direction from the C.A.S.E. Corporation. The C.A.S.E. Data Center maintains the C.A.S.E. database which includes the C.A.S.E. Register.
- B. The C.A.S.E. Data Center contains all vendor/supplier information transmitted by C.A.S.E. sustaining members (the vendor pool).
- C. The C.A.S.E. Register is a listing of vendors/suppliers which have been audited by a C.A.S.E. authorized auditor/Evaluator and found to be in compliance with applicable C.A.S.E. standards. Only C.A.S.E. sustaining members may transmit information into the Register.
- D. The website is the primary portal through which the Data Center is accessed. It contains information about C.A.S.E. which is available to the general public. Items which are deemed to be for members only have been moved “behind the firewall” and password protected for access by sustaining members only.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

C.A.S.E. REGISTER - REVISION AND CONTROL

1. General

- A. This procedure describes the C.A.S.E. process for:
 - 1) Periodic review and up-date of vendors in the Register.
 - 2) Adding vendors to the Register.
 - 3) Deleting vendors from the Register.
- B. During the allocation process described in 3-6-0 vendor audits are allocated every twenty four (24) months.
- C. A vendor/supplier will be deleted from the Register three (3) years (or as soon thereafter as possible) from the date of the previous audit for which UPAUD or ADDVEN action was taken if no further Register action has occurred.
- D. The C.A.S.E. Data Center will make deletion notices available to the membership.
- E. Vendor additions, deletions, and re-evaluations for the Register shall be submitted to the C.A.S.E. Data Center.

NOTE: ANY successful audit conducted to the C.A.S.E. standard, whether assigned by the C.A.S.E. audit allocation program or not, should be considered for addition to or update in the Register. For the 1-A standard, this only includes audits for which all of the vendor's Operations Specifications (excluding D-107) were audited.
- F. Only Level III auditors and Level IV Evaluators may authorize the C.A.S.E. Data Center to change information on the C.A.S.E. Register.

2. Format

- A. The C.A.S.E. Register shall list by alpha sequence, and geographic area, the names and addresses of vendors that have been evaluated by a minimum of one (1) C.A.S.E. sustaining member. Additional line entries shall be made only on the basis of additional evaluations.
- B. At a minimum, the C.A.S.E. Register shall also indicate the type of quality system evaluated, date of audit or evaluation, and membership number of the sustaining member who performed the audit or evaluation.
- C. The C.A.S.E. database shall contain a listing of C.A.S.E. sustaining members, their certified auditors, and associate members.
- D. When a listing is deleted as provided above, the Data Center will notify the members who had listed this vendor of the action taken.

3. Periodic Review and Update of the C.A.S.E. Register

- A. Sustaining members shall maintain current vendor usage status with the Data Center.
- B. Sustaining members shall notify the C.A.S.E. Data Center promptly of any errors or changes required in Register listings.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- C. Vendors to be added to the Register must be evaluated by an on-site audit. Performance evaluation alone is not adequate.
- D. Vendors to be retained in the Register must be reevaluated by an on-site audit; performance evaluation alone is not adequate.
- E. A vendor which has received an on-site audit and must correct an audit finding (or audit findings) may not be added to or updated in the Register until all corrective actions have been completed and objective evidence has been received by the auditor/Evaluator.

NOTE: To inform the membership of the completion of the on-site portion of an audit, the auditor shall submit a PENDCA transmittal within ten (10) business days.

NOTE: When a C.A.S.E. Allocated Audit is completed by a C.A.S.E. Level III Auditor or a C.A.S.E. Level IV Evaluator and that person leaves the airline, any C.A.S.E. Qualified Auditor of that airline, authorized to the same standard, can accept the finding(s) from the vendor, close the audit, send the C.A.S.E. transmittal and issue CACS-7.

- F. The auditor and the using carrier shall be responsible for assuring that a non-U.S. repair station's FAA Air Agency Certificate (repair station certificate) is current or an extension has been granted.
- G. In conjunction with submitting any UPAUD or ADDVEN, 1-A transmittal, auditors shall transmit, in .pdf format, to the C.A.S.E. Data Center (via email to the certs@caseinc.org address) in the following order, copies of the:
 - 1) Vendor's Air Agency Certificate with full Operations Specifications or Transport Canada AMO certificate(s), as appropriate.
 - 2) Vendor's EASA certificate (if applicable).
 - 3) Vendor's EASA continuation letter (if applicable).
 - 4) Canadian Approval of Non-U.S./non-Canadian repair station (if applicable). And,
 - 5) Page 1 and 2 of the Vendor Expectations and Limitations, with page 2 signed by both parties.
- H. In conjunction with submitting any UPAUD or ADDVEN, 2-A transmittal, auditors shall transmit, in .pdf format, to the C.A.S.E. Data Center (via email to the certs@caseinc.org address) in the following order, copies of the:
 - 5) Page 1 and 2 of the Vendor Expectations and Limitations, with page 2 signed by both parties.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- I. In conjunction with submitting any UPAUD or ADDVEN,4-A transmittal, auditors shall transmit, in .pdf format, to the C.A.S.E. Data Center (via email to the certs@caseinc.org address) in the following order, copies of the:
- 5) Vendor's Air Agency Certificate with full Operations Specifications or if not a certificated repair station, the Vendor's anti-drug and alcohol misuse prevention program registration.
 - 6) Page 1 and 2 of the Vendor Expectations and Limitations, with page 2 signed by both parties.

NOTE: These items shall be scanned into one electronic file with the vendor's allocation number used as the file name (i.e. If the number is "12345", the file name should be 12345.pdf).

- J. If at any time there are changes or additions to the items previously sent as required in 3.G-I, the responsible member shall re-send all the items to the C.A.S.E. Data Center (as a single document) in their entirety and submit a CHANGEPOOL transmittal with the appropriate entry into the info box.
- K. In conjunction with submitting any UPAUD, ADDVEN or CHANGEPOOL transmittal or by resending the data package according to paragraph J, the relevant blocks with the expiration date of the FAA/EASA/TCCA approval certification shall be entered as (MM/DD/YY).

4. Adding Vendors to the Register

- G. Conduct an on-site audit of vendor.

NOTE: Only vendors that meet a C.A.S.E. ACS standard may be added to the Register.

- H. Submit an audit transmittal to the C.A.S.E. Data Center.

- I. Transmit to the C.A.S.E. Data Center the items required in 3.G-I, of this section.

5. Deleting Vendors from the Register

- A. A vendor, without the need for an on-site audit, shall be deleted from the Register for:
- 5) Violations of safety of flight requirements, whether or not they are regulatory violations.

NOTICE: Any member who believes a "safety of flight" issue exists must immediately involve both the vendor's and the member's FAA/NAA representative in the decision making process. If the FAA/NAA concurs the issue presented does involve "safety of flight," the member must verify that the FAA/NAA will take formal action to advise the public. With those actions in place, deleting that vendor from the C.A.S.E. Register is appropriate. The membership must be advised in the transmittal's "comments" section that specifics may be sought through their own Principal Maintenance Inspector.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 6) Intent to defraud.

NOTICE: Removing a vendor from the C.A.S.E. Register based on “intent to defraud” should only occur after the vendor has been tried and convicted by a court of law on that charge. Without such a conviction, the vendor has been denied due process and the member risks legal retribution from the vendor. With a conviction in place, deletion from the Register is appropriate. The membership must be advised of both the court case-number and the court that provided the ruling. Members may seek particulars from the court through their respective legal counsel.

- 7) Ceasing operations or business.
- 8) Move of principal operations.
- 9) Refusing to permit an audit from a C.A.S.E. authorized auditor requesting to perform an allocated audit to a C.A.S.E. standard.

B. In addition to the reasons listed in paragraph A of this section, a vendor, as a result of an on-site audit, shall be removed from the Register for:

- 1) Failing to implement corrective action(s).
- 2) Refusing to sign the Vendor Expectations and Limitations prior to closure of the audit process.
- 3) Failing to correct audit findings within the time limits agreed upon with the auditor (not to exceed ninety (90) calendar days from date of on-site portion of audit).

NOTE: If, after forty-five (45) calendar days from the audit date, the auditor and vendor are actively working on corrective action(s), the auditor shall submit an additional “PENDCA” transmittal to the Data Center advising the members of this activity.

C. A vendor may be removed from the Register immediately for:

- 1) Non-compliance with any section(s) of the C.A.S.E. standard to which the vendor was audited.
- 2) Non-compliance with any requirements of the VEL.

NOTE: Expectation 5 is not considered a “requirement” of the VEL (nor is periodically checking for standard updates) and therefore DELVEN action should not be taken based on non-compliance.

- 3) Failure to perform work in accordance with customer instruction(s).

NOTE: Items called out in paragraph A. of this section have generally been viewed as the only reasons for deletion without an on-site audit.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- D. If a vendor is to be deleted, as soon as possible, a DELVEN transmittal shall be submitted to the C.A.S.E. Data Center. Except as provided in paragraph 5.A.4) above or if the Audit and Compliance committee is taking action based on a vendor appeal, that vendor must not be added back into the Register until an on-site audit is completed a minimum of six (6) months after the transmittal date of the DELVEN. If such an audit is completed after the six (6) month period (but no later than 18 months past) and a NOACT transmittal is subsequently submitted, the vendor must not be added back into the Register for a minimum of an additional six (6) months beginning from the date of the NOACT transmittal.

6. Vendor Change Policy

- A. When the C.A.S.E. Data Center or any sustaining member is made aware of a vendor who has experienced change described in paragraph C below, no matter the source, that person will consult the Vendor Change Decision Tree for process guidance (see Figure 1). Members use the decision tree, in combination with the evaluation guidance listed paragraph D below, to determine the probability that a vendor who has experienced some change will maintain compliance with the appropriate C.A.S.E. standard.
- B. An auditor/member who completed the last audit that resulted in UPAUD or ADDVEN Register action (original Vendor Expectations and Limitations holder), is responsible for the evaluation of any vendor change and the appropriate decisions/actions, until such time that:
- 1) Another auditor/member accomplishes an on-site audit and either submits an UPAUD or DELVEN transmittal. Or,
 - 2) The vendor experiences a system deletion due to audit expiration.
- C. Each auditor/member must determine the amount of analysis necessary, based on the particulars of the situation, to make the appropriate decision necessary in supporting the vendor change decision process. The responsible auditor/member shall use their best judgment, all appropriate available information, and any past experiences with the vendor. Examples of change include:
- 1) Name change.
 - 2) Changes in operations or quality management.
 - 3) Changes that affect the quality program.
 - 4) Sale/merger.
- D. Evaluation Guidance:
- 1) **Name Change:** A name change is simply that, a change in the legal name of the company, only. To validate the source of the change, the auditor should request from the vendor all information relative to the change (e.g. Air Agency Certificate,

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

anti-drug and alcohol misuse prevention plan registration, Operations Specifications, etc). The auditor should also interview any management necessary to ensure the scope of the change does not extend beyond the vendor's name. If the change is not limited to the name, then refer to "Sale/Merger." If it appears the change may impact quality or production programs or management positions, then refer to "Changes that Affect the Quality Program," or "Changes in Operations or Quality Management" below, as appropriate. If the change is simply a name change, then the answer to the decision tree question labeled "Key Decision Point" is "YES."

- 2) **Changes in Operations or Quality Management:** The auditor should request from the vendor a summary of the positions and summary of employment of the individuals appointed to the positions. The auditor must judge the change's impact by considering its scope (quantity and combination of positions impacted), including the background and qualifications of the individuals appointed as replacements. Based on this analysis, the auditor must judge the probability of the vendor maintaining compliance with the appropriate C.A.S.E. standard. If the auditor cannot make the judgment or, in the auditor's opinion, the vendor is at risk of non-compliance, then the answer to the decision tree question labeled "Key Decision Point" is "NO."
- 3) **Changes that Affect the Quality Program:** The auditor should request from the vendor a summary of the changes and any supporting documentation necessary to validate the scope of the change. In this case, a review of the vendor's quality manual system must be performed. If the quality program meets the requirements of the appropriate C.A.S.E. standard, and the change has been minimal, then the answer to the decision tree question labeled "Key Decision Point" is "YES." If the quality program no longer meets the appropriate C.A.S.E. standard or the change has been substantial and it is not practical to sample the results of the quality system without an on-site audit, then the answer to the decision tree question labeled "Key Decision Point" is "NO."
- 4) **Sale/Merger:** A sale or merger can involve consideration of one, some, or all of the other changes listed in this section and requires the most analysis to evaluate. Additionally, the auditor must consider the magnitude of change experienced by the workforce (turnover). Consequently, all of the above areas should be analyzed and judged independently.

7. Responsibility to C.A.S.E. while Performing Company Audits

- A. Qualified and authorized Level III/Level IV auditors/Evaluators performing non-allocated audits for their companies still bear a responsibility toward the C.A.S.E. membership during such audits (see Responsibility to C.A.S.E. while Performing Company Audits flow chart at the end of this section).

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

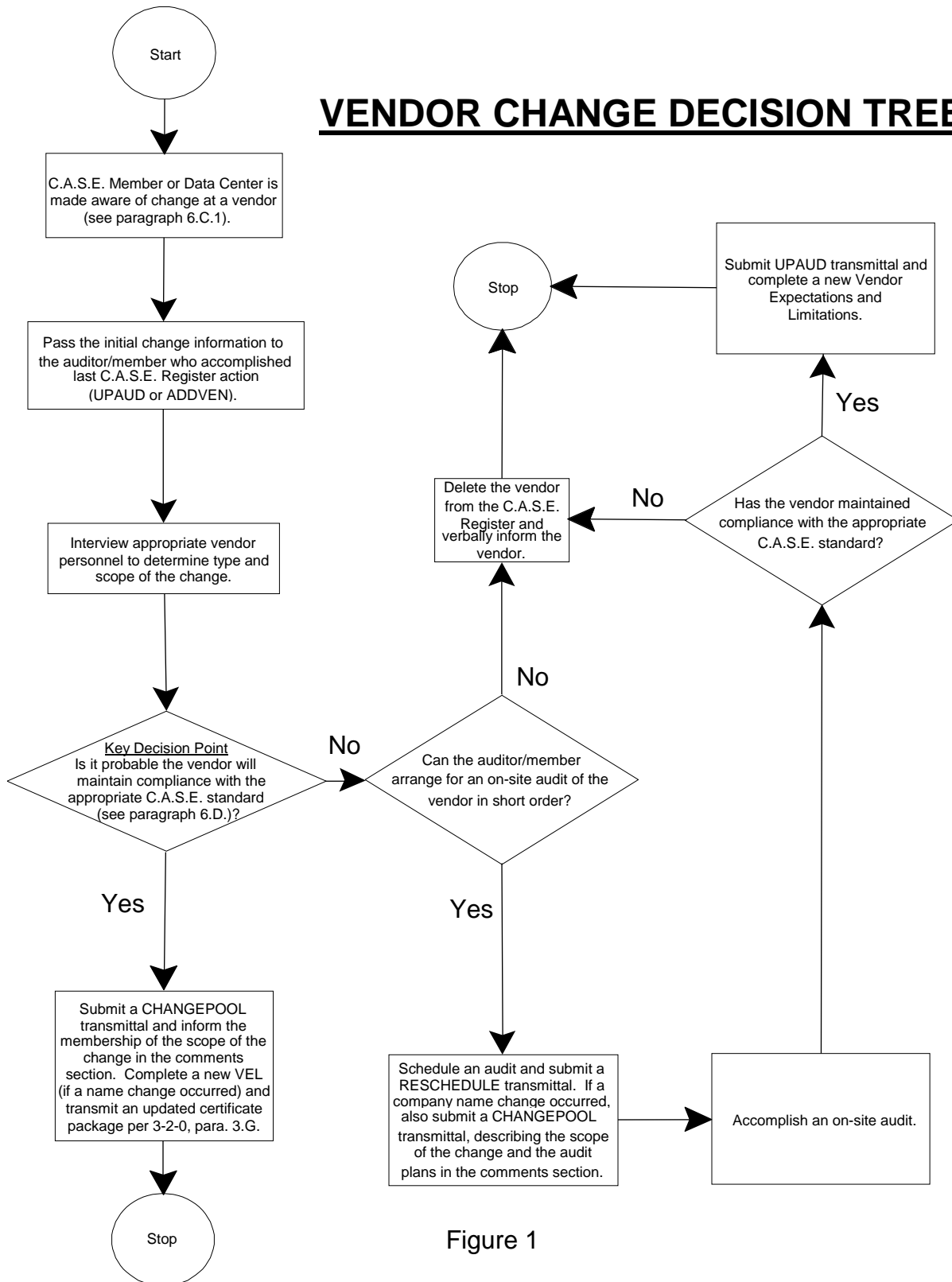


Figure 1

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

RESPONSIBILITY TO C.A.S.E. WHILE
PERFORMING COMPANY AUDITS

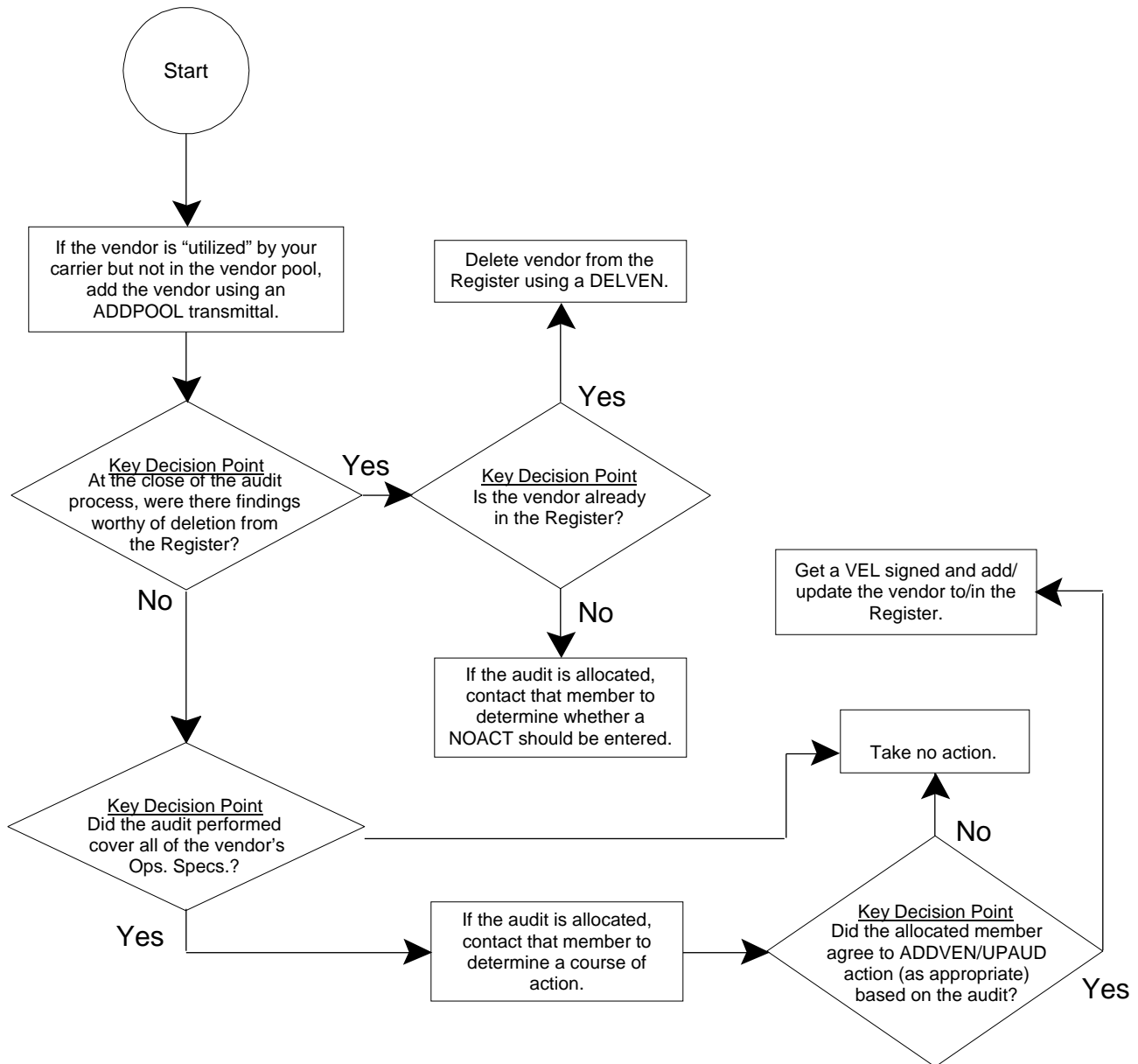


Figure 2

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

AIR CARRIER SECTION POLICIES AND PROCEDURES MANUAL

1. Description

- A. The policies and procedures manual of the C.A.S.E. Air Carrier Section (ACS) describes the C.A.S.E. program and the operating procedures of that program within the ACS. It discusses membership requirements and responsibilities. One section provides the specifications for vendor/supplier quality control programs and the C.A.S.E. audit criteria for surveillance of those programs. The manual also includes a copy of all forms required for operating the ACS. The use of electronic signatures is allowed as a means of signing all C.A.S.E. ACS forms.
- B. The content of this manual is binding on all members of the C.A.S.E. ACS.

2. Manual Revisions

- A. Manual holders are responsible for keeping their own manual current.
- B. Changes to this manual must be approved by the Standards and Procedures committee and be accepted by the C.A.S.E. Board of Directors.
- C. The Standards and Procedures committee is responsible for preparing, processing, and distributing revisions to this manual (1-8-0).
- D. Members are expected to inform the Standards and Procedures committee of any changes needed in the manual. The CACS-10 form is the preferred means of notifying the Standards and Procedures committee chair of any manual change requests. All requests shall be submitted no later than forty five (45) calendar days prior to the Spring or Fall meetings, as applicable. Revision proposals that arise during the Spring or Fall meetings' committee meetings that can be effectively reviewed in a reasonable amount of time by the Standards and Procedures committee, may be accepted at the discretion of the committee chair.
- E. The Standards and Procedures committee and the C.A.S.E. Board of Directors frequently review the contents of the manual to assure that each procedure is current and that no conflicts exist between it and the bylaws of the corporation, the Code of Federal Regulations, nor within itself.

3. Distribution

- A. The Standards and Procedures committee shall provide the Data Center a current copy of the *ACS Policies and Procedures* manual, and revisions thereto, for placement in the C.A.S.E. database.
- B. All sustaining members must retain a minimum of one (1) current copy for as long as they remain a member in good standing.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

REQUEST FOR ASSISTANCE OR REASSIGNMENT OF ALLOCATED AUDITS

1. General

A. This section describes the procedures for when one member requests the assistance of other members on an allocated audit of a large facility or requests another member to perform on their behalf either an initial or a follow-up audit of a vendor/supplier due to being on exemption.

B. When an allocated audit is perceived by the allocated member as too large an audit for their resources, that member may contact other user air carriers to assist in the audit. The member allocated the audit will act as lead auditor and coordinate the audit. If an insufficient number of users agree to assist in the audit, the allocated carrier will be absolved from the responsibility of conducting the audit.

NOTE: An audit may generally be considered “too large” if the audit would take one (1) auditor more than five (5) business days to complete that audit based on multiple locations under one (1) certificate, a physically immense facility, a high number of employees, or a combination thereof.

C. Requests may fall into the following categories:

- 1) Gratis (i.e. without financial accountability).
- 2) Interchange (i.e. one for one without financial accountability).
- 3) Purchase order or contract.

2. Requesting Member

A. The requesting member should:

- 1) Negotiate category of request (see General).
- 2) Complete schedule change in the database, if applicable.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

C.A.S.E. VENDOR AUDIT CRITERIA

1. General

- A. An audit is conducted to verify vendor compliance with applicable regulations and quality standards. For example: Code of Federal Regulations, C.A.S.E. standards, and the vendor's own quality control or operations manual. In addition to interviews and document review, the auditor shall physically verify that the vendor is conducting operations in accordance with these requirements.
- B. Prior to a scheduled audit, the auditor should verify that the vendor has a current copy of the applicable C.A.S.E. standard. If the vendor does not have a current copy, the auditor should provide one.
- C. The auditor shall use a checklist appropriate for the type of vendor/supplier. The checklist shall be used both as a guideline for conducting the audit and as a written record of conditions found and discrepancies to be corrected. The auditor is not limited by the items on the checklist, but has the authority and indeed the obligation to investigate anything that would affect aircraft safety, airworthiness, or legality.
- D. The auditor may use either the appropriate C.A.S.E. checklist or an equivalent; however, audit criteria must meet the applicable standard established by the Air Carrier Section of C.A.S.E., which is published in chapter 4 of this manual.
- E. Should the auditor elect to use a checklist other than the C.A.S.E. checklist, prior to performing the audit, the auditor must assure that the selected checklist covers all of the criteria of the applicable C.A.S.E. standard in chapter 4. In addition, each question on the checklist must reference the number of the applicable paragraph in the standard that is the basis for the question.
- F. Audit criteria is defined in the applicable C.A.S.E. standard published in chapter 4 of this manual.

2. In-briefing and Out-briefing Guidelines

- A. Audits in support of C.A.S.E. shall begin with an introductory meeting with vendor management ("in-brief") and close with an exit meeting with vendor management ("out-brief").
- B. This section provides guidelines on topics to be covered at the in-brief and out-brief portions of the audit.
- C. These guidelines are to be used for:
 - 1) Audits in support of C.A.S.E. that add or update vendors in the Register.
 - 2) Audits assigned via the allocation process. Or,
 - 3) Audits in support of C.A.S.E. done on behalf of another C.A.S.E. member.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

D. In-briefing Notes:

- 1) Conduct introductions, exchange business cards and present your C.A.S.E. identification card.
- 2) Make available a current copy of the appropriate standard (e.g. 1-A, 2-A, 4-A, etc.).
- 3) Give an overview of C.A.S.E. and its benefits, history, membership, training, certification of auditors, and C.A.S.E. Register, etc. Explain that the 1-A standard exceeds CFR requirements and why.
- 4) Assure the vendor (unless a fuel vendor) understands that they are an extension of the air carrier's maintenance program (14 CFR 121 or 135). 14 CFR 145.205 states that the vendor shall perform work in accordance with the air carrier's manual. 14 CFR 145.201 states that the vendor's work must be performed in accordance with standards in 14 CFR 43. Repair stations located within the United States holding an EASA certificate must also comply with BASA/MAG (Maintenance Annex Guidance / Special Conditions) requirements. AMO's (Approved Maintenance Organization) located within the European Union holding an FAA repair station certificate must also comply with BASA/EU/MAG (Maintenance Annex Guidance / Special Conditions) requirements.

NOTE: The CFR references above do not apply to fuel vendors but the principle is the same. The vendor is an extension of the operator and must comply with the same requirements, the operator's manual, and applicable regulations.

E. Out-briefing Notes:

- 1) At the conclusion of the audit, explain to the vendor any findings, concerns, etc., and provide CFR and/or other references to support each item. Obtain agreement on the due date for receipt of corrective action on the audit findings.
- 2) Discuss with the vendor their status as to meeting C.A.S.E. requirements (i.e. they do or do not meet the C.A.S.E. standard, they will or will not be placed in the C.A.S.E. Register), provided acceptable corrective action, including root cause, corrective/preventative action and objective evidence is received as agreed upon in the debrief. Explain the vendor appeal process. If the company is to be removed from the C.A.S.E. Register, explain to the vendor what they must do and what must take place before they can be returned to the Register. **DO NOT** provide the vendor with written acknowledgement of C.A.S.E. Register status.

NOTE: It is the auditor's decision as to the vendor's placement in or removal from the C.A.S.E. Register. Whatever action is taken, it must be done in a professional manner.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 3) Give the vendor praise/credit for the good things observed. A little good with the bad goes a long way in showing professionalism.
- 4) Review the Vendor Expectations and Limitations with the vendor and ensure that the vendor has a complete understanding of the items listed in the letter. This includes explaining paragraph 5 of the VEL and for what such data is used. Explain that, although providing this information is voluntary, some of our members may need to complete further surveillance if the requested data is not provided.
 - a) If there are open findings from the audit, the auditor should ensure that a “Vendor Authorized Representative” signs the VEL prior to departure from the facility or will provide the signed copy prior to/in conjunction with submitting their corrective actions. Once the vendor has provided satisfactory closure to all findings, including root cause, corrective/preventative action and objective evidence the auditor will sign the VEL and provide a copy to the vendor.

NOTE: When a C.A.S.E. Allocated Audit is completed by a C.A.S.E. Level III Auditor or a C.A.S.E. Level IV Evaluator and that person leaves the airline, any C.A.S.E. Qualified Auditor to the same standard of that airline can accept the finding(s) from the vendor, close the audit, send the C.A.S.E. transmittal and issue a CACS-7.

- b) If there are no findings and the vendor meets all the applicable C.A.S.E. standards, the auditor may sign and provide the vendor a copy of the VEL during the out-briefing.

In either case, the auditor is to maintain the original VEL (in hard copy or electronic format) at the member air carrier’s facility.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

F. Finding format

- 1) During vendor surveillance, auditors may encounter non-compliance to the C.A.S.E. standard(s). Normally a finding is warranted for a non-compliance. Once a finding is identified, the auditor is tasked with documenting a finding which initiates the corrective action process for the Vendor. Documents used for this process vary from member to member. In order to provide a clear description of the findings for use in each members CASS, the finding/corrective action reports must include at a minimum, the following:
 - a) Date the finding was generated and/or audit date.
 - b) The C.A.S.E. standard(s) reference used in determining the non-compliance.
 - c) An explanation identifying the root cause of the non-compliance.
 - d) A description of the steps and measures taken to correct/ prevent non-compliance.
 - e) The date and the identity of the member's auditor accepting the corrective actions.
- 2) Findings generated from company-specific requirements that do not reference the C.A.S.E. standard(s) should not be included in the report.

Note: Documented recommendations and/or opportunities for improvement are not recognized by the C.A.S.E. organization. Auditors must determine compliance or non-compliance to the standard(s). Documentation of recommendations and/or opportunities for improvement are not expected to be included in the audit packages.

G. Significant Finding(s) Review Process

- 1) If a Level III auditor or Level IV Evaluator encounters a complex and/or significant audit finding, or the resulting response to that finding, it is important that the auditor or Evaluator, know there are resources at their disposal. It is, of course, acceptable to find guidance within one's own air carrier. However, when the finding could impact other members it may be helpful for the auditor or Evaluator to seek guidance from their peers within the organization.
- 2) To prevent the possibility of sharing prejudicial vendor/supplier surveillance information in an unofficial manner within the organization, the auditor or Evaluator may elect to take advantage of the significant finding review process.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 3) The process begins by providing the Audit and Compliance Committee Chair with the significant finding (while not identifying the vendor involved), the response (if applicable), and supporting evidence (if available) and written notice stating the auditor's or Evaluator's request to utilize the significant finding review process. In addition, the auditor or Evaluator should explain, in writing, the finding in detail including any background information, supporting documentation or additional information surrounding the finding or response and the reason for the request.
- 4) The Audit and Compliance Chair (or designee) shall forward to the information to the Maintenance Technical Committee, Fuel Technical Committee or Standards and Procedures Committee Chair or a combination thereof as appropriate for review. The Utilized Committee Chair(s) will utilize all available assets of their Committees as applicable, up to and including, if required, a member's engineering staff. Use of a member's engineering staff will be on a voluntary basis only.
- 5) After review the Audit and Compliance Chair (or designee) will respond within 21 days, in writing, to the Auditor or Evaluator. The response will be considered guidance only and the final decision will rest with the requesting auditor or Evaluator.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

C.A.S.E. AUDIT ALLOCATION PROCEDURE

1. General

- A. The audit allocation procedure is a system for assigning vendors to each sustaining member their share of audits to perform during the coming calendar year. Each member is required to complete these audits to the C.A.S.E. standard by the specified date as a condition of membership.
- B. Only sustaining members may participate.

2. 1-A Standard Allocation Procedure

- A. All sustaining members that participate in the 1-A standard auditing process will maintain a usage listing of all 1-A vendors utilized by the member.
NOTE: Any vendor from which an FAA form 8130-3 (or equivalent) form is received, signed off on the return to service side of the form, is considered a “utilized” vendor.
- B. Addition of a vendor to the prioritization pool requires requests by a minimum of two (2) sustaining members (i.e. “Hits”). On or before September 1st of each year, the lists of vendors will be compiled into a working prioritization pool.
- C. The following formula determines the number of audits to be performed by each sustaining member:

$$DA * AT \div DT = AA$$

DA = A member’s usage submitted which are coming due the following year.

AT = All of the following year’s “Hits”.

DT = All members’ usage submitted which are coming due the following year combined.

AA = Audits allocated to individual air carriers for the following year.

- D. Each sustaining member will indicate their willingness to audit individual vendors by prioritizing their choices on or before September 30th of each year.
- E. The Data Center will run the allocation routine and post the audit schedule in the database.

NOTE: Allocated audits may be found under “Members”, “Forms-(Read/Only)”, “Performance.”

- F. For those vendors with only one member acknowledging usage, no allocation will occur. Upon a subsequent member acknowledging usage, the allocation/audit date will be based on the date which the second user added the vendor to their usage. Therefore, for allocation purposes, the schedule date will be one year after the “usage add” of the second user.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

3. 2-A Standard Allocation Procedure

- A. All members that participate in the 2-A standard auditing process will maintain a usage listing of all domestic 2-A vendors utilized by the member, both storage and into-plane.

NOTE: Usage is indicated under the “2-A Assign Usage” tab as either FS (Storage) or FA (into-plane).

- B. Addition of a vendor to the prioritization pool requires requests by a minimum of two (2) participating sustaining members. On or before August 1st of each year, the lists of vendors will be compiled into working prioritization pools.
- C. The following formula determines the number of audits to be performed by each sustaining member:

$$DA * AT \div DT = AA$$

DA = Each participating member’s usage submitted which are coming due the following year.

AT = All of the following year’s “Hits”.

DT = All participating members’ usage submitted which are coming due the following year combined.

AA = Audits allocated to individual participating members for the following year.

- D. Each participating member will indicate their willingness to audit individual vendors by prioritizing their choices on or before August 31st of each year.
- E. The Data Center will run the allocation routine and post the audit schedule in the database.

NOTE: If a vendor has both storage and into-place services at one airport, effort will be made to assign participating members both of those audits and to align the audit due dates.

4. Allocated Audit Performance to Schedule

- A. To meet one of the key requirements for continued sustaining membership (2-0-0), members must perform the on-site audit portion of all allocated audits during the month scheduled by the allocation process or the rescheduled month as set by this process (see Allocated Audit Reschedule Process flow chart at the end of this section). Members will complete allocated vendor audits regardless of the number of “users” listed for that vendor unless that number drops to zero (0). If usage is zero (0), the member may submit a “DELETEAUDIT” transmittal to the database during the month the audit is due to eliminate the audit. Non-compliance with this paragraph may impact sustaining membership status.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- B. Allocation Split Procedures (see Allocation Split Criteria flow chart at the end of this section): Some allocated audits may be for repair stations which:
- 1) Operate multiple facility locations under one (1) certificate. Members are expected to make every effort to audit all locations associated with a certificate, however, if the locations are determined to be too far apart, the audit may be split into separate allocations.
 - 2) Are considered to be too large, physically or by number of personnel. Such audits may be split into multiple allocations in order to be handled as joint audits.
- C. Allocated audits can be rescheduled; however, the following process must be adhered to:
- 1) The member allocated the audit must contact the company representative to C.A.S.E. of all members showing vendor usage in the Register, provide a new audit date (month and year), and provide detailed justification for rescheduling of the audit.
 - 2) The member representatives must respond within ten (10) calendar days with any objections to the rescheduling of the audit.
 - 3) After ten (10) calendar days if no objections are received, the allocated or rescheduled audit is then rescheduled by the allocated member using the “Schedule Change” transmittal process.
 - 4) If there are objections, the allocated and objecting members must discuss details of the reschedule justification and objection and come to a consensus. Alternate audit dates and allocation trades should be considered.
 - 5) If the allocated and objecting members agree on a new audit date, the allocated or rescheduled audit is then rescheduled by the allocated member using the “Schedule Change” transmittal process.
 - 6) If the allocated and objecting members cannot agree on the rescheduling of the audit and due to a valid business reason the allocated member is simply unable to perform the audit as scheduled, the allocated and objecting members will contact the Audit and Compliance committee chair (or designee) who will act as arbitrator and whose decision will be binding.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 7) If in the opinion of the Audit and Compliance committee chair (or designee) the allocated member has presented a valid business reason for not completing the audit as originally scheduled or rescheduled, the Audit and Compliance committee chair (or designee) will direct:
 - a) The objecting member to assume responsibility for the allocated audit or;
 - b) The allocated member to reschedule the audit either as proposed or during a month and year determined by the Audit and Compliance committee chair (or designee).
- 8) If the business reason for not completing the audit as originally scheduled or rescheduled is determined to be invalid, then the allocated member will be directed to complete the audit as scheduled.

NOTE: The Audit and Compliance committee chair (or designee) must act in the best overall interest of the C.A.S.E. sustaining membership and is not strictly limited to the decision paths noted above.

D. In the event that an allocated audit (or multiple audits) cannot be completed due to loss of sustaining membership the Database committee chair will allocate each audit as follows :

- 1) The audit will be assigned to a new member that was not part of the previous year's allocation or to a member that is coming out of exemption.
- 2) If no new members are available, the audit will be posted in an appropriate area of the website for a minimum of forty-five (45) calendar days to solicit member volunteers.
- 3) If no member volunteers, the Database committee chair (or designee) shall submit a delete audit (DELAUDIT) transmittal.

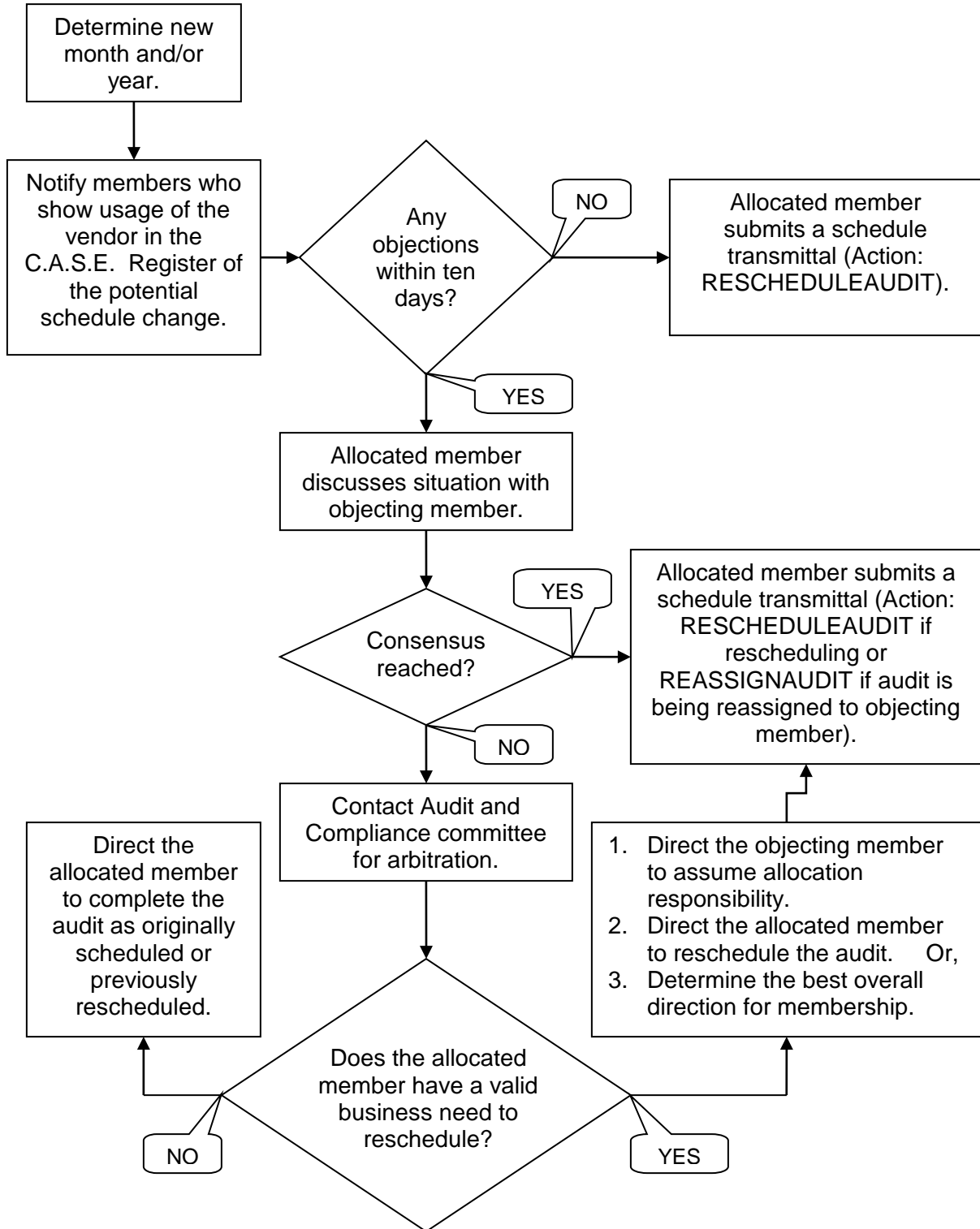
NOTE: For paragraphs 1) and 2), the Database committee chair (or designee) shall submit a schedule change transmittal to allow for a reasonable completion time before an audit appears as delinquent in the database and shall inform member of the assignment.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

Allocated Audit Reschedule Process

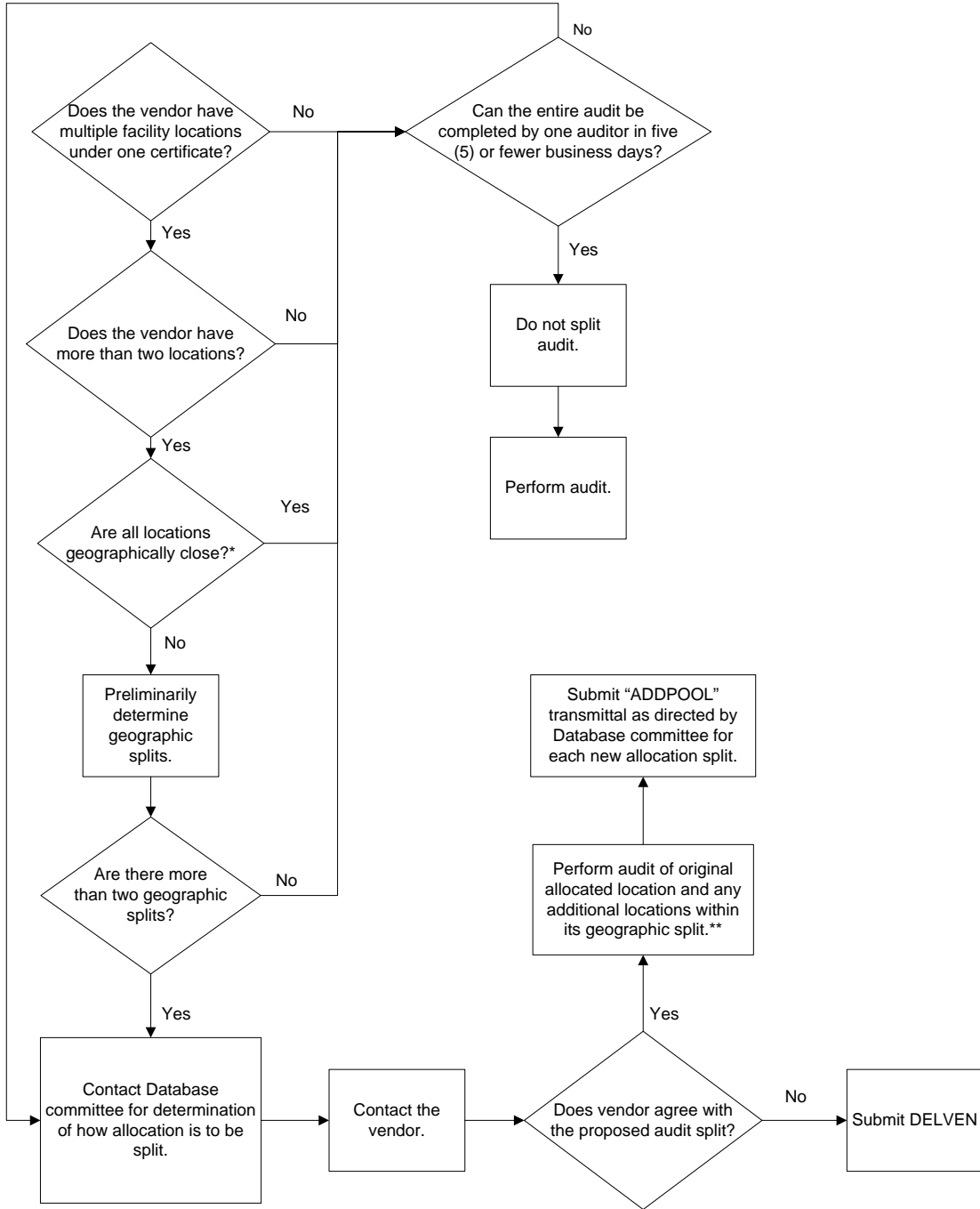


C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

Allocation Split Procedure



*Geographically close means that travel time between locations could reasonably be completed by a combination of driving, flying, rail, etc. in under six (6) hours.

**New allocations for geographic splits will be posted on the website in order to solicit volunteers and will thereafter be allocated through the normal allocation process (3-6-0)

CHAPTER 4

C.A.S.E. AUDIT AND INSPECTION STANDARDS

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

C.A.S.E. STANDARDS DESCRIPTION

1. General

- A. The purpose of C.A.S.E. standards is to provide a benchmark to assure that all audits and reports are comparable in scope and depth. The standards are applicable to both initial and recurrent audits.
- B. The standards are published in this chapter and each standard is numbered as a separate publication. Each standard has a companion audit or evaluation form (checklist). The forms are published in chapter 6 of this manual with a unique numbering system, CACS-XX (i.e. C.A.S.E. Air Carrier Section - sequence number). Each standard and its companion audit form are identified below.

<u>STANDARD</u>	<u>TOPIC</u>	<u>AUDIT FORM</u>
1-A	Component Repair/Overhaul	CACS-20
MAG-US Supplement	U.S. Domestic Repair Stations Holding EASA Certification	Supplement 1A to CACS-20
MAG-EU Supplement	E.U. Repair Stations Holding FAA Certification	Supplement 1B to CACS-20
Canadian AMO Supplement	1-A Standard Differences When Auditing Canadian AMOs	Supplement 2 to CACS-20
2-A	Into-Plane Storage Facility	CACS-25 CACS-26
4-A	Contract/ On-Call Maintenance	CACS-40

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

C.A.S.E. 1-A STANDARD

COMPONENT REPAIR/OVERHAUL VENDOR

QUALITY PROGRAM REQUIREMENTS

Section	Subject	Page
1.	Policy.....	2
2.	Certifications.....	4
3.	Quality Programs.....	5
4.	Inspection Programs.....	9
5.	Personnel.....	9
6.	Technical Data Program.....	12
7.	Shelf Life Program.....	13
8.	Calibration Program.....	13
9.	Training.....	15
10.	Housing and Facilities.....	15
11.	Safety/Security/Fire Protection.....	17
12.	Storage.....	17
13.	Work Processing.....	18
14.	Shipping.....	20
15.	Scrapped Parts Program.....	21
16.	Hazmat Program.....	21
17.	ESD Program.....	21

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

1. Policy

- A. This standard is intended to be a supplement to applicable CFRs. It is not meant to be a restatement of or replacement for the CFRs. CACS-20 is the C.A.S.E. checklist associated with this standard.
- B. This standard represents the applicable CFR requirements and minimum requirements for all sustaining member air carriers of the C.A.S.E. organization. Vendors must comply with all items of this standard to be considered for listing in the C.A.S.E. Register. The standard is revised approximately every six (6) months, is available at www.caseinc.org, and should be acquired. This standard is designed to aid surveillance of a vendor who performs maintenance, preventive maintenance or alteration on aircraft, engines, propellers, or component parts thereof. This standard may be used to determine the adequacy of the vendor's quality program. [C.A.S.E.]
- C. Compliance with this standard does not necessarily accept a vendor for entry into the C.A.S.E. Register. Vendors that are accepted for listing in the C.A.S.E. Register must continue to meet the requirements of this standard. Vendors will acknowledge this by having a "Vendor Authorized Representative" sign the Vendor Expectations and Limitations (VEL) which is a written agreement between the vendor and the organization. Reasons for removal include, but are not limited to: safety of flight concerns, intent to defraud, ceasing operations or business, move of principal operations, or refusal of an audit from a C.A.S.E. authorized auditor performing an allocated audit to a C.A.S.E. standard. Further, a vendor shall be removed from the Register for failure to implement corrective action(s), refusal to sign the VEL prior to closure of the audit process, or failing to correct audit findings within the prescribed time limits agreed upon with the auditor. A vendor may be removed from the Register if the vendor is found to be in non-compliance with any section(s) of the C.A.S.E. standard, fails to perform work in accordance with air carrier instruction(s), or is in non-compliance with requirements of the VEL. Vendors may not publicize by statement or inference their C.A.S.E. Register status in any form (e.g. advertising, other solicitation of business) or use the C.A.S.E. logo. [C.A.S.E.]
- D. In addition to complying with this standard, all activities shall be accomplished in accordance with applicable portions of the Code of Federal Regulations (e.g. Title 14 CFR Parts 21, 39, 43, 45, 65, 121 subpart L, 120 subparts D, E, and F, 135, 145, 183, 49 CFR Parts 171-180, and BASA/MAG (applicable to all U.S. domestic repair stations holding an EASA certificate and to all EU AMO's holding an FAA certificate).
- E. The vendor shall establish a policy that ensures compliance with the air carrier's or commercial operator's program and applicable sections of the air carrier's maintenance manual. [121.367, 135.425, 145.205, C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- F. The Original Equipment Manufacturer (OEM) may alter or rebuild parts manufactured under the manufacturer's authorization (PMA, PC, TSO, etc.) but must have an Air Agency Certificate to overhaul or repair a part it manufactures. [43.2, 43.3, 121.367, 135.425, 145.5 C.A.S.E.]
- G. Vendors are subject to a technical audit at any time during normal working hours. The audit may be conducted by a C.A.S.E. member, whether or not that member is an air carrier customer of that vendor. The audit may encompass the entire technical portion of the vendor's operation or any part thereof. Normally, the auditor will notify the vendor and arrange the audit so as to cause minimal interference with the vendor's operation, however, should circumstances dictate, the auditor may arrive unannounced. [C.A.S.E.]
- NOTE:** Register action may be taken anytime a C.A.S.E. qualified and authorized auditor/Evaluator performs an audit using this standard.
- H. An acceptable audit result does not relieve the vendor of its responsibility to provide an acceptable product. [C.A.S.E.]
- I. Definitions: [1.1, 145.3]
- 1) **Accountable Manager** – person designated by the certificated repair station who is responsible for, and has authority over, all repair station operations that are conducted under part 145, including ensuring that repair station personnel follow the regulations, and serves as the primary contact with the FAA/NAA.
 - 2) **Article** – an aircraft, airframe, aircraft engine, propeller, appliance, or component part.
 - 3) **Directly in charge** – having the responsibility for the work of a certificated repair station that performs maintenance, preventive maintenance, alterations, or other functions affecting aircraft airworthiness. A person directly in charge does not need to physically observe and direct each worker constantly but must be available for consultation on matters requiring instruction or decision from a higher authority.
 - 4) **Maintenance** - Inspection, overhaul, repair, preservation, and the replacement of parts, but excludes preventive maintenance.
 - 5) **Person** - An individual, firm, partnership, corporation, company, association, joint-stock association, or governmental entity. It includes a trustee, receiver, assignee, or similar representative of any of them.
 - 6) **Supervisor** – A person who directs the work performed under the repair station's certificate and operation specification.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

2. Certifications

- A. All certificates, Operations Specifications, licenses, repairman certificates, and registrations required by the Code of Federal Regulations for any individual, equipment or facility shall be kept current and available for inspection and verification. [145.5, 145.55, 145.153, 145.155, 145.157, 145.213, C.A.S.E. and 49 CFR Part 180.205 subpart C]
- B. Capabilities Listing [145.215, C.A.S.E]
- 1) A certificated repair station with limited ratings must identify each article on which the repair station is authorized to work either on a capabilities listing acceptable to the administrator or on their Operations Specifications.
 - 2) Each item on the capabilities list must have documentation to show that an evaluation was performed to determine that the vendor has necessary housing, facilities, tools and test equipment, materials, technical data, processes, and trained personnel to accomplish the work.
 - 3) The capabilities list must identify each article by make, and model or other nomenclature designated by the article's manufacturer.
 - 4) This evaluation must be performed in accordance with procedures outlined in its repair station manual.
- C. Repair stations based in the U.S. shall have an FAA registered anti-drug and alcohol misuse prevention program. The plan may be the vendor's plan, a consortium plan to which the vendor subscribes, or an air carrier's plan. The certificate holder shall have an Anti-drug and Alcohol Misuse Prevention Program Operations Specification (A449), have a form showing registration with the FAA Drug Abatement Division, or be covered under the plan for each employer (121/135 operator) for which the holder performs work. [14 CFR 120 subparts D, E, and F]
- D. Vendors shall have a process to ensure their U.S. based subcontracted maintenance/preventive maintenance providers, at all tiers (certificated and non-certificated), are participating in a U.S. Department of Transportation anti-drug and alcohol misuse prevention program as required per 14 CFR Part 120 subparts D, E, and F. Examples of subcontracted maintenance/preventive maintenance functions include: [14 CFR 120 subparts D, E, and F, C.A.S.E.]
- 1) Preparation of an aircraft for a cleaning process which requires the removal or protection of components (e.g. closing and securing upper and lower fan cowl doors on a transport category aircraft prior to cleaning, or, after the cleaning process, the reapplication of lubrication compounds and preservatives to aircraft components). Conversely, cleaning of seat cushions/covers is not considered maintenance,

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 2) Refinishing decorative coatings on the fuselage, wings, tail group surfaces, fairings, cowlings, landing gear, and/or interiors when removal or disassembly of any primary structure or operating system is not required,
- 3) Repair of cargo containers,
- 4) Performance of tests, by manufacturers, to determine either the extent of repair necessary for, or the serviceability of, a component,
- 5) Work performed by mechanics' helpers,
- 6) Third-level subcontracting (e.g. welding, plating, special processes, etc.).

3. Quality Programs

- A. The certificated repair station must maintain a quality control system that ensures the airworthiness of the articles on which the repair station or any of its contractors perform maintenance, preventive maintenance, or alterations and complies with air carrier specifications. [121.367, 135.425, 145.205, 145.211, C.A.S.E.]
- B. Repair station personnel must follow the quality control system when performing maintenance, preventive maintenance, or alterations. [121.367, 135.425, 145.211 C.A.S.E.]
- C. The repair station must keep current an FAA/NAA accepted Quality Control (or equivalent) Manual that includes: [43.13(a), 121.367, 135.425, 145.211, FAA AC 145-9, CAR STD 573.08(6), EASA 145A.70, C.A.S.E.]
 - 1) A description of the systems and procedures used for:
 - a) Inspecting incoming raw material to ensure acceptable quality.
 - b) Performing preliminary inspections of all articles that are maintained.
 - c) Inspecting all articles that have been involved in an accident for hidden damage before maintenance, preventive maintenance, or alteration is performed.
 - d) Establishing and maintaining proficiency of inspection personnel.
 - e) Establishing and maintaining current technical data for maintaining articles.
 - f) Qualifying and performing surveillance of non-certificated persons who perform maintenance, preventive maintenance, or alterations for the repair station.
 - g) Performing final inspection and return-to-service of maintained articles.
 - h) Calibrating measuring and test equipment used to maintain articles, including the intervals at which the equipment will be calibrated.
 - i) Taking corrective actions on deficiencies.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- j) Revising the Quality Control Manual required under this section and notifying the Certificate Holding District Office (CHDO) of the revisions, including how often the CHDO will get notified of revisions.
 - 2) References, where applicable, to the manufacturer's inspection standard for a particular article including references to any data specified by that manufacturer and/or owner/operator.
 - 3) Samples of the inspection and maintenance forms and instructions for completing such forms, or a reference to a separate forms manual.
- D. The certificated repair station must maintain and follow a current FAA/NAA accepted Repair Station (or equivalent) Manual (RSM). The RSM must be accessible for use by all repair station personnel and to the air carrier's auditor (or designee). The RSM must include the following: [121.367, 135.425, 145.161, 145.163, 145.203, 145.205, 145.207, 145.209, 145.215, 145.217, C.A.S.E.]
- 1) The organizational structure:
 - a) Each management position with authority to act on behalf of the repair station.
 - b) The area of responsibility assigned to each management position.
 - c) The duties, responsibilities, and authority of each management position.
 - d) An organizational chart.
 - 2) Procedures for maintaining and revising the roster(s).
 - 3) A description of the certificated repair station's operations, including the housing, facilities, equipment, and materials.
 - 4) Procedures for:
 - a) Revising the capabilities list and notifying the CHDO of revisions to the list, including how often the CHDO will be notified of revisions.
 - b) Performing a self-evaluation prior to revising the capabilities list, including methods and frequency of such evaluations, and procedures for reporting the results to the appropriate manager for review and action.
 - 5) Procedures for revising the training program and submitting revisions to the CHDO for approval.
 - 6) Procedures to govern work performed at another location.
 - 7) Procedures for maintenance, preventive maintenance, alterations, and inspections performed for an air carrier.
 - 8) Procedures for maintaining and revising contract maintenance information and notifying the CHDO of revisions to this information, including how often the CHDO will be notified of revisions.
 - 9) A description of the required records and the record-keeping system used to obtain, store, and retrieve the required records.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 10) Procedures for revising the RSM and notifying its CHDO of revisions to the manual, including how often the CHDO will be notified of revisions.
 - 11) A description of the system used to identify and control sections of the RSM.
- E. The vendor shall have an internal audit and surveillance function/schedule that: [121.363, 135.413, FAA AC 145-9, CAR 573.09(5), EASA 145.A.65, C.A.S.E.]
- 1) Periodically reviews its 145 subparts C, D, and E, and the quality programs to verify that procedures that assure compliance with air carrier specifications, regulatory requirements, and good industry practices are in place. The results of these reviews shall be communicated to the Accountable Manager.
 - 2) Verifies that operations are being conducted in accordance with these programs.
 - 3) Verifies that work performed by a sub-contractor is a quality product that meets air carrier specifications and legal requirements. The vendor shall be responsible for any work performed by a sub-contractor.
 - 4) Uses trained auditors for performance of audits.
 - 5) Maintains at least 36 months of internal audit reports which include immediate corrective action, root cause, preventive action, and follow-up date and results.
- F. The vendor's internal audit and surveillance function shall contain provisions to assure that all discrepancies and corrective / preventive actions are documented and implemented promptly to: [121.363, 135.413, C.A.S.E.]
- 1) Correct the discrepancies reported.
 - 2) Locate and correct similar discrepancies, if they exist, in areas not audited.
 - 3) Correct the root cause of the problem evidenced by the discrepancies.
 - 4) Identify actions to prevent reoccurrence.
 - 5) Conduct a follow-up of corrective action and preventive action to assure they are effective.
- G. All vendors for which a VEL was signed by both the vendor and auditor shall maintain, for a minimum period of 36 calendar months, audit findings, corrective actions and signed CACS-7 resulting from a 1-A standard audit. This file shall be accessible on-site to any C.A.S.E. authorized auditor on request. [C.A.S.E.]
- H. The vendor shall: [145.217, C.A.S.E.]
- 1) Maintain a list of sub-contracted functions approved by the FAA.
 - 2) Maintain a list of sub-contracted maintenance agencies, including the type of certificate and ratings, if any, held by each facility they have approved to perform these functions.
- I. Records of contracted/sub-contracted work must show: [145.217, 145.223, C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 1) Evidence that the contractor/sub-contractor's quality meets air carriers' specifications and legal requirements. This evidence of quality system can be through either on-site or "mail" type audits and at a minimum must include:
 - a) Certificates, operations specifications, and registrations required by the Code of Federal Regulations for any facility shall be kept current and available for inspection and verification.
 - b) Evidence the facility has validated the capability for the work performed.
 - c) Evidence or availability of documents that U.S. based contracted/subcontracted maintenance/preventive maintenance providers, at all tiers (certificated and non-certificated), are participating in an anti-drug and alcohol misuse prevention program.
 - d) If the vendor deals in non-aviation parts, materials, and/or maintenance activities, is there proper segregation from aviation activities.
 - e) Procedures for maintenance, preventive maintenance, alterations, and inspections.
 - f) Procedures for inspection of incoming materials to ensure acceptable quality.
 - g) Procedures for performing final inspections of maintained articles.
 - h) Procedures for establishing and maintaining current technical data for maintaining articles.
 - i) Procedures for calibrating measuring and test equipment used to maintain articles.
 - j) Procedures for training and maintaining proficiency of personnel.
 - k) Procedures for controlling shelf life items and scrapped parts.
 - l) If the contractor/sub-contractor is not a certificated repair station, the vendor itself must determine the airworthiness of the article involved by inspection or test and must have a contract allowing the FAA/ NAA to inspect the non-certificated repair facility.
 - m) Procedures to determine major/minor repair scope.
 - n) Procedures to ensure compliance with air carrier specifications.
- J. The vendor shall have a documented procedure describing how they report defects, suspected unapproved parts and unairworthy conditions to the air carrier and the FAA/NAA. [121.703, C.A.S.E.]
- K. The vendor shall have a process to furnish copies of all revised Repair Station Manual(s) and/or Quality Manual(s) promptly to all organizations and persons to whom the manual(s) has been issued.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

4. Inspection Programs

- A. For vendors that perform Required Inspections Items (RII) as defined in 14 CFR Part 121, the vendor's company structure shall be organized such that the inspection function shall be separate from the maintenance, repair, and overhaul function. The separation shall be below the level of administrative control at which overall responsibility for the inspection function and the maintenance, repair, and overhaul function is exercised. [121.365, 145.205, C.A.S.E.]
- B. The vendor shall have a satisfactory method of assuring that: [21.130, 39.15, 43.2, 43.11, C.A.S.E.]
 - 1) Incoming parts and materials comply with specifications including required certification documentation and traceability.
 - 2) Parts are free of defects or malfunctions.
 - 3) Parts are in a good state of preservation.
 - 4) Records of inspections and tests used to make this verification are maintained.
 - 5) Incoming parts tags include part name, part number, serial number, and modification status if applicable. And,
 - 6) Receiving Inspectors are trained.
- C. If applicable, the vendor shall have a system for controlling inspection and production stamps that includes the following: [C.A.S.E.]
 - 1) A facsimile of each stamp type.
 - 2) A means of identifying to whom stamps have been issued.
 - 3) A policy for stamps that are lost or stolen. And,
 - 4) A requirement that no stamp will be reissued within a six (6) month period to two (2) different employees.

5. Personnel

- A. The vendor shall identify an employee as the "Accountable Manager." [121.365, 135.423, 145.151, C.A.S.E.]
- B. The vendor shall employ a minimum of two (2) persons. [C.A.S.E.]
- C. The vendor shall maintain an up-to-date roster(s) of: [121.365, 135.423, 145.161 C.A.S.E.]
 - 1) Management personnel, including the "Accountable Manager".
 - 2) Supervisory personnel.
 - 3) The names of all inspection personnel, which includes receiving inspectors.
 - 4) The names of personnel authorized to sign a maintenance release or approving a maintained or altered article for return-to-service.
 - 5) The roster(s) must be updated within five (5) business days of any respective changes.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- D. The vendor shall provide a summary of employment for each individual whose name appears on the repair station roster(s). It shall include, in a stand-alone format (hard copy or electronic), the following required information: [121.367, 135.425, 145.161, C.A.S.E.]
- 1) Each person's present title.
 - 2) The total years of experience and the type of maintenance work performed.
NOTE: Experience need not be updated annually provided the date the summary was revised is noted on the summary.
 - 3) Past relevant employment with names of employers and employment periods.
 - 4) The scope of their present employment. And,
 - 5) The type of certificate held, mechanic or repairman, and the ratings on that certificate, if applicable.
- E. Supervisory Personnel [121.367, 121.375, 121.378, 135.425, 135.433, 135.435, 145.153, C.A.S.E.]
- 1) Each person performing supervisory duties must be familiar with the methods, techniques, practices, aids, equipment, and tools used to perform maintenance, preventive maintenance, or alterations.
 - 2) Each supervisor must:
 - a) If employed by a vendor located inside the United States:
 - i) Be appropriately certificated as a mechanic or repairman under Part 65 for the work being supervised.
 - b) If employed by a vendor outside the United States:
 - i) Have a minimum of 18 months of practical experience in the work being performed. Or,
 - ii) Be trained in or familiar with the methods, techniques, practices, aids, equipment, and tools used to perform the maintenance, preventive maintenance or alterations.
 - c) Understand, read, and write English.
- F. Inspection Personnel [121.375, 121.378, 135.425, 135.435, 145.155, C.A.S.E.]
- 1) Each person performing required inspections (RII) must be appropriately certificated, properly trained, and authorized to do so.
 - 2) Inspection personnel must be thoroughly familiar with the applicable regulations in Part 145, inspection methods, techniques, practices, aids, equipment, and tools used to determine the airworthiness of the articles on which maintenance, preventive maintenance, or alterations are being performed. They must:

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- a) Maintain proficiency in using the various types of inspection equipment and visual inspection aids appropriate for the article being inspected.
 - b) Have available and understand all applicable and current tolerances and procedures.
 - c) Be able to properly identify defects.
 - d) Understand, read, and write English.
- G. Return-to-Service Personnel [121.367, 121.375, 135.425, 135.433, 145.157, C.A.S.E.]
- 1) A certificated repair station located inside the United States must ensure each person authorized to approve an article for return-to-service under the Repair Station Certificate and Operations Specifications is appropriately certificated as a mechanic or repairman under Part 65.
 - 2) A certificated repair station located outside the United States must ensure each person authorized to approve an article for return-to-service under the Air Agency Certificate and Operations Specifications is:
 - a) Trained in, or has 18 months practical experience with, methods techniques, practices, aids, equipment, and tools used to perform the maintenance, preventive maintenance, or alterations.
 - b) Thoroughly familiar with the applicable regulations in Part 145 and proficient in the use of the various inspection methods, techniques, practices, aids, equipment, and tools appropriate for the work being performed and approved for return-to-service.
 - 3) A certificated repair station must ensure each person authorized to approve an article for return-to-service can understand, read, and write English.
- H. The vendor shall identify, by title, an individual as primarily responsible for the technical data program (control and dissemination of technical publications) that includes: [C.A.S.E.]
- 1) Maintaining an adequate quantity of the appropriate technical data up-to-date and properly distributed.
 - 2) Maintaining the technical data in an environment that will protect it from loss or damage.
 - 3) Maintaining viewing devices, if required, in good working order and protected from damage.
- I. The vendor shall identify, by title, an individual as primarily responsible for assuring an effective shelf life program. [C.A.S.E.]
- J. The vendor shall identify, by title, an individual as primarily responsible for the calibration program (control of precision testing and measuring instruments). [C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- K. The vendor shall identify, by title, an individual primarily responsible for the scrap parts program (verifying that parts were adequately damaged before discard). [C.A.S.E.]
- L. All individuals identified as primarily responsible for the programs identified in paragraphs H through K of this section (i.e. shelf life, technical data, calibration, and scrap parts) must have a back-up person identified, by title, who ensures each program's continuity during the primary individual's absence. [C.A.S.E.]
- M. The vendor shall identify, by title, an individual as primary responsible for the internal audit program. [C.A.S.E.]
- N. The vendor shall ensure maintenance personnel: [C.A.S.E.]
 - 1) are able to interpret maintenance requirements into maintenance tasks and have a full understanding that they have no authority to deviate from the customer specified maintenance data;
 - 2) are able to carry out maintenance tasks to any maintenance standard specified by the customer and notify supervisors / lead mechanic of mistakes requiring rectification to meet required maintenance standards; and
 - 3) are able to carry out specialized maintenance tasks, as applicable, to the standard specified in the customer maintenance data and will both inform and await instructions from their supervisor / lead mechanic in any case where it is impossible to complete the specialized maintenance in accordance with the maintenance data.

6. Technical Data Program

- A. All maintenance actions shall be accomplished in accordance with air carrier's manuals. This shall include: [121.365, 135.423, 145.205, C.A.S.E.]
 - 1) Technical data originating with or provided by the air carrier.
 - 2) OEM data as modified by the air carrier.
 - 3) Unmodified OEM data if so specified by the air carrier.
 - 4) Technical data developed by the vendor that is approved by the air carrier prior to use.
NOTE: "Manuals" in this context include any technical data required to perform the required maintenance action (e.g. drawings, wiring diagrams, test specs. etc.).
- B. The vendor shall have a documented system to assure that: [121.365, 135.423, C.A.S.E.]
 - 1) All technical data is kept current and there is a record of revisions received and filed.
 - 2) Only the latest technical data is available to persons performing maintenance actions. And,

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 3) The technical data used by persons performing maintenance actions is appropriate for the work being done, readily available, in good condition, and in adequate quantity.
- C. If the vendor maintains a master copy of each “manual” in addition to the working copies used for maintenance actions, the working copies shall be revised at the same time as the masters. [121.365, 135.423, 145.109, 145.207, 145.209, 145.211, C.A.S.E.]
- D. Technical data shall be properly identified as to applicability and stored in a manner that will protect it from dirt and damage. [121.365, 135.423, 145.207, 145.209, C.A.S.E.]
- E. Where technical data is on microfilm, microfiche, or electronic device, an appropriate viewing device must be provided. It shall be: [121.365, 135.423, 145.109, C.A.S.E.]
 - 1) Maintained in good working order.
 - 2) Protected from dust, dirt, water, and damage. And,
 - 3) Available and convenient to the persons performing maintenance actions.
- F. Should the vendor deviate from or supplement OEM data via an ODA (which must include an FAA approved manual and roster) the vendor shall have a system for approval (including air carrier’s) and control of such data revisions. [121.365, 135.423, C.A.S.E.]

7. Shelf Life Program

- A. If the vendor uses materials that have a shelf life, they shall have a program that defines the procedures, lists the parts and/or materials subject to shelf life, or references a listing, and identifies the person by title responsible for maintaining it. The listing may be maintained as a separate document. [43.13, 121.363, 135.413, C.A.S.E.]
- B. The program shall include a means of identifying the expiration date of each shelf life-limited item. [43.13, 121.363, 135.413, C.A.S.E.]
- C. Any part or material that is past its expiration date shall not be used in the maintenance action of an air carrier’s unit or any spare unit that may be used on an aircraft. [43.13, 121.363, 135.413, C.A.S.E.]
- D. The program shall specify a system that will assure that no expired material or part will be issued. [43.13, 121.363, 135.413, C.A.S.E.]

8. Calibration Program

- A. Tools and test equipment used to comply with or verify specifications must be calibrated periodically to assure their accuracy. [43.13, 121.367, 135.433, 145.109 C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- B. The program shall include identification of the tools and test equipment in the program, the frequency of calibration, calibration limitations, and the applicable tolerance or specification. [43.13, 121.367, 135.433, 145.211, C.A.S.E.]
- NOTE:** Limited calibration is an accepted calibration condition with a specified limited performance. Any such specified limitations must be clearly marked on the equipment label (e.g. torque wrenches calibrated in the clockwise direction only).
- C. All test and inspection equipment and tools used to make airworthiness determinations on articles must be properly protected, calibrated and traceable to a standard acceptable to the FAA/NAA. [43.13, 121.367, 135.433, 145.211, C.A.S.E.]
- D. The program shall provide a system for identifying the calibration status of each piece of equipment in the program and their calibration due dates. [43.13, 121.367, 135.433, C.A.S.E.]
- E. Tools and test equipment that are in the calibration program, but are out of calibration or are past due calibration check, shall be identified in a manner that will prevent maintenance personnel from using them. [43.13, 121.367, 135.433, C.A.S.E.]
- F. Personal tools or equipment used in verifying or complying with specifications shall be included in the program. [43.13, 121.367, 135.433, C.A.S.E.]
- G. Records for tools and test equipment available for use shall: [43.13, 121.367, 135.433, C.A.S.E.]
- 1) Show the date the item was calibrated or checked.
 - 2) Show the date the next calibration is due.
 - 3) Identify the person that performed the calibration or check.
 - 4) Contain a calibration certificate for each item calibrated by an outside agency.
 - 5) Record the details of any required adjustment or repair.
 - 6) Identify the standard used to calibrate the item, including the part number, serial number, and calibration due date, as required by the FAA/NAA.
- H. Records are to be kept for a minimum of two (2) years or two (2) calibration cycles (whichever is greater).
- I. Tools and/or test equipment on the premises which would typically require calibration (e.g. torque wrenches, volt/ohm meters, etc.) but are not used to comply with specifications, verify specifications, or to make airworthiness determinations should be properly protected and must be identified as not being in the calibration program (e.g. marked, “For Reference Only”, “Calibration Not Required”, or similar wording).

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

9. Training

- A. The vendor shall assure that each employee is properly trained for the work the individual is to perform. [121.375, 135.433, 145.163, C.A.S.E.]
- B. The vendor shall document both formal and on-the-job training. [121.375, 135.433, 145.163, C.A.S.E.]
- C. Employee training records for mechanics, inspectors, and supervisors shall be retained for a minimum of two (2) years after the employee has left the company. The records shall be available for inspection. [121.375, 135.433, C.A.S.E.]
- D. The certificated repair station must: [121.375, 135.433, 145.163, C.A.S.E.]
 - 1) Have and use an employee training program that consists of initial and recurrent training for maintenance, preventive maintenance, alteration, and inspections as required their FAA/NAA.
 - 2) Document the employee training for any individual performing maintenance, preventative maintenance and alterations, to include but not limited to Technician, Inspectors, Return to Service personnel and Receiving Inspectors.
 - 3) Have documented procedures used to establish competence of maintenance and inspection personnel. And,
 - 4) Have a documented recurrent training interval not to exceed 36 months, which can be reduced based on the results of the Vendor's Program.
- E. The FAA/NAA employee training program shall include but are not limited to: [US MAG (vi), CAR STD 573.06, C.A.S.E.]
 - 1) The knowledge of regulations, standards and procedures in accordance with customer requirements.
 - 2) Human factors
 - 3) ESD (as applicable)
 - 4) Receiving Inspection.
 - 5) Return to Service.
 - 6) Suspected Unapproved Parts.

10. Housing and Facilities

- A. Vendors that deal in non-aircraft parts, materials, or maintenance activities shall segregate the aircraft function from other functions to preclude getting unapproved parts or materials on an aircraft unit. [121.367, 135.425, 145.103, C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- B. The certificated repair station must provide: [121.367, 135.425, 145.103, 145.109, C.A.S.E.]
- 1) Housing for the facilities, equipment, materials, and personnel consistent with its rating.
 - 2) Facilities for properly performing the maintenance, preventive maintenance, or alterations of articles or the specialized services for which it is rated. The facilities must include:
 - a) Sufficient workspace and areas for the proper segregation and protection of articles during all maintenance, preventive maintenance, or alteration.
 - b) Segregated work areas enabling environmentally hazardous or sensitive operations such as painting, cleaning, welding, avionics work, and machining to be done properly and in a manner that does not adversely affect other maintenance or alteration articles or activities.
 - c) Suitable racks, hoists, trays, stands, and/or other means of segregation for the storage and protection of all articles undergoing maintenance, preventive maintenance or alterations.
 - d) Space sufficient to segregate articles and materials stocked for installation from those undergoing maintenance, preventive maintenance, or alteration.
 - e) Ventilation, lighting, and control of temperature, humidity and other climatic conditions sufficient to ensure personnel perform maintenance, preventive maintenance, or alterations to standards required by the part and/or precision tools and test equipment.
 - f) The areas for receiving and for shipping air carriers' units shall have adequate space, lighting, shelving, security, and fire protection to accommodate air carriers' units in a manner that will preclude damage, loss, and theft.
 - g) There shall be adequate and appropriate storage area to safely store air carriers' reusable shipping containers and to protect them from environmental damage.
 - h) Sufficient communication equipment and information technology system(s). And,
 - i) A secure, dry storage area to retain aircraft technical records.
- C. A certificated repair station performing maintenance, preventive maintenance, or alterations on articles outside of its housing, must provide suitable facilities that are acceptable to the FAA/NAA and its air carrier customers. It must meet the requirements of paragraph 10.B. above so that the work can be done in accordance with the requirements of 14 CFR Part 43. [121.367, 135.425, 145.103(b), 145.201, C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

11. Safety/Security/Fire Protection

- A. The housing and facilities shall provide adequate security and protection from fire. [NFPA 10, C.A.S.E.]
- B. Security systems shall be adequate to ensure the safety and security of air carrier's parts or aircraft. [C.A.S.E.]
- C. Fire protection devices and systems shall be inspected periodically. [NFPA 10, C.A.S.E.]
- D. Fire fighting equipment and its locations shall be well identified and maintained in serviceable condition. [NFPA 10, C.A.S.E.]
- E. Walkways, doors, and fire extinguishers shall be clear of obstructions and easily accessible. [NFPA 10, C.A.S.E.]
- F. Appropriate safety devices shall be maintained in good condition and shall be used. [C.A.S.E.]
- G. Operations shall be conducted in a safe manner and in a safe environment that will avoid personnel injury and damage to air carrier property. [145.103, C.A.S.E.]

12. Storage

- A. Parts and materials shall be correctly identified and properly stored so that only acceptable parts and supplies will be issued for any job. [145.101, 145.103, C.A.S.E.]
- B. Serviceability status of parts and materials shall be indicated in a manner that readily identifies serviceable parts and materials from the unserviceable. [145.101, 145.103, C.A.S.E.]
- C. Rejected parts and materials, including questionable items awaiting disposition, shall be identified as rejected and stored in a quarantine area separately from usable stock to preclude them from being issued for any job or shipped to the air carrier as serviceable. [145.101, 145.103, C.A.S.E.]
- D. Parts and materials shall be protected in storage and during transit, until installation, in a manner that will prevent damage, contamination, loss, or substitution. [145.101, 145.103, C.A.S.E.]
- E. Flammable, toxic, and/or hazardous materials shall be stored in an appropriate, properly identified cabinet or facility meeting applicable safety regulations. [145.101, 145.103, C.A.S.E.]
- F. Sensitive parts and equipment (e.g. oxygen parts, o-rings, electrostatic sensitive devices, temperature/humidity controlled items, etc.) shall be properly packaged, stored, identified, and protected from contamination and damage. [145.101, 145.103, C.A.S.E.]
- G. High pressure bottles must be correctly labeled and properly stored and secured. [C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- H. Vendor must maintain uninterrupted traceability and batch control for all aeronautical parts and material from receiving inspection (or from manufacturing in the case of a repair station within an OEM), through the stores or warehousing process. It is highly desired that a vendor will be able to provide positive traceability of all parts and materials at any point or place in their facility. [C.A.S.E.]
- I. Vendor must have systems in place that ensure only approved, traceable (at time of issue) parts and materials are issued to the work process area(s). Additionally, the internal audit program periodically verifies the integrity of the work process area and tests the traceability of material being introduced therein. [C.A.S.E.]

13. Work Processing

- A. Within the United States, each certificate holder (or person performing maintenance or preventive maintenance functions for it) shall relieve each person performing such work from duty for minimum period of twenty-four (24) consecutive hours during any seven (7) consecutive days, or the equivalent thereof within any one (1) calendar month. [121.377, C.A.S.E.]
- B. No vendor may perform any maintenance action unless the person performing that maintenance action: [43.7, 65.81, 65.103, 121.375, 135.433, 145.151, 145.153, 145.155, 145.157, 145.163, 145.211, C.A.S.E.]
 - 1) Is properly trained, authorized, and if required, certificated.
 - 2) Has available the appropriate tools and test equipment in good condition and properly calibrated, the correct parts, and current technical data.
 - 3) Should any of the above requirements be lacking, the vendor shall refuse the work, or take appropriate corrective action to correct the deficiency.
- C. OEM/non-OEM designated tooling/test equipment: [43.13, 121.367, 145.109, C.A.S.E.]
 - 1) For either OEM or non-OEM tooling/test equipment, the vendor shall:
 - a) Have an operating manual and maintenance manual for the equipment.

NOTE: The operating manual is a set of instructions designed to ensure that the equipment meets the requirements/parameters to perform tests in accordance with technical standards and airworthiness. The maintenance manual is a set of instructions designed to ensure that the equipment operates and is maintained to ensure accuracy in complying with technical standards and airworthiness.
 - b) Perform maintenance, preventive maintenance, and servicing as required by the operating and/or maintenance manual.
 - c) Maintain records of maintenance, preventive maintenance, and servicing, if any is required, for a minimum of two (2) years.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- d) If appropriate, list the tooling/test equipment in its calibration program.
- 2) Where non-OEM specified tooling/test equipment is used, the vendor shall provide documentation that the tooling/test equipment adequately performs the functions and/or tests required by the OEM manual. The documentation must be signed and dated and come from an individual authorized and qualified to make such a determination.

NOTE: This section does not apply to standard test equipment (such as volt/ohm meters, oscilloscopes, power supplies, etc.) that is equivalent to the equipment called out in the component maintenance manual.
- D. The vendor shall have a system for identifying a specific air carrier's parts, materials, or units throughout the entire maintenance action process, including adequate and proper storage before and after the repair, overhaul, or modification. This system shall include complete identification of the part by nomenclature, part number, serial number, model number, as appropriate, and legible records of all work accomplished. [145.101, 145.103, C.A.S.E.]
- E. Where there is work turned over from one shift to another or other similar work interruption, there shall be a system of documentation that assures continuity of the work and that the complete bill-of-work is accomplished. [121.369, C.A.S.E.]
- F. The vendor shall have: [43.13, 121.369, 135.427, 145.109, 145.201, 145.211, 145.219, C.A.S.E.]
 - 1) Procedures to obtain air carriers' specifications.
 - 2) Procedures to incorporate the air carriers' specifications into the work processes and to ensure any subcontractor used also incorporates those specifications with adequate documentation.
 - 3) Controls to ensure the air carriers' specifications are incorporated.
 - 4) Adequate checks, inspections, and tests to ensure the work was performed to air carriers' specifications.
 - 5) Procedures to obtain air carriers' approval before deviating from the air carriers' specifications.
 - 6) Procedures to ensure the work documents returned from a subcontractor (at any tier) are adequate to support a major/minor determination.
 - 7) Procedures to evaluate, perform and document Airworthiness Directives.
- G. The vendor shall have controls in place to prevent foreign object damage to (or contamination of) all aviation products in any area where articles are stored or worked (e.g. fuel controls, hydraulic units, instruments, electronic components, structural components, etc.), including such from smoking, eating, or drinking.
[145.101, 145.103, C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- H. Fluid dispensers used in the shop areas shall be properly marked and stored to prevent spillage. [C.A.S.E.]
- I. The vendor shall maintain adequate records in English of all work performed that demonstrates compliance with the requirements of 14 CFR including: [Parts 43.2, 43.9, 43.11, 43 Appendix B, 121.380, and 135.439, 145.213, 145.219, and C.A.S.E.]
- NOTE:** The “person” in the following items, may be one (1) or more individuals.
- 1) The description of the work performed or reference to data, including revision level, acceptable to the administrator, and to include applicable test data in hard copy or electronic format.
 - 2) The date of completion of the work performed.
 - 3) The name of the person performing the work.
- NOTE:** Persons not trained and authorized may perform maintenance actions if supervised by persons that are trained and authorized, however, that supervisor must be identified in the work records.
- 4) The name of the person inspecting the work.
 - 5) A return-to-service document. Information on the document must include:
 - a) Adequate information that positively identifies the part.
 - b) A description of the work performed.
 - c) A reference to data, including revision level.
 - d) The return-to-service date.
 - e) An authorized individual’s signature.
 - f) The repair station’s certificate number.
 - 6) Recording of major repairs and major alterations in accordance with Appendix B to Part 43.
- J. The vendor shall retain each record of a maintenance action for a minimum of two (2) years from the date the article was approved for return-to-service. [43.11, 121.380, 135.439, C.A.S.E.]

14. Shipping

- A. Components shall be returned to the air carrier in an appropriate shipping container or one required by the air carrier. [ATA 300, 121.367, 135.425, C.A.S.E.]
- B. Part number, or model number, serial number, including dash numbers or letters, on the documentation for the part shall match the identification information on the part data plate. [ATA 300, 43.9, 121.367, 135.425, C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

15. Scrapped Parts Program

- A. The vendor shall have a documented procedure in place to either return scrapped parts to their owner or to mutilate them by drilling, grinding, cutting or other appropriate means. Parts shall be mutilated to the extent that will preclude the possibility of them being restored and returned to service. [43.10, C.A.S.E.]
- B. The vendor shall maintain a record of all life-limited parts scrapped out. The record shall contain a description of the part, its part number, and serial number, if applicable, and the date the part was scrapped. The vendor shall retain this record for a minimum of two (2) years. [43.10, 121.380(2) (iii), 135.439, C.A.S.E.]
- C. When a vendor outsources the mutilation of scrapped parts, they shall have a procedure to ensure documentation confirming the mutilation is obtained and retained for two (2) years.

16. Hazmat Program

- A. Each repair station that meets the definition of Hazmat employer (below) under 49 CFR Part 171.8 must have a hazardous materials training program that meets the training requirements of 49 CFR Part 172 subpart H. [145.53]

NOTE: A Hazmat employer means a person who 1) employs or uses at least one (1) Hazmat employee on a full time, part time, or temporary basis; 2) transports hazardous material in commerce; 3) causes hazardous materials to be transported in commerce; or 4) designs, manufactures, fabricates, inspects, marks, maintains, reconditions, repairs, or tests a package, container, or packaging components that is(are) represented, marked, certified, or sold by that person as qualified for use in the transporting hazardous materials in commerce [49 CFR Part 171.8, C.A.S.E.]

17. Electrostatic Sensitive Device (ESD) Program

- A. The vendor, which works on or handles ESD components, shall have a documented ESD Program in place to: [C.A.S.E.]
 - 1) Ensure that shop grids are grounded, if installed.
 - 2) Ensure all ESDs are only handled using grounding wrist or heel straps and conductive desk mats.
 - 3) Ensure devices are contained in ESD conductive packaging sealed with conductive tape.
 - 4) Prevent from storing ESDs on shelving covered with carpet, foam, vinyl or any other material that can store or produce an electrical charge.
 - 5) Appropriate warning and caution signs and decals are placed in areas where ESDs are handled;
 - 6) Ensure wrist and heel straps, and grounding mats are tested for conductivity at regular intervals or prior to use, and such tests results are recorded; and
 - 7) Train maintenance personnel on ESD handling.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

MAG-US SUPPLEMENT

1. General Information

- A. This supplement to the C.A.S.E. 1-A standard is based on the guidance material for the United States (U.S.)/European Union (E.U.) requirements stated in the Maintenance Annex Guide (MAG) enacted on May 1, 2011. The reference numbers enclosed in parentheses () that appear throughout this document refer to the applicable paragraph(s) in Section A. V. 1.1.1 (b) of the current MAG.
- B. This supplement and its associated checklist are only to be used for all U.S. based vendors which have an EASA Part 145 Maintenance Organization Approval.

2. Special Conditions in the MAG as agreed upon between the U.S. and E.U.

- A. The repair station shall hold a valid FAA Air Agency Certificate issued in accordance with the current 14 CFR 145.
 - NOTE:** Already covered by 1-A standard, 2.A. and CACS-20, Sec. 1, #1.
- B. The repair station shall hold a valid EASA Part 145 Approval Certificate issued in accordance with the MAG.
- C. The repair station shall provide a supplement to its Repair Station Manual (RSM) that is verified and accepted by the FAA on behalf of EASA. All revisions to the supplement must be accepted by the FAA. The supplement shall include the following:
 - 1) A statement by the Accountable Manager of the repair station, which commits the repair station to compliance with the MAG and these special conditions.
 - (i)
 - 2) Detailed procedures for the operation of an independent Quality Assurance System (QAS), including oversight of all multiple facilities within the territory of the United States and line stations located within and outside of the United States (except those located in the EU Member States) under the oversight of the FAA. (ii)
 - 3) Procedures for the release or approval for return to service that meet the requirements of EASA Part 145 for aircraft and the use of the FAA form 8130-3 for aircraft components, and any other information required by the owner or operator as appropriate. (iii)
 - 4) For airframe/aircraft rated facilities, procedures to ensure that the Certificate of Airworthiness and the Airworthiness Review Certificate are valid prior to the issue of a release to service document. (iv)

NOTE: For aircraft heavy maintenance vendors only.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 5) Procedures to ensure that repairs and modifications, as defined by EASA requirements, are accomplished in accordance with EASA approved data. (v)
- 6) A procedure for the repair station to ensure that the FAA-approved initial and recurrent training program and any revision thereto include human factors training. (vi)
- 7) Procedures for reporting unairworthy conditions on civil aeronautical products to the EASA, aircraft design organization, and the air carrier or operator. (vii)
- 8) Procedures to ensure completeness of, and compliance with, the air carrier or operator work order or contract including notified EASA Airworthiness Directives and other notified mandatory instructions. (viii)
- 9) Procedures to ensure that contractors meet the terms of these implementation procedures (i.e. using an EASA Part 145 approved organization or, if using an organization that does not have EASA Part 145 approval, the repair station returning the product to service is responsible for ensuring its airworthiness). (ix)
- 10) Procedures to permit work away from the fixed location on a recurring basis, where applicable. (x)
- 11) Procedures to ensure appropriate covered hangars are available for base maintenance aircraft. (xi)

3. Additional C.A.S.E. Requirements

- A. The repair station shall maintain records of maintenance, preventive maintenance, and servicing, if any is required, for a minimum of three (3) years.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

MAG-EU SUPPLEMENT

1. General Information

- A. This supplement to the C.A.S.E. 1-A standard is based on the guidance material for the United States (U.S.)/European Union (E.U.) requirements stated in the Maintenance Annex Guide (MAG) enacted on May 1, 2011. The reference numbers enclosed in parentheses () that appear throughout this document refer to the applicable paragraph(s) in Section A. V. 2.1.1 (b) of the current MAG.
- B. This supplement and its associated checklist are only to be used for E.U. based vendors which have been issued a FAA Part 145 Air Agency Certificate.
- C. Currently affected by the Bilateral Aviation Safety Agreement (Annex 2, Appendix 2) are the following EU member states: Austria, Belgium, Czech Republic, Denmark, Finland, France, Germany, Ireland, Italy, Luxembourg, Malta, The Netherlands, Poland, Portugal, Romania, Spain, Sweden, and the United Kingdom.
- D. This supplement is applicable when auditing a European Approved Maintenance Organization (AMO) using the C.A.S.E. 1-A standard. Auditors may encounter the following terminology used in an AMO which is equivalent to terminology used throughout the 1-A standard:
 - 1) “Quality Control System” (14 CFR) is equivalent to “Quality System”.
 - 2) “CHDO” (14 CFR) is equivalent to “EASA / NAA”.
 - 3) “Quality Control Manual (QCM)/Repair Station Manual (RSM)” (14 CFR) is equivalent to “Maintenance Organization Exposition (MOE)”.
 - 4) ODA / Organization Designation Authority is equivalent to “Design Organization Approval (DOA).
 - 5) An A&P license (14 CFR) is equivalent to an Aircraft Maintenance Engineer B1/B2.
- E. Auditors may encounter the following personnel qualification differences:
 - 1) Supervisors under the EASA rules need not to be certificated.
 - 2) Return-to-service personnel normally have the designation as Certifying Staff. These privileges are issued by the EASA AMO contingent on training requirements being satisfied.

2. Exclusions and Notes

- A. The following C.A.S.E. 1-A standard requirements are not applicable to EASA AMOs:

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

PAR. GUIDANCE AND NOTES

- 2.C. Anti-drug and alcohol misuse prevention programs are not applicable outside the United States.
- 3.E.2) Generally not applicable. Note: The MOE must include procedures for authorizing return to service personnel and include (or reference) a roster of those persons.
- 5.C.1) Accountable Manager is not required to be listed on the roster under EASA Part 145.
- 5.C.2) Supervisory personnel are not required to be listed on the roster under EASA Part 145.
- 5.C.3) Inspection personnel are not required to be listed on the roster under EASA Part 145.
- 5.C.5) The roster of Certifying Staff shall be available to the NAA at any time; however, there is no requirement of notification to the authorities upon changes occurring.
- 5.D. Employment Summaries are not required under EASA Part 145. Note: Certifying staff records have to be maintained, but the format is not prescribed and does not have to contain total years of experience and past relevant employment.
- 5.E. Supervisory personnel need not to be certificated under EASA Part 145
- 13.A. Duty limitations are not applicable outside the USA

3. Special Conditions in the MAG as agreed upon between the U.S. and E.U.

- A. The AMO shall hold a valid FAA Air Agency Certificate issued in accordance with the current 14 CFR 145.

NOTE: Already covered by 1-A standard, 2.A. and CACS-20, Sec. 1, #1.

- B. The AMO shall provide a supplement in English to its MOE that is approved by the Aviation Authority and maintained by the AMO. All revisions to the supplement must be approved by the Aviation Authority. The FAA supplement to the MOE shall include the following:
 - 1) A signed and dated statement by the Accountable Manager that obliges the organization to comply with the MAG. (i)
 - 2) A statement in the supplement that the quality system shall also cover the FAA special conditions. (ii)

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 3) Procedures for approval for release or return to service that satisfy the requirements of 14 CFR Part 43 for aircraft and use of EASA Form 1 for components. This includes the information required by 14 CFR sections 43.9 and 43.11 and all information required to be made or kept by the owner or operator in English as appropriate. (iii)
- 4) Procedures for reporting to the FAA failures, malfunctions or defects, and Suspected Unapproved Parts (SUP) discovered or intended to be installed on U.S. aeronautical products. (iv)
- 5) Procedures to notify the FAA regarding any changes to the line stations that maintain U.S. – registered aircraft. (v)
- 6) Procedures to qualify and monitor additional fixed locations within E.U. member states, which are listed in Appendix 2 to Annex 2 of the US – EU BASA. (vi)
- 7) Procedures in place to verify that all contracted/subcontracted activities include provisions for a non-FAA-certificated source to return the article to the AMO for final inspection/testing and return to service. (vii)
- 8) Procedures to ensure that major repairs and major alterations/ modifications as defined in 14 CFR are accomplished in accordance with data approved by the FAA. (viii)
- 9) Procedures to ensure compliance with an air carrier’s Continuous Airworthiness Maintenance Program (CAMP), including separation of maintenance from inspection on those items identified by the air carrier/customer as Required Inspection Items (RII). (ix)
- 10) Procedures to ensure compliance with the manufacturer’s maintenance manuals or instructions for continued airworthiness (ICA) and handling of deviations. (x)
- 11) Procedures to ensure that all current and applicable Airworthiness Directives (ADs) published by the FAA are available to maintenance personnel at the time work is being performed. (x)
- 12) Procedures to confirm that the AMO supervisors and employees responsible for final inspection and return to service of U.S. aeronautical products are able to read, write, and understand English. (xi)
- 13) Procedures to permit work away from the fixed location on a recurring basis, when applicable. (xii)
- 14) Procedures to maintain a record of work performed away from the fixed location for three years after the performance of work, to include; description of the work performed, date and location performed and work order number (total time in service if required). (ix)

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

CANADIAN AMO SUPPLEMENT

1. General Information

NOTE: This Supplement to the C.A.S.E. 1-A standard is based on the Maintenance Implementation Procedures (MIP) dated August 31, 2006, under the Agreement for the Promotion of Aviation Safety, dated June 12, 2000, between the Governments of the United States of America and Canada. In particular, it includes special requirements stated in section 3.6 of appendix 4 to FAA AC43-10B.

- A. This supplement is applicable when auditing a Canadian Approved Maintenance Organization (AMO) using the C.A.S.E. 1-A standard. Auditors may encounter the following terminology used in an AMO which is equivalent to terminology used throughout the 1-A standard:
- 1) Canadian Aviation Regulations (CARs) are equivalent to 14 CFR (i.e. Part 43 is equivalent to CAR 571, Part 145 is equivalent to CAR 573, etc.).
 - 2) “Quality Control System” (14 CFR) is equivalent to “Quality System”.
 - 3) “CHDO” (14 CFR) is equivalent to “TCCA”.
 - 4) “Quality Control Manual (QCM)/Repair Station Manual (RSM)” (14 CFR) is equivalent to “Maintenance Policy Manual (MPM)”.
 - 5) “ODA” is equivalent to “Design Approval Organization (DAO)”.
 - 6) An A&P Certificate (14 CFR) is equivalent to an Aircraft Maintenance Engineer M-2 (AME M-2) license.
- B. Auditors may encounter the following personnel qualification differences:
- 1) The functions of an Accountable Manager (14 CFR) are performed under the CARs by the Accountable Executive (AE) and the Person Responsible for Maintenance (PRM).
 - 2) Return-to-service personnel are limited to holders of Aircraft Certification Authority (ACA) or Shop Certification Authority (SCA). These privileges are issued by the AMO contingent on training requirements being satisfied.

2. Exclusions and Notes

The following C.A.S.E. 1-A standard requirements are not applicable in AMOs:

PAR. GUIDANCE AND NOTES

- 2.B. A Capability Listing is not required under CARs. TCCA certificates will include a page for each of the AMO’s ratings. In addition, the MPM will specify the limitations/capabilities.
- 2.C. Anti-drug and alcohol misuse prevention programs are not applicable outside the United States.
- 3.E.2) MPM must include procedures for authorizing return to service personnel and include (or reference) a roster of those persons.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 3.E.4) See note above regarding Capabilities Listing.
- 5.C.1) Accountable Executive and/or PRM are not required to be listed on the roster under CARs.
- 5.C.2) Supervisory personnel are not required to be listed on the roster under CARs.
- 5.C.3) Inspection personnel are not required to be listed on the roster under CARs.
- 5.C.5) The roster has to be available to TCCA at any time, however, there is no time limit for it to be updated upon changes occurring.
- 5.D. Summary of employment is not required under CARs.
- 5.E. Supervisory personnel need not be licensed under CARs.
- 13.A. Duty limitations are not applicable outside the United States.

3. Additional Requirements

A. Return-to-Service Personnel

- 1) In addition to obtaining an AME license, ACA holders shall have successfully completed a TCCA approved maintenance training course specific to the aircraft, engine, or system being maintained and/or certified.
- 2) The AMO shall only issue an SCA to individuals with a diploma or certificate from a course in an appropriate field or with documented experience working under supervision of an ACA or SCA holder for 1800 hours in the case of engine or propeller overhauls or 300 hours in other cases.

B. Training Program

- 1) All AMO personnel performing technical functions shall have received human factors training (CAR STD 573.06).
- 2) All personnel authorized to perform, or supervise the performance of, any technical function shall have received MPM training in respect to the regulations, standards, and AMO procedures applicable to that function. Recurrent training shall not exceed three (3) years (CAR STD 573.06).

C. An AMO performing airframe maintenance for commercial air carriers (14 CFR Parts 121 or 135 or CAR 705) shall have a TCCA approved Safety Management System (SMS) in place.

D. An AMO performing maintenance, preventive maintenance, or alterations on aircraft operating under 14 CFR part 121 or 135 must include in its TCCA approved manual a supplement to the MPM that describes the procedures specified in paragraph 3.6.1 of the FAA-TCCA MIP or explain where in the MPM those procedures are described.

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

C.A.S.E. 2-A STANDARD FUEL INTO-PLANE AND STORAGE VENDORS QUALITY PROGRAM REQUIREMENTS

Section	Subject	Page
1.	Policy.....	1

1. Policy

- A. This standard is intended to be a supplement to the latest edition of applicable industry specifications. It is not meant to restate or replace those specifications.
- B. This standard is designed to aid surveillance of a vendor who provides fuel storage and fueling services to customers. This standard may be used to determine the adequacy of the vendor's quality program.
- C. Compliance with this standard does not necessarily accept a vendor for entry into the C.A.S.E. Register. Vendors that are accepted for listing in the C.A.S.E. Register must continue to meet the requirements of this standard. Vendors will acknowledge this by having a vendor authorized representative of the company sign the CACS-7, Vendor Expectations and Limitations (VEL), which is a written agreement between the vendor and the organization. Reasons for removal from the Register include, but are not limited to:
 - a) Safety of flight concerns.
 - b) Intent to defraud.
 - c) Ceasing operation or business.
 - d) Relocation of principal operations.
 - e) Refusal of an allocated C.A.S.E. audit.
 - f) Failure to implement corrective action.
 - g) Refusal to sign the VEL prior to closure of the audit process.
 - h) Failing to correct audit findings within the prescribed time limits agreed upon with the auditor.
- D. A vendor may be removed from the Register if the vendor is found to be in non-compliance with any section(s) of the C.A.S.E. standard, fails to perform work in accordance with customer instruction(s), or is in non-compliance with requirements of the VEL. Vendors may not publicize by statement or inference their C.A.S.E. Register status in any form (e.g. advertising, other solicitation of business) or use the C.A.S.E. logo.
[C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- E. In addition to complying with this standard, all activities shall be accomplished in accordance with applicable portions of the Code of Federal Regulations. In addition, the vendor shall establish a policy that ensures compliance with the air carrier's or commercial operator's program and applicable sections of the air carrier's fueling manual.
- F. Vendors are subject to an audit by a C.A.S.E. qualified and authorized Auditor/Evaluator utilizing current CACS-25 and/or CACS-26 checklists as applicable. These audits may be performed any time during normal working hours. The audit may be conducted by a C.A.S.E. member, whether or not they are a customer of that vendor. Normally, the auditor will notify the vendor and arrange the audit so as to cause minimal interference with the vendor's operation, however, should circumstances dictate, the auditor may arrive unannounced.

NOTE: Register action may be taken anytime a C.A.S.E. qualified and authorized Auditor/Evaluator performs an audit.

- G. Completed audit reports and signed CACS-7, Vendor Expectations and Limitations, shall be maintained for a minimum of 36 calendar months. These documents shall be accessible to any C.A.S.E. authorized auditor upon request.
- H. C.A.S.E. Auditor/Evaluators shall assure that all applicable safety practices are followed when performing into-plane refueling; the following safety practices must be adhered to:
- 1) Vehicles are to operate safely on the ramp.
 - 2) Vehicles are to approach the aircraft no faster than walking speed.
 - 3) Ensure the truck/cart is chocked correctly.
 - 4) Fueling vehicle is to be bonded to the aircraft prior to hose hook up.
 - 5) Ensure there is no leakage around the nozzle or along the fuel line.
 - 6) Check for any leakage around the fueling truck/cart.
 - 7) Ensure the vehicle is positioned correctly.
 - 8) A deadman control is to be correctly used.
 - 9) The fueler shall check primary nozzle and filter differential pressure.
 - 10) After fueling operation has been completed and, if applicable, ensure the aircraft fuel cap cover has been properly reinstalled.
 - 11) Vendor shall have and maintain a current copy of ATA-103
- I. Acceptable audit results do not relieve the vendor of maintaining their own quality program.
- J. The C.A.S.E. Organization recognizes the Air Transport Association Standard 103 as a minimum quality requirement for the performance of 2-A audits. The CACS-25 and CACS-26 are the C.A.S.E. checklists associated with this standard, and are to be utilized in unison with that requirement.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

C.A.S.E. 4-A STANDARD

CONTRACT MAINTENANCE VENDORS / ON-CALL MAINTENANCE

QUALITY PROGRAM REQUIREMENTS

Section	Subject	Page
1.	Policy.....	2
2.	General Operation.....	3
3.	Training.....	4
4.	Calibration Program.....	5
5.	Materials and Equipment.....	6
6.	Technical Data.....	6

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

1. Policy

- A. This standard describes the minimum quality program requirements for Contract Maintenance vendors hereafter referred to as on-call maintenance vendors. This standard is intended to be a supplement to applicable CFRs. It is not meant to be a restatement of or a replacement for the CFRs. CACS-40 is the C.A.S.E. checklist associated with this standard.
- B. This standard represents the applicable CFR requirements and minimum requirements for all sustaining member air carriers of the C.A.S.E. organization. This standard is designed to aid in the surveillance of an on-call maintenance provider that provides minor maintenance, servicing and or inspections required on an aircraft that is away from an air carrier's maintenance base. This standard may be used to determine the adequacy of the on-call maintenance vendor's quality program.
- C. Compliance with this standard does not necessarily accept a vendor for entry into the C.A.S.E. Register. Vendors that are accepted for listing in the C.A.S.E. Register must continue to meet the requirements of this standard. Vendors will acknowledge this by having a vendor authorized representative of the company sign the CACS-7, Vendor Expectations and Limitations (VEL), which is a written agreement between the vendor and the organization. Reasons for removal from the register include, but are not limited to:
- 1) Safety of flight concerns
 - 2) Intent to defraud
 - 3) Ceasing operation or business
 - 4) Relocation of principal operations
 - 5) Refusal of an allocated C.A.S.E. audit
 - 6) Failure to implement corrective action
 - 7) Refusal to sign the VEL prior to closure of the audit process
 - 8) Failing to correct audit findings within the prescribed time limits agreed upon with the auditor.
- D. A vendor may be removed from the Register if the vendor is found to be in non-compliance with any section(s) of the C.A.S.E. standard, fails to perform work in accordance with customer instruction(s), or is in non-compliance with requirements of the VEL. Vendors may not publicize by statement or inference their C.A.S.E. Register status in any form (e.g. advertising, other solicitation of business or use the C.A.S.E. logo. [C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- E. In addition to complying with this standard, all activities shall be accomplished in accordance with applicable portions of the Code of Federal Regulations. Additionally, the vendor shall establish a policy that ensures compliance with the air carrier's maintenance program and applicable sections of the air carrier's maintenance manual.
- F. Vendors are subject to an audit by a C.A.S.E. qualified and authorized Auditor/Evaluator utilizing the CACS-40 checklist. These audits may be performed any time during normal working hours. The audit may be conducted by a C.A.S.E. member, whether or not they are a customer of that vendor. Normally, the auditor will notify the vendor and arrange the audit so as to cause minimal interference with the vendor's operation, however, should circumstances dictate, the auditor may arrive unannounced.

NOTE: Register action may be taken anytime a C.A.S.E. qualified and authorized auditor/Evaluator performs an audit using this standard.

- G. Completed audit reports and signed CACS-7, VEL, shall be maintained for a minimum of 36 calendar months. These documents shall be accessible to any C.A.S.E. authorized auditor upon request.
- H. Acceptable audit results do not relieve the vendor of maintaining their own quality program.

2. General Operation

- A. Maintenance provided by a vendor must be done in accordance with the member air carrier's Continuous Airworthiness Maintenance Program (CAMP) [121.379(a); 121.367(a)(c)]
- B. All certificates, Operations Specifications, licenses, certificates and registrations required by the Code of Federal Regulations for any individual, equipment or facility shall be kept current and available for inspection and verification. [C.A.S.E. and 49 CFR Part 180.205 subpart C]
- C. Persons performing aircraft maintenance, servicing and/or inspection based in the U.S. shall have an active, FAA registered anti-drug and alcohol misuse prevention program. The plan may be the vendor's plan, a consortium plan to which the vendor subscribes, or an air carrier's plan. The vendor shall have an Anti-drug and Alcohol Misuse Prevention Program Operations Specification (A449), have a form showing current registration with the FAA Drug Abatement Division, or be covered under the plan for each employer (121/135 operator) for which the holder performs work. [14 CFR 120 subparts D, E and F]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- D. Persons responsible for airworthiness release / return to service shall be able to read, write and understand English.
- E. Within the United States, each certificate holder (or person performing maintenance functions for it) shall relieve each person performing such work from duty for a minimum period of twenty-four (24) consecutive hours during any seven (7) consecutive days, or the equivalent thereof within and one (1) calendar month. [121.377, C.A.S.E.]
- F. No vendor may perform any maintenance action unless the person performing that maintenance action: [43.7, 65.81, 65.103, 121.375, 135.433, C.A.S.E.]
 - 1. Is properly trained, authorized, and certificated.
 - 2. Has available the appropriate tools and test equipment in good condition and properly calibrated, the correct parts and current technical data.
- G. The vendor shall have a means to receive or obtain air carriers approved or accepted technical data for the work performed.
- H. Where there is work turned over from one shift to another, there shall be a system of documentation that assures continuity of the work and that the complete bill-of-work is accomplished. [121.369, C.A.S.E.]
- I. Within the United States, the vendor will obtain and document the hazardous material “will/will not carry:” status from each member air carrier it provides services for, and have a means to ensure that information is available and communicated to all appropriate employees. [C.A.S.E.]
- J. Operations shall be conducted in a safe manner and in an environment that will avoid personnel injury and damage to air carrier property. [C.A.S.E.]

3. Training

- A. The vendor shall assure that each employee is properly trained, and maintains currency, by each member air carrier it provides service for. [121.375, 135.433, C.A.S.E.]
- B. The vendor shall maintain documented training records for each person that performs maintenance, servicing and/or inspection on behalf of member air carriers, in a format acceptable by each member air carrier. (Reference Appendix 3, Air Carrier Contract Maintenance Training Documents List) [C.A.S.E.]
- C. Each person that performs maintenance actions shall meet FAA “recent experience” requirements. [65.83, C.A.S.E.]

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

4. Calibration Program

- A. Tools and test equipment used to comply with or verify specifications must be calibrated periodically to assure their accuracy. [43.13, 121.367, 135.433, C.A.S.E.]
- B. The program shall include identification of the tools and test equipment in the program, the frequency of calibration, calibration limitations, and the applicable tolerance or specification. [43.13, 121.367, 135.433, C.A.S.E.]
 - NOTE:** Limited calibration is an accepted calibration condition with a specified limited performance. Any such specified limitations must be clearly marked on the equipment label (e.g. torque wrenches calibrated in the clockwise direction only).
- C. All test and inspection equipment and tools used to make airworthiness determinations on articles must be calibrated and traceable to a standard acceptable to the FAA/NAA. [43.13, 121.367, 135.433, C.A.S.E.]
- D. The program shall provide a system for identifying the calibration status of each piece of equipment in the program and their calibration due dates. [43.13, 121.367, 135.433, C.A.S.E.]
- E. Tools and test equipment that are in the calibration program, but are out of calibration or are past due calibration check, shall be identified in a manner that will prevent maintenance personnel from using them. [43.13, 121.367, 135.433, C.A.S.E.]
- F. Personal tools or equipment used in verifying or complying with specifications shall be included in the program. [43.13, 121.367, 135.433, C.A.S.E.]
- G. Records for tools and test equipment available for use shall: [43.13, 121.367, 135.433, C.A.S.E.]
 - 1) Show the date the item was calibrated or checked.
 - 2) Show the date the next calibration is due.
 - 3) Identify the person that performed the calibration or check.
 - 4) Contain a calibration certificate for each item calibrated by an outside agency.
 - 5) Record the details of any required adjustment or repair.
 - 6) Identify the standard used to calibrate the item, including the part number, serial number, and calibration due date, as required by the FAA/NAA.
- H. Records are to be kept for a minimum of two (2) years or two (2) calibration cycles (whichever is greater).
- I. Tools and/or test equipment on the premises which would typically require calibration (e.g. torque wrenches, volt/ohm meters, etc.) but are not used to comply with specifications, verify specifications, or to make airworthiness determinations must be identified as not being in the calibration program (e.g. marked, "For Reference Only", "Calibration Not Required", or similar wording).

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

5. Materials and Equipment

- A. Tools and equipment owned or utilized by the vendor shall be maintained in good condition, properly calibrated (as applicable), and clean. [121.367, C.A.S.E.]
- B. Any air carrier supplied materials (e.g. aircraft tires, fluids) shall be stored and protected from the environment, segregated and controlled. [C.A.S.E.]
- C. Sensitive parts and equipment (e.g. O2, O-rings, ESD) shall be properly packaged, stored, identified, and protected from contamination and damage. [C.A.S.E.]
- D. If the vendor uses materials that have a shelf life, they shall have a program that will assure that no expired material or part will be used to maintain or service member air carrier aircraft. [C.A.S.E.]
- E. If the vendor has a servicing room exclusively for oxygen servicing: [C.A.S.E.]
 - 1) High pressure bottles must be correctly labeled and properly secured.
 - 2) Traceability/certification shall be maintained for N2/O2 bottles.
- F. Fluid dispensers/containers used for aircraft maintenance and servicing shall be properly marked and stored to prevent spillage. [C.A.S.E.]

6. Technical Data

- A. All maintenance actions shall be accomplished in accordance with air carrier's manuals as required or applicable by the air carrier. [121.365, 135.423, C.A.S.E.]
 - NOTE:** "Manuals" in this context include any technical data required to perform the required maintenance action (e.g. drawings, wiring diagrams, task cards, etc.).

CHAPTER 5

OPERATIONS COMMITTEE

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

OPERATIONS COMMITTEE

C.A.S.E. Board of Directors - Air Carrier Section Representatives	
	Phone
Ken Shadursky, Section Chair	(914) 701-8651
See section 1-3-0	E-mail - kenneth.shadursky@atlasair.com
Bud Morris, Section Vice-Chair	(734) 547-7343
See section 1-4-0	E-mail - bmorris@usajet.aero

Secretary (not a voting committee member)	Phone
Sheldon Berrett	(720) 277-8623
See section 1-5-0	E-mail - sberrett@flyfrontier.com

Membership & Promotions Committee	Phone
Dave Allison, Chair	(404) 697-9350
See section 1-7-0	E-mail - dave.allison@delta.com
Eric Maskrey, Vice-Chair	(614) 239-5427
See regional vice-chairs listed on Page 2	E-mail - maskrey@netjets.com

Standards & Procedures Committee	Phone
Sean Ressler, Chair	(612) 812-9903
See section 1-8-0	E-mail - sean.ressler@endeavorair.com
Jeanette "Millie" Secrest, Vice-Chair	(404) 669-1530
	E-mail - millie.secrest@wnco.com

Audit & Compliance Committee	Phone
Matt Terrill, Chair	(650) 315-4292
See section 1-9-0	E-mail - matt.terrill@virginamerica.com
Mike Teague, Vice-Chair	(503)-384-4423
	E-mail - mike.teague@horizonair.com

Newsletter Committee (not a voting member)	Phone
Robert Radawiec Jr., Chair	(901) 224-8146
See section 1-10-0	E-mail - rjjr@fedex.com

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

Database Committee	Phone
Ray Nelson, Chair	(404) 714-1269
See section 1-11-0	E-mail - Ray.Nelson@delta.com
Marcelo de Col Gomes Rezende, Vice-Chair	+55 (11) 4517 2519
	E-mail - marcelo.col@latam.com

Fuel Technical Committee	Phone
Ron Swingle, Chair	(973) 681-2165
See section 1-12-0	E-mail - ron.swingle@united.com
, Vice-Chair	
	E-mail -

Training Committee	Phone
Stacey Sheldon, Chair	(404) 669-1554
See section 1-13-0	E-mail - Stacey.Sheldon@wnco.com
Leonard Pushinsky, Vice-Chair	(412) 538-3431
	E-mail - leonard.pushinsky@aa.com

Maintenance Technical Committee	Phone
Jon Frisbee, Chair	(612) 432-8727
See section 1-14-0	E-mail - Jonathan.Frisbee@compassairline.com
Brian Hamilton, Vice-Chair	(859) 568-9247
	E-mail - bhamilton@southernair.com

Membership Regional Vice-Chairs	Phone
Sven Kröger, Lufthansa Technik	49 40 5070 3022
Europe	E-mail - sven.kroeger@lht.dlh.de
Vacant	
Asia and Middle East	E-mail

CHAPTER 6

FORMS

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

APPLICATION FOR ASSOCIATE MEMBERSHIP

NOTE: Submit application and applicable documentation, including a copy of your Air Carrier Operating Certificate (and English translations thereof, if necessary), to the Membership and Promotions committee chair.

Submit an English version copy of the accepted vendor audit program and applicable form.

Air Carrier: _____

Operating Certificate No: _____

Address: _____

City: _____ **State/Province:** _____

Postal Code: _____ **Country:** _____

Name/Title of Representative: _____

Phone: _____ **Ext.** _____

Mobile: _____

E-mail: _____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

NOTE: For “Manual Reference” in the following questions, identify the publication number in your manual system that substantiates your reply and provide a copy of the data (the application and substantiating data must be in English).

1. Why do you want to join C.A.S.E.?
2. What can you contribute?

	<u>Yes</u>	<u>No</u>
1. Is your Air Carrier willing to contribute resources to fulfill the bylaw requirements for participation in the work of the C.A.S.E. corporation?	_____	_____
2. Is your company a member of any other Section(s) in C.A.S.E.? If “Yes”, what other Section(s)? _____	_____	_____
3. Are your auditors full-time employees of your company?	_____	_____

NOTE : Auditing functions may not be contracted.

How many full-time and part-time auditors work in your Quality organization? Full : _____ Part : _____

If any auditors are part-time, to what department do they report and what are their additional functions?

Department: _____

Functions: _____

Manual Reference: _____

- | | | |
|---|-------|-------|
| 4. Does your auditor training program and auditor(s) comply with the C.A.S.E. Level I and II auditor training and qualification requirements (2-3-1)? | _____ | _____ |
| Manual Reference: _____ | | |
| 5. Do you have a list of approved vendors? | _____ | _____ |

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- | | <u>Yes</u> | <u>No</u> |
|---|------------|-----------------|
| a) If "Yes", is it controlled by Q.C./Q.A.? | _____ | _____ |
| b) If "No" in a), by what department? _____ | | |
| 6. On your approved vendor list, how many vendor/distributors fall within each of the categories listed below and how often are they audited? | | |
| | Number | Audit Frequency |
| Repair/Overhaul | _____ | _____ |
| Fuel | _____ | _____ |
| Distributors and/or Surplus | _____ | _____ |
| Parts Brokers | _____ | _____ |
| Manual Reference: _____ | | |
| 7. Are all audits onsite? | _____ | _____ |
| If "No", describe your criteria and alternate method used: | | |
| _____ | | |
| _____ | | |
| Manual Reference: _____ | | |
| 8. Do you have an audit follow-up system to assure corrective action? | _____ | _____ |
| If "Yes", how long after audit? _____ | | |
| Manual Reference: _____ | | |
| 9. Do you maintain a historical file of vendor's and supplier's quality performance? | _____ | _____ |
| If "Yes", for how long? _____ | | |
| Manual Reference: _____ | | |
| 10. How do you measure vendor and supplier quality performance? | | |
| _____ | | |
| _____ | | |
| _____ | | |
| Manual Reference: _____ | | |
| 11. Do you maintain a historical file of audit findings? | _____ | _____ |
| If "Yes", for how long? _____ | | |

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- | | <u>Yes</u> | <u>No</u> |
|---|------------|-----------|
| Manual Reference: _____ | | |
| 12. Do you agree to verification and periodic audits of your audit system by another C.A.S.E. member? | _____ | _____ |
| 13. As a member, do you agree to exchange audit duties and responsibilities? | _____ | _____ |
| 14. Do you accept the scheduling and performance of an on-site C.A.S.E. membership audit of your organization? | _____ | _____ |
| 15. Do you have internet access? | _____ | _____ |
| NOTE : The C.A.S.E. website is: www.caseinc.org . | | |
| 16. Is internet access readily available to the auditor(s) at their normal place of business? | _____ | _____ |
| 17. Have you verified that you have a current copy of the C.A.S.E. Air Carrier Section <i>Policies and Procedures</i> manual? | _____ | _____ |
| 18. Have you verified that you have a current copy of the C.A.S.E. bylaws? | _____ | _____ |
| 19. Does the member agree to comply with all requirements specified in the C.A.S.E. policies and procedures manual? | _____ | _____ |
| 20. Are you requesting an Air Carrier Section review and evaluation? | _____ | _____ |

NOTE: A notification of a successful C.A.S.E. membership on-site audit must be received before requesting review and evaluation.

21. Indicate below the C.A.S.E. semi-annual meeting at which you are requesting review and evaluation:

Circle One: Spring Fall Year : _____

NOTE: C.A.S.E. semi-annual meetings take place each Spring and Fall. The request must be received a minimum of thirty (30) calendar days prior to the meeting requested (meeting dates are posted on the C.A.S.E. website). Attendance is required by either the requesting carrier's Level II auditor(s) and/or Management (refer to 2-0-0 flowchart).

Signature and Title: _____ **Date:** _____

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

APPLICATION FOR SUSTAINING MEMBERSHIP

NOTE: Send application and applicable documentation to the Membership and Promotions committee chair.

All information supplied in this application and requested data must be in English.

Air Carrier: _____

***Operating Certificate No:** _____

Address: _____

City: _____ **State/Province:** _____

Postal Code: _____ **Country:** _____

Name/Title of Representative: _____

Phone: _____ **Ext.** _____

Mobile/Cell Phone: _____

E-mail: _____

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

- | | Yes | No |
|---|-------|-------|
| 1. With this application, have you supplied: | | |
| A. An Application for Associate Membership (CACs-1)? | _____ | _____ |
| B. Membership and Promotions chair acceptance letter? | _____ | _____ |
| 2. Supply a letter from your Air Carrier stating the following minimum situation and facts: | | |
| A. The Air Carrier is in possession of, understands, is in compliance with, and will continue to comply with, the most current revision of the Air Carrier Section's <i>Policies and Procedures</i> manual. | _____ | _____ |
| B. The Air Carrier's management understands, and agrees to, the C.A.S.E. bylaws. | _____ | _____ |
| Letter Supplied: _____ | | |
| 3. List the auditor(s) meeting Level III requirements for your Air Carrier: | | |
| _____ | | |
| _____ | | |
| 4. Are your dues paid to C.A.S.E. up to date? | _____ | _____ |

Signature and Title: _____ **Date:** _____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

AUDITOR QUALIFICATION RECORD

Name: _____ Date: _____

Air Carrier: _____ Phone: _____

Applicant's E-Mail: _____

Education – University/College Degree and Date		(Four (4) Credits Max.)
Experience – Type and Date		(Minimum Three (3) Credits Required - Nine (9) Max)
Professional Accomplishments – Certificate and Date		(Two (2) Credits Max)
Management Granted – Justification and Date		(Two (2) Credits Max)
Total Credits		
Representative to C.A.S.E.: _____ Date: _____		
Signature and Title		
Audits Conducted (Previous twelve (12) months - additional space on back of form)		
Vendor	Contact and Phone Number	Date
Standard: _____		Certified to Audit Level: _____
Audit and Compliance committee chair (or designee):		Date: _____

Signature and Title		

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

Audits Conducted (continued)		
Vendor	Contact and Phone Number	Date

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

INSTRUCTIONS FOR USE OF AUDITOR QUALIFICATION RECORD

1. General

- A. The prospective C.A.S.E. qualified/authorized auditor will submit verifiable evidence that a minimum of ten (10) credits under the following score system have been accumulated. To include, but not be limited to resumes, certificates, diplomas, licenses, etc.

2. Procedure

- A. "Education" (four (4) credits maximum) - Associate degree from accredited institution: score one (1) credit or, if degree is in engineering, physical science, mathematics, or quality assurance, score two (2) credits; or,

A bachelor's degree from an accredited institution: score two (2) credits or, if degree is in engineering, physical sciences, mathematics, or quality assurance, score three (3) credits; in addition, score one (1) credit for a master's degree in engineering, physical sciences, business management, or quality assurance from accredited schools.

- B. "Experience" (nine (9) credits maximum) - The candidate will be awarded three (3) credits for meeting the mandatory requirements of 2-3-0, para. 1.C. or 1.D. (depending upon the authorization sought). Additional credit is allowed for the following types of experience as applicable to each standard qualification sought:

1) Guidance for completing *Auditor Qualification Record* for **1-A** standard:

- a) Air carrier quality assurance/quality control experience receives one (1) credit for each full year up to two (2) credits maximum.
- b) Air carrier quality auditing experience receives one (1) credit for each full year up to three (3) credits.
- c) Military aviation maintenance experience receives one (1) credit maximum.

2) Guidance for completing *Auditor Qualification Record* for **2-A** standard:

- a) Aviation quality assurance/quality control experience receives one (1) credit for each full year up to three (3) credits maximum.
- b) Aviation quality auditing experience receives one (1) credit for each full year up to three (3) credits maximum.
- c) Aviation maintenance experience receives one (1) credit.
- d) Fuel farm operation (military or civilian) experience receives one (1) credit for each full year up to three (3) credits maximum.
- e) Into-plane servicing experience (military or civilian) receives one (1) credit maximum.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- C. "Professional Accomplishment" (two (2) credits maximum)
- 1) FAA Airframe Certificate or equivalent NAA license: score one (1) credit.
 - 2) FAA Powerplant Certificate or equivalent NAA license: score one (1) credit.
 - 3) NATA Fuel Line Supervisor Certificate score one (1) credit (applicable to 2-A standard applicants only).
 - 4) Other certification of competency in engineering, science, or quality assurance specialties issued and approved by a state agency or national professional or technical society receives one (1) credit.
- D. "Management Granted" (two (2) credits maximum) - The auditor's employer may grant up to two (2) credits for other performance factors applicable to auditing which may not be explicitly called out in this document. Examples of these factors are leadership, sound judgment, maturity, analytical ability, tenacity, past performance, and quality assurance training courses.
- E. Manager's signature attests that all information entered above is valid and that applicant meets all 2-3-0 and 2-3-1 requirements.
- F. Audits conducted - List past twelve (12) vendor facility audits conducted within the twelve (12) months preceding the application date (2-3-0).
- G. "Standard:" - to be entered by the candidate for the certification sought. Only one (1) standard (e.g. 1-A, 2-A, etc.) per qualification record is allowed.
- H. "Certified to Audit Level:" III or IV to be entered by the Audit and Compliance committee chair (or designee) who shall also sign for, and enter the date of, certification.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

AUDITOR CANDIDATE EVALUATION

Candidate's Name		Air Carrier Member	
Evaluator's Name		Air Carrier Member	
Agency Audited		Certificate Number	
1-A Training		P&P Training	
2-A/4-A Training		Database Training	

To Standard: 1-A 2-A Date: _____

Did the candidate: *Only Observe* *Partially Perform* *Perform Entire*

Observation: #1 #2 #3 Evaluation: #1 #2 #3

Signature Required for ALL Evaluations Check-rides

I have reviewed, understand, and I am in compliance with the "Professional Ethics" stipulated in the Policy section of the C.A.S.E. ACS *Policies and Procedures* manual

Candidate's Signature _____ Date _____

Evaluator's Summary Comment:

Interview Process (P&P Knowledge):

In Process (Time Management, Organization, Communication, Diplomacy, Audit Control):

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

1-A COMMENTS REQUIRED	NI	Meets	Exceeds
Preparation:			
Certifications (Rosters, Employment Summaries, Anti-Drug):			
Quality Program (RSM/QCM/MOE, Forms, Stamps, Primary/Back-Up, Previous C.A.S.E. Audit/CACS-7):			
Training Program (Formal, OJT):			
Technical Data Program (Current, Revisions):			
Shelf Life Program:			
Calibration Program (Documentation):			
Internal/Vendor Audit Program:			
Scrap Parts Program (Records):			
Tooling/Test Equipment (Records):			
Facilities (Segregation, Storage):			
Material Control (C of C):			
Completed Work Packages:			

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

2-A/4-A COMMENTS REQUIRED	NI	Meets	Exceeds
Preparation:			
ATA 103, 2-A, and 4-A Comprehension:			
Quality Program (Previous C.A.S.E. Audit/CACS-7):			
Training Program (Formal, OJT, Company specific):			
Calibration Program (Documentation):			
Quality Records:			
Fuel Servicing Equipment (System Knowledge) :			
Fuel Storage Facilities (System Knowledge) :			
Hydrant System (System Knowledge) :			
Fuel Appearance / Testing:			
Fuel Receipt / Documentation:			
Into-Plane Operation:			

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

Observation/Pre-Check-Ride Evaluations
Level III Evaluator Signature _____ (Provide copy of evaluation sheet with Level III/IV evaluator's comments, review Level III package (CACS-4) with candidate)
Recommended for Check-Ride: <input type="checkbox"/> Recommend Additional Evaluations <input type="checkbox"/>

Initial <input type="checkbox"/> Recurrent Check-Ride <input type="checkbox"/>
Initial Recurrent Check-Ride: Approved <input type="checkbox"/> Disapproved <input type="checkbox"/>
Level IV Evaluator's Signature _____ Date _____

In Brief	NI	Meets	Exceeds
Introduction/CASE Information/Card:			
Purpose/Audit Plan/Shifts/Breaks:			

Out Brief	NI	Meets	Exceeds
Thanks/Findings/Response Time/Corrective Action:			
CACS-7/Vendor Appeal:			

*NI – Needs Improvement, Meets – Meets Expectations, Exceeds – Exceeds Expectations

<u>Initial AND Recurrent Check-Rides</u>
Please include the following auditor/auditor-candidate contact information, OR , attach a current business card that includes all of the requested contact information.

<u>Requalification plan (if required)</u>

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

AIR CARRIER EVALUATION REPORT

Audit Date: _____

Audit Type: New Member Applicant Surveillance Follow-up
 Self Audit (required for sustaining members)

Air Carrier's Name: _____

Address: _____

City: _____ **State/Country:** _____ **Zip:** _____

Years as a C.A.S.E. Member: _____ **Number of Audit Personnel:** _____

Number of Full-time Level II/ III/ IV auditors: _____

Number of Part-time Level II/ III/ IV auditors: _____

Air Carrier Certificate No.: _____

Carrier Contacts:

C.A.S.E.: _____ Phone: _____

Quality Dept.: _____ Phone: _____

Management: _____ Phone: _____

- Recommend Approval of Carrier's C.A.S.E. System.**
- Corrective Action required prior to approval.**
- Continued C.A.S.E. System Approval contingent upon completion of required corrective action by _____ (date).**
- Follow-up audit required.**

Auditor (Name/Company/Signature) **Date**

Membership and Promotions committee chair (or designee) **Date**
(Name/Company/Signature) **NOTE:** Not applicable for self-audits.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

NOTE: The reference numbers enclosed in parentheses that appear throughout this document refer to the applicable section(s) of the C.A.S.E. ACS *Policies and Procedures* manual.

	YES	NO
1. Does the carrier have a vendor surveillance program that is either FAA accepted or in accordance with the regulations of the certifying government (2-2-0)?	_____	_____
2. Does the carrier's manual specify the following (2-2-0):		
A. The department responsible for vendor surveillance?	_____	_____
B. The requirement for an on-site audit of vendors/suppliers submitted to the C.A.S.E. Register and maintained in the Register (sustaining members only)?	_____	_____
C. The requirement to maintain adequate records?	_____	_____
3. Does the carrier have published procedures that define the extent of the surveillance program, including:		
A. Type of audits and frequency to be conducted (initial approval/follow up audits)?	_____	_____
B. Minimum requirements for audit personnel (2-3-0)?	_____	_____
NOTE: Must also meet minimum credits outlined on CACS-4.		
C. Minimum requirements for maintaining audit records (2-2-0)?	_____	_____
D. Detailed use of audit forms as described in chapter 4 of the C.A.S.E. ACS <i>Policies and Procedures</i> manual?	_____	_____
E. Interaction with procurement through receiving concerning handling of unapproved vendors (2-2-0)?	_____	_____

Comments: _____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- | | YES | NO |
|--|-------|-------|
| 4. Is there a documented auditor training program that includes the carrier's requirements and qualifications for Level I and II auditors? | _____ | _____ |
| A. Are adequate training records maintained (2-3-1)? | _____ | _____ |

Comments: _____

- | | | |
|---|-------|-------|
| 5. Does carrier maintain a current list of approved vendors (2-2-0)? | _____ | _____ |
| A. Is there an adequate system in place to ensure control of revisions to the vendors list? | _____ | _____ |
| B. Are adequate records maintained of vendor audits and surveillance? | _____ | _____ |
| C. Is vendor surveillance scheduled? | _____ | _____ |
| D. Is there a follow-up system to assure corrective action replies are received from vendors? | _____ | _____ |
| E. Are corrective actions evaluated against each finding to assure they describe the root cause, action taken to correct the discrepancy, and action taken to prevent further recurrence? | _____ | _____ |
| 6. Do vendor audit forms/checklists contain the most current C.A.S.E. standards/checklists, as appropriate (3-5-0)? | _____ | _____ |

7. Describe the carrier's vendor performance monitoring program(s).

- | | | |
|---|-------|-------|
| 8. Has the member used the Air Carrier Evaluation Report (CACS-6) to perform a periodic self audit (2-1-0)? | _____ | _____ |
|---|-------|-------|

|

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

YES **NO**

9. Do all auditor candidates, C.A.S.E. Level III auditors, and C.A.S.E. Level IV Evaluators have access to the current C.A.S.E. ACS Policies and Procedures manual (3-3-0)? _____|_____

10. Do the auditors have ready access to applicable CFRs (2-3-1)? _____|_____

Comments: _____

|

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

VENDOR EXPECTATIONS AND LIMITATIONS

As a vendor that has met a Coordinating Agency for Supplier Evaluation (C.A.S.E.) standard for your type of facility, the C.A.S.E. Air Carrier Section would like to take this opportunity to explain what our expectations, and your limitations, are regarding C.A.S.E.

Our expectations are as follows:

1. You are expected to meet the C.A.S.E. standard at all times. Non-compliance detected at any time may be cause for immediate deletion from the C.A.S.E. Register. Although you have been given a copy of the standard to which you were audited, the standard is revised approximately every six (6) months. The standard is available at www.caseinc.org and you are expected to check for updates periodically. If you have any questions regarding the standard, contact the auditor who conducted your audit.
2. You must implement all corrective actions stated for the discrepancies noted during the audit or you will not be listed in the C.A.S.E. Register.
3. You must report to the auditor any name change, ownership change or merger, change in operations or quality management, changes that affect the quality program, or change of location so the change can be processed and an audit scheduled if required.
4. You will normally be notified of an upcoming audit, however, the auditor may arrive unannounced. If the auditor is not allowed to conduct the audit, you may be removed from the Register until an audit is conducted to verify compliance with the appropriate standard. If removed, an audit which would allow addition back into the Register shall not be conducted for a minimum of six (6) months following removal action.
5. You agree to voluntarily provide a copy of the initial and closed audit report (including findings and corrective actions but excluding this letter) to the C.A.S.E. ACS sustaining member customers of yours. This data will be used by the C.A.S.E. ACS sustaining members to aid in complying with the recent interpretation of 14 CFR 121.373 and 135.431 (analyzing audit data).

C.A.S.E. is not an approval agency, nor does C.A.S.E. accredit, certify, or endorse vendors. C.A.S.E. members evaluate a vendor in terms of compliance to our established standards. If the vendor meets our standards and the auditor's expectations, the vendor may be listed in the C.A.S.E. Register. The Register is simply a listing of agencies that have met a standard and is used by the members as one means of compliance with surveillance requirements under 14 CFR Parts 121 and 135. C.A.S.E. sustaining members act independently in selecting and dealing with vendors and suppliers, and are not limited to dealing only with vendors and suppliers on the C.A.S.E. Register.

Similar to the policy of a national consumer magazine we cannot allow people to advertise this listing as an endorsement or approval. Words such as "listed in the C.A.S.E. Register", "C.A.S.E. Approved", or any reference to your status in the C.A.S.E. Register cannot be used in any form of advertising. Use of the C.A.S.E. logo in any advertising or solicitation of business is also not allowed. Failure to adhere to these policies may result in removal from the C.A.S.E. Register.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

If a customer or potential customer asks whether your facility is listed in the C.A.S.E. Register, you may answer that you have been audited to a C.A.S.E. standard. The requestor should then be directed to consult the Register themselves to verify the facilities current Register status.

This two-page letter of Vendor Expectations and Limitations should be kept with the file of findings and corrective actions for the standard to which it pertains. This letter may only be shared with C.A.S.E. qualified and authorized auditors on-site and is NOT to be posted, copied, faxed, or otherwise distributed (expectation 5).

Vendor Authorized Representative

Air Carrier Auditor

Signature

Signature

Date Signed: _____

Date Signed: _____

Name: _____

Auditor: _____

Title: _____

Air Carrier: _____

Company: _____

Audit Date: _____

Air Agency/AMO No.: _____

Allocation Number: _____

If the location audited is not the “master” location listed on the certificate, list the audited location, Also list locations listed on the A101 Op Spec (use multiple address blocks if the audit constituted more than one location):

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

INSTRUCTIONS FOR USE OF VENDOR EXPECTATIONS AND LIMITATIONS

1. General

- A. The two-page letter portion of this form is to be initiated and completed before a vendor may be added to or updated in the C.A.S.E. Register.
- B. Every effort should be made by the auditor to explain the rationale for this requirement to a hesitant vendor. If that is not sufficient, have the vendor contact your company representative to C.A.S.E. or a member of the Air Carrier Section Operations committee (5-1-0).

2. Procedure

- A. The information block at the bottom of the VEL is to be completed in full and signed by a “Vendor Authorized Representative” subject to the audit and by the auditor who has determined the vendor qualifies under the standard applied during the audit.
- B. If for some reason the vendor does not wish to sign the VEL, that vendor may not be added to or updated in the C.A.S.E. Register.
- C. Provide the vendor a list of those members showing usage of that vendor in the database. The usage data may be obtained by clicking on the “Print Usage” button located at the top of the vendor information page of the database.

NOTE: Expectation 5 is not considered a “requirement” of the VEL (nor is periodically checking for standard updates) and therefore DELVEN action should not be taken based on non-compliance.

- D. Once the VEL has been executed, the air carrier will retain the original (electronic copy retention is acceptable) at their facility. A copy of pages 1 and 2 must be given to the vendor for their records.

NOTE: The vendor should only be given the “Vendor Expectations and Limitations” portion of this form (pages 1 and 2). The remainder of this form is used for auditor guidance. Both pages 1 and 2 of this form need to be sent to the Data Center (3-2-0).

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

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

PROXY GRANT

This form extends proxy from one Sustaining Member to another Sustaining Member in accordance with Article IV of the Bylaws governing the C.A.S.E. organization. Proxy grants shall be limited to one (1) meeting (conference) session, and allows the Member holding proxy to vote on the business of the organization on behalf of the Member granting proxy.

Proxy grants may not be made for committee level voting, and are limited to General Membership votes.

This form shall be delivered (email) to the Audit and Compliance and the Membership Committee chairs.

Proxy will automatically expire when the meeting for which it is granted is adjourned, and is not transferable.

Granting Member _____ **Member Number** _____

Date _____

Signature of Granting Member C.A.S.E. Representative

Accepting Member _____ **Member Number** _____

Date _____

Signature of Member C.A.S.E. Representative Accepting Proxy

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

AUDITOR TRAINING WRITTEN TEST SCORE

Auditor: _____

Title: _____

Member: _____

Address: _____

Auditor Signature: _____

Policies and Procedures	
Instr. Name:	Signature:
Member/#:	Date:
Pass/Fail:	CBT Completed:
Maintenance Vendor Standard (1-A)	
Instr. Name:	Signature:
Member/#:	Date:
Pass/Fail:	
Fuel Vendor Standard (2-A)	
Instr. Name:	Signature:
Member/#:	Date:
Pass/Fail:	
Contract/On-call Standard (4-A)	
Instr. Name:	Signature:
Member/#:	Date:
Pass/Fail:	
C.A.S.E. Database Course	
Instr. Name:	Signature:
Member/#:	Date:
Pass/Fail:	

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

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

ANNUAL ACTIVITY REPORT

Reporting Year _____

Air Carrier: _____ **Membership Number:** _____

Level III auditor(s)/Level IV Evaluator(s) and standards to which they are qualified:

NOTE: Attach additional pages if necessary.

Name	Level(s)	Standard(s)
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

I certify that:

1. Each of the auditors listed above (or attached) has complied with the minimum requirements for retaining their C.A.S.E. Level III or Level IV authorization (2-3-1, paragraph 7.C. and/or D.) to their applicable standard(s) for the reporting year.
2. All the company information (including usage) in the C.A.S.E. database has been checked for accuracy and is correct.
3. All my contact information, that of my Manager/Director, and that of each auditor, has been checked for accuracy in the C.A.S.E. database and is correct.
4. A CACS-6 form has been completed for the reporting year and is being kept on file.
5. I have reviewed my company's member performance regarding allocations. And,
6. The most recent membership verification audit was performed on _____ by _____
Date
_____ the Department of Defense _____ ACS Sustaining Member _____
Auditing Member

C.A.S.E. Representative (Name/Signature/Title) **Date**

Next higher level management (Name/Signature/Title) **Date**

NOTE: The report must be submitted to the Audit and Compliance committee member as assigned on the Audit and Compliance webpage matrix not later than January 31st of the year following the reporting year.

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

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

REPAIR/OVERHAUL VENDOR
AUDIT CHECKLIST

Audit Date: _____ Vendor Allocation #: _____

C.A.S.E. Member #: _____ Auditor: _____

Vendor Name: _____

U.S./Canadian Certificate #: _____ EASA Certificate #: _____
Expiration Dates: _____

Address Line 1: _____

Address Line 2: _____

City: _____ State/Province: _____

Country: _____ Zip code: _____

Website: _____

Accountable Manager: _____

Personnel Contact:
Name Title

Phone #: _____

E-mail: _____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

TABLE OF CONTENTS

This Checklist has been divided into three (3) sections to assist the auditor in conducting audits. The Systems portion includes the items typically found during document review to validate the vendor has **established** all the essential quality systems. The Work Process portion includes a review of a typical repair/overhaul processes to validate the systems have been **implemented and are producing** a quality product. The Support Systems portion includes **verification** that samples taken during the Work Process audit are acceptable and that processes which enable the work process are operating as described in the procedures. The Work Process portion of the audit may need to be conducted more than once when the vendor has multiple product lines. Both Sections 2 and 3 may need to be performed more than once when the vendor has multiple locations.

Section	Subject	Page
1.	SYSTEMS AUDIT	
	Certifications	3
	Quality Program	4
	Training Program	6
	Technical Data Program	6
	Shelf Life Program	7
	Calibration Program	7
	Internal Audit Program	8
	Scrap Parts Program	8
2.	WORK PROCESS AUDIT	
	Shipping/Receiving Inspection	9
	Maintenance Observation/Sampling	9
3.	SUPPORT SYSTEMS AUDIT	
	Calibration Control	12
	Training	13
	Facilities	13
	Material Control Process	15
	Records	15
	ESD	16

NOTE: This checklist is based on the requirements stated in the C.A.S.E. 1-A standard, chapter 4-2-0 of this manual. The reference numbers enclosed in brackets [] that appear throughout this document refer to the applicable paragraph(s) in the standard.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

YES NO N/A

SECTION 1 SYSTEM AUDIT

Certifications

1. Obtain and review a copy of the current FAA Air Agency or Transport Canada AMO certificate, Operations Specifications (if applicable), and EASA/Canadian approval documents (if applicable). Are they accurate? [2A] ____|____|____

2. If the repair station has “Limited Ratings,” does the vendor have a capabilities listing that satisfies the standard? [2B] ____|____|____

3. Has the vendor designated an employee as the “Accountable Manager”? [5A] ____|____|____

NOTE: Managers for FAA and EASA could be different.

4. Does the vendor employ a minimum of two (2) persons? [5B] ____|____|____

5. Does the roster (Do the rosters) identify all management, supervisory and inspection personnel? [5C] ____|____|____

6. Does the roster (Do the rosters) identify all personnel authorized for return-to-service? [5C] ____|____|____

7. Does the repair station have an employment summary for all personnel listed on the repair station roster(s)? [5D] ____|____|____

8. Do the vendor’s supervisory personnel satisfy the requirements of this standard? [5E] ____|____|____

9. Do the vendor’s inspection personnel satisfy the requirements of this standard? [5F] ____|____|____

10. Do the vendor’s return-to-service personnel satisfy the requirements of this standard? [5G] ____|____|____

11. Does the vendor have an FAA approved anti-drug and alcohol misuse prevention program (A449 and/or Registration)? [2C, D] ____|____|____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

YES NO N/A

Quality Program

- | | |
|--|--|
| 12. Does the vendor have an FAA/NAA accepted Repair Station (or equivalent) Manual and does it meet the requirements of the 1-A standard? [3D] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 13. Does the vendor have an FAA/NAA accepted Quality Control (or equivalent) Manual and does it meet the requirements of the 1-A standard? [3C] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 14. Does the Quality Control Manual include references, where applicable, to manufacturer's inspection standards? [3C] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 15. Does the Quality Control Manual include samples of and instructions for completing maintenance and inspection forms, or reference a separate forms manual? [3C] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 16. Does the vendor maintain a list of contracted/sub-contracted maintenance functions and agencies which includes type of certificate and rating(s), if any, held by each agency? [3H] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 17. Does the vendor ensure that contractor/sub-contractor quality meets air carrier specifications and legal requirements? [3I] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 18. Does the vendor have a contract allowing the FAA to inspect non-certificated contractor/sub-contractors? [3I] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 19. Does the vendor have a process to ensure that their U.S. based contracted/sub-contracted maintenance/preventive maintenance providers, at all tiers (certificated and non-certificated), have an FAA approved anti-drug and alcohol misuse prevention program (A449 and/or Registration). [2D] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 20. Does the vendor have a procedure for reporting defects, or unairworthy conditions and suspected unapproved parts to the air carrier and the FAA/NAA? [3J] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |

NOTE: EASA reporting time could be different and also requires notification be sent to the aircraft manufacturer.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
21. Is there proper separation of maintenance and inspection responsibilities for vendors that perform required inspections (RII)? [4A]	_____	_____	_____
22. Does the vendor have an acceptable receiving inspection system which includes verification of identifying data? [4B]	_____	_____	_____
23. Does the vendor have an acceptable system for controlling stamps for both inspection and production personnel? [4C]	_____	_____	_____
24. Does the vendor have a work turnover procedure? [13E]	_____	_____	_____
25. Does the vendor have a duty time limitation requirement? [13A]	_____	_____	_____
26. Does the vendor have controls in place to prevent foreign object damage to (or contamination of) all aviation products in any area where articles are stored or worked (e.g. fuel controls, hydraulic units, instruments, electronic components, structural components, etc.), including such from smoking, eating, or drinking? [13G]	_____	_____	_____
27. Is the security system adequate to ensure safety and security of air carrier's parts and aircraft? [11B]	_____	_____	_____
28. Does the vendor identify specific individuals, by title, as responsible for the following programs:			
A. Technical Data? [5H]	_____	_____	_____
B. Shelf Life? [5I]	_____	_____	_____
C. Calibrated tooling? [5J]	_____	_____	_____
D. Scrap Parts? [5K]	_____	_____	_____
29. Is there a back-up person identified by title for all the above programs? [5L]	_____	_____	_____
30. Does the vendor identify specific individual primarily responsible for the internal audit program? [5M]	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

YES NO N/A

31. Does the vendor maintain, for a minimum of 36 months, a file of audit findings, corrective actions and the signed CACS-7 from audits for which a VEL was signed? Is the file accessible on-site to the auditor? [3G]

_____ | _____ | _____

32. Does the vendor have a process to furnish copies of all revised repair Station Manual(s) and/or Quality Manual(s) promptly to all organizations and persons whom the manual(s) has been issued? [3K]

_____ | _____ | _____

Training Program

33. Does the vendor have and use a documented training program? [9A, D(1), E, 5E - G]

_____ | _____ | _____

34. Is formal and OJT training documented? [9B, E]

_____ | _____ | _____

35. Does the vendor's training program include knowledge of regulations, standards, human factors and procedures in accordance with customer requirements? [9D, E]

_____ | _____ | _____

36. Does the vendor's training program include initial and recurrent training? [9D]

_____ | _____ | _____

37. Are training records for mechanics, inspectors, and supervisors retained for a minimum of two (2) years after the person leaves the company? [9C]

_____ | _____ | _____

38. If the vendor is identified as a Hazmat employer per 49 CFR Part 171.8, do they have a Hazmat training program that meets the requirements of 49 CFR Part 172 subpart H? [16A]

_____ | _____ | _____

Technical Data Program

39. Does the vendor have procedures to: [13F]

A. Obtain air carrier specifications?

_____ | _____ | _____

B. Incorporate air carrier specifications into their work processes and to ensure any subcontractor used also incorporates those specifications with adequate documentation?

_____ | _____ | _____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
C. Verify that air carrier specifications were incorporated?	_____	_____	_____
D. Obtain approval for deviating, if necessary, from air carrier specifications?	_____	_____	_____
E. Have adequate checks, inspections, and tests to ensure work was performed to air carrier specifications?	_____	_____	_____
F. Procedures to ensure the work documents returned from a subcontractor (at any tier) are adequate to support a major/minor determination?	_____	_____	_____
40. Does the vendor have a documented system to ensure technical data is current? [6B]	_____	_____	_____
41. Does the vendor have records of manual revisions? [6B]	_____	_____	_____
42. Does the vendor have a system to control working copies of manuals to ensure they are revised with the masters? [6C]	_____	_____	_____
43. Are there established approved procedures controlling revisions in manuals deviating from OEM specifications (e.g. EO, EA, Air Carrier Data, etc.)? [6A]	_____	_____	_____
44. If the vendor has ODA authority, does it have a system for receiving air carrier approval prior to use of the data? [6F]	_____	_____	_____
45. Does the vendor have an approved ODA manual and roster? [6F]	_____	_____	_____
Shelf Life Program			
46. Does the vendor have a documented shelf life program? [7A]	_____	_____	_____
47. Does the program list parts and materials that have shelf life limits? [7A]	_____	_____	_____
48. Is there an adequate system to assure that no item will be issued or used past its expiration date? [7C, D]	_____	_____	_____
Calibration Program			
49. Does the vendor have a documented calibration program? [8B]	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

YES NO N/A

- | | | |
|-----|---|--|
| 50. | Does the program identify the calibration frequencies, limitations, and applicable tolerances or specifications? [8B] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 51. | Does the calibration program require test and inspection equipment/tools to be traceable to a standard acceptable to the FAA/NAA (e.g., The National Institute of Standards and Technology (NIST))? [8C] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 52. | Does the calibration program require records to be kept for a minimum of two (2) years or two (2) calibration cycles (whichever is greater)? [8H] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 53. | Is there a system to identify each tool in the program, its calibration frequency, and its calibration due date? [8D, I] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 54. | Does the vendor have a procedure for identifying, controlling, and/or preventing out-of-service, non-calibrated, for reference only, and due-for-calibration tools and equipment from being used? [8E, I] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 55. | Does the vendor have a procedure to control the calibration of personal tools? [8F] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |

Internal Audit Program

- | | | |
|-----|--|--|
| 56. | Does the vendor have an internal audit and surveillance function/schedule and are personnel performing internal audits trained? [3E] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 57. | Does the internal audit function ensure compliance with air carrier specifications? [3E] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 58. | Does the internal audit program assure appropriate corrective actions to prevent reoccurrence and follow-up for effectiveness? [3F] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 59. | Does the vendor maintain for internal audit reports for at least 36 months and are the results communicated to the Accountable Manager? [3E] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |

Scrap Parts Program

- | | | |
|-----|---|--|
| 60. | Does the vendor have a documented procedure for controlling scrapped parts? [15A] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
|-----|---|--|

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

YES NO N/A

- | | | |
|--|---|--|
| | 61. Does the scrap program assure that scrapped parts are either returned to the air carrier or mutilated beyond repair? [15A] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| | 62. Does the scrap program require a record of scrapped life-limited parts to be maintained for a minimum of two (2) years? [15B] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| | 63. Does the record include the P/N, S/N and date of the scrapped part? [15B] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |

SECTION 2 WORK PROCESS AUDIT

Receiving/Shipping Inspection

- | | | |
|----|---|--|
| 1. | Does the vendor comply with its receiving process? [4B] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 2. | Does the vendor verify that the identifying data (P/N, S/N, nomenclature, mod. No.) on the documentation and the data plate match? [4B] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 3. | Does the vendor ensure incoming parts and materials comply with specifications including certification documentation and traceability? [4B] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 4. | Does the vendor incorporate air carrier specifications into their work processes? [13F] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 5. | Does the vendor only perform work for which it is authorized on its Operations Specifications? [2A, B] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| 6. | Are components returned in an appropriate shipping container or as specified by the air carrier? [14A] | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |

Maintenance Observation/Sampling

- | | | |
|----|--|--|
| 7. | Is maintenance properly performed and documented for: [1D, 3A-B] | |
| | A. Preliminary inspection? | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| | B. Functional test? | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| | C. Hidden damage inspection? | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| | D. Unit disassembly per instructions? | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
E. Unit cleaning per instructions?	_____	_____	_____
F. Parts inspection/checking per instructions?	_____	_____	_____
G. Parts repairing per instructions?	_____	_____	_____
H. Properly taking and recording fits and clearances?	_____	_____	_____
I. Unit reassembly per instructions?	_____	_____	_____
J. Unit functional testing per instructions?	_____	_____	_____
K. Final Return to Service inspection?	_____	_____	_____
8. Does the vendor have appropriate tools and test equipment (including equivalent non-OEM) to perform the work? [13B(2)]	_____	_____	_____
9. Are the tools and test equipment in serviceable condition? [8D, E]	_____	_____	_____
10. Are calibrated tools and equipment labels showing within calibration and are they legible? [13B]	_____	_____	_____
11. Is the appropriate technical data being utilized (e.g. current CMM, AMM, SRM, etc.)? [6A, B]	_____	_____	_____
A. Is technical data stored in a manner that will protect it from dirt and damage? [6D]	_____	_____	_____
B. Are adequate viewing devices in good condition and available for viewing the technical data? [6E]	_____	_____	_____
12. If the technician is observed deviating from OEM technical data (e.g. alternate tooling/procedures, Process Specs., DER repairs, per an ODA, etc.), have those deviations been approved by the air carrier? [6F]	_____	_____	_____
13. Is the unit/aircraft protected from FOD? [13G]	_____	_____	_____
14. Are air carriers' parts properly identified throughout the maintenance actions and in storage? [13D]	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
15. Does each shelf life item have the shelf life expiration limit displayed? [7B]	_____	_____	_____
16. Were items sampled for shelf life within limits? [7C, D]	_____	_____	_____
17. Are fluid dispensing cans and servicing units properly identified? [13H]	_____	_____	_____
18. Is the vendor following their work turnover procedure? [13E]	_____	_____	_____
19. Are all required licenses and repairman certificates available for review? [2A]	_____	_____	_____
20. Does the vendor properly execute air carriers' required inspections (RII)? [4A]	_____	_____	_____
21. Do Personnel properly interpret maintenance requirements and obtain approval to deviate from specified customer maintenance data? [5N]	_____	_____	_____
22. Do Personnel notify supervisor/lead mechanic of mistakes requiring rectification to meet required customer specified maintenance data? [5N]	_____	_____	_____
23. Do Personnel inform and await instructions from their supervisor/lead mechanic in any case where it is impossible to complete the specialized maintenance in accordance with the customer specified maintenance data? [5N]	_____	_____	_____
24. Do final inspection personnel ensure that adequate checks, tests, and inspections are performed to air carrier specifications? [13F]	_____	_____	_____
25. Do personnel follow the return to service procedures? [3B, 5G]	_____	_____	_____
26. Are the vendor's work records complete, in order, and legible? [13I]	_____	_____	_____
27. Do the work package records contain: [13I]			
A. The description of the work performed, reference to data and revision level?	_____	_____	_____
B. The date of completion of the work performed?	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

YES NO N/A

C. The name of the person performing the work? _____|_____|_____

D. The name of the person inspecting the work? _____|_____|_____

E. The signature, certificate number of the person returning the article to service? _____|_____|_____

F. Are all test and inspection records in work package? _____|_____|_____

28. Does the vendor's return-to-service document meet air carrier and FAA/NAA requirements? [13I(5)] _____|_____|_____

29. Does the vendor maintain certification on sub-contractor work? [3I] _____|_____|_____

30. Were Major repairs/alterations properly documented? [13I] _____|_____|_____

31. Were ADs properly evaluated, accomplished, and documented? [13F] _____|_____|_____

SECTION 3 SUPPORT SYSTEMS AUDIT

Calibration Control

1. Does the vendor comply with its calibrated tool program? [8B, 13B] _____|_____|_____

2. Did the sample checks of the calibrated tooling indicate that the tooling is within calibration limits [8A-G] _____|_____|_____

3. Do calibration records for tools and test equipment available for use: [8G]

A. Show date calibrated? _____|_____|_____

B. Show calibration due date? _____|_____|_____

C. Identify the person that performed calibration or check? _____|_____|_____

D. Contain a calibration certificate for each item calibrated by an outside agency? _____|_____|_____

E. Record details of adjustments and repairs? _____|_____|_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
F. Show the P/N, S/N, and calibration due date of the standard used to perform the calibration?	_____	_____	_____
4. Where tooling/test equipment is used, does the vendor: [13C(1)]			
A. Have an operating manual and maintenance manual for the equipment?	_____	_____	_____
B. Perform maintenance and servicing per the manual?	_____	_____	_____
C. Maintain maintenance and servicing records for two years?	_____	_____	_____
D. Where applicable, list the equipment in their calibration program?	_____	_____	_____
5. Where a vendor uses non-OEM specified tooling/test equipment, is it properly substantiated as equivalent? [13C(2)]	_____	_____	_____
Training			
6. Are RII inspectors properly trained and certified? [5F]	_____	_____	_____
7. Did the sampled names indicate the mechanics, inspectors, receiving inspectors, return to service personnel, auditors and supervisors were properly trained, authorized and certificated, if required, for the work they perform? [5D - F, 9A&D, and 13B]	_____	_____	_____
8. Are the training records retained for a minimum of two (2) years after the employee leaves the company? [9C]	_____	_____	_____
9. Do records indicate the vendor provides initial and recurrent training to personnel? [9E]	_____	_____	_____
Facilities			
10. If the vendor deals in non-aircraft parts, materials and/or maintenance activities, are they adequately segregated from the aircraft functions? [10A]	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

YES NO N/A

11. Does the vendor have: [10B(2)]

- A. Sufficient work space and areas for the proper segregation and protection of articles? ____|____|____
- B. Segregated work areas enabling environmentally hazardous or sensitive operations such as painting, cleaning, welding, avionics work, and machining to be done properly and in a manner that does not adversely affect other maintenance? ____|____|____
- C. Suitable racks, hoists, trays, stands, and other segregation means for the storage and protection of all articles? ____|____|____
- D. Space sufficient to segregate articles and materials stocked for installation from those undergoing maintenance, preventive maintenance, or alterations? ____|____|____
- E. Ventilation, lighting, and control of temperature, humidity, and other climatic conditions sufficient to ensure personnel perform maintenance, preventive maintenance, or alterations to the standards required by the part? ____|____|____
- F. Areas for receiving and for shipping air carriers' units with adequate space, lighting, shelving, security and fire protection to accommodate air carriers' units in a manner that will preclude damage, loss, and theft? ____|____|____
- G. Adequate and appropriate storage area to safely store air carriers' reusable shipping containers and to protect them from environmental damage? ____|____|____

12. If the vendor performs maintenance, preventive maintenance, or alterations on articles outside of its housing, does it provide suitable facilities that are acceptable to the FAA/NAA and its air carriers? [10C] ____|____|____

13. Do facilities outside of the vendor's housing meet the requirements of this standard so that the work can be done in accordance with the requirements of 14 CFR 43? [10C] ____|____|____

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

YES NO N/A

14. Does the vendor have adequate safety procedures in place and are the operations conducted in a safe manner and environment?
 [11A-G] _____|_____|_____

Material Control Process

15. Are parts and materials correctly identified and properly stored?
 [12A, B] _____|_____|_____

16. Does the vendor have a quarantine area for rejected parts and materials awaiting disposition? [12C] _____|_____|_____

17. Does the vendor comply with its scrapped parts procedure to ensure they are either returned to the air carrier or mutilated beyond repair?
 [15A] _____|_____|_____

18. Are parts and material properly protected from damage and deterioration? [12D] _____|_____|_____

19. Are flammable, toxic or volatile materials properly identified and stored? [12E] _____|_____|_____

20. Are sensitive parts and equipment (oxygen parts, o-rings, electrostatic sensitive devices, temperature/humidity controlled item, etc.) properly packaged, identified and stored to protect from damage and contamination? [12F] _____|_____|_____

21. Are high pressure bottles correctly labeled, properly stored and secured? [12G] _____|_____|_____

22. Does the vendor maintain traceability certification on all parts and raw materials? [12H, I] _____|_____|_____

Records

23. Does the vendor's record keeping system and retention time meet 14 CFR requirements? [13J] _____|_____|_____

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

YES NO N/A

Electrostatic Sensitive Device (ESD) Program

24. The vendor, which works on or handles ESD components, shall have a documented ESD Program in place. [17]

- A. Are shop floor grids grounded if installed? _____|_____|_____
- B. Are all ESDs only handled using grounding wrist or heel straps and conductive desk mats? _____|_____|_____
- C. Are devices contained in ESD conductive packaging sealed with conductive tape? _____|_____|_____
- D. Are ESDs prevented from being stored on shelving covered with carpet, foam, vinyl or any other material that can store or produce an electrical charge? _____|_____|_____
- E. Are appropriate warnings and caution signs and decals placed in areas where ESDs are handled? _____|_____|_____
- F. Are wrist/heel straps, and grounding mats tested for conductivity at regular intervals or prior to use, and such test results are recorded? _____|_____|_____
- G. Are maintenance personnel trained on ESD handling? _____|_____|_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

MAG-US CHECKLIST

NOTE: This supplement to the C.A.S.E. 1-A standard is based on the guidance material for the United States (U.S.)/European Union (E.U.) requirements stated in the Maintenance Annex Guide (MAG) enacted on May 1, 2011. The reference numbers enclosed in parentheses () that appear throughout this document refer to the applicable paragraph(s) in Section A. V. 1.1.1 (b) of the current MAG.

Audit Date: _____ Vendor Allocation #: _____

C.A.S.E. Member #: _____ Auditor: _____

Vendor Name: _____

YES NO N/A

1. General Information

A. Refer to MAG-US Supplement.

2. Special Conditions in accordance with the MAG

A. Does the vendor hold a current FAA certificate? (2A) _____|_____|_____

B. Does the vendor hold a current EASA certificate? (2B) _____|_____|_____

NOTE: Obtain a copy of the FAA and EASA certificates.

C. Has the vendor provided a supplement to its Repair Station Manual which has been accepted by the FAA on behalf of EASA? (2C) _____|_____|_____

1) Are revisions to the supplement also accepted? _____|_____|_____

2) Does the supplement include:

a) A statement by the Accountable Manager of the repair station which commits the repair station to compliance with the MAG and these special conditions? _____|_____|_____

b) Detailed procedures for the operation of an independent Quality Assurance System (QAS), including oversight of all multiple facilities within the territory of the United States and line stations located within and outside of the United States (except those located in the EU Member States) under the oversight of the FAA. _____|_____|_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
c) Procedures for the release or approval for return to service that meet the requirements of EASA Part 145 for aircraft and the use of FAA form 8130-3 for aircraft components and any other information required by the owner or operator as appropriate?	_____	_____	_____
d) For airframe/aircraft rated facilities, procedures ensure that the Certificate of Airworthiness and the Airworthiness Review Certificate are valid prior to the issue of a release to service document?	_____	_____	_____
NOTE: For aircraft heavy maintenance vendors only.			
e) Procedures to ensure that repairs/modifications, as defined by EASA requirements, are accomplished in accordance with EASA approved data?	_____	_____	_____
f) A procedure for the repair station to ensure that the FAA-approved initial and recurrent training program and any revision thereto include human factors training?	_____	_____	_____
g) Procedures for reporting unairworthy conditions on civil aeronautical products to the EASA, aircraft design organization, and the air carrier or operator?	_____	_____	_____
h) Procedures which ensure completeness of, and compliance with, the air carrier or operator work order or contract including issued EASA Airworthiness Directives and other issued mandatory instructions?	_____	_____	_____
i) Procedures to ensure that contractors meet the terms of these implementation procedures (i.e. using an EASA Part 145 approved organization or, if using an organization that does not have EASA Part 145 approval, the repair station returning the product to service is responsible for ensuring its airworthiness)?	_____	_____	_____
j) Procedures to permit work away from the fixed location on a recurring basis, where applicable?	_____	_____	_____

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

k) Procedures to ensure appropriate covered hangars are available for base maintenance? _____|_____|_____

3. Additional C.A.S.E. Requirements

A. Does the vendor maintain records of maintenance, preventive maintenance, and servicing, if any is required, for a minimum of three (3) years? _____|_____|_____

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

MAG-EU CHECKLIST

NOTE: This supplement to the C.A.S.E. 1-A standard is based on the guidance material for the United States (U.S.)/European Union (E.U.) requirements stated in the Maintenance Annex Guide (MAG) enacted on May 1, 2011. The reference numbers enclosed in parentheses () that appear throughout this document refer to the applicable paragraph(s) in Section A. V. 2.1.1 (b) of the current MAG.

Audit Date: _____ Vendor Allocation #: _____

C.A.S.E. Member #: _____ Auditor: _____

Vendor Name: _____

YES NO N/A

1. General Information

A. Refer to MAG-EU Supplement.

2. Exclusions

The following CACS-20 checklist questions are not applicable to European AMOs under the MAG and will be marked "N/A" in the CACS-20 (1-A) checklist:
System Audit #s 5, 7, 11 and 25.

3. Special Conditions in accordance with the MAG

A. Does the vendor hold a current FAA certificate? (2A) _____|_____|_____

NOTE : Obtain a copy of the FAA certificate.

B. Has the vendor provided a supplement in English to its Maintenance Organization Exposition which has been, along with any revisions, approved by the Aviation Authority? (2B) _____|_____|_____

Does the supplement include:

1) A signed and dated statement by the Accountable Manager that obliges the organization to comply with the MAG? _____|_____|_____

2) A statement in the supplement that the quality system shall also cover the FAA special conditions? _____|_____|_____

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

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
3. B. 3) Procedures for approval for release or return to service in English that satisfy the requirements of 14 CFR Part 43 for aircraft and use of EASA Form 1 for components?	_____	_____	_____
4) Procedures for reporting to the FAA failures, malfunctions or defects, and/or Suspected Unapproved Parts discovered or intended to be installed on U.S. aeronautical products?	_____	_____	_____
5) Procedures to notify the FAA regarding any changes to line stations that maintain U.S. - registered aircraft?	_____	_____	_____
6) Procedures to qualify and monitor additional fixed locations within applicable E.U. member states?	_____	_____	_____
7) Procedures in place to verify that all contracted/ subcontracted activities include provisions for a non-FAA-certificated source to return the article to the AMO for final inspection/testing and return to service?	_____	_____	_____
8) Procedures to ensure that major repairs, alterations, and/or modifications as defined in 14 CFR 43 are accomplished in accordance with data approved by the FAA?	_____	_____	_____
9) Procedures to ensure compliance with air carrier customer's Continuous Airworthiness Maintenance Programs (CAMP), including separation of maintenance from inspection for RII?	_____	_____	_____
10) Procedures to ensure compliance with the manufacturer's maintenance manuals or instructions for continued airworthiness (ICA) and handling of deviations?	_____	_____	_____
11) Procedures to ensure that all applicable FAA ADs are available to maintenance personnel at the time work is being performed?	_____	_____	_____

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

- 12) Procedures to confirm that the AMO supervisors and employees responsible for final inspection and return to service of U.S. aeronautical products are able to read, write, and understand English? _____|_____|_____

- 13) Procedures to permit work away from the fixed location on a recurring basis, where applicable? _____|_____|_____

- 14) Procedures to maintain a record of work performed away from the fixed location for three years after the performance of work, to include; description of the work performed, date and location performed and work order number (total time in service if required). _____|_____|_____

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

CANADIAN AMO CHECKLIST

NOTE: This checklist is based on the Canadian Approved Maintenance Organization (AMO) Supplement to C.A.S.E. 1-A standard, which complies with the Maintenance Implementation Procedures (MIP), dated August 31, 2006, under the Agreement for the Promotion of Aviation Safety, dated June 12, 2000, between the Governments of the United States of America and Canada.

Audit Date: _____ Vendor Allocation #: _____

C.A.S.E. Member #: _____ Auditor: _____

Vendor Name: _____

1. General Information

A. Refer to Canadian AMO Supplement.

2. Exclusions

The following CACS-20 checklist questions are not applicable to Canadian Approved Maintenance Organizations (AMOs) and will be marked "N/A" in the CACS-20 (1-A) checklist:

System Audit #s 2, 5, 7, 11, 18, 25, and Work Process Audit # 19.

3. Additional Requirements

YES NO N/A

A. Do Return-to-Service personnel hold an ACA or SCA? [3A] _____|_____|_____

B. Do SCA holders have a diploma or certificate from a course in an appropriate field or documented experience working under the supervision of an ACA or SCA holder for at least 1800 hours for engine/propeller overhaul, or 300 hours for other components (as applicable)? [3A] _____|_____|_____

C. Have AMO personnel performing technical functions received human factors and MPM training? [3B] _____|_____|_____

D. Do vendors performing airframe maintenance for 14 CFR Part 121 or 135 Air Carriers have :

1) An approved Safety Management System? [3C] _____|_____|_____

2) A BASA MIP supplement approved by TCCA? [3D] _____|_____|_____

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

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

INTO-PLANE AUDIT CHECKLIST

Audit Date: _____ **Allocation #:** _____

Station Code: _____

City: _____

Vendor Name: _____

Address: _____

Primary Contact: _____ **Title:** _____

Phone: _____

E-mail: _____

Auditor: _____

Acceptable: **Conditionally** _____ **Acceptable** _____ **Not Acceptable** _____

Register: **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.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

TABLE OF CONTENTS

Section	Subject	Page
1.	Policy.....	3
2.	Alternate Means of Compliance.....	4
3.	Airport Fuel Receipts.....	4
4.	Fuel Facility Design Requirements.....	4
5.	Fuel Storage Facility Inspections.....	4
6.	Hydrant Systems.....	4
7.	Hydrant System Inspections.....	4
8.	Fueling Equipment Design Requirements.....	4
9.	Fueling Equipment Inspections.....	5
10.	Tanker Vehicle Loading Facilities.....	12
11.	Observing Aircraft Fueling Activity.....	13
12.	Training.....	13

NOTE: This checklist is based on the requirements stated in the ATA 103 for Jet Fuel Quality Control at Airports and the C.A.S.E. 2-A standard, chapter 4-3-0 of this manual.

The reference numbers enclosed in brackets [] that appear throughout this document refer to the applicable paragraph(s) in the standard.

NOTE: When a checklist item is unable to be observed, enter N/O in the N/A column. Retain justification for the N/O entry with the audit records.

CONDITION CODES TO BE USED:

- S or √ = Satisfactory
- C = See Comments
- N/A = Not Applicable
- N/O = Not Observed

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Policy			
A. Are the latest revisions of the ATA 103 and C.A.S.E. 2-A standards available?	_____	_____	_____
B. Does the vendor maintain a file(s) of audit findings and corrective actions for a minimum of 36 calendar months and is it (are they) accessible to the auditor? [1F]	_____	_____	_____
C. Does the vendor have a Operations and Maintenance Manual to help ensure the safe and dependable flow of quality fuel to aircraft? [2-1.11]	_____	_____	_____
D. If a person's initials or employee number is (are) used for signing off paperwork, is there a roster showing name, number and/or initials? [2-1.2]	_____	_____	_____
E. Does the vendor have a documented training program and records for all personnel under their direction or control, qualifying them to properly perform their assigned tasks? [2-1.9]	_____	_____	_____
F. Is defueled product, for purposes other than contamination, returned to the same air carrier? Is the product sampled in accordance with ATA 103 requirements? [2-1.7]	_____	_____	_____
G. Does the vendor have a documented procedure for reporting deficiencies or safety hazards by its employees to their supervisors? [2-1.10]	_____	_____	_____
H. Does the vendor have a documented procedure for notifying affected air carriers when new, additional, replacement, or modified equipment is placed in operation? [2-1.3]	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|---|------------|-----------|------------|
| I. Does the vendor have a documented procedure for notifying affected air carriers when contaminated fuel is detected or when any fueling system becomes inoperative that might affect an air carrier's operations? [2-1.5 and 2-1.8] | _____ | _____ | _____ |
| J. Are master gauges, multi-meters and torque wrenches calibrated annually? Are calibration certificates available? [2-1.11] | _____ | _____ | _____ |
| K. Is laboratory test equipment used to verify conformance to applicable specification calibrated annually or at the frequency mandated by the applicable test method or manufacturer specifications, whichever is less? Are calibration certificates available? [2-1.11] | _____ | _____ | _____ |

2. Alternate Means of Compliance

- | | | | |
|---|-------|-------|-------|
| A. Has the vendor issued any alternate means of compliance letters? [2-1.4] | _____ | _____ | _____ |
| B. If yes, have they been accepted by the air carrier being serviced? [2-1.4] | _____ | _____ | _____ |

- | | |
|--|---------------|
| 3. Airport Fuel Receipts | See CACS-26 |
| 4. Fuel Facility Design Requirements | See CACS-26 |
| 5. Fuel Storage Facility Inspections | See CACS-26 |
| 6. Hydrant Systems | See CACS-26 |
| 7. Hydrant System Inspections | See CACS-26 |
| 8. Fueling Equipment Design Requirements | See Section 9 |

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

9. Fueling Equipment Inspections

A. Are the following checks documented as being complied with at the minimum intervals? [2-8]

DAILY	MONTHLY	QUARTERLY	ANNUALLY
General Condition	Color Membrane (Millipore)	Water Defense System External	Filter Element Change
Filter Sumps	Static System Continuity Test	Pressure Controls Primary and Secondary Pressure	Filter and DPI Pressure Gauge Calibration
Filter DPI Pressures	Corrected Filter DP	Vehicle Inspection	Meter Calibration
Safety Interlocks	Emergency fuel Shut-off System	Interlock Override Function Check	Water Defense System Insp. and Test
Nozzle Pressures	Nozzle Screens	Internal Valves	
Static Reels, Cables	Signs, Labels, and Placards	Periodic Hose Pressure	
Hoses, Nozzles, Swivels	Meter Seals		
Deadman Controls	Tanker Interiors		
Lift Platforms	Deadman Controls		
Fire Extinguishers	Lift Platforms		
Air Tanks	Fire Extinguishers		
Surge/Relief Tanks	Free Water Test		
Tanker Troughs	Tanker Vents, Dome Covers		
Tanker Sumps	Tanker Troughs		
Tanker Bottom Load Pre-checks	Fuel Hoses		

NOTE: A minimum of 60 days must elapse between quarterly checks.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|--|------------|-----------|------------|
| 9. B. Are signatures, initials, and/or employee numbers entered in the correct signoff locations? [2-8.2] | _____ | _____ | _____ |
| C. Do the records indicate when any equipment was not in service? [2-8.2] | _____ | _____ | _____ |
| D. Does any out of service fueling equipment not in daily use have all daily, monthly, quarterly, semi-annual, annual checks current and recorded before the equipment is returned to service. [2-8.1] | _____ | _____ | _____ |
| E. Are records retained locally for a minimum of twelve (12) calendar months? [2-8.2.1] | _____ | _____ | _____ |
| F. Does the data on the filter conversion placards compliment the original filter unit specifications? [2-7.2] | _____ | _____ | _____ |
| G. If a free-water field kit is being used, is it within its usable shelf life date? [3-3.3] | _____ | _____ | _____ |
| H. Is the free-water detection kit sensitive to a minimum of fifteen (15) parts per million? Is the operator performing the test correctly? [3-3.3] | _____ | _____ | _____ |
| I. Are filter change records retained locally for a minimum of thirty-six (36) calendar months? [2-8.2.1] | _____ | _____ | _____ |
| J. Aircraft fueling equipment requirements and checks [2-7, 2-8]: | | | |

Unit Identification Numbers #____ #____ #____ #____

NOTE: T = Tanker, HT = Hydrant Truck, HC = Hydrant Cart

- | | | | |
|---|-------|-------|-------|
| 1) Check vehicle for general condition, fuel leaks, safety defects, damage, and proper appearance. Ensure electrical equipment, including lights, light lenses and wiring, are maintained in a safe and operational condition. Battery terminals must not be exposed. [2-8.3.1] | _____ | _____ | _____ |
| 2) Check condition of bonding reels, cables, and clamps. [2-8.3.8] | _____ | _____ | _____ |

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- 3) Check minimum 20 lb. B:C rated fire extinguishers for accessibility, intact seal, and current inspection tag. There must be a minimum of one (1) on a hydrant unit and two (2) on a tanker truck. [2-7.6] _____|_____|_____|_____
- 4) If filter/separator is used, check the following: [2-7.2]
- a) Meets API / EI Specification, latest edition? _____|_____|_____|_____
 - b) Has filter vessel been converted? If so, is there an up to date conversion data placard on vessel? _____|_____|_____|_____
 - c) Air elimination provision? _____|_____|_____|_____
 - d) Direct reading DPI gauges? _____|_____|_____|_____
 - e) Manual sump drain? _____|_____|_____|_____
 - f) Upstream and downstream membrane sampling ports, and caps? _____|_____|_____|_____
 - g) Over-pressure or thermal relief device? _____|_____|_____|_____
 - h) Is a nameplate attached to the filter vessel, complete with the required information? _____|_____|_____|_____
 - i) Water defense system? _____|_____|_____|_____
- 5) If a full-flow monitor is used, check the following: [2-7.2]
- a) Meets EI Specification, latest edition? _____|_____|_____|_____
 - b) Are spare elements available? _____|_____|_____|_____
 - c) Air elimination provision? _____|_____|_____|_____
 - d) Direct reading DPI gauges? _____|_____|_____|_____
 - e) Manual sump drain? _____|_____|_____|_____
 - f) Upstream and downstream membrane sampling ports, and caps? _____|_____|_____|_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

g) Over-pressure or thermal relief device? _____|_____|_____|_____

h) Is a nameplate attached to the filter vessel, complete with the required information? _____|_____|_____|_____

6) Check for the following signs and placards: [2-7.15]

a) Product identification (Jet-A) on each side and rear? _____|_____|_____|_____

b) "FLAMMABLE" on each side and rear? _____|_____|_____|_____

c) "NO SMOKING" on two (2) sides and in cab of vehicle? _____|_____|_____|_____

d) "EMERGENCY FUEL SHUT-OFF" by each shut-off control? _____|_____|_____|_____

e) Placard indicating emergency fuel shutoff operation? _____|_____|_____|_____

f) External signs for enclosed fire extinguishers? _____|_____|_____|_____

g) Placard identifying nozzle fueling pressure? _____|_____|_____|_____

h) Placard identifying filter DPI? _____|_____|_____|_____

i) Placards identifying tank drain valves? _____|_____|_____|_____

j) Placard showing last date (month/year) filter was changed or single element test performed? _____|_____|_____|_____

k) Arrow indicating sampling port flow direction? _____|_____|_____|_____

l) Placard showing filter sump drain? _____|_____|_____|_____

m) Placards identifying location of brake interlock override switch? _____|_____|_____|_____

n) Placards identifying normal/override position of brake interlock override switch? _____|_____|_____|_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- o) Placard adjacent to the pump controls indicating proper procedures for engaging the pumping system? _____

- p) Ensure sufficient data present or filter unit information placard. (EI 1581, 3.2.2.9)? _____

- 7) Verify proper operation of the water defense system. [2-8.5.3 and 2-8.7.4] _____

- 8) Check for presence of emergency fuel shutoff switch on both sides of tanker and one (1) side for hydrant cart. [2-7.5] _____

- 9) Check for presence of emergency fuel shutoff switch on lift, if lift present. [2-7.5] _____

- 10) Check for presence of deadman control system. [2-7.4, 2-8.3.4] _____

- 11) Check condition of tank vents, covers, cover latches, seals, gaskets, and troughs. [2-8.4.13, 2-8.4.14] _____

- 12) Are the sump tests performed and graded? [2-8.3.2] _____

- 13) Check condition of hoses, swivels, and nozzles. [2-8.3.7] _____

- NOTE:** If particles are found, investigate possible sources of contamination (inner hose lining, pipe rust, sand, seals, gaskets, equipment failure, etc.) and take appropriate corrective action.

- 14) Check for intact calibrator/adjuster cover seal. [2-8.4.7] _____

- 15) Check for hose/dust covers and proper attachment. [2-8.3.7] _____

- 16) Check nozzle swivel collars for snap ring and/or safety. [2-8.3.7] _____

- 17) Hoses on the equipment match the hose certification requirements. [EI 1529, 8.2] _____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- | | |
|--|-------------------------------|
| 18) Check for nozzle pressure gauges, visibility while fueling, and present on lift platform. [2-7.12] | _____ _____ _____ _____ |
| 19) Perform tank sump fuel appearance test for each compartment. [2-8.3.14] | _____ _____ _____ _____ |
| 20) Perform filter sump fuel appearance test. [2-8.3.2] | _____ _____ _____ _____ |
| 21) Observe and record DPI with fuel flowing through the filter under normal flow condition. [2-8.3.3] | _____ _____ _____ _____ |
| 22) Is there a three-way valve or other effective means of detecting a failure of the DPI gauge? [2-8.7.2] | _____ _____ _____ _____ |
| 23) DPI gauge operating correctly. [2-8.7.2] | _____ _____ _____ _____ |
| 24) Check condition of drain surge/relief tanks. [2-8.3.11] | _____ _____ _____ _____ |
| 25) Check the operation of the emergency fuel shutdown system. [2-8.4.9] | _____ _____ _____ _____ |
| 26) Check to ensure emergency fuel shutoff cuts off fuel flow at a level of less than 5% when activated. [2-8.4.9] | _____ _____ _____ _____ |

NOTE: At flow rates below 50% of rated flow, a shutdown in 10% of the fuel rate is allowed.

- | | |
|--|-------------------------------|
| 27) Check primary fuel pressure controls:
[2-7.3, 2-8.3.6, 2-8.5.2] | |
| a) Nozzle pressure acceptable? | _____ _____ _____ _____ |
| b) Maximum primary pressure setting acceptable? | _____ _____ _____ _____ |
| c) Testing procedures acceptable? | _____ _____ _____ _____ |
| 28) Check secondary fuel pressure controls.
[2-7.3, 2-8.3.6, 2-8.5.2] | |
| a) Maximum secondary pressure setting acceptable? | _____ _____ _____ _____ |
| b) Testing procedures acceptable? | _____ _____ _____ _____ |

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

c) Is the primary pressure system defeated? _____|_____|_____|_____

d) Does the vendor have written test procedures specific to the vehicle pressure control system and test facilities at that location? _____|_____|_____|_____

29) Perform membrane color/particle test upstream and downstream simultaneously. [2-8.4.1]

a) Test results acceptable? _____|_____|_____|_____

b) Testing procedures acceptable? _____|_____|_____|_____

30) Perform downstream free water test (15 ppm). [2-8.4.1]

a) Test results acceptable? _____|_____|_____|_____

b) Testing procedures acceptable? _____|_____|_____|_____

31) Does the brake (safety) interlock system operate properly? [2-8.3.5]

_____|_____|_____|_____

NOTE: Non-motorized, (towable) hydrant carts are not required to be equipped with a safety interlock system.

32) Check for the presence of a brake interlock override warning light (if so equipped). [2-7.7]

_____|_____|_____|_____

33) Check for the presence of a brake interlock override device which has normal and override positions identified by placards. [2-7.7, 2-8.5.5]

_____|_____|_____|_____

a) Was the interlock device in the normal position and closed with breakaway wire or breakaway plastic seal? _____|_____|_____|_____

b) Perform function check to ensure that the interlock override is working as designed. _____|_____|_____|_____

c) Ensure that the interlock device is returned to the normal position and closed with breakaway wire or breakaway plastic seal. _____|_____|_____|_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- | | | | | |
|---|-------|-------|-------|-------|
| 34) Check operation of tanker bottom loading system.
[2-8.3.15] | _____ | _____ | _____ | _____ |
| 35) Perform static system continuity test. [2-8.4.3] | _____ | _____ | _____ | _____ |
| 36) Check operation of air tank bleed valves. [2-8.3.12] | _____ | _____ | _____ | _____ |
| 37) Check condition and operation of lift platform.
[2-8.3.9, 2-8.4.11] | _____ | _____ | _____ | _____ |
| 38) Check tank interiors for debris, surfactants, microbial
growth, and deteriorated epoxy coating if applied.
[2-8.4.12] | _____ | _____ | _____ | _____ |
| 39) Check condition of 100 mesh nozzle screens.
[2-8.4.4] | _____ | _____ | _____ | _____ |
| 40) Check to ensure deadman cuts off fuel flow at a level
of less than 5% when de-activated. [2-8.4.10] | _____ | _____ | _____ | _____ |
| 41) Check refueling tanker roof drains. [2-8.4.14] | _____ | _____ | _____ | _____ |
| 42) Check internal valve for proper operation. [2-8.5.4] | _____ | _____ | _____ | _____ |

10. Tanker Vehicle Loading Facilities

CAUTION: During the loading of a refueler, the equipment must not be left unattended at any time.

CAUTION: It is not acceptable to receive and dispense fuel from the same storage tank or refueler simultaneously.

- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|--|------------|-----------|------------|
| A. Is the refueler bonded to the stand or rack during all
uplifts? [2-9] | _____ | _____ | _____ |
| B. If top loading, check load arm for bonding. [2-9] | _____ | _____ | _____ |
| C. If top loading, ensure that loading arm extends into the
tank far enough to prevent splashing. [2-9] | _____ | _____ | _____ |

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

D. If bottom loading, is the high level shut-off operations checked at the beginning of the uplift? [2-9] _____|_____|_____

11. Observing Aircraft Fueling Activity (in accordance with customer fuel manual).

Truck/Cart Number #____ #____ #____

A. Are vehicles operated safely on the ramp? _____|_____|_____

B. Do the vehicles approach the aircraft no faster than walking speed? _____|_____|_____

C. Is the truck/carts chocked properly? _____|_____|_____

D. Is the fueling vehicle bonded to the aircraft prior to hose hook up? _____|_____|_____

E. Does the fueler check for any leakage around the nozzle or along the fuel line? _____|_____|_____

F. Does the fueler check for any leakage around the fueling truck/chart? _____|_____|_____

G. Is the vehicle positioned clear of the wing? _____|_____|_____

H. Is the deadman control correctly used? _____|_____|_____

I. Does the fueler check primary nozzle and filter differential pressure? _____|_____|_____

J. If applicable, after fueling operation has been completed has the aircraft fuel cap cover been properly reinstalled? _____|_____|_____

12. Training **YES** **NO** **N/A**

A. Are documented records available for all personnel indicating they have completed the applicable air carrier's required training? _____|_____|_____

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

FUEL STORAGE AUDIT CHECKLIST

Audit Date: _____ **Allocation #:** _____

Station Code: _____

City: _____

Vendor Name: _____

Address: _____

Primary Contact: _____ **Title:** _____

Phone: _____

E-mail: _____

Auditor: _____

Acceptable: **Conditionally** _____ **Acceptable** _____ **Not Acceptable** _____

Register: **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.

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

TABLE OF CONTENTS

Section	Subject	Page
1.	Policy.....	3
2.	Alternate Means of Compliance.....	4
3.	Airport Fuel Receipts.....	4
4.	Fuel Facility Design Requirements.....	7
5.	Fuel Storage Facility Inspections.....	10
6.	Hydrant Systems.....	14
7.	Hydrant System Inspections.....	14
8.	Fueling Equipment Design Requirements.....	15
9.	Fueling Equipment Inspections.....	15
10.	Tanker Vehicle Loading Facilities.....	15

NOTE: This checklist is based on the requirements stated in the ATA 103 for Jet Fuel Quality Control at Airports and the C.A.S.E. 2-A standard, chapter 4-3-0 of this manual.
 The reference numbers enclosed in brackets [] that appear throughout this document refer to the applicable paragraph(s) in the standard.

NOTE: When a checklist item is unable to be observed, enter N/O in the N/A column.
 Retain justification for the N/O entry with the audit records.

CONDITION CODES TO BE USED:

- S or √ = Satisfactory
- C = See Comments
- N/A = Not Applicable
- N/O = Not Observed

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

1. Policy	<u>YES</u>	<u>NO</u>	<u>N/A</u>
A. Are the latest revisions of the ATA 103 and C.A.S.E. 2-A standards available?	_____	_____	_____
B. Does the vendor maintain a file(s) of audit findings and corrective actions for a minimum of 36 calendar months and is it (are they) accessible to the auditor? [1F]	_____	_____	_____
C. Does the vendor have a Operations and Maintenance Manual to help ensure the safe and dependable flow of quality fuel to aircraft? [2-1.11]	_____	_____	_____
D. If a person's initials or employee number is(are) used for signing off paperwork, is there a roster showing name, number and/or initials? [2-1.2]	_____	_____	_____
E. Does the vendor have a documented training program and records for all personnel under their direction or control, qualifying them to properly perform their assigned tasks? [2-1.9]	_____	_____	_____
F. Is defueled product, for purposes other than contamination, returned to the same air carrier? Is the product sampled in accordance with ATA 103 requirements? [2-1.7]	_____	_____	_____
G. Does the vendor have a documented procedure for reporting deficiencies or safety hazards by its employees to their supervisors? [2-1.10]	_____	_____	_____
H. Does the vendor have a documented procedure for notifying affected air carriers when new, additional, replacement, or modified equipment is placed in operations? [2-1.3]	_____	_____	_____
I. Does the vendor have a documented procedure for notifying affected air carriers when contaminated fuel is detected or when any fueling system becomes inoperative that might affect an air carrier's operations? [2-1.5, 2-1.8]	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
J. Are master gauges, multi-meters, and torque wrenches calibrated annually? Are calibration certificates available? [2-1.11]	_____	_____	_____

K. Is laboratory test equipment used to verify conformance to applicable specification calibrated annually or at the frequency mandated by the applicable test method or manufacturer specifications, whichever is less? Are calibration certificates available? [2-1.11]	_____	_____	_____
---	-------	-------	-------

2. Alternate Means of Compliance

A. Has the vendor issued any alternate means of compliance letters? [2-1.4]	_____	_____	_____
---	-------	-------	-------

B. If yes, have they been accepted by the air carrier being serviced? [2-1.4]	_____	_____	_____
---	-------	-------	-------

3. Fuel Receipts into Airport Storage

A. Are there signatures, initials, or employee numbers on all receipt records? [2-1.2]	_____	_____	_____
--	-------	-------	-------

B. Are all fuel receipt records maintained on file for a minimum of twelve (12) months? [2-3.2 and 2-3.3]	_____	_____	_____
---	-------	-------	-------

C. Do shipping documents received prior to delivery certify that product delivered to the vendor meets all ASTM D1655 specification requirements and show: [2-3.2]			
--	--	--	--

1) Product grade?	_____	_____	_____
-------------------	-------	-------	-------

2) Batch number?	_____	_____	_____
------------------	-------	-------	-------

3) Correct destination?	_____	_____	_____
-------------------------	-------	-------	-------

4) Delivered volume?	_____	_____	_____
----------------------	-------	-------	-------

5) API corrected to 60° F or density test?	_____	_____	_____
--	-------	-------	-------

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- D. Are the following tests being performed during fuel receipt (downstream of receiving filtration) and are results recorded: [2-3.2, Table 2-3.1]

NOTE 1: Testing for shipments by marine vessel are treated in the same manner as dedicated pipelines.

NOTE 2: In the event an ASTM D1655 certificate is not received, does the vendor perform ASTM D1655 property tests prior to releasing the tank for aircraft use?

TEST	Multi-product Pipeline	Dedicated Pipeline	
		No Certificate Received	Certificate Received
Visual Appearance (white bucket in U.S. only)?	Begin Mid* End ____ ____ ____	Begin Mid* End ____ ____ ____	Begin Mid* End ____ ____ ____
Corrected API specific gravity?	____ ____ ____	____ ____ ____	____ ____ ____
Color membrane?	____ ____ ____	____ ____ ____	____ ____ ____
Free water detection?	____ ____ ____	____ ____ ____	____ ____ ____
Flash Point?	____ ____ ____		
Distillation?	Yes No ____ ____	Yes No ____ ____	
Freezing Point?	____ ____	____ ____	
Water Separation?	____ ____	____ ____	
Copper Corrosion Strip?	____ ____	____ ____	
Existent Gum?	____ ____	____ ____	

* Midpoint testing only applies to shipments lasting more than four (4) hours.

YES NO N/A

- E. Are the receiving filter DPI, tank fill levels, and observations of any fuel leaks periodically monitored during fuel receipt? [2-3.2]

____|____|____

- F. Fuel acceptance by multi-product pipeline:

- 1) Is receiving tank gauged, recorded, and sumped before receipt?

____|____|____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
2) Are communications established between pipeline shipping facility and facility receiving personnel to ensure satisfactory fuel receipt?	_____	_____	_____
3) Is the fuel receiving process monitored at all times by vendor personnel?	_____	_____	_____
4) Is fuel ever received and dispensed simultaneously from the same tank?	_____	_____	_____
G. Fuel acceptance by transport truck and railroad tank car: [2-3.3]			
1) If transport truck hose is used, are the hose and fittings inspected prior to use?	_____	_____	_____
2) Are the tank internal valves opened and the 10-minute minimum settling time met prior to fuel unloading?	_____	_____	_____
3) Is a Visual Appearance Test (white bucket in U.S. only) being performed?	_____	_____	_____
4) Is corrected API gravity test performed and recorded prior to receipt of any fuel?	_____	_____	_____
<p>NOTE: AIRPORTS CAN RECEIVE PRODUCT FROM TANKS WITH STRATIFICATION INDICATED BY API GRAVITY DIFFERENCES OF GREATER THAN 1° BETWEEN AN UPPER, MIDDLE, AND LOWER SAMPLES PROVIDED THE FOLLOWING TESTS ARE DONE PRIOR TO RELEASE.</p> <p>A. API GRAVITY, INITIAL BOILING POINT, FLASH POINT, AND END BOILING POINT. THESE TESTS SHALL BE CONDUCTED ON EACH OF THE UPPER, MIDDLE AND LOWER SAMPLES.</p> <p>B. THE VALUES SHALL NOT EXCEED THE SPECIFICATION LIMITS</p> <p>C. THESE TESTS RESULTS SHALL BE PROVIDED AND COMMUNICATED TO THE AIRPORT PRIOR TO RELEASE ALONG WITH THE C OF A.</p> <p>D. DURING RECEIPT AT THE AIRPORT THE REQUIRED API GRAVITY CHECKS SHALL BE WITHIN THE UPPER AND LOWER RANGES OF THE VALUES DOCUMENTED ON THE UPPER, MIDDLE AND LOWER SAMPLES.</p> <p>THIS SHALL ALSO APPLY FOR TANKS ON THE AIRPORT WHICH ARE DEDICATED TO RECEIPTS ONLY FROM A MULTI- PRODUCT PIPELINE.</p>			
5) Is the truck bonded during unloading from transport?	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

4. Fuel Facility Design Requirements	<u>YES</u>	<u>NO</u>	<u>N/A</u>
A. Is the storage facility properly identified and color-coded per EI 1542? [2-4.9]	_____	_____	_____
B. Are “NO SMOKING”, “FLAMMABLE”, “EMERGENCY FUEL SHUT-OFF”, and product identification signs prominently displayed? [2-4.8]	_____	_____	_____
C. Are all storage tanks equipped with the following: [2-4.2]			
1) Floating suction with a means of verifying proper operation or a stand pipe?	_____	_____	_____
2) Inlet diffuser?	_____	_____	_____
3) Gauge hatch with slotted tube?	_____	_____	_____
4) A minimum of one (1) access man-way (two (2) are preferred)?	_____	_____	_____
5) Automatic high level fuel controls that operate properly?	_____	_____	_____
6) Placard adjacent to sump device indicating the volume of fuel in sump piping?	_____	_____	_____
D. Are above ground storage tanks equipped with these additional required items: [2-4.2]			
1) Fixed roof?	_____	_____	_____
2) Light colored epoxy coated floor and sides (up to the first wall panel)?	_____	_____	_____
3) Cone down bottom to positive center sump with drain?	_____	_____	_____
E. Are above ground horizontal storage tanks equipped with these additional required items: [2-4.2]			
1) Complete internal light colored epoxy coating (for carbon steel tanks)?	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
2) Sloped bottom to positive sump with drain?	_____	_____	_____
F. Are underground tanks equipped with additional required items: [2-4.2]			
1) Complete internal light colored epoxy coating (for carbon steel tanks)?	_____	_____	_____
2) Sloped bottom to positive sump with drain?	_____	_____	_____
3) Man-ways and other tank accessories extended above ground?	_____	_____	_____
G. Is fuel filtered while being received into and dispensed out of storage? [2-4.3]	_____	_____	_____
H. If filter/separators are used, do they: [2-4.3]	_____	_____	_____
1) Meet API/EI Specifications?	_____	_____	_____
2) Have an automatic water defense system with a means of operational test?	_____	_____	_____
I. Are full-flow monitors used for receiving or dispensing fuel? [2-4.3]	_____	_____	_____
NOTE: Full-flow monitors are <u>not allowed</u> for receiving or dispensing fuel.			
J. If additional filtration/treaters are in use, is a written program in use to ensure proper operation? [2-4.3 NOTE 2]	_____	_____	_____
K. Are all filter vessels equipped with the following: [2-4.3, EI 1581]			
1) Direct reading differential pressure gauges?	_____	_____	_____
2) Provisions for the elimination of air?	_____	_____	_____
3) Manual sump drain?	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
4) Upstream and downstream sampling connections (Millipore sampling ports) including probes and dust caps or plugs? Are the probes installed correctly in relation to fuel flow through the system?	_____	_____	_____
5) Pressure relief valve(s)?	_____	_____	_____
6) Placard(s) filled out indicating month and year of last filter change or extension date?	_____	_____	_____
7) System to protect filter-separator sumps and associated piping from freezing/bursting (where appropriate)?	_____	_____	_____
8) Placard showing location of filter sump drain?	_____	_____	_____
9) Nameplate with the required information?	_____	_____	_____
L. Are all emergency fuel shut-off valves and switches clearly marked and unobstructed? [2-4.5]	_____	_____	_____
M. Does "EMERGENCY FUEL SHUT-OFF" sign indicate method of operation? [2-4.5]	_____	_____	_____
N. Is there an operable deadman control device for all truck loading operations? [2-4.13]	_____	_____	_____
O. On loading racks equipped with combined bonding and overflow protection systems, is the resistance being checked between the system connection and facility ground? [2-5.4.3]	_____	_____	_____
P. Is static bonding provided for all truck and fill stands? [2-4.13]	_____	_____	_____
Q. Are bottom loading nozzles fitted with 60 mesh or finer nozzle screens? [2-4.13]	_____	_____	_____
NOTE: If particles are found, investigate possible sources on contamination (inner hose lining, pipe rust, sand, seals, gaskets, equipment failure, etc.) and take appropriate action.			

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|--|------------|-----------|------------|
| R. Are fire extinguishers with tags positioned in accordance with local requirements? [2-4.13] | _____ | _____ | _____ |
| S. Do fueling hoses: [2-4.7] | | | |
| 1) Meet API 1529, Type C or BSI 3158, Type C? | _____ | _____ | _____ |
| 2) Have current certifications on file? | _____ | _____ | _____ |
| T. If there is a reclamation storage tank installed, does it meet ATA 103, 2-4.14? | _____ | _____ | _____ |
| NOTE: These requirements do not apply to sump separators/collector units. | | | |

5. Fuel Storage Facility Inspections

- | | | | |
|---|-------|-------|-------|
| A. Are the following checks documented as being complied with at the minimum intervals? [2-5] | _____ | _____ | _____ |
|---|-------|-------|-------|

DAILY	MONTHLY	QUARTERLY	ANNUALLY		
General Yard Condition	Color Membrane (Millipore)	Emergency fuel Shut-off System	Storage Tank Interiors		
Security, Fire, and Safety	Free Water Test	Water Defense Systems	Filter Elements		
Static Reels, Cables, Clamps	Bonding Cable Continuity	High Tank Level Controls	Tank Vents		
Hoses, Swivels, Nozzles, and Couplers	Signs, Labels, and Placards	Reclamation Tank Inspection	Filter-Separator Heaters		
Filters Sumps	Floating Suctions	SEMI-ANNUALLY	Line Strainers		
Filter DPI Pressure	Nozzle Screens	Periodic Hose Pressure	Cathodic Protection		
Fire Extinguishers	Fire Extinguishers		Water Defense Systems		
Reclamation and Storage Tank Sumps	Corrected Filter Differential Pressure		DPI Pressure Gauge Calibration		

- | | | | |
|---|-------|-------|-------|
| B. Do the records indicate when any equipment was not in service? [2-5.2] | _____ | _____ | _____ |
|---|-------|-------|-------|

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
C. Is all facility equipment not in daily use record daily, monthly, quarterly, and annual checks current prior to returning the equipment to service? [2-5.2]	_____	_____	_____
D. Are records retained locally for a minimum of twelve (12) calendar months? [2-5.2]	_____	_____	_____
E. Are tank sump samples performed, rated, and recorded? [2-5.3.3]	_____	_____	_____
F. Is the first filter sump sample read being recorded? [2-5.3.4]	_____	_____	_____
G. Are filter change records retained locally for a minimum of thirty-six (36) calendar months? [2-5.2]	_____	_____	_____
H. Physical fuel storage facility checks:			
1) General condition of facility. [2-5.3.1]	_____	_____	_____
2) Security, fire, and safety devices. [2-5.3.2]	_____	_____	_____
3) Presence of any fuel leaks. [2-5.3.2]	_____	_____	_____
4) Condition of hoses, swivels, and nozzles. [2-5.3.6]	_____	_____	_____
5) Visual check of bonding reels, cables, and clamps. [2-5.3.7]	_____	_____	_____
6) Location, accessibility, and serviceability of fire extinguishers. [2-5.3.8]	_____	_____	_____
7) All fueling equipment is properly marked and that required placards, instructions, signs, etc., are in place and readable. [2-5.4.5]	_____	_____	_____
8) Is the shelf life of the free water kit used within limits? [3-3.3, Table 2-2.2]	_____	_____	_____
9) Is the free water detection kit sensitive to (15) fifteen parts per million? Is the operator performing the test correctly? [3-3.3]	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
10) Check line strainers for cleanliness and damage. [2-5.7.7]	_____	_____	_____
11) Check tank vents for condition and operation. [2-5.7.5]	_____	_____	_____
I. Perform fuel appearance test of storage tank sumps. [2-5.3.3]			
Tank sampled/results ___/___ ___/___ ___/___			
1) Is the test being performed correctly?	_____	_____	_____
2) Are the test results acceptable?	_____	_____	_____
J. Check floating suction's operation, if applicable. [2-5.4.6]			
Tank sampled/results ___/___ ___/___ ___/___			
1) Are the test results acceptable?	_____	_____	_____
K. Do the sumps have a placard identifying the minimum amount of sample to displace capacity of piping? [2-4.2]	_____	_____	_____
L. Check high-level tank controls <u>or verify by documented records.</u> [2-5.5.3]			
1) Is the test being performed correctly?	_____	_____	_____
2) Are the test results acceptable?	_____	_____	_____
M. Check storage tank interiors <u>or verify by documented records.</u> [2-5.7.1]	_____	_____	_____
1) Is the test being performed correctly?	_____	_____	_____
2) Are the test results acceptable?	_____	_____	_____
N. Perform fuel appearance test of sample pulled from filter sumps (under pressure): [2-5.3.4]			
Filter sampled/results ___/___ ___/___ ___/___			

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1) Is the test being performed correctly?	_____	_____	_____
2) Are the test results acceptable?	_____	_____	_____
O. Check observed filter DPI under normal flow conditions and record corrected DPI across each working filter. [2-5.3.5, 2-5.4.2, and 2-5.7.2]			
Filter checked/results ___/___ ___/___ ___/___			
1) Are Differential Pressure Gauges being tested per manufacturer requirements?	_____	_____	_____
2) Are the test results acceptable?	_____	_____	_____
P. Perform color membrane test upstream and downstream simultaneously for each filter/ separator vessel. [2-5.4.1]			
Filter tested/results ___/___ ___/___ ___/___			
1) Is the test being performed correctly?	_____	_____	_____
2) Are the test results acceptable?	_____	_____	_____
Q. Check operation of water defense system <u>or verify by documented records.</u> [2-5.5.2]			
1) Is the test being performed correctly?	_____	_____	_____
2) Are the test results acceptable?	_____	_____	_____
S. Perform conductivity test on the bonding cable and clamp. [2-5.4.3]			
1) Is the test being performed correctly?	_____	_____	_____
2) Is resistance 25 Ohms or less?	_____	_____	_____
T. Check operation of emergency fuel shut-off system <u>or verify by documented records.</u> [2-5.5.1]			
1) Is the test being performed correctly?	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

2) Are the test results acceptable? YES NO N/A
_____|_____|_____

U. Check operation of filter/separator and drain line heaters for proper operation, if applicable, or verify by documented records. [2-5.7.4]

1) Are the test results acceptable? _____|_____|_____

6. Hydrant Systems

A. Are the following checks documented as being complied with at the minimum intervals? [2-6] _____|_____|_____

DAILY	MONTHLY	QUARTERLY	ANNUALLY
Hydrant Pit	Hydrant Valve Assembly	High Point Vents	Cathodic Protection
Emergency Fuel Shutoff Stations	Isolation Valve Pits and Control Vaults	Leak Detection and Pipe Isolation System	
	Low Point Drains	Pit Surge Absorbers	
	Emergency Fuel Shutoff		

B. Hydrant system piping: YES NO N/A

1) Where installed, is cathodic protection maintained and checked annually? [2-6.6.1] _____|_____|_____

2) Is there a means to drain fuel at low points and bleed the system at high points? [2-6.4.3, 2-6.5.1] _____|_____|_____

7. Hydrant Systems Inspections

A. Check pits for cleanliness and standing liquid. Visually check pits and all components for deficiencies. [2-6.3.1] _____|_____|_____

B. Check hydrant valve for visual deficiencies, cleanliness (daily) and dust covers. [2-6.4.2] _____|_____|_____

C. Check emergency fuel shutoff stations for access, identification, locator lights (if installed), and operation or verify by documented records. [2-6.3.2] _____|_____|_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
D. Where installed, check the satisfactory operation of the hydrant system leak detection systems. [2-6.5.3]	_____	_____	_____
E. Check isolation valve pits for condition, fuel leaks. [2-6.4.1]	_____	_____	_____
F. Check low point drains for condition. [2-6.4.3]	_____	_____	_____
8. Fueling Equipment Design Requirements	See CACS-25		
9. Fueling Equipment Inspections	See CACS-25		
10. Tanker Vehicle Loading Facilities	See CACS-25		

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

CONTRACT MAINTENANCE (ON-CALL) VENDOR
AUDIT CHECKLIST

Audit Date: _____ Vendor Allocation #: _____

C.A.S.E. Member #: _____ Auditor: _____

Vendor Name: _____

Address Line 1: _____

Address Line 2: _____

City: _____ State/Province: _____

Country: _____ Zip code: _____

Website: _____

Accountable Manager: _____

Personnel Contact:
Name Title

Office Phone #: _____ Fax # _____

Primary Call-Out # _____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

TABLE OF CONTENTS

This Checklist has been divided into seven (7) sections to assist the auditor in conducting audits.

Section	Subject	Page
1.	Policy	3
2.	General Operations	3
3.	Training	4
4.	Calibration Program	4
5.	Materials and Equipment	5
6.	Technical Data	6
7.	General Information	6

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

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

SECTION 1 Policy

YES NO N/A

1. Does the vendor maintain, for a minimum of 36 calendar months, a file of audit findings and corrective actions for which a VEL was signed? Is it accessible to the auditor? [1G]

_____|_____|_____

SECTION 2 General Operations

1. Does the vendor have applicable access to member air carriers continuing Airworthiness Maintenance Program (CAMP)? [2A]
2. Does the vendor operate under an FAA Air Agency certificate? If yes, obtain and review the current FAA Air Agency Certificate and Operations Specifications. Are they accurate? [2B]
3. Does the vendor have an FAA approved and active anti-drug and alcohol misuse prevention program (A449 and/or Registration)? Obtain and verify accuracy. [2C]
4. Do persons responsible for airworthiness release / return to service read, write and understand English to communicate technical details of logbook entries and manual requirements? [2D]
5. Does the vendor have a duty time limitation requirement, and is it followed? [2E]
6. Are all required licenses and certificates available for review within the immediate area where he/she is exercising the privileges of the license/certificate? [2F]
7. Does the vendor have a work turnover procedure, and is it followed? [2G]
8. Does the vendor have a process to obtain and document the hazardous “will-will not carry” status for member air carriers, and is that information available and communicated to appropriate employees? [2H]
9. Does the vendor have adequate safety procedures in place and are the operations conducted in a safe manner and environment? [2I]

_____|_____|_____

_____|_____|_____

_____|_____|_____

_____|_____|_____

_____|_____|_____

_____|_____|_____

_____|_____|_____

_____|_____|_____

_____|_____|_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

SECTION 3	Training	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1.	Are documented records available for all on-call maintenance personnel indication they have undergone the applicable member air carriers required training? [3B]	_____	_____	_____
2.	Are on-call maintenance personnel meeting the FAA “recent experience” requirements? [3C]	_____	_____	_____
 SECTION 4				
Calibration Program				
1.	If the vendor uses calibrated tools and/or equipment, do they have a documented calibration program? [4]	_____	_____	_____
2.	Does the program identify the calibration frequencies, limitations and applicable tolerances or specifications? [4B]	_____	_____	_____
3.	Does the calibration program require test and inspection equipment/tools be traceable to a standard acceptable to the FAA/NAA (e.g., The National Institute of Standards and Technology (NIST)? [4C]	_____	_____	_____
4.	Does the calibration program require records to be kept for a minimum of two (2) years or two (2) calibration cycles? [4H]	_____	_____	_____
5.	Is there a system to identify each tool in the program, its calibration frequency and its calibration due date? [4D]	_____	_____	_____
6.	Does the vendor have a procedure for identifying, controlling, and/or preventing out-of-service, non-calibrated, for reference only, and due-for-calibration tools and equipment from being used? [4E]	_____	_____	_____
7.	Does the vendor have a procedure to control the calibration of personal tools? [4F]	_____	_____	_____
8.	Does the vendor comply with it calibrated tool program?	_____	_____	_____
9.	Did the sample check of the calibrated tooling indicate that the tooling is within calibration limits?	_____	_____	_____

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|---|------------|-----------|------------|
| 10. Do calibration records for tools and test equipment available for use: [4G] | | | |
| A. Show date calibrated? | _____ | _____ | _____ |
| B. Show calibration due date? | _____ | _____ | _____ |
| C. Identify the person that performed calibration or check? | _____ | _____ | _____ |
| D. Contain a calibration certificate for each item calibrated by an outside agency? | _____ | _____ | _____ |
| E. Record details of adjustments and repairs? | _____ | _____ | _____ |
| F. Show the P/N, S/N, and calibration due date of the standard used to perform the calibration? | _____ | _____ | _____ |

Section 5 **Materials and Equipment**

- | | | | |
|--|-------|-------|-------|
| 1. Does the vendor have, or have access to, tools and/or equipment which could be used to do work on air carrier members' aircraft? | _____ | _____ | _____ |
| 2. Are member air carriers supplied aircraft fluids (e.g. oil, hydraulic, grease, etc.) and/or material (e.g. tires, brakes, components) protected from the environment, segregated and controlled? If so, what items, and for who? [5B] | _____ | _____ | _____ |
| 3. Are sensitive parts and equipment (e.g. O2, o-rings, and ESD) properly packaged, stored, identified and protected from contamination and damage? [5C] | _____ | _____ | _____ |
| 4. Is there a shelf life program for age sensitive materials? If so, are materials within their limits? [5D] | _____ | _____ | _____ |
| 5. Does the vendor monitor member air carrier shelf life sensitive materials, such as tires? [5D] | _____ | _____ | _____ |
| 6. Does the vendor have a servicing room exclusively for oxygen? If so, are high pressure bottles correctly labeled and properly secured? [5E(1)] | _____ | _____ | _____ |

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|---|------------|-----------|------------|
| 7. Does the vendor maintain traceability certification for N2/O2 bottles? [5E(2)] | _____ | _____ | _____ |
| 8. Are fluid dispensing cans/bottles and servicing units properly identified? [5F] | _____ | _____ | _____ |
| 9. Is support equipment such as lift trucks, ladders, work stands, and harnesses available and in good working condition, and appropriately protected to eliminate possible aircraft damage? [5A] | _____ | _____ | _____ |
| 10. Are tire and brake dollies available? | _____ | _____ | _____ |

Section 6 Technical Data

- | | | | |
|--|-------|-------|-------|
| 1. Does the vendor have applicable access to the member air carriers' technical data for maintenance use? [6A] | _____ | _____ | _____ |
| 2. Does the vendor properly complete the logbook per member air carriers' procedures? [6A] | _____ | _____ | _____ |

Section 7 General Information

- | | |
|---|-------|
| 1. What are the facility hours? | _____ |
| 2. How many mechanics are at this facility? | _____ |
| 3. Does the vendor have a hangar? If so, what is the largest aircraft type that can accommodated? | _____ |
| 4. Are aircraft jacks available? | _____ |
| 5. Does the vendor maintain its own supply of available aircraft fluids (e.g. oil, hydraulic, grease, etc.)? If so, which ones? | _____ |
| 6. Does the vendor have the capacity to service Oxygen? At the gate? | _____ |
| 7. Does the vendor have the capacity to service Nitrogen? At the gate? | _____ |
| 8. Does the vendor have the capacity to service Hydraulics? | _____ |

APPENDICES

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

"AIR CARRIER DATA" DOCUMENTS LIST

This Appendix is to be used as an aid in identifying the specific Air Carrier documents which may be encountered during the course of an audit. Auditors shall be aware of which sustaining member carriers use the services of the vendor under surveillance (check the usage list prior to arriving at the vendor) and check to ensure that any documents so specified by members, and referenced in a work request (e.g. work order, repair order, etc.), are available, have been complied with, and have been referenced (if required) on the vendor's return to service documents.

NOTE: This listing contains those air carrier generated and/or specific documents which are not commonly used within the industry. Examples of commonly used documents include (but are not limited to): Airworthiness Directives (AD), Service Bulletins (SB), Service Letters (SL), Original Equipment Manufacturer (OEM) Data/Manuals, Engineering Orders (EO), Engineering Authorizations (EA), Repair Orders (RO), Service Orders (SO), Purchase Orders (PO), Component Maintenance Manuals (CMM) and General Maintenance Manuals (GMM).

<u>C.A.S.E. Member</u>	<u>Document Name(s) & Acronym(s)</u>	<u>Responsibility</u>
462 ABX Air	Component Engineering Authorization (CEA), Airworthiness Directive Verification (ADV), Job Card Engineering Authorization (JEA), Planning Engineering Authorization (PEA), N-Item Engineering Authorization (NEA), Automated Component Specification Manual Information (ACSM)	Engineering
D15 Air Transport International	None Specified	
113 Alaska Airlines	Engineering Control (EC), Alaska Airlines CMM Supplements/Temporary revisions, Build Specifications and/or contracts	Engineering Technical Publications Material Control
C36 Allegiant Air LLC	None Specified	
101 American Airlines	Engineering Specification Order (ESO)	Technical Publications (Tulsa)

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

071 Atlas Air	Customer Engineering Order (CEO), Modification Order (MO), Engineering Co-ordination Sheet (ECOS), Fleet Campaign Directive (FCD)	Engineering Director, Q/C Director, and Technical Operations Director
741 Compass Airlines	Fleet Campaign Directive (FCD), Standard Maintenance Procedures (SMP), Shop Build Specification (SBS)	Technical Engineering Department
C67 CommutAir	None Specified	
B73 Copa Airlines	None Specified	
053 Delta Air Lines	Delta Vendor Shop Practices Manual (VSPM), All publications with "Northwest" or "Delta" in the title, Engineering Mandatory (EM), Fleet Campaign (FC)	Delta Engineering
060 Empire Airlines	None Specified	
596 Endeavor Air	Build Specifications	Engineering
051 Envoy Air	Fleet Campaign Directive (FCD), Engineering Technical Notice (ETN), General Procedures Manual	Technical Services
564 Express Jet Airlines	Engineering Change/Repair Authorization (EC/RA), Fleet Campaign Directive (FCD), Engineering Report (ER), Bill of Material (BOM), Alternate Component/Test Equipment Approval (ACA) Engine Repair Order ASA Engineering Control (EC)	Technical Services Powerplant Engineering Engineering
056 Federal Express	Policy Sheet, Fleet Engineering Authorization (FEA), Supplemental data Authorization (SDA)	Engineering, Technical Publications

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

B21 Frontier Airlines	Engineering Specifications – ES 827	Engineering
CO3 GoJet Airlines, LLC	SUP-005, PAP-form 5	Quality Assurance
095 Hawaiian Airlines	None Specified	
041 Horizon Air	Build Specs.: Horizon Air Dowty R408/6-123-F/17 Propeller Build Spec, Pratt & Whitney PW150 Series Engine Build Specification	Maintenance Technical Publications
630 JetBlue Airways	Engineering Control (EC) Engineering Action (EA) Build Specification Information Notice	Engineering Technical Publications
B36 Kalitta Air, LLC	None Specified	
385 KLM Royal Dutch Airlines	Supplement Page (SP), Shop Travelers (ST)	Engineering
566 Lufthansa Technik	E-mails regarding an individual PO/RO	Engineering
628 Mesa Airlines	Technical Build Specifications (TBS)	Issued by Repairs Dept., Controlled by Technical Support
590 Miami Air Intl.	None Specified	
B87 NetJets	Approved Aircraft Inspection Program (AAIP) Continuous Inspection Program (CIP) Continuous Airworthiness Inspection Program (CAMP) Engine Progressive Maintenance Program (EPMP)	Maintenance Technical Publications
B20 Omni Air International	Engineering Specification Order (ESO)	Engineering, Technical Services

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

042 Piedmont	Piedmont Maintenance Policies and Procedures Manual (MP & P) Fleet Campaign Directive (FCD)	Technical Support and Engineering
542 Polar Air cargo	See 071 Atlas Air	
D18 Saudia Airlines	None Specified	
D13 Silver Airways	Technical Order (TO) Technical Authorization (TA)	Engineering
402 SkyWest Airlines	Inspection Task Card	Engineering
BB2 Southern Air	None Specified	
C46 Southwest Airlines	Engineering Build Standard (EBS) Aircraft Change Order (ACO) Component Change Order (CCO) Engineering Drawing (DWG) Technical Service Request (TSR) SA-M 753 Workslope Planning Sheet for CFM engines SAM 753-A Workslope Planning Sheet for Rolls Royce engines Outsource Maintenance Provider Standards Manual (OPSM) Subcontractor Maintenance Approval Request Transaction (SMART)	Engineering Powerplant Engineering Quality Assurance
487 Spirit Airlines	None Specified	
507 Sun Country	None Specified	
B32 TAM	None Specified	
321 Trans States Airlines	None Specified	

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

120 United Air Lines	Joint Documents (JD), Approved Repair (AR), Change Order Authorization (COA), General Process Manual (GNMM), Repair Authorization, Shipping Memo, UA Illustrated Parts Catalog, UA Drawings, Engineering Change Record (ECR), UA CMM, UA Component Training Guide Continental Engineering Change Request Authorization (ECRA)	Engineering
510 United Parcel Service	UPS Heavy Maintenance Provider (Airframe) Letter of Authorization (Part One) and Program Deviation (Part Two) Requirements, Form 33-42-002. UPS Heavy Maintenance/APU Provider (Powerplant) Letter of Authorization (Part One) and Program Deviation (Part Two) Requirements, Form 33-42-003.	Quality Assurance
606 U.S.A. Jet Airlines	None Specified	
C59 Virgin America	Engineering Control Document (EC)	Engineering

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

DOD REPRESENTATION EXCEPTIONS/ACCEPTANCES

1. In order to clarify the relationship between the Air Carrier Section of C.A.S.E. and the Department of Defense Commercial Airlift Division (DOD), the following exceptions/acceptances have been delineated:
 - A. The DOD is part of the U. S. Armed Forces and uses many of the Air Carrier Section Sustaining Member Air Carriers for the transportation of Armed Forces personnel.
 - B. The DOD performs Air Carrier surveys to qualify Air Carriers to support their mission. The DOD is not required to have an operating certificate under 14 CFR Parts 121 or 135. (2-0-0, 2A1)
 - C. The DOD will not be required to maintain a C.A.S.E. Level III auditor or Level IV Evaluator qualified to any ACS standard.
 - D. A DOD representative may serve on the Audit and Compliance committee of the ACS for the purpose of ensuring members' continued compliance to C.A.S.E. policies and procedures. They report on the auditing of Air Carrier Members in order to aid the Audit and Compliance committee with ensuring the Membership Requirements and Obligations of the C.A.S.E. ACS Policies and Procedures, Chapter 2 are met using the Air Carrier Evaluation Report form (CACS-6).
2. The DOD is subject to the following limitations:
 - A. Representatives of the DOD shall not:
 - 1) Hold either the C.A.S.E. President or Vice President position,
 - 2) Hold any ACS chair or vice-chair position,
 - 3) Have a vote on any ACS issues, including those within the Audit and Compliance committee, Nor,
 - 4) Serve on any committee other than the ACS Audit and Compliance committee.

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

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C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

"AIR CARRIER MAINTENANCE TRAINING" DOCUMENTS LIST

This Appendix is to be used as an aid in identifying the specific Air Carrier method of training and documentation of Contract Maintenance (On-Call) Vendors which may be encountered during the course of the audit. Auditors should be aware of which sustaining member carriers use the services of the vendor under surveillance (check the usage list prior to arriving at the vendor) and check to ensure that any documents so specified by members are available, have been complied with, and meet member recurrent training intervals.

<u>C.A.S.E.</u> <u>Member</u>	<u>Method of Training</u>	<u>Method of Record</u>	<u>Training Recurrent Interval</u>
462 ABX Air			
493 Air Canada			
D15 Air Transport International			
113 Alaska Airlines			
101 American Airlines			
071 Atlas Air			
741 Compass Airlines			
C67 CommutAir			
B73 Copa Airlines			
053 Delta Air Lines			

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

060 Empire
Airlines

596 Endeavor
Air

051 Envoy Air

564 Express
Jet Airlines

056 Federal
Express

B21 Frontier
Airlines

CO3 GoJet
Airlines, LLC

095 Hawaiian
Airlines

041 Horizon
Air

630 JetBlue
Airways

B36 Kalitta
Air, LLC

385 KLM
Royal Dutch
Airlines

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

566 Lufthansa
Technik

628 Mesa
Airlines

590 Miami Air
Intl.

576 Mountain
Air Cargo

B87 NetJets

B20 Omni Air
International

042 Piedmont

542 Polar Air
cargo

D18 Saudia
Airlines

D13 Silver
Airways

402 SkyWest
Airlines

BB2 Southern
Air

C46
Southwest
Airlines

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

487 Spirit
Airlines

507 Sun
Country

667 TAM

321 Trans
States Airlines

120 United Air
Lines

510 United
Parcel Service

606 U.S.A. Jet
Airlines

C59 Virgin
America

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

"AIR CARRIER FUEL TRAINING" DOCUMENTS LIST

This Appendix is to be used as an aid in identifying the specific Air Carrier method of training and documentation of Fuel Vendors which may be encountered during the course of the audit. Auditors should be aware of which sustaining member carriers use the services of the vendor under surveillance (check the usage list prior to arriving at the vendor) and check to ensure that any documents so specified by members are available, have been complied with, and meet member recurrent training intervals.

<u>C.A.S.E. Member</u>	<u>Method of Training</u>	<u>Method of Record</u>	<u>Training Recurrent Interval</u>
462 ABX Air			
493 Air Canada			
D15 Air Transport International			
113 Alaska Airlines			
101 American Airlines			
071 Atlas Air			
741 Compass Airlines			
C67 CommutAir			
B73 Copa Airlines			
053 Delta Air Lines			

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

060 Empire
Airlines

596 Endeavor
Air

051 Envoy Air

564 Express
Jet Airlines

056 Federal
Express

B21 Frontier
Airlines

CO3 GoJet
Airlines, LLC

095 Hawaiian
Airlines

041 Horizon
Air

630 JetBlue
Airways

B36 Kalitta
Air, LLC

385 KLM
Royal Dutch
Airlines

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

566 Lufthansa
Technik

628 Mesa
Airlines

590 Miami Air
Intl.

576 Mountain
Air Cargo

B87 NetJets

B20 Omni Air
International

042 Piedmont

542 Polar Air
cargo

D18 Saudia
Airlines

D13 Silver
Airways

402 SkyWest
Airlines

BB2 Southern
Air

C46
Southwest
Airlines

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

487 Spirit
Airlines

507 Sun
Country

667 TAM

321 Trans
States Airlines

120 United Air
Lines

510 United
Parcel Service

606 U.S.A. Jet
Airlines

C59 Virgin
America