

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 Date: _____

Address Line 1: _____

Address Line 2: _____

City: _____ State/Province: _____

Country: _____ Zip code: _____

Website: _____

Accountable Manager: _____

Personnel Contact:

Name

Title

1. _____

2. _____

Phone #: 1. _____ Phone #: 2. _____

E-mail: 1. _____

E-mail: 2. _____

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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.

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	<u>YES</u>	<u>NO</u>	<u>N/A</u>
Policy/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? [2C]	_____	_____	_____
3. Does the vendor only perform work authorized on its Operations Specifications? [2A]	_____	_____	_____
4. Does the vendor have an FAA approved anti-drug and alcohol misuse prevention program (A449 and/or Registration)? [2D, E]	_____	_____	_____
5. 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). [2E]	_____	_____	_____
6. Does the vendor have a documented procedure to verify the validity of FAA mechanic certificates through the FAA? [2B]	_____	_____	_____
Quality Program			
7. 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]	_____	_____	_____
8. 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]	_____	_____	_____
9. Does the Quality Control Manual include references, where applicable, to manufacturer’s inspection standards? [3C]	_____	_____	_____
10. Does the Quality Control Manual include samples of and instructions for completing maintenance and inspection forms, or reference a separate forms manual? [3C]	_____	_____	_____
11. Does the vendor have a documented internal audit and surveillance function and schedule, and are personnel performing internal audits trained? [3E]	_____	_____	_____

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	<u>YES</u>	<u>NO</u>	<u>N/A</u>
12. Does the vendor identify specific individual primarily responsible for the internal audit program? [3E]	_____	_____	_____
13. Does the internal audit function ensure compliance with air carrier specifications? [3E]	_____	_____	_____
14. Does the internal audit program assure appropriate corrective actions to prevent reoccurrence and follow-up for effectiveness? [3E, F]	_____	_____	_____
15. Does the vendor maintain internal audit reports for at least 36 months and two (2) complete audit cycles and are the results communicated to the Accountable Manager? [3E]	_____	_____	_____
16. Does the vendor ensure that contractor/sub-contractor quality meets air carrier specifications and legal requirements? [3J]	_____	_____	_____
17. 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]	_____	_____	_____
18. 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]	_____	_____	_____
19. Does the repair station perform surveillance of all sub-contracted, contracted and vendor maintenance agencies at a frequency not to exceed 36 calendar months? [3I]	_____	_____	_____
20. Does the repair station perform a self-evaluation to determine that the repair station has all of the housing, facilities, equipment, material, technical data, processes, and trained personnel in place to perform the work on the article prior to listing it on the capability list (and retain the evaluation)? [2C]	_____	_____	_____
21. Does the vendor comply with its receiving process? [4B]	_____	_____	_____
22. Does the vendor have a contract allowing the FAA to inspect non-certificated contractor/sub-contractors? [3J]	_____	_____	_____

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- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|--|------------|-----------|------------|
| 23. Does the vendor have a procedure for reporting defects, or unairworthy conditions to the air carrier and the FAA/NAA? [3K] | | | |

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

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|--|--|--|--|
| 24. Does the vendor have a documented procedure for handling suspected unapproved parts (SUP) which includes formal training, detecting SUP, and reporting SUP to the air carrier prior to or in conjunction with reporting SUP to the FAA/NAA. [3L] | | | |
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Inspection Programs

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| 25. Is there proper separation of maintenance and inspection responsibilities for vendors that perform required inspections (RII)? [4A] | | | |
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| 26. Does the vendor properly execute air carriers' required inspections (RII)? [4A] | | | |
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| 27. Does the vendor have an acceptable receiving inspection system which includes verification of identifying data (P/N, S/N, nomenclature, mod. No.) on the documentation and the data plate match? [4B] | | | |
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| 28. Does the vendor ensure incoming parts and materials comply with specifications including certification documentation and traceability? [4B] | | | |
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| 29. Do final inspection personnel ensure that adequate checks, tests, and inspections are performed to air carrier specifications? [13F] | | | |
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| 30. Do personnel follow the return to service procedures? [3B, 5G] | | | |
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| 31. Does the vendor have an acceptable, documented system for controlling stamps for both inspection and production personnel? [4C] | | | |
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Personnel

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| 32. Has the vendor designated an employee as the "Accountable Manager"? [5A] | | | |
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NOTE: Managers for FAA and EASA could be different.

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| 33. Does the vendor employ a minimum of two (2) persons? [5B] | | | |
|---|--|--|--|

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- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|--|------------|-----------|------------|
| 34. Does the roster (Do the rosters) identify all management, supervisory, inspection and personnel authorized for return to service? [5C] | _____ | _____ | _____ |
| 35. Does the repair station have an employment summary for all personnel listed on the repair station roster(s)? [5D] | _____ | _____ | _____ |
| 36. Do the vendor's supervisory personnel satisfy the requirements of this standard? [5E] | _____ | _____ | _____ |
| 37. Do the vendor's inspection personnel satisfy the requirements of this standard? [5F] | _____ | _____ | _____ |
| 38. Do the vendor's return-to-service personnel satisfy the requirements of this standard? [5G] | _____ | _____ | _____ |

Technical Data

- | | | | |
|--|-------|-------|-------|
| 39. Is the appropriate technical data being utilized (e.g. current CMM, AMM, SRM, etc.)? [6A, B] | _____ | _____ | _____ |
| 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 documented 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] | _____ | _____ | _____ |
| 46. Is technical data stored in a manner that will protect it from dirt and damage? [6D] | _____ | _____ | _____ |
| 47. Are adequate viewing devices in good condition and available for viewing the technical data? [6E] | _____ | _____ | _____ |

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- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|--|------------|-----------|------------|
| 48. 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] | _____ | _____ | _____ |
| 49. 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? [3M] | _____ | _____ | _____ |

Shelf Life Program

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|--|-------|-------|-------|
| 50. Does the vendor have a documented shelf life program? [7A] | _____ | _____ | _____ |
| 51. Does each shelf life item have the shelf life expiration limit displayed? [7B] | _____ | _____ | _____ |
| 52. Were items sampled for shelf life within limits? [7C, D] | _____ | _____ | _____ |

Tool Calibration, Control, and Equivalency

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|--|-------|-------|-------|
| 53. Does the vendor have a documented calibration program and do they comply with it? [8B, 13B] | _____ | _____ | _____ |
| 54. Does the program identify the calibration frequencies, limitations, and applicable tolerances or specifications? [8B] | _____ | _____ | _____ |
| 55. 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] | _____ | _____ | _____ |
| 56. 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] | _____ | _____ | _____ |
| 57. Is there a system to identify each tool in the program, its calibration frequency, and its calibration due date? [8D, I] | _____ | _____ | _____ |
| 58. 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] | _____ | _____ | _____ |
| 59. Does the vendor have a procedure to control the calibration of personal tools? [8F] | _____ | _____ | _____ |

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	<u>YES</u>	<u>NO</u>	<u>N/A</u>
60. Did the sample checks of the calibrated tooling indicate that the tooling is within calibration limits? [8A-G]			
61. 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?			
F. Show the P/N and S/N of the standard used to perform the calibration?			
62. Where tooling/test equipment is used, does the vendor: [8J]			
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?			
63. Where a vendor uses non-OEM specified tooling/test equipment, is it properly substantiated as equivalent? [8J]			
64. Are the tools and test equipment in serviceable condition? [8D, E]			
Training Program			
65. Are RII inspectors properly trained and certified? [5F]			

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	<u>YES</u>	<u>NO</u>	<u>N/A</u>
66. 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, 9D, and 13B]	_____	_____	_____
67. Are the training records retained for a minimum of two (2) years after the employee leaves the company? [9C]	_____	_____	_____
68. Do records indicate the vendor provides initial and recurrent training to personnel? [9E]	_____	_____	_____
69. Does the vendor have and use a documented training program? [9A, D(1), E, 5E - G]	_____	_____	_____
70. Is formal and OJT training documented? [9B, E]	_____	_____	_____
71. Does the vendor's training program include knowledge of regulations, standards, human factors and procedures in accordance with customer requirements? [9D, E]	_____	_____	_____
72. Does the vendor's training program include initial and recurrent training? [9D]	_____	_____	_____

Housing and Facilities/Safety/Security/Fire Protection

73. If the vendor deals in non-aircraft parts, materials and/or maintenance activities, are they adequately segregated from the aircraft functions? [10A]	_____	_____	_____
74. Does the vendor have: [10B]			
A. Sufficient workspace 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?	_____	_____	_____

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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?	_____	_____	_____
75. 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]	_____	_____	_____
76. 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]	_____	_____	_____
77. 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]	_____	_____	_____
78. Does the vendor have adequate safety procedures in place and are the operations conducted in a safe manner and environment? [11A-G]	_____	_____	_____
79. Is the security system adequate to ensure safety and security of air carrier's parts and aircraft? [11B]	_____	_____	_____
Storage			
80. Are parts and materials correctly identified and properly stored? [12A, B]	_____	_____	_____

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- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|---|------------|-----------|------------|
| 81. Does the vendor have a quarantine area for rejected parts and materials awaiting disposition? [12C] | _____ | _____ | _____ |
| 82. Are parts and material properly protected from damage and deterioration? [12D] | _____ | _____ | _____ |
| 83. Are flammable, toxic or volatile materials properly identified and stored? [12E] | _____ | _____ | _____ |
| 84. 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] | _____ | _____ | _____ |
| 85. Are high pressure bottles correctly labeled, properly stored, secured, and traceable? [12G] | _____ | _____ | _____ |
| 86. Does the vendor maintain traceability certification on all parts and raw materials? [12H, I] | _____ | _____ | _____ |

Records

- | | | | |
|--|-------|-------|-------|
| 87. Does the vendor's record keeping system and retention time meet 14 CFR requirements? [13K] | _____ | _____ | _____ |
|--|-------|-------|-------|

Work Processing

- | | | | |
|--|-------|-------|-------|
| 88. Does the vendor have a duty time limitation requirement? [13A] | _____ | _____ | _____ |
| 89. Are all required licenses and repairman certificates available for review? [2A] | _____ | _____ | _____ |
| 90. Does the vendor have appropriate tools and test equipment (including equivalent non-OEM) to perform the work? [13B(2)] | _____ | _____ | _____ |
| 91. Are calibrated tools and equipment labels showing within calibration and are they legible? [13B] | _____ | _____ | _____ |
| 92. Are air carriers' parts properly identified throughout the maintenance actions and in storage? [13D] | _____ | _____ | _____ |

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	<u>YES</u>	<u>NO</u>	<u>N/A</u>
93. Does the vendor have a work turnover procedure and are they following it? [13E]			
94. 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. Verify that air carrier specifications were incorporated?			
D. Obtain approval for deviating, if necessary, from air carrier specifications?			
E. Ensure work was performed to air carrier specifications through adequate checks, inspections, and tests??			
F. Ensure the work documents returned from a subcontractor (at any tier) are adequate to support a major/minor determination?			
95. Is the unit/aircraft protected from FOD? [13G]			
96. Are fluid dispensers, blast media cabinets, cleaning tanks, and similar equipment properly marked with contents and stored to prevent spillage? [13H]			
97. Are the vendor's work records complete, in order, and legible? [13I]			
98. 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. The name of the person performing the work?			

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	<u>YES</u>	<u>NO</u>	<u>N/A</u>
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?			
99. Does the vendor's return-to-service document meet air carrier and FAA/NAA requirements? [13I(5)]			
100. Does the vendor maintain certification on sub-contractor work? [13I]			
101. Were Major repairs/alterations properly documented? [13I]			
102. Were ADs properly evaluated, accomplished, and documented? [13F]			
103. Do Personnel properly interpret maintenance requirements and obtain approval to deviate from specified customer maintenance data? [13C]			
104. Do Personnel notify supervisor/lead mechanic of mistakes requiring rectification to meet required customer specified maintenance data? [13C]			
105. 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? [13C]			
106. Is maintenance properly performed and documented for: [1D, 3A-B]			
A. Preliminary inspection?			
B. Functional test?			
C. Hidden damage inspection?			
D. Unit disassembly per instructions?			
E. Unit cleaning per instructions?			
F. Parts inspection/checking per instructions?			

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YES **NO** **N/A**

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? _____|_____|_____

107. Are components returned in an appropriate shipping container or as specified by the air carrier? [14A] _____|_____|_____

Scrap Parts Program

108. Does the vendor have a documented procedure for controlling scrapped parts? [15A] _____|_____|_____

109. Does the scrap program require a record of scrapped life-limited parts to be maintained for a minimum of two (2) years? [15B] _____|_____|_____

110. Does the record include the P/N, S/N and date of the scrapped part? [15B] _____|_____|_____

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

Hazmat Program

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

Electrostatic Sensitive Device (ESD) Program

113. Does the vendor, which works on or handles ESD components, have a documented ESD Program in place? [17] _____|_____|_____

A. Shop floor grids grounded if installed? _____|_____|_____

B. All ESDs only handled using grounding wrist or heel straps and conductive desk mats? _____|_____|_____

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- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|---|------------|-----------|------------|
| C. Devices contained in ESD conductive packaging sealed with conductive tape? | | | |
| D. 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. Appropriate warnings and caution signs and decals placed in areas where ESDs are handled? | | | |
| F. Are wrist straps, heel straps and grounding mats either constantly monitored or tested for conductivity at regular intervals or prior to use, and are test results recorded? | | | |
| G. Maintenance personnel trained on ESD handling? | | | |

Cyber Security Program

114. For vendors that utilize Automated Test Equipment (ATE) or Portable Maintenance Access Terminals (PMATs) to make airworthiness determinations or that download software onto aircraft components, does the vendor have a documented Cyber Security Program in place? [18]
- | | |