

# C.A.S.E.

## AIR CARRIER SECTION

### POLICIES AND PROCEDURES

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#### Distributors of New and Surplus Parts

Audit Checklist

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

**Distributor's Name:** \_\_\_\_\_

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

**City:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

**Division of:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

**E-mail:** \_\_\_\_\_ **Fax:** \_\_\_\_\_

**Years in Business:** \_\_\_\_\_ **Size-Number of Personnel:** \_\_\_\_\_

**Distributor Contacts:** \_\_\_\_\_

**Quality Control:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

**Inspection:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

**Material Control:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

**Auditor's recommendation of surveillance audit interval:** \_\_\_\_\_ **months**

**Quality System:** Accepted  Not Accepted

**Corrective action required by** \_\_\_\_\_ **prior to acceptance.**

**Corrective action required by** \_\_\_\_\_ **for continued acceptance.**

**Acceptable corrective action received on** \_\_\_\_\_

**Auditor's Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

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

**Note:** Refer to 3-A Standard, 4-4-0.

**Note:** If register action taken is to add or update the vendor, initiate and complete "Vendor Expectations and Limitations" form letter (CACS-7) prior to taking the register action.

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**Note:** This checklist is based on the requirements stated in the C.A.S.E. 3-A Standard in 4-4-0 of this manual.

	YES	NO	N/A
<b>1. Quality Organization</b>			
A. Is there a documented quality program? [2A]	_____	_____	_____
B. Does the quality manual describe the Quality Department and its relationship to the rest of the organization? [2A]	_____	_____	_____
C. Does the manual identify specific persons, by title, responsible for the following quality functions? [3C]			
1) Quality Program	_____	_____	_____
2) Inspection	_____	_____	_____
3) Tool and Test Equipment Calibration	_____	_____	_____
4) Technical Data Control	_____	_____	_____
5) Shelf Life Program	_____	_____	_____
6) Scrapped Parts	_____	_____	_____
D. Is the quality manual current and made available to all employees? [3C]	_____	_____	_____
E. Is there a roster of: [3D]			
1) Persons that are authorized to perform inspections?	_____	_____	_____
2) A list of inspections they are authorized to perform?	_____	_____	_____
F. Does the distributor maintain a current list of manufacturers who officially authorize them as their distributor? [3E]	_____	_____	_____

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

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	YES	NO	N/A
<b>4. Technical Data Control</b>			
A. Is there a documented system to obtaining technical data and maintaining it up to date? [6A]	_____	_____	_____
B. Is the appropriate and current technical data readily available to personnel? [6A]	_____	_____	_____
C. Is AD status verification provided on date of sale? [6B]	_____	_____	_____
D. Is there a system to prohibit hand entries or corrections to technical data? [6A]	_____	_____	_____
E. Is technical data stored in a manner that will protect it from dirt and damage? [6C]	_____	_____	_____
<b>5. Record Keeping</b>			
A. Does distributor request adequate test and inspection records with each order of parts? [7A]	_____	_____	_____
B. Are records confirming fastener integrity maintained for two years (i.e. chemical and physical properties)? [7B]	_____	_____	_____
C. Are records with flammability requirements retained for two years after sale? [7C]	_____	_____	_____
D. Is traceability and certification documentation maintained for two years after sale? [7D]	_____	_____	_____
E. Does the vendor's purchase records/sales orders chain of custody lead to a production approval holder (PMA, TSO, PC, TC, STC), FAA certificate, or manufacturer of standard parts? [7E]	_____	_____	_____
F. Do all life limited parts records confirm their life limited status from previous operator? [7F]	_____	_____	_____
G. Are records protected against damage, alteration, deterioration, and loss? [7G]	_____	_____	_____

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	YES	NO	N/A
H. Can each part, carton, or package of parts be linked to its certification and/or test records by some unique identifier? [7H]	_____	_____	_____
I. Are export Certificates of Airworthiness obtained for all foreign manufactured parts? [7H]	_____	_____	_____
J. Do serviceable parts have airworthiness approval documents attached from an FAA certified repair station or air carrier? [7J]	_____	_____	_____
K. Are teardown reports provided for serviceable parts? [7I]	_____	_____	_____
L. Are parts subjected to extreme stress or heat identified? [7J]	_____	_____	_____
<b>6. Training</b>			
A. Are personnel who perform supervisory, inspection, record keeping, parts handling, shipping and receiving functions properly trained and competent? [8A]	_____	_____	_____
B. Are inspection personnel properly authorized? [8B]	_____	_____	_____
C. Are both formal classroom and on-the-job training documented and maintained for two years? [8D]	_____	_____	_____
<b>7. Shelf Life Control</b>			
A. Is there a documented shelf life program? [9A]	_____	_____	_____
B. Is there a list of shelf life limited materials and parts and their limits? [9B]	_____	_____	_____
<b>8. Measuring and Test Equipment</b>			
A. Does the distributor have the tools required to assure conformity of the inventory to specification? [10A]	_____	_____	_____
B. Is there a documented program to maintain serviceability and calibration of those tools? [10A, 10B]	_____	_____	_____

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- |  | YES   | NO    | N/A   |
|--|-------|-------|-------|
| C. Are historical records containing repair and calibration accuracy data for that tooling maintained? [10C]   | _____ | _____ | _____ |
| D. Is the calibration of tools traceable to the National Institute of Standards and Technology, or appropriate governmental, or OEM standards? [10C] | _____ | _____ | _____ |
| E. If personally owned measuring tools are allowed on the premises, are they controlled by the program? [10C]  | _____ | _____ | _____ |

**9. Procurement**

- |   |       |       |       |
|---|-------|-------|-------|
| A. Are approved quality materials and parts purchased and are proprietary and licensing rights observed? [11A]      | _____ | _____ | _____ |
| B. Does the system assure that special requirements are adequately communicated to the distributor's sources? [11B] | _____ | _____ | _____ |
| C. Are new parts purchased from approved manufacturers or distributors authorized by the manufacturer? [11C]        | _____ | _____ | _____ |
| D. Is a list of approved suppliers maintained, including a quality history of each? [11D]                           | _____ | _____ | _____ |

**10. Material Control**

- |  |       |       |       |
|--|-------|-------|-------|
| A. Is material handled to preclude damage and deterioration? [12A]   | _____ | _____ | _____ |
| B. Are storage areas periodically checked for overall effectiveness? [12B]   | _____ | _____ | _____ |
| C. Is there a closed loop system for implementing corrective action following the detection of non-conforming parts and materials? [12C] | _____ | _____ | _____ |
| D. Is the non-conforming part/material segregated from useable stock? [12C]  | _____ | _____ | _____ |

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- |  | YES   | NO    | N/A   |
|--|-------|-------|-------|
| E. Are non-aircraft parts segregated from aircraft parts?<br>[12D]   | _____ | _____ | _____ |
| F. Is batch segregation utilized for aircraft fasteners,<br>materials requiring flammability testing, and other<br>material requiring batch control? [12E, 12F]              | _____ | _____ | _____ |
| G. Do purchases, less sales, equal inventory? [12E]  | _____ | _____ | _____ |
| H. If practical, is the manufacturer's original packaging<br>used? [12E]   | _____ | _____ | _____ |
| I. Does packaging clearly identify contents? [12G]   | _____ | _____ | _____ |
| J. Is material susceptible to electrostatic discharge<br>damage, and flammable, toxic, or volatile material<br>handled in accordance with proper requirements?<br>[12H, 12I] | _____ | _____ | _____ |
| K. Is a system in place to preclude part number<br>ambiguity? [12I, 12J]   | _____ | _____ | _____ |
| L. Are serviceable and unserviceable parts segregated?<br>[12L]  | _____ | _____ | _____ |

#### 11. Housing and Facilities

- |  |       |       |       |
|--|-------|-------|-------|
| A. Are good housekeeping and storage practices being<br>maintained to insure inventory is not damaged? [13A] | _____ | _____ | _____ |
| B. Is storage secure to prevent cannibalization of parts for<br>a repair process? [13A]                      | _____ | _____ | _____ |

#### 12. Internal Audit and Surveillance

- |  |       |       |       |
|--|-------|-------|-------|
| A. Is there an internal surveillance function that audits<br>programs to ensure compliance with customer and<br>regulatory requirements? [14A] | _____ | _____ | _____ |
| B. Are audit results documented including effective<br>corrective action? [14A]  | _____ | _____ | _____ |







