

# C.A.S.E.

## AIR CARRIER SECTION

### POLICIES AND PROCEDURES

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#### 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:** \_\_\_\_\_

**Air Carrier Certificate No.:** \_\_\_\_\_ **D090 Verified**

**Number of Level II/ III/ IV auditors:** \_\_\_\_\_

**Air Carrier Contacts:**

C.A.S.E.: \_\_\_\_\_ Phone: \_\_\_\_\_

Quality Dept.: \_\_\_\_\_ Phone: \_\_\_\_\_

Management: \_\_\_\_\_ Phone: \_\_\_\_\_

**Recommend Approval of Air 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)**  
(Name/Company/Signature)    **NOTE:** Not applicable for self-audits.

\_\_\_\_\_  
**Date**

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---

**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)?	_____	_____
<b>NOTE:</b> 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: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

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---

- |  | 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)? | _____ | _____ |
|---|-------|-------|

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---

**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: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_