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6.0 C.A.S.E. AUDIT / INSPECTION STANDARDS

6.1 CASE STANDARDS DESCRIPTION

6.1.1 The purpose of CASE 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.

6.1.2 The member company conducting a CASE audit shall retain the audit report in their files until it is superseded by another CASE audit.

6.1.3 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. The forms are published in Chapter 7 of this manual with a unique numbering system, ARS-XX; i.e. Aeronautical Repair Station Section - sequence number. Each standard and its companion audit form are identified below.

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6.2 CASE STANDARD 1A

COMPONENT REPAIR / OVERHAUL VENDOR

QUALITY PROGRAM REQUIREMENTS

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1. **GENERAL**

A. This standard is intended to be a supplement to applicable FAR’s. It is not meant to be a restatement or replacement for the FAR’s.

B. This standard, in conjunction with applicable FAR’s describes the minimum requirements for a component repair/overhaul vendor’s quality program. It 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. [CASE]

C. Compliance with this standard does not necessarily accept a vendor for entry into the CASE Register. Vendors that are accepted for listing in the CASE Register must continue to meet the requirements of this standard. Vendors listed in the CASE Register may not advertise their CASE status or use the CASE logo. [CASE]

D. In addition to complying with this standard, all activities shall be accomplished in accordance with applicable portions of Federal Aviation Regulations Parts 43, 145, 121 Subpart L, 135 Subpart J, and regulations referenced therein. [145.2, 145.53, 145.57]

E. The Original Equipment Manufacturer (OEM) may modify or rebuild parts that he manufactures under his manufacturer’s authorization (PMA, PC, TSO etc.), but must have a repair station certificate (or MMF) to overhaul or repair a part they manufacture. A manufacturers maintenance facility (MMF) must meet all the requirements of the 1A standard (regardless of the exemptions to FAR 145) in order to be considered for update or addition to the C.A.S.E. Register. [145.1, 43.2, 43.3]

F. Vendors are subject to a technical audit at any time during normal working hours. The audit may be conducted by the customer or by another CASE member. 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. [CASE]

G. An acceptable audit result does not relieve the vendor of its responsibility to provide an acceptable product. [CASE]

H. All C.A.S.E. listed vendors shall maintain a file of CASE audit findings, and corrective action for three years. This file shall be accessible to any CASE authorized auditor on request. [CASE]
I. Definitions [FAR 1.1]

1. Maintenance - Means inspection, overhaul, repair, preservation, and the replacement of parts, but excludes preventive maintenance.

2. Person - Means 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.

J. Any License or certification required by Federal Aviation Regulations of any individual, equipment, or facility shall be kept current and shall be available for inspection. [145.39, 145.103, 145.17]

K. 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. [145.35]

L. The vendor shall display his repair station certificate and operation specifications at a place in the repair station that is normally accessible to the public and is not obscured. [145.19]

M. The U.S. domestic repair stations shall have an active, FAA approved anti-drug & alcohol testing plan that complies with FAR 121 Appendices I and J. The plan may be the vendor’s plan, a consortium plan which the vendor subscribes, or an air carrier customer’s plan. The vendor shall provide proof of membership in the plan and FAA acceptance of the plan. Letters of acceptance or exemption must be from the Drug Abatement Branch Office of Aviation Medicine, Washington, DC not from regional offices.

NOTE: This requirement does not apply to foreign repair stations.

N. All programs (e.g. shelf life, technical data, etc.) that require a person, by title, to be responsible for the effectiveness of the program must have a back-up person to ensure the program’s continuity during the primary person’s absence [CASE]

O. Each certificate holder (or person performing maintenance or preventive maintenance functions for it) shall relieve each person performing such work from duty for a period of at least twenty-four consecutive hours during any seven consecutive days, or the equivalent thereof within any one calendar month [121.377]

P. ARS-20 is the CASE Checklist associated with this standard.
2. QUALITY CONTROL PROGRAM

A. The vendor shall have an established quality control program adequate to assure a quality product or service that complies with customer specifications and applicable Federal Aviation Regulations. [145.2, 145.45]

B. The quality control program, including procedures and operations, shall be described in detail in a quality control manual or other appropriate document. The document shall include, but shall not be limited to, a detailed description of: [145.45]

1. The Quality Control Department, including an organizational chart showing the relationship of quality control to the rest of the organization. [121.365]

2. Duties, responsibilities and reporting relationship of the inspectors. [121.365, 145.45, CASE].

3. Manuals and other technical data distribution and revision control system. [145.57]

4. Return-to-service procedure, documents, and signature requirements. [43.5, 43.9, 145.59, 145.61]

5. Record keeping system and retention times. [43.5, 43.9, 145.61, 121.380]

6. Personnel Training requirements and records. [121.375, 145.39, 145.45, 145.59]

7. Shelf life control program. [43.13]

8. Control of rejected and/or scrapped parts. [145.35]

9. Receiving inspection procedures. [145.45]

10. Identification of customer units and parts throughout the repair/overhaul process. [CASE]

11. Tool and test equipment calibration program. [145.47]

12. Storage facilities, specifications, and parts identification. [145.35]

13. Environmental controls, as appropriate. [145.35]

C. The Quality Control manual or document shall be kept current and shall be readily available to employees and to the customer’s auditor or designee. [145.35]

D. The vendor shall have an internal audit and surveillance function that: [CASE, 145.45, 145.47]
1. Periodically reviews his programs to assure that the programs have procedures in place that assures compliance with customer specifications, regulatory requirements, and good industry practice.

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 customer specification and legal requirements. The vendor shall be responsible for any work performed by a sub-contractor.

E. The vendors’ internal audit and surveillance function shall contain provisions to assure that appropriate corrective action is taken promptly to: [CASE]

   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.

F. For vendors that perform Required Inspection Items (RII) as defined in FAR 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. [145.2, 121.365]

G. The vendor shall maintain a list of sub-contracted maintenance functions and the agencies that they have approved to perform these functions. [145.11, 145.47]

H. Records of sub-contractor work must show: [145.47]

   1. Proof that the sub-contractor is a certified repair station or,
   2. If the sub-contractor is not a certified repair station, the vendor itself shall determine the airworthiness of the article involved by inspection or test.

I. The vendor shall have a documented procedure in effect to report defects and unairworthy condition to the customer and the FAA. [121.703, 145.63]

3. INSPECTION

A. Each person performing required inspections must be appropriately certificated, properly trained, and authorized to do so. [145.39, 145.43, 145.45, 145.59, 121.317]
B. Inspection personnel must be thoroughly familiar with the inspection methods, techniques, and equipment used in their specialty to determine the quality or airworthiness of the article being repaired or overhauled. They must: [145.45, 145.59]

1. Maintain proficiency in those skills,
2. Have available and understand all applicable current tolerances and procedures, and
3. Be able to properly identify defects.

C. The vendor shall maintain an up-to-date roster of supervisory and inspection personnel. The roster shall include: [145.43, CASE]

1. Its supervisory personnel, including names of officials that are responsible for its management and the names of technical supervisors, such as foreman and crew chiefs.
2. Its inspection personnel, including the names of the chief inspector and those inspectors who make final airworthiness determinations before releasing an article to service.
3. The names of all personnel authorized by the repair station for return to service of aircraft, engines, propellers, or components thereof.
4. The inspections for which they are authorized, including RII, if applicable.
5. Repairman’s or mechanic’s certificate numbers, if applicable.
6. Current examples of inspector’s signatures, initials and/or ID stamps, as applicable.

D. The station shall provide a summary of employment for all personnel listed on the repair station roster. It shall include: [145.43]

1. Each person’s present title,
2. The total years of experience in the type of work each individual is doing,
3. Their past employment record with names of places and term of employment by month and year.
4. The scope of their present employment, and
5. The type and number of mechanic or repairman certificate that the individual holds and the ratings on that certificate.
E. The vendor shall have a satisfactory method of assuring that: [145.45]
   1. Incoming parts and materials comply with specifications.
   2. The part is free of defects or malfunctions, and
   3. The part is in a good state of preservation.

The vendor shall maintain a record of inspections and tests used to make this verification.

F. The vendor shall have a system for controlling inspection stamps, and production stamps if applicable, that includes the following: [CASE]
   1. A facsimile of each stamp type,
   2. A means of identifying who stamps are issued to,
   3. A policy for stamps that are lost or stolen,
   4. And a requirement that no stamp will be reissued within a six month period to two different employees.

4. TECHNICAL DATA CONTROL

A. All maintenance actions shall be accomplished in accordance with customer’s manuals. This shall include: [145.2]
   1. Technical data originating with or provided by the customer.
   2. OEM data as modified by the customer, or
   3. Unmodified OEM data if so specified by the customer.
   4. Technical data developed by the vendor, which is approved by the customer 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: [145.57]
   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
   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. [145.57]

D. Technical data shall be properly identified as to applicability and stored in manner that will protect if form dirt and damage. [145.57]

E. Where technical data is on microfilm, microfiche, or electronic device, an appropriate viewing device must be provided. It shall be: [145.53, CASE]
   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. Specific individual(s), by title, shall be named as responsible for: [CASE]
   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.

G. Should the vendor deviate from OEM data via their SFAR-36 authority, the vendor shall have a system for approval (including customer’s) and control of these revisions.

5. SHELF LIFE PROGRAM [43.13, 143.45, CASE]

A. If the vendor uses materials that have a shelf life he shall describe in his manual a program, procedure, and a detailed listing of parts and materials that are subject to shelf life. The listing may be maintained as a document separate from the manual but the manual must describe the listing or reference it and identify the person, by title, responsible for maintaining it.

B. The program shall identify a particular individual, by title, that is responsible for assuring an effective program.

C. The program shall include a means of identifying the expiration date of each shelf life limited item.

D. Any part or material that is past its expiration date shall not be used in the maintenance action of a customer’s unit or any spare unit that may be used on an aircraft.

E. The program shall specify a system that will assure that no expired material or part will be issued.
6. TOOL/TEST EQUIPMENT CALIBRATION PROGRAM [145.47, CASE]

A. Tools and test equipment used to comply with or verify specifications must be calibrated periodically to assure their accuracy.

B. The program shall identify the person responsible, by title, for the operation of the calibration program.

C. The calibration program shall include identification of the tools and test equipment in the program, the frequency of calibration, and the applicable tolerance or specification.

D. Standards used in calibration shall be traceable to the controlling government agency or a standard provided by the equipment manufacturer, e.g., the National Institute of Standards & Technology (N.I.S.T.).

E. The program shall provide a system for identifying the calibration status of each piece of equipment in the calibration program and their calibration due dates.

F. 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.

G. Personal tools or equipment used in verifying or complying with specifications shall be included in the program.

H. Records shall:
   1. Show the date the item was calibrated or checked
   2. Show the date the next calibration is due.
   3. Identify the individual or the vendor, if an outside company, that accomplished the calibration or check.
   4. Contain a certificate of calibration for each item calibrated by and outside agency.
   5. Record the details of any adjustment or repair required.
   6. Identify the standard, including the part number and serial number, used to calibrate the tool.

7. TRAINING [145.39, 145.45, 121.371, 121.375, CASE]

A. The vendor shall assure that each employee is properly trained for the work the individual is to perform.

B. The vendor shall document both formal (classroom) and on-the-job (OJT) training.
C. Employee training records for mechanics, inspectors, and supervisors shall be retained for two years after the employee has left the company. The records shall be available for inspection.

8. HOUSING AND FACILITIES [145.35]

A. The vendor shall provide suitable:
   1. Housing for its necessary equipment and material.
   2. Facilities for properly storing, segregating and protecting materials, parts, and supplies.
   3. Facilities for properly protecting parts and sub-assemblies during storage, disassembly, cleaning, inspection, repair, and assembly.
   4. Filtered air or clean rooms as required.

B. The housing and facilities shall protect:
   1. Parts, materials, and customers’ units from weather, dust, heat/cold, damage, theft, fire, and contamination from other shop activities, e.g. Paint spraying, grinding, and plating fumes.
   2. The workers, such that the quality of their workmanship is not impaired by their physical efficiency.

C. Housing and facilities shall have adequate space for the work to be accomplished and adequate lighting so that the quality of work is not impaired. The vendor shall exercise good housekeeping practices to prevent loss, damage, and contamination of customer parts and equipment and for personnel safety.

D. The vendor shall provide suitable storage facilities used exclusively for storing parts and materials. The area must be separated from the shop and work space and organized such that only acceptable parts and supplies are issued for any job.

E. The areas for receiving and for shipping customer units shall have adequate space, lighting, shelving, security, and fire protection to accommodate customers’ units in a manner that will preclude damage, loss, and theft.

F. There shall be an adequate and appropriate storage area to safely store customers’ reusable shipping containers and to protect them from environmental damage. [CASE]

9. SAFETY/SECURITY/FIRE PROTECTION
A. The housing and facilities shall provide adequate security and protection from fire. [CASE]

B. Security systems shall be reviewed periodically by vendor management or by a qualified outside firm to assure that the system is still adequate. [CASE]

C. Fire protection devices and systems shall be inspected periodically. [NFPA 10]

D. Fire fighting equipment and its locations shall be well identified and maintained in serviceable condition. [NFPA 10]

E. Walkways, doors, and fire extinguishers shall be clear of obstructions and easily accessible. [NFPA 10]

F. Appropriate safety devices shall be maintained in good condition and shall be used. [CASE]

G. Operations shall be conducted in a safe manner and in a safe environment that will avoid personnel injury and damage to customer property. [145.35, CASE]

10. STORAGE

A. Parts and materials shall be properly identified so that only acceptable parts and supplies will be issued for any job. [145.35]

B. Serviceability status of parts and materials shall be indicated in a manner that readily identifies serviceable parts and materials from the unserviceable. [145.35]

C. Rejected parts and materials, including questionable items awaiting disposition, shall be identified as rejected and stored separately from usable stock to preclude them from being issued for any job or shipped to the customer as serviceable. [145.35]

D. Parts and material shall be protected in storage and during transit, until installation, in a manner that will prevent damage, contamination, loss, or substitution. [145.35, 145.37]

E. Flammable, toxic, or volatile materials shall be stored in a fire proof cabinet or facility. [145.35 & NFPA 30]

F. Sensitive parts and equipment, e.g. oxygen parts, ‘o’ rings or electrostatic sensitive devices, shall be properly packaged, stored, identified, and protected from contamination and damage. [145.35]
G. High pressure bottles must be correctly labeled and properly stored and secured. [CASE]

H. The vendor must maintain traceability records for parts and raw material.

11. WORK PROCESSING

A. No vendor may perform any maintenance action unless the person performing that maintenance action: [145.39, 145.41, 145.45, 145.59, 121.375]
   1. Is properly trained, authorized, and certificated if required.
   2. Has available the appropriate tools and test equipment in good condition and properly calibrated, the correct parts, and current technical data.

   Should any of the above requirements be lacking, the vendor shall refuse the work or take appropriate corrective action to correct the deficiency.

B. OEM/non-OEM designated equipment: [43.13]
   1. For either OEM or non-OEM test equipment, the vendor shall:
      a. Have an operating manual and maintenance manual for the equipment.
      b. Perform maintenance, preventive maintenance and servicing as required by the operating and/or maintenance manual.
      c. Maintain records for two years of maintenance, preventive maintenance and servicing if any is required.
      d. If appropriate, list the test equipment in its calibration program.

   2. Where non-OEM designated test equipment is used, the vendor shall:
      a. Provide written certification that the equipment adequately performs the tests required by the OEM manual. The certification shall be signed by the OEM of the part(s) being tested or an outside firm qualified to make such a determination or an engineer on the vendor’s staff qualified to make such a determination.
      b. Show written evidence that the equipment is acceptable to the FAA. Acceptance may be shown as follows:
         • Listed in the Repair Station's FAA accepted inspection
C. The vendor shall have a system for identifying a specific customer’s parts, materials, or units throughout the entire maintenance action process, including 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. [CASE]

D. 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, CASE]

E. There shall be adequate procedures and controls of processes, and adequate checks, inspections, and tests to assure a good quality product that complies with customer specifications. [145.45, 145.55, 145.57, 145.61]

F. The vendor shall prohibit smoking, eating, and drinking or storing food and drink in any area where parts or customer units are stored or worked that could be adversely affected or damaged; e.g. fuel controls, hydraulic units, instruments, electronic components or have a written procedure ensuring parts or units have adequate protection against contamination or damage from such activity. [145.35]

G. Fluid dispensers used in the shop areas shall be properly marked and stored to prevent spillage.

H. The vendor shall maintain adequate records of all work performed including: [145.61, 43.9]
   1. The description of the work performed or reference to data acceptable to the administrator.
   2. The date of completion of the work performed.
   3. The name of the person performing the work.
   4. The name of the person inspecting the work.
   5. The name of the certificated mechanic or repairman who performed or supervised the work.
6. The signature, certificate number, and type of certificate of the person returning the article to service.

Note: The person, as stated above may be one or more individuals.

I. The vendor shall provide a return to service document with a component that has been made serviceable. The document shall include the signature (not printed name or inspection stamp/symbol/signature) of the individual authorized by the repair station to return the article to service. The document must include: [43.9, Part 43 Appendix B]
   1. A description of the work performed or reference to data acceptable to the Administrator.
   2. The date of completion of the work performed.
   3. The name of the person performing the work if different than the person specified in item 4 below.
   4. The signature, certificate number, and kind of certificate held by the person approving the work. The signature constitutes the approval for return to service only for the work performed.
   5. In addition major repairs and major alterations shall be entered on a form in accordance with FAR Part 43, Appendix B.

Note: The serviceable parts tag is the most common document used for the return to service or maintenance release statement. This information or release may also be included on the work order or other document and is acceptable. In any case a copy of the work order or maintenance record must also be sent with the part.

J. The vendor shall retain each record of maintenance action for at least two years after the work to which it applies is done. [145.61]

12. SHIPPING
A. Components shall be returned to the customer in an appropriate shipping container or one required by the customer. [CASE]
B. Serial Number (S/N) and Part Number (P/N) or Model Number, including dash numbers or letters on the documentation for the part shall match the identification information on the part data plate. [CASE]

13. SCRAPPED PARTS
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 their being restored and returned to service. [CASE]

B.

C. The procedure shall identify by title the individual responsible for verifying the parts were adequately damaged before discard. [CASE]

D. 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 at least two (2) years. The vendor may retain the records for a longer period if desired.
6.3 REPAIR/OVERHAUL VENDOR (ROV) CAPABILITY CODES

1. General

   A. The use of the C.A.S.E. Register does not relieve members of any responsibilities under the Federal Aviation Regulations.

   B. The capability codes are divided into two categories:

      • Repair/Overhaul Vendor (ROV) codes.
      • Specialized Services Vendor (SSV) codes.

      The Repair/Overhaul Vendor is a repair/overhaul facility that is approved by the FAA and holds a repair station certificate issued by the FAA.

      The Specialized Services Vendor is a vendor or supplier of specialty services, such as, a machine shop or a supplier of parts and materials as a surplus parts dealer.

   C. In using a vendor from the Register, the user is responsible to determine that the vendor has the capability to perform work on the specific part number in question or to perform the specialized service in accordance with applicable specifications.

   D. This publication describes the methods of coding an approved vendor into the C.A.S.E. Register and lists the vendor capability codes.

   E. Vendors to the Repair Station Section will appear in the C.A.S.E. Register under process Index Listing Number 940-XXX.

   F. The ROV codes reflect the ratings given an FAA repair station in accordance with FAR 145.31 and 145.33.

   G. If an ROV provides specialized services, the member will replace the “XX” with a previously unused alphanumeric code that tends to convey an idea of the service provided, along with an explanation of the code. Example: “940-MS - Machine Shop”.

2. ROV Codes:

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<tr>
<td>940-LPP</td>
<td>Limited Power Plant</td>
</tr>
<tr>
<td>940-LPR</td>
<td>Limited Propeller</td>
</tr>
<tr>
<td>940-LSS</td>
<td>Limited Specialized Service</td>
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<tr>
<td>940-LRB</td>
<td>Limited Rotor Blade</td>
</tr>
<tr>
<td>940-LRO</td>
<td>Limited Radio</td>
</tr>
<tr>
<td>940-MFM</td>
<td>Manufacture Modify</td>
</tr>
<tr>
<td>940-NDT</td>
<td>Nondestructive Testing</td>
</tr>
<tr>
<td>940-PP1</td>
<td>Power Plant Class 1</td>
</tr>
<tr>
<td>940-PP2</td>
<td>Power Plant Class 2</td>
</tr>
<tr>
<td>940-PP3</td>
<td>Power Plant Class 3</td>
</tr>
<tr>
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<td>Propeller Class 1</td>
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<tr>
<td>Code</td>
<td>Description</td>
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<tr>
<td>-------</td>
<td>---------------------------------------</td>
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<tr>
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<td>Propeller Class 2</td>
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<tr>
<td>940-RO1</td>
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<td>Radio Class 2</td>
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<tr>
<td>940-RO3</td>
<td>Radio Class 3</td>
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<td>940-SAC</td>
<td>Specialized Aircraft Cushions</td>
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<td>940-SCP</td>
<td>Specialized Chrome Plating</td>
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<tr>
<td>940-SCR</td>
<td>Specialized Container Repair</td>
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<tr>
<td>940-SDY</td>
<td>Specialized Dye Penetran</td>
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<tr>
<td>940-SMG</td>
<td>Specialized Magnetic Particle Inspection</td>
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3. **SSV Codes:**

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<th>Code</th>
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<tr>
<td>940-FS</td>
<td>Fuel Storage Facility</td>
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<td>940-FA</td>
<td>Aircraft Fueling Facility (into-wing)</td>
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<tr>
<td>940-MS</td>
<td>Machine Shop</td>
</tr>
<tr>
<td>940-OS</td>
<td>Oxygen Servicing</td>
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<tr>
<td>940-SPD</td>
<td>Surplus Parts Dealer</td>
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<td>940-NPD</td>
<td>New Parts Distributor</td>
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</table>
6.4 SUPPLIERS OF NEW AND SURPLUS PARTS STANDARD 3-A

C.A.S.E. STANDARD 3A

QUALITY PROGRAM REQUIREMENTS

SUPPLIERS OF NEW AND SURPLUS PARTS

1. GENERAL
   A. This standard describes the minimum requirements for a new aircraft part/material supplier and surplus aircraft parts dealer quality program hereafter referred to as supplier. It is designed to aid surveillance of a supplier who procures new and/or surplus parts and materials and resells some or all of such products to customers in the aviation industry. This standard may be used to determine the adequacy of the suppliers quality program.
   B. Compliance with this standard does not necessarily indicate that a supplier will be entered into the C.A.S.E. Register.
   C. Suppliers are subject to a quality system audit at any time during business hours. The audit may be conducted by the customer or by another C.A.S.E. member. Normally, the auditor will notify the supplier and arrange the audit so as to cause minimal interference with the suppliers operation but, should circumstances dictate, the auditor may arrive unannounced.
   D. An acceptable audit does not relieve the supplier of the responsibility of maintaining consistently acceptable quality system standards.
   E. The remanufacturing, alteration or repair supplier provides services beyond the scope of material control and distribution. A supplier audit for distribution is not interchangeable or a substitute for the audit applicable to suppliers performing repair or alteration services.
   F. Quality parts and materials are necessary to support compliance with applicable FARs which may include FAR 121.363, 121.272, 135.143, 121.215, 121.312 and /or 21.303. Advisory Circular 20-62 provides relevant information on aeronautical replacement parts. Suspected unapproved parts shall be segregated and secured and should be reported in accordance with Advisory Circular 21-29 (FAA Form 8120.11).
   G. ARS-30 is the checklist associated with this standard.
   H. Surplus supplier’s parts from an aircraft or engine subjected to extreme stress or heat (as in a major engine failure, accident or fire) must be identified as coming from such an aircraft or engine. In addition, parts themselves that have been subject to extreme stress or heat (i.e., a warehouse fire) shall be so identified.

2. QUALITY SYSTEM AND QUALITY MANUAL
   A. The supplier shall have an established quality system adequate to assure a quality product that complies with customer specifications. The quality system, including procedures and operations, shall be described in detail in a quality manual or other appropriate document. The document shall include, but shall not be limited to, a detailed description of the following elements:
      1. Quality organization
      2. Inspection procedures
      3. Shipping procedures
      4. Technical data control
5. Record keeping
6. Training requirements
7. Shelf life control
8. A measuring and test equipment calibration program, as applicable.
9. Procurement
10. Material control
11. Housing and facilities
12. Internal audit and surveillance
13. Scrapped parts procedure.

B. Quality elements not applicable to a specific organization shall be included in the supplier’s quality manual as “not applicable”. This would ensure the quality element was not overlooked.

C. The supplier shall have an audit and surveillance function that:
   1. Periodically self audits programs to verify procedures are in place that assure compliance with customer specifications, regulatory requirements and good industry practice.
   2. Verifies that operations are being conducted in accordance with these programs.

D. Self-audits shall be performed in accordance with written procedures or checklists that determine the effectiveness of the quality program. Audit results shall be documented including corrective action of non-compliance. Corrective action shall:
   1. Be appropriate and prompt.
   2. Correct the discrepancies reported.
   3. Locate and correct similar discrepancies, if they exist, in areas not audited.
   4. Correct the root cause of the problem evidenced by the discrepancies.
   5. Implement follow-up action(s) to eliminate recurrence.

3. QUALITY ORGANIZATION
   A. The supplier’s organization shall be depicted in an organizational chart showing the relationship of the quality department to the rest of the organization.
   B. Personnel who are responsible for quality systems must be identified by title. These include inspection, measuring and test equipment calibration, technical data control and shelf life control systems.
   C. The quality manual or document shall be kept current, identifying the standards to which it was written, and shall be readily available to employees and to the customer’s auditor or designee.
   D. The supplier shall maintain a current roster of personnel authorized to perform specific inspection functions and identify the inspections that each person is authorized to perform.
E. The distributor of new aircraft parts shall maintain a current list of those manufactures that have officially authorized the supplier as a distributor.

4. INSPECTION PROCEDURES

A. Inspectors shall verify that incoming parts and materials are free of defects and are in a good state of preservation.

B. The new parts supplier shall maintain an inspection program which includes periodic verification the standard parts meet the technical specifications applicable to the part number. The supplier shall insure that adequate specifications are available to support the inspection process, and that these specifications are current. The supplier shall maintain a record of inspections and tests used to make this verification. Suggested programs include sample tests of physical and chemical properties and checks of manufacturer’s test reports.

C. A receiving inspection program shall be in place to verify that materials received are of appropriate quality and are from the same lot or batch number as indicated on accompanying certifications and test reports, as applicable.

D. Receiving inspection for aircraft fasteners shall include a visual check for general workmanship and the presence of certifications and test reports.

E. If inspection stamps are used, a procedure must be in place to control stamp usage. The procedure must include the following:
   • A facsimile of each stamp.
   • A means of identifying to whom stamps have been issued.
   • A policy for stamps that are lost or stolen.
   • A requirement that no stamp will be reissued within a six-month period to two different employees.

5. SHIPPING PROCEDURES

A. The supplier’s quality system shall require components and parts be shipped in an ATA-300 specification container, or equivalent, as appropriate for the unit being shipped, or as specified by the customer. The item should be packed in the container in a manner that will preclude damage to parts or components due to rough handling of the container.

B. Appropriately trained personnel shall follow established procedures while conducting a complete visual inspection of all items being shipped. Inspection shall include, but is not limited to:

1. Checking for any obvious physical damage.
2. Verifying that all appropriate plugs and caps are installed.

WARNING
TAPE SHALL NOT BE USED TO COVER ELECTRICAL CONNECTIONS OR FLUID FITTINGS/OPENINGS. ADHESIVE RESIDUE CAN INSULATE ELECTRICAL CONNECTIONS AND CONTAMINATE HYDRAULIC OR FUEL UNITS
3. Verifying that quantity, part numbers (including dash numbers and letters), model numbers, serial numbers, etc. of the items being shipped match the accompanying documentation and the customer’s request/purchase order.

4. Verifying the packing slips contain all information required by the customer.

5. Verifying the shipping container and packing is appropriate to for the items being shipped.

6. Verifying that all appropriate required documentation (airworthiness approval/maintenance release, material certification, traceability documents, etc.) are at hand, properly completed and signed.

7. Verifying materials classified as HAZMAT have been inspected by appropriately trained personnel.

6. TECHNICAL DATA CONTROL
   
   A. Any technical data shall be maintained in a manner that ensures such data is current and accessible as appropriate. The technical data shall be stored in a manner that will protect it from dirt and damage. Hand entries in, or hand corrections to, technical data are not acceptable.

   B. A supplier’s system shall request verification of A.D. status at time of maintenance and provide the status of all Airworthiness Directives at the time maintenance was performed. Material certificate must indicate if AD status is unknown.

   NOTE: An air carrier or repair station purchase order should identify applicable ADs and request AD verification.

   C. Where technical data is on microfilm, microfiche or an electronic device, an appropriate viewing device must be maintained in good working order, protected from damage and available to persons using the data.

7. RECORD KEEPING
   
   A. A new parts supplier shall have in place a system governing the storage, distribution and retrieval of documents confirming that the physical and chemical properties of fasteners and raw stock aircraft materials (materials that are installed on and become part of the aircraft) are in conformance with applicable technical specifications.

   B. Records confirming aircraft fastener integrity, including physical and chemical test reports, shall be retained for a minimum of seven years after the sale.

   C. Records for materials with flammability requirements shall be retained for a minimum of seven years after the sale. Such records shall verify conformance to applicable flammability requirements.

   D. The supplier shall maintain traceability documentation and all certifications for at least seven years from the time of sale to the customer.

   E. The supplier must have documented in its quality manual a system that demonstrates the ability to trace parts to the source of production or to an FAA certificate holder. Additionally, the supplier must be able to provide, upon request, information pertaining to the approval status of each part in accordance with section 21.303 of the Federal Aviation Regulations.

   F. All life limited parts shall have records from the previous operator confirming the life limited status.

   G. Records shall be protected against damage, alteration, deterioration and loss.

   H. The supplier shall provide a document from an FAA certificated repair station or air carrier for each serviceable part indicating that the part is serviceable (not applicable to new parts
unless work or a test was performed on the part). The document must contain an airworthiness approval for return to service signed by an authorized employee. Inspection stamps, symbols or printed/stamped names are not acceptable. The airworthiness approval document shall be physically attached to the unit. This includes the part number and serial number (as applicable) of the affected item.

NOTE: Refer to FAA Order 8130.21; FAR 43.13, Appendix B; and FAA Advisory Circular 145.3, Appendix 1 for examples of an airworthiness release statement for air carrier work.

I. The supplier shall provide the original maintenance records received with the serviced component. These records shall list technical data used and functional tests performed, as appropriate and as required by the customer. A list of significant parts replaced shall be included, which may be on the teardown report or on the repair station’s invoice.

J. Parts from an aircraft or engine subjected to extreme stress or heat (e.g., major fire or submersion in salt water) must be identified as coming from such an aircraft or engine.

8. TRAINING
   A. Personnel shall be properly trained and competent to perform inspections, parts handling and record keeping procedures required by the quality system. This applies to the personnel performing supervisory, or receiving and shipping inspector functions.
   B. Inspection personnel must be properly trained and authorized. Such persons must be knowledgeable of inspection techniques, methods and equipment used to determine quality. Authorization criteria shall be identified in the supplier’s manual.
   C. Shipping personnel shall be trained and competent in the recognition, packaging, identification and proper handling of HAZMAT.
   D. All training, both formal (classroom) and on-the-job (OJT) shall be documented and the records maintained for a minimum of two years after the employee leaves the company.
   E. Training records shall include:
      • A description of the training
      • Date and number of hours of instruction
      • Name of instructor and student and/or signature of both
      • Name of the organization conducting the training if performed by an outside agency

9. SHELF LIFE CONTROL
   A. The supplier shall document and maintain a program to assure the identification and proper handling of shelf life limited items. The program will specify a system that will assure that no expired material or part will be issued.
   B. This program shall include component assemblies containing shelf life limited items.

10. MEASURING AND TEST EQUIPMENT
    A. Test equipment, measuring devices and gages used to verify conformance to applicable standards and specifications shall be calibrated periodically to maintain accuracy per the National Institute of Standards and Technology (NIST) or other government or OEM Standard.
    B. The supplier shall have procedures to prevent tools/equipment which are past due calibration from being used.
C. Current documentation of calibration status shall be maintained. Each unit in the calibration program must be traceable to the standard against which it was calibrated.

11. PROCUREMENT
A. The supplier shall maintain a procurement system such that approved quality materials are purchased, and proprietary and licensing rights are observed.
B. The supplier shall have a system in place to assure that special requirements are adequately communicated to the supplier’s sources.
C. Distributors of new aircraft parts shall purchase materials directly from approved manufactures or from distributors authorized by the manufacturer to sell the product. Deviations from this policy must be disclosed to and approved by the customer prior to part shipment.
D. Distributors shall maintain a list of their approved suppliers and a quality history for each source.

12. MATERIAL CONTROL
A. Material shall be handled in an appropriate manner and shall be protected form damage and deterioration.
B. Special packaging shall be maintained as necessary. The storage area for aircraft parts should be periodically checked for overall effectiveness of storage and identification methods.
C. A closed loop system shall exist to implement corrective action following the detection of substandard or otherwise nonconforming parts. Rejected materials must be identified as such and segregated from usable stock. The system shall include a method to notify purchasers within 24 hours of any non-conforming part that exited the supplier’s quality system. Suppliers shall provide a method to recall or rectify the problem. Suspected unapproved parts should be reported in accordance with FAA Advisory Circular 21-29.
D. Aircraft parts, and parts that may be reasonably assumed to sold for aircraft use, shall be segregated from non-aircraft parts.
E. Batch segregation shall be maintained for aircraft fasteners. Additionally, the distributor must maintain records indicating the quantities sold from each batch to each buyer. Purchases, less sales, should equal inventory that must balance on batch/lot numbered inventories.
F. Batch segregation shall be maintained for materials requiring flammability testing, and for other items for which it is appropriate.
G. Whenever practical, materials shall be sorted and delivered in the manufacturer’s original packaging. Packaging shall identify the manufacture, distributor, part number, lot or batch number (if applicable), and the quantity.
H. Flammable, toxic, or volatile materials shall be stored in a safe manner per manufacture’s recommendations or as specified by local fire regulations.
I. Materials subject to damage from electrostatic discharge shall be packaged, handled and protected with necessary precaution and in accordance with requirements for handling electrostatic sensitive devices.
J. The supplier shall ensure that no part number ambiguity exists. Parts shall not be labeled with multiple part numbers if such labeling may cause confusion as to the part’s manufacture or applicable specification.
K. A distributor’s alteration to, or replacement of, the data plate or manufacture’s part number is unacceptable.
L. The supplier shall have a system to segregate and identify serviceable from unserviceable units in a manner that will preclude inadvertently issuing an unserviceable part.

13. HOUSING AND FACILITIES
A. Appropriate facilities shall be maintained so as to insure that storage does not damage inventory.
B. If the surplus supplier engages in aircraft/component maintenance as well as the parts sales, the storage area must be secured to prevent cannibalizing by maintenance personnel.

14. INTERNAL AUDIT AND SURVEILLANCE
A. Audits shall be performed in accordance with written procedures or checklists that determine the effectiveness of the quality program. Audit results shall be documented including corrective action of noncompliance. Corrective action shall:
   • Be appropriate and prompt
   • Correct the discrepancies reported
   • Locate and correct similar discrepancies, if they exist, in areas not audited
   • Correct the root cause of the problem evidenced by the discrepancies
   • Implement follow-up action(s) to eliminate reoccurrence

15. SCRAPPED PARTS
A. There shall be a documented procedure in place to mutilate scrapped parts by drilling, grinding, cutting, or other appropriate means. Parts shall be mutilated to the extent that will preclude the possibility of their being restored and returned to service.
B. The supplier 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 supplier shall retain this record for at least seven years.
C. The procedure shall identify, by position or title, the individual responsible for verifying that parts were adequately mutilated before being discarded.
D. The supplier shall impose these same requirements on their subcontractors and/or repair facilities with which they do business.

16. CERTIFICATION FORMS
A. The quality manual shall contain instructions for, and samples of, forms used by the supplier to certify or show traceability of each product sold.
B. If practical, the instructions for completing the forms may be written on the forms.
C. ROSTERS - AERONAUTICAL REPAIR STATION SECTION

6.4.1 The following rosters will be maintained, published and distributed by the Membership Committee:

6.4.1.1 **Membership Roster** - Roster of member companies and contacts

6.4.1.2 **Committee Membership Roster** - Roster of current committee officers and members.

6.4.1.3 **C.A.S.E. ARSS Qualified Auditor Roster** - Roster of current auditors and the companies they represent.
C.A.S.E.
AERONAUTICAL
REPAIR STATION SECTION

SECTION 7
C.A.S.E. FORMS
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TRANSMITTAL OF SUBCONTRACTOR/SUPPLIER EVALUATION RESULTS

TO:  geneswan@web-ster.com  DATE: __________________________
or
FAX: (954) 233-2000  FROM: ________________________________

SUBCONTRACTOR/SUPPLIER: _____________________________________________________

ADDRESS of SITE AUDITED: ____________________________________________________

CITY & STATE: ________________________________________________________________

CONTACT/TITLE: ______________________________________________________________

REPAIR STA. NO: _______________________ PHONE: _____________________________

DRUG TEST PLAN NO.: ___________________ ON-SITE Audit DATE: _________________

VENDOR CAPABILITY CODES  (see 4-2-1)

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<tr>
<th>PROCESS NUMBER</th>
<th>ROV/SSV CODES</th>
<th>QUALITY STANDARD</th>
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<td></td>
<td>1-A 5-A</td>
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<td>28</td>
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<td>2-A 6-A</td>
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<tr>
<td>48</td>
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<td>4-A 8-A</td>
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</tbody>
</table>

CASE REGISTER ACTION

_______ Add/Delete Vendor  Other ________________________________

_______ Add/Delete Capabilities  ________________________________

_______ Update Audit Date  ________________________________

_______ Name Change  Formerly ________________________________

_______ Address Change  Formerly ________________________________

NO ACTION REQUIRED (check to notify members that vendor received CASE audit but will not be put on Register. See 3-2-0)

Note: Refer to 3-2-0 for instructions on completing this form

Auditor’s Name: ________________________________

Auditors Signature: ________________________________

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# CASE AUDITOR QUALIFICATION RECORD

**NAME:** ____________________________  **REPAIR STATION:** ____________________________  **PHONE:** ____________________________  **DATE:** ____________________________

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<tr>
<th>EDUCATION - UNIV./COLLEGE DEGREE &amp; DATE</th>
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<td>(2 CREDITS MAX) ____</td>
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<td>EXPERIENCE - TYPE &amp; DATE</td>
<td>(MINIMUM 3 CREDITS REQUIRED-9 MAX) ____</td>
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<td>PROFESSIONAL ACCOMPLISHMENT-CERTIFICATE &amp; DATE</td>
<td>(2 CREDITS MAX) ____</td>
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<tr>
<td>MANAGEMENT GRANTED - JUSTIFICATION/DATE</td>
<td>(2 CREDITS MAX) ____</td>
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**TOTAL CREDITS ____**

**CASE REPRESENTATIVE:** ____________________________  **DATE:** ____________________________  **SIGNATURE & TITLE**

**SATISFACTORY CHECK-RISE COMMUNICATION SKILLS**

| CERTIFICATED BY: ____________________________ | **SIGNATURE & TITLE** | **DATE:** ____________________________ |

**AUDIT PARTICIPATION (PREVIOUS TWELVE MONTHS, ADDITIONAL SPACE ON BACK OF FORM)**

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<thead>
<tr>
<th>SUBCONTRACTOR/SUPPLIER</th>
<th>CONTACT &amp; PHONE NUMBER</th>
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</table>

**SYSTEM LEVEL:** ____________  **AUDIT LEVEL CERTIFIED TO:** ____________

**AUDIT & COMPLIANCE COMMITTEE CHAIR:** ____________________________  **DATE:** ____________________________  **SIGNATURE & TITLE**
## AUDIT PARTICIPATION (continued)

<table>
<thead>
<tr>
<th>SUBCONTRACTOR/SUPPLIER</th>
<th>CONTACT &amp; PHONE NUMBER</th>
<th>DATE</th>
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</tbody>
</table>

**SYSTEM LEVEL:** ____________________  **AUDIT LEVEL CERTIFIED TO:** ____________________

**AUDIT & COMPLIANCE COMMITTEE CHAIR:**

_____________________________________________________________________________

**DATE:** ______  **SIGNATURE & TITLE**

_____________________________________________________________________________
C.A.S.E.
INCORPORATED
Achievement Through Cooperative Effort

AUDITOR EVALUATION

Candidates Name: ________________________________
Aeronautical Repair Station Member

Evaluator’s Name: ________________________________
Aeronautical Repair Station Member

Agency Audited: ________________________________ To Standard _________
Address

Evaluator’s Comments: ________________________________

☐ OJT ☐ APPROVED

☐ INITIAL CHECKRIDE ☐ NOT APPROVED (Comments required)

☐ RECURRENT CHECKRIDE

_________________________  ________________
Signature                        Date
REPAIR STATION EVALUATION REPORT

Audit Type: ______ NEW MEMBER APPLICANT ______ SURVEILLANCE ______ FOLLOW-UP

Repair Station Name: ____________________________________________________________

Address: ________________________________________________________________

City: ____________________________ State: _________ Zip: __________

Years as a CASE Member ________ Number of Audit Personnel: ________________

Number of Level III/IV Auditors: __________________________

Repair Station Certificate No.: ______________________________________________

Contacts:

CASE ____________________________ Phone: (___) ________________

Q.C./Q.A. ____________________________ Phone: (___) ________________

Management ____________________________ Phone: (___) ________________

_______ Recommended Approval of Repair Station - CASE - System.

_______ Corrective Action required prior to approval.

Continued CASE System Approval contingent upon completion of required corrective action by ______________________ (date)

_______ Follow-up audit required.

_________________________________________  ________________
CASE Audit & Compliance Committee Member-Auditor  Date

_________________________________________  ________________
Chairman, CASE Audit & Compliance Committee  Date
1. **Is documentation of the vendor quality control programs adequate?**
   - Yes | No
   - Comments: 

2. **Does the Repair Station have an accepted program of vendor surveillance?**
   - Yes | No
   - Is it adequate for CASE?
   - Comments: 

3. **Are auditors full time members of the Quality Department?**
   - Yes | No
   - Comments: 

4. **Is there a documented in-house training program and are training records maintained?**
   - Yes | No
   - Comments: 

5. **Does the Repair Station maintain a current list of approved vendors?**
   - Yes | No
   - Comments: 

6. **Are adequate records maintained of vendor/supplier audits and surveillance?**
   - Yes | No
   - Comments: 

7. **Is vendor surveillance scheduled?**
   - Yes | No
   - Comments: 

8. **Is there a follow-up system to assure corrective action replies are received from vendors?**
   - Yes | No
   - Comments: 

9. **Are replies evaluated against each finding to assure they are descriptive and adequate?**
   - Yes | No
   - Comments: 

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<table>
<thead>
<tr>
<th></th>
<th>Question</th>
<th>Comments</th>
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<tbody>
<tr>
<td>10.</td>
<td>Do vendor audit forms cover the applicable CASE standard?</td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>Does Repair Station have vendor performance monitoring program?</td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td>Does Repair Station have an internal audit program to verify continued</td>
<td></td>
</tr>
<tr>
<td></td>
<td>compliance of this audit and surveillance program with FAR’s* and Repair</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Station policy &amp; procedure manual?</td>
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<tr>
<td>14.</td>
<td>Does each CASE Level III/IV auditor have his own copy of the CASE P&amp;P</td>
<td></td>
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<tr>
<td></td>
<td>manual?</td>
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</tr>
<tr>
<td>15.</td>
<td>Do auditors have ready access to applicable FAR’s*?</td>
<td></td>
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</tbody>
</table>

* Or other applicable standards of airworthiness
SUPPLIER/SUBCONTRACTOR EXPECTATIONS AND LIMITATIONS

As a Supplier/Subcontractor that has met a Coordinating Agency for Supplier Evaluation (C.A.S.E.) Standard for your type of facility, the Aeronautical Repair Station Section of C.A.S.E. 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. Standards at all times. Non-compliance detected at any time may be cause for immediate deletion from the C.A.S.E. Register.

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 have been given a copy of the standard(s) to which you were audited. If you have any questions regarding the standards(s), contact the auditor who conducted you audit.

4. You must report to the auditor any name change, ownership change or merger, change in operation 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.

5. 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 and audit is conducted to verify compliance with the appropriate standard(s).

C.A.S.E. is not an approval agency, nor do we accredit Supplier/Subcontractors. We evaluate a Supplier/Subcontractor in terms of compliance to our established standards. If the Supplier/Subcontractor meets our standards and the auditor’s expectations, then the Supplier/Subcontractor, 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 Repair Stations as a means of compliance with surveillance requirements under FAR’s 121, 127, 135. and 145.

Similar to the policy of 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 cannot be used in any form of advertising. Use of the C.A.S.E. logo in any advertising is also not allowed. Failure to adhere to these policies may result in removal from the C.A.S.E. Register.

Vendor Authorized Representative  
Signature  
Name:  
Title:  
Company:
Address:  

Repair Station Auditor  
Signature  
Auditor:  
Repair Station:  
Date:  

ARS-7  
Rev: 03/17/00  
Page 1 of 2
This form letter is to be initiated and completed before supplier/subcontractor may be added to or updated in the C.A.S.E. Register. The information at the bottom of the form letter is to be completed in full and signed by an “OFFICER OF THE COMPANY” subject to the audit and by the auditor who has determined the supplier/subcontractor qualifies under the standard applied during the audit.

Every effort should be made by the auditor to explain the rationale for this requirement to a hesitant supplier/subcontractor. If that is not sufficient have the supplier/subcontractor contact your company C.A.S.E. representative or a member of the Aeronautical Repair Station Section Operations Committee.

If for some reason the supplier/subcontractor does not wish to sign the form letter, that supplier/subcontractor may not be added to or updated in, the C.A.S.E. register. The auditor will bring this situation to the attention of the chairman of the Audit and Compliance Committee for resolution and/or removal from the register for cause.

Once the form has been executed, the original will be maintained on file by the auditor accomplishing the audit. A copy may be given to the supplier/subcontractor for their records.
C. A. S. E

AERONAUTICAL REPAIR STATION SECTION
AUDIT & COMPLIANCE ALERT

BY: _____________________________ DATE: _____________

SUBJECT: ________________________________
# LEVEL III AUDITOR TRAINING

## WRITTEN TEST SCORE

<table>
<thead>
<tr>
<th>APPLICANT:</th>
<th>DATE:</th>
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<tbody>
<tr>
<td>TITLE:</td>
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<tr>
<td>REPAIR STATION:</td>
<td></td>
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<td>ADDRESS:</td>
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<tr>
<th>LEVEL III APPLICANT SIGNATURE</th>
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## TEST SCORES

### POLICIES AND PROCEDURES

<table>
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<th>Instructor Name:</th>
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<tr>
<td>Repair Station:</td>
<td>Date:</td>
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<td>Test Score:</td>
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### MAINTENANCE VENDOR STANDARD (1-A)

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<th>Instructor Name:</th>
<th>Signature:</th>
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<td>Repair Station:</td>
<td>Date:</td>
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<td>Test Score:</td>
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### FUEL VENDOR STANDARD (2-A)

<table>
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<th>Instructor Name:</th>
<th>Signature:</th>
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<td>Repair Station:</td>
<td>Date:</td>
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<td>Test Score:</td>
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### PARTS DISTRIBUTOR STANDARDS (3-A/5-A)

<table>
<thead>
<tr>
<th>Instructor Name:</th>
<th>Signature:</th>
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<tr>
<td>Repair Station:</td>
<td>Date:</td>
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<td>Test Score:</td>
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</table>
INSTRUCTIONS FOR COMPLETION
Aeronautical Repair Station Section
Application for Membership
Achievement Through Cooperative Effort

(Date)

COMPANY:

DIVISION:

ADDRESS:

CITY: STATE: ZIP: COUNTRY:

NAME: TITLE:

PHONE: FAX:

E-MAIL ADDRESS:

WEB PAGE ADDRESS:

REPAIR STATION NUMBER:

Please supply the following information:

(1) A copy of Repair Station certification from approving authority.
(2) Copies of your approved drug-alcohol letters, if required by your country.
(3) A check made out to C.A.S.E., INC. to include the following:
   (A) $2000.00 initial assessment fee.
   (B) Annual Dues: $600.

Please mail to: (Name), Membership Chair
               (Address)
               (City, State, Zip)
               (Phone)
               (Fax)

MISSION STATEMENT
A voluntary association of Aeronautical Repair Stations for the purpose of sharing non-prejudicial vendor and supplier quality
audit data among the membership. This increases surveillance coverage of vendors and suppliers and thereby upgrades
vendors/suppliers quality programs. It also has an economic impact on each C.A.S.E. member by decreasing the cost of
vendor/supplier surveillance and by making their surveillance programs more effective.
NAME
TITLE
COMPANY
ADDRESS

Dear : 

Thank you for your inquiry concerning Aeronautical Repair Station Section of C.A.S.E. As a Certificated Repair Station Quality Assurance Program, you will find yourself among your colleagues at C.A.S.E. We are an organization that addresses the quality assurance aspect of airworthiness and the FAA Regulatory Compliance. We also enjoy considerable respect by the FAA in the U.S. and the civil airworthiness authorities worldwide. We also command the attention of vendors, contractors, and suppliers in the aviation industry.

A generalized introduction to C.A.S.E. and a membership application for the Aeronautical Repair Station Section has been attached for your review. If you are interested in joining the Aeronautical Repair Station Section of C.A.S.E. please provide the following:

1. Your completed application.
2. The requested documentation for review by the membership committee.
3. Completed Sustaining eligibility Checklist.
4. Check made out to C.A.S.E., INC. for the initial assessment fee and the annual dues.  
   (Check will be returned if applicant does not meet the qualifications for membership.)

If you have any questions concerning C.A.S.E., please do not hesitate to contact me.

Sincerely,

[ Insert Name and Address ]
Of 
[ Membership Chairperson ]

Attachments
The C.A.S.E. organization is nonprofit and is incorporated under California Law as a mutual benefit corporation. The Corporation's purpose is to promote the improvement of quality and the reduction of costs in the industry for the benefit of those represented by the Corporation's Sustaining Members (and their respective customers and suppliers). To this end, the Corporation performs some or all of the following functions:

1. Coordinate and establish industry requirements and standards for evaluating supplier quality assurance/control systems, processes and related documentation.

2. Accumulate, store, evaluate, organize and disseminate in the form of books, reports, periodicals, pamphlets and other printed matter devoted wholly, or mainly to, quality assurance oriented information.

3. Cooperate and participate in the development of new or revised techniques, policies, specifications and other documentation related to quality assurance.

4. Promote unity, effectiveness of effort and ethical professional conduct among the members in the pursuit of its' purpose.

5. Provide for conference and meetings of its members for the exchange of information, ideas, and experience related to its purposes.

The Corporation does not engage in activities which are inconsistent with, contrary to, or prohibited by law, or release or accept any data, information or materials which are prejudicial in nature. No anti-competitive practice is contemplated or allowed.

The membership of the Corporation is divided into organizational units, each based on a general industry category, which is referred to as a "Section." The six Sections in existence, as of this date, are the Air Carrier Section, the Aerospace/Marine Systems Section, the Aeronautical Repair Station Section, Electronic/Computer Mfg. Section, Truck and Automotive Section, and Aviation Suppliers and Distributor Section. Additional sections for other industries may be established by any group of Sustaining members. Each Section has a written manual that details policies and procedures for compliance with appropriate requirements of each Section.

This corporation has one (1) type of membership, Sustaining Members. To qualify for Membership as a Sustaining Member, an applicant must request and qualify for membership in an appropriate Section. Sustaining Membership is limited to firms who are members of an industry represented by a Section who meets the membership requirements adopted by that Section. Membership requirements are limited to reasonable and nondiscriminatory criteria relating to applicant firms capability to participate in the Section's supplier evaluation and auditing activities. An eligible firm becomes a Sustaining Member upon approval of its membership application by the Section's Membership Committee.
Sustaining members alone have voting rights. Sustaining Members also have the right to receive data from any Section related to evaluated sources of supply listed in the C.A.S.E. electronic database and the privilege of attending all meetings and conferences convened for exchanging information and data among Corporation's members.

Each Sustaining Member firm appoints one or more representatives to represent the member in business meetings and participate in the Corporation.

The Aeronautical Repair Station Section of C.A.S.E. is established by certificated repair stations for the benefit of repair stations. Its purpose is to share non-prejudicial vendor surveillance information and tasks. The FAA has accepted the C.A.S.E. program as an acceptable means of complying with surveillance for those vendors listed in the C.A.S.E. electronic database in the Air Carrier Section. There are no policies or procedures inherent in the C.A.S.E. Organization which conflict with the Anti-trust laws or Federal Aviation Regulations.

The Aeronautical Repair Station Section of C.A.S.E. was organized as a means of sharing non-prejudicial vendor and supplier quality approval data among membership. This increases surveillance coverage of vendors and suppliers and thereby upgrades vendors/suppliers quality programs. It also has an economic impact on each C.A.S.E. member by decreasing the cost of vendor/supplier surveillance and by making their surveillance programs more effective. C.A.S.E. audits may be accomplished in the domestic United States and also internationally and in every event, to the appropriate C.A.S.E. Standard.

C.A.S.E. standards are either developed by the membership or are adopted by the membership from some industry or government standard. They may also include requirements not specified in regulations, but which experience dictates as a need. However, nothing in the standard is contrary to any applicable Civil Regulations. C.A.S.E. standards are revised as required to stay abreast of industry changes and needs and to comply with changes in civil regulations. New standards are developed as the membership recognizes a need.

Membership in the Aeronautical Repair Station Section of C.A.S.E. is limited to certificated repair stations according to aviation regulations of the certifying government. All applicant member companies are accepted as associate members while fulfilling the Sustaining Membership requirements. Those requirements include participation at conferences, participation within section committees, qualifying a person to C.A.S.E. auditor standard requirements, and become compliant to the C.A.S.E. 1A standard. Applications for membership are submitted to the Membership Chairperson. The Chairperson and committee members will evaluate the application and supporting data for compliance.

Member firms are expected to maintain their vendor/supplier surveillance program, related manual coverage, and related documentation in a manner compatible with Civil Regulation and C.A.S.E. requirements. Members are expected to attend meetings regularly and to actively participate in the work of the organization. Only C.A.S.E. auditors, authorized through the C.A.S.E. Auditor Authorization Program, can provide input into the C.A.S.E. Vendor/Supplier database. Authorization is accomplished through evaluation of the auditor's experience, by written, oral and practical tests and a review of test
results by the Audit and Compliance Committee. Requirements for auditor authorization are stringent and thereby 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.

Vendor/supplier surveillance and analysis information is shared via the Aeronautical Repair Station Section of the C.A.S.E. Electronic database, an electronic listing of vendors/suppliers and their capabilities. Vendors/Suppliers listed in the Electronic database have received an on-site audit by a C.A.S.E. authorized auditor and found to be in compliance with applicable standards. Vendor/Suppliers and their capabilities are added to and deleted from the Electronic database as a result of evaluations of those vendors/suppliers conducted by repair station member auditors.

To be effective, the Aeronautical Repair Station Section has 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, procedures and civil law, compliance with the "letter of the law" may be found burdensome or impossible. The membership, therefore, recognizes the need to allow deviations to or exceptions from certain provisions of the manual and, as such, that permission is provided for within the manual policy.

The annual dues for C.A.S.E. membership are:

   Sustaining Member $600.00  
   Associate Member    $600.00

They are due and payable at each yearly anniversary of your acceptance into C.A.S.E. by the Membership Committee.

This introduction to the Aeronautical Repair Station Section of the C.A.S.E. organization is not in any way meant to be all inclusive of all C.A.S.E. requirements or its bylaws, policies or procedures. Should you need to know more about the organization, a complete Aeronautical Repair Station Section Policy and Procedures Manual is available simply for the asking. Any C.A.S.E. member would be more than delighted to fill you in on the benefits of membership. Information can always be obtained from the Aeronautical Repair Station Membership Chairperson who will be glad to send you a prospective membership package. Your contact is:

   (Name), Membership Chair  
   (Address)  
   (City, State, Zip)  
   (Phone)  
   (Fax)
Aeronautical Repair Station Section
Membership Change Request
Associate to Sustaining

CASE
INCORPORATED
Achievement Through Cooperative Effort

Company Name: ________________________________
Parent Company Name: ________________________________
Repair Station Number: ________________________________
Division: ________________________________
Address: ________________________________
City: __________________ State: ______ Zip: ______ Country: __________________
Name: __________________ Title: __________________
Phone: __________________ Fax: __________________
E-Mail Address: __________________
World Wide Access: __________________
C.A.S.E. Level III Auditor: __________________
C.A.S.E. Level III Auditor: __________________

I certify that the above named company complies with all the minimum standards that are required by C.A.S.E. Inc. ARSS for becoming a Sustaining Member in good standing.
Signature: __________________

Please supply the following information:
(1) An electronic database of your company’s approved vendors.
(2) Vendor/Supplier audit procedures from manual.

Audit & Compliance approval signature: __________________

Please mail to:
(Name), Membership Chair
(Address)
(City, State, Zip)
(Phone)
(Fax)
Dear:

The Membership Committee of the C.A.S.E. Aeronautical Repair Station Section (ARSS), has accepted your company as a sustaining (voting) member. C.A.S.E. Data Center will process your application and register your company as a sustaining member of the Aeronautical Repair Station Section of C.A.S.E. The C.A.S.E. Data Center will provide information for access to the C.A.S.E. Register. Your check will be forwarded to the C.A.S.E. Treasurer.

Please find attached your membership certificate. Within two weeks, you should receive the Aeronautical Repair Station Section Policy & Procedures Manual. If you do not receive this material, please contact [insert Name, Company, and Phone Number].

We look forward to your participation in the organization and sharing your expertise.

Sincerely,

[Insert Name]  
C.A.S.E. Aeronautical Repair Station Section  
Membership Chairperson  
[Insert Address]  
Phone: [Insert phone number]  
Fax: [Insert fax number]

CC: [Insert Name]  C.A.S.E. Data Center  
[Insert Name]  C.A.S.E. Treasurer  
[Insert Name]  ARSS P & P Chairman
(Name)
(Company)
(Address)
(City, State, Zip)

Dear ( ),

The Membership Committee of the C.A.S.E. Aeronautical Repair Station Section (ARSS), has accepted your company as an Associate member. The Database Committee will be notified and your check will be forwarded to the C.A.S.E. Treasurer.

The ARSS Policy & Procedures Manual and the C.A.S.E. By-laws are posted on a World Wide Web sight for your convenience. You will find them at (web address). If you do not have web access please notify me and we will find another means of getting them to you.

We look forward to your participation in the organization and sharing your expertise.

Sincerely,

(Name), Membership Chair
(Address)
(City, State, Zip)
(Phone)
(Fax)

cc: ARSS Database Committee Chair
    C.A.S.E. Treasurer
    ARSS Standards & Procedures Committee Chair
Dear (      ),

Congratulations.

The Membership Committee of the C.A.S.E. Aeronautical Repair Station Section (ARSS), has accepted your company as a Sustaining member.

This information will be forwarded to the C.A.S.E. ARSS database committee who will insure you receive a password for access to the SPIN section. If you have not received your password within 3 weeks please notify (Database Committee Chair) at (phone).

We look forward to your participation in the organization and sharing your expertise.

Sincerely,

(Name), Membership Chair

(Address)

(City, State, Zip)

(Phone)

(Fax)

cc: ARSS Database Committee Chair
    C.A.S.E. Treasurer
    ARSS Standards & Procedures Committee Chair
Aeronautical Repair Station Section
Sustaining Membership Acceptance

C.A.S.E.
ACHIEVEMENT THROUGH COOPERATIVE EFFORT

AERONAUTICAL REPAIR STATION SECTION
COORDINATING AGENCY FOR SUPPLIER EVALUATION

(Date)
Dear Sustaining Member,

The Aeronautical Repair Station Section (ARSS) of C.A.S.E. met on (Date). It was a very productive and informative conference addressing issues relevant to us all.

We missed having your company represented.

In accordance with the C.A.S.E. Aeronautical Repair Station Section Policy and Procedure manual, Section 4, paragraph 4.4.1:

A sustaining member company’s representative to C.A.S.E. is expected to attend semi-annual meetings and serve actively on committees. If the representative (or his designee) is absent for two consecutive meetings, the company’s membership in C.A.S.E. is subject to review by the Operations Committee.

Please be advised that the Operations Committee is currently reviewing your sustaining membership status due to non-attendance.

In addition the C.A.S.E. Aeronautical Repair Station Section Policy and Procedure manual, Section 4, paragraph 4.4.2 states:

If the sustaining members company’s representative to C.A.S.E. (or designee) is absent for three consecutive meetings the member company reverts to an associate member status.

We are looking forward to your participation at the next C.A.S.E. conference on (Date) at (Location).

Sincerely,

(Name), Membership Chair

(Company)
(Address)
(City, State, Zip)
(Phone)
(Fax)
Dear Former Sustaining Member,

Please be advised that the Operations Committee of the Aeronautical Repair Station Section of C.A.S.E. has completed a review of your attendance record at the conference meetings.

The C.A.S.E. Aeronautical Repair Station Section Policy and Procedure manual, Section 4, paragraph 4.4.2 states:

If the sustaining members company’s representative to C.A.S.E. (or designee) is absent for three consecutive meetings the member company reverts to an associate member status.

Please be advised that your company membership status has been changed from “Sustaining” to “Associate”.

The C.A.S.E. Aeronautical Repair Station Section Policy and Procedure manual, Section 2, paragraph 2.2.7.2 states:

Associate members are non-voting members. Associate members have the right to attend the Section 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 voice or vote in the decisions made by the membership.

If you have any questions concerning the above action please address them me at the address below.

Sincerely,

(Name), Membership Chair

(Company)
(Address)
(City, State, Zip)
(Phone)
(Fax)
Aeronautical Repair Station Section
Application for Membership
Status Change

CASE
INCORPORATED
Achievement Through Cooperative Effort

Company Name: ________________________________
Parent Company Name: ____________________________
Repair Station Number: ____________________________
Division: ________________________________
Address: ______________________________________
City: ___________________ State: _______ Zip: _______ Country: _______
Name: ___________________ Title: ______________
Phone: ___________________ Fax: ______________
E-Mail Address: ______________
World Wide Access: ________________________________

CHANGE TO:

*Company Name: ________________________________
*Parent Company Name: ____________________________
*Repair Station Number: ____________________________
*Division: ________________________________
*Address: ______________________________________
*City: ___________________ *State: _______ *Zip: _______ *Country: _______
Name: ___________________ Title: ______________
Phone: ___________________ Fax: ______________
E-Mail Address: ______________
World Wide Access: ________________________________
Signature: ______________________________________

Comments: ______________________________________

*Please supply the following information:
(1) A copy of Repair Station certification from approving authority.
(2) Copies of your approved drug-alcohol letters, if required by your country.
(3) Vendor/Supplier audit procedures from manual.

Please mail to:
(Name), Membership Chair
(Address)
(City, State, Zip)
(Phone)
(Fax)
COMPONENT REPAIR/OVERHAUL VENDOR

AUDIT CHECKLIST

VENDOR NAME: ____________________________      DATE: ____________________________

ADDRESS: __________________________________

________________________________________________________________________

________________________________________________________________________

TELEPHONE NO: ____________________________      FAX: ____________________________

________________________________________________________________________

PERSONNEL CONTACTS:

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Acpt: ____________________________      By: ____________________________

Cond. Acpt: ____________________________      Date: ____________________________

Not Acpt: ____________________________      DATE: ____________________________

Register: (Circle One)      Add - Delete - Update - No Action

Note: If register action is to add or update the vendor initiate and complete “VENDOR EXPECTATIONS AND LIMITATIONS” form letter (ARS-70) prior to taking the register action.

Next Scheduled Audit: ____________________________

ARS-20
Rev: 2/15/02
PAGE 1 of 11
1. CERTIFICATION

A. Does ROV hold an FAA repair station certificate?  

B. Record certificate number

C. Obtain a copy of certificate and limitations.

D. Is the certificate displayed unobscured in an area accessible to the public? (1L)
2. ANTI-DRUG TESTING PLAN (1M)  
   A. Does the ROV have an FAA approved anti-drug & alcohol testing _______  
   B. Record plan number: ____________________  
   C. The Plan is:  
      The Vendor’s ____________________  
      A Consortium’s ____________________  
      An Air Carrier’s ____________________  
   D. Consortium/Air Carrier name, if applicable:  
      ____________________________________________  

3. GENERAL  
   A. Does the ROV only perform work for which they are authorized on their operations specifications? (1D, 1L) _______  
   B. If the vendor deals in non-aircraft parts, materials and/or maintenance activities, are they adequately segregated from the aircraft functions? (1K) _______  
   C. Does the vendor maintain a file of audit findings and corrective action for three years? Is it accessible to the auditor (1H) _______  
   D. Is there a back-up person identified for all programs? (1N) _______  
   E. Does the vendor observe duty time limitations? (1O) _______  

4. QUALITY CONTROL  
   A. Is there an established Quality Control Program? (2A) _______  
   B. Does the vendor have and up-to-date QA/QC manual that covers all of the manual requirements of the 1A standards? (2B) _______  
   C. Does the manual detail duties, responsibilities and reporting relationship of the QA/QC department? [2B(2)] _______  
   D. Are the QA/QC manuals current and available to employees? (2) _______  
   E. Does ROV have an internal audit and surveillance function? (2D) _______
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<tr>
<td>F.</td>
<td>Does the function ensure compliance with customer specifications? (2A,2D)</td>
<td></td>
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<tr>
<td>G.</td>
<td>Does the audit program assure appropriate corrective action? (2E)</td>
<td></td>
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<tr>
<td>H.</td>
<td>Does the ROV have an organization adequate to perform the work intended? (2B (1))</td>
<td></td>
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<tr>
<td>I.</td>
<td>Do supervisors have A&amp;P or Repairman certificates? (1J, 3C, 11A (1))</td>
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<tr>
<td>J.</td>
<td>Does the ROV have an established procedure to provide corrective action for discrepancies noted during repair/overhaul? (11E)</td>
<td></td>
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<tr>
<td>K.</td>
<td>Does ROV maintain a list of “sub-contracted” maintenance actions and approved vendors for those functions? (2G)</td>
<td></td>
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<tr>
<td>L.</td>
<td>Does ROV ensure that sub-contractor quality meets customer specifications and legal requirements? (2D (3))</td>
<td></td>
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<tr>
<td>M.</td>
<td>Does ROV maintain certification on sub-contract work? (2H, 11J)</td>
<td></td>
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<tr>
<td>N.</td>
<td>Does ROV have a procedure that for reporting defect or unairworthy conditions to the customer and the FAA? (2I)</td>
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### 5. INSPECTION

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<tbody>
<tr>
<td>A.</td>
<td>Are RII inspectors properly trained and certificated? (3A, B)</td>
<td></td>
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<tr>
<td>B.</td>
<td>Is there proper separation of maintenance and inspection responsibilities for vendors that perform required inspections? (2F)</td>
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<tr>
<td>C.</td>
<td>Does ROV maintain a list of RII items each inspector is authorized to inspect? [3C (4)]</td>
<td></td>
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<tr>
<td>D.</td>
<td>Does ROV perform any required inspections for any customers?</td>
<td></td>
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<tr>
<td>E.</td>
<td>Does repair station roster identify all supervisory and inspection personnel? (3C)</td>
<td></td>
</tr>
<tr>
<td>F.</td>
<td>Does the roster identify all personnel authorized for return to service? (3C)</td>
<td></td>
</tr>
</tbody>
</table>
G. Does the repair station have an employment summary for all personnel listed on the repair station roster? (3D)  

H. Does the ROV have an acceptable receiving inspection system? (3E)  

I. Does the ROV have an acceptable procedure to identify customer parts? [2B, (10), 11C]  

J. Does ROV maintain traceability certification on all parts and raw materials? [2B (9), 3E, 10H]  

K. Are acceptable sampling procedures adequate to ensure quality? (3E)  

L. Does the vendor have an acceptable system for controlling stamps, for both inspection and production personnel? (3F)  

6. TECHNICAL DATA CONTROL  

Note “Manuals” in this context includes any technical data, i.e. drawings, wiring diagrams, test specs., necessary to perform the required service.  

A. Does ROV have the required shop manuals and specifications to perform the repair/overhaul in accordance with customers requirements (4A)  

B. Are there established approved procedures controlling revisions in manuals deviating from OEM specifications? e.g. EO or EA (4A)  

C. Does the ROV have a system so ensure technical data is current (4B)  

D. Does ROV have records of manual revisions? [4B (1)]  

E. Are manual revisions up to date? [4B (1)]  

F. Are component overhaul manuals properly identified and available to mechanics? (4B)  

G. Does ROV have a system to control working copies of manuals to ensure they are revised with the masters? (4C)  

H. Is the technical data stored in a manner that will protect it from dirt and damage? (4D)  

I. Are adequate viewing devices in good condition available for viewing the technical data? (4E)
J. Is a specific individual, by title, responsible for the Technical Data Program? (4F)

K. If the ROV has SFAR 36 authority, does he have a system for receiving customer approval prior to use of the data? (4G)

L. Does the ROV have an approved SFAR 36 manual and roster? (4G)

7. SHELF LIFE PROGRAM

A. Does ROV have a documented shelf life program? [2B (7), 5A]

B. Does the program list parts and materials that have shelf life limits? (5A)

C. Does the program assign program responsibility to a specific person by title? (5B)

D. Does each shelf life item have the shelf life expiration limit displayed? (5C)

E. Is there an adequate system to assure that no item will be issued or used past its expiration date? (5D, 5E)

F. Were items sampled for shelf life within limits? (5D, E)

8. TOOL & TEST EQUIPMENT CALIBRATION

A. Does ROV have a tool calibration program? [2B (11), 6A]

B. Does the ROV have a person, by title, responsible for the tool calibration program? (6B)

C. Are all tools in use listed on the tool calibration list? (6C)

D. Are standards used to calibrate tools traceable to the controlling government agency, e.g. National Institute of Standards and Technology? (6D)

E. Is there a system to identify each tool in the program, its calibration frequency and its calibration due date? [6C, 6E]

F. Does ROV have a procedure for controlling and/or preventing out-of-service and due-for-calibration tools and equipment from being use? (6F)
G. Does the ROV have a procedure to control the calibration of personal tools? (6G)

H. Did a sample check of the calibrated tooling indicate that the tooling is within calibration? (6A)

I. Are the tools & test equipment in a serviceable condition? [11A, (2)]

J. Do records? (6H)
   1. Show date calibrated
   2. Identify individual or vendor that performed calibration or Check
   3. Show calibration due date?
   4. Contain a calibration certificate for each item calibrated by an outside agency?
   5. Record details of adjustments and repairs?
   6. Show the P/N & S/N of the standard used to perform the calibration?

9. TRAINING
   A. Does ROV have a documented training program? [2B(6), 7A, 7B]
   B. Does it include all mechanics, inspectors and technical supervisors?
   C. (3A, 3B, 7A)Is formal and OJT training documented? (7B)
   D. Are training records for mechanics, inspectors and supervisors retained for two years after the person leaves the company? (7C)
10. **HOUSING AND FACILITY**

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>A. Does ROV have a facility of adequate size to house all necessary tooling, equipment, material and parts to perform work? (8A, 8D)</td>
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<tr>
<td>B. Does the housing adequately protect parts, materials, and customer units from damage, theft and contamination? (8A, 8B, 8C)</td>
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<tr>
<td>C. Is the environment appropriate to protect workers so that the quality of workmanship is not impaired by physical efficiency? [8B (2)]</td>
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<td>D. Does facility have adequate lighting? (8C)</td>
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<tr>
<td>E. Are storage facilities separate from shop and work areas? (8E)</td>
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<tr>
<td>F. Do shipping and receiving areas have adequate space, lighting, shelving, security and fire protection? (8E)</td>
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<tr>
<td>G. Is there adequate and appropriate storage space to safely store customer’s shipping containers and protect them from damage? (8F)</td>
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<tr>
<td>H. Is the work area, including supervisors’ offices clean? (8C)</td>
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11. **SAFETY/SECURITY/FIRE PROTECTION**

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<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>N/A</th>
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<tbody>
<tr>
<td>A. Does ROV provide adequate security for customer parts in their possession?</td>
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<tr>
<td>B. Is the security system reviewed periodically by management or an outside vendor?</td>
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<tr>
<td>C. Are fire protection devices inspected periodically?</td>
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<tr>
<td>D. Are fire stations identified and extinguishers in serviceable condition?</td>
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<tr>
<td>E. Are fire lanes, doors and fire extinguishers clear of obstruction?</td>
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<tr>
<td>F. Are safety guards in place on power equipment?</td>
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<tr>
<td>G. Are ROV shop operations conducted in a safe manner and environment?</td>
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</tbody>
</table>

12. **STORAGE**

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>A. Are parts and material properly identified and properly stored? (10A)</td>
<td></td>
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</tbody>
</table>
B. Does the ROV have a quarantine area for rejected parts and materials awaiting disposition? (10C)  
C. Do parts in bin match part number on bins? (10A)  
D. Are parts & material proper protected from damage and deterioration? (10D)  
E. Are flammable, toxic, or volatile materials properly identified & stored? (10E)  
F. Are sensitive parts and equipment (oxygen parts, o-rings, electrostatic sensitive devices, etc.) properly packaged, identified and stored to protect from damage and contamination? (10F)  
G. Are oxygen and other high pressure bottles correctly identified and stored? (10G)  

13. WORK PROCESSING  
A. Does ROV have adequate tooling & test equipment to perform the work? (11A)  
B. If the ROV uses test equipment that differs from the OEM specified equipment: (11B)  
   1. Is it properly certified as equivalent?  
   2. Does ROV have operating and maintenance manuals?  
   3. Is maintenance and servicing performed per the manual?  
   4. Is maintenance and servicing recorded and records retained for two years?  
   5. Is equipment listed in the calibration program?  
   6. Has equipment been accepted by the FAA?  
C. Are mechanics, inspectors and supervisors properly trained authorized and certificated, if required, for the work they perform? (3A, 7A, 11A)  

YES NO N/A  
D. Are adequate tools and current manuals available or at the mechanics work station? [11A (2)]
E. Are customers’ parts properly identified throughout the maintenance actions and in storage? (11C)
F. Is there a work turnover procedure used? (11D)
G. Does the shop segregate serviceable from unserviceable components? (2B (8), 10B)
H. Does the facility provide adequate protection of parts in work? e.g. filtered air or clean room depending on type of part? (8A)
I. Are smoking, eating and drinking forbidden in the work area as appropriate? (11F)
J. Are fluid dispensing cans and servicing units properly identified? (11G)
K. Are ROV work records complete, in order, and legible? (11H, 12B)
L. Do the records contain: (11H)
1. The description of the work performed or reference to data acceptable to the administrator?
2. The date of completion of the work performed?
3. The name of the person performing the work?
4. The name of the person inspection the work?
5. The name of the certificated mechanic or repairman who performed or supervised the work?
6. The signature, certificate number, and type of certificate of the person returning the article to service?
M. Are all test and inspection records in work package? (11H)
N. Does ROV record keeping system and retention time meet FAR requirements? (11H, 11J )
O. Does ROV’s return-to-service documents meet customer and FAA requirements [2B (4), 11J ]

14. SHIPPING
A. Are components returned in an appropriate shipping container or as specified by the customer?

YES  NO  N/A
B. Does the ROV verify that identify data (PN/SN/nomenclature/mod no) on the parts tag and data plate match? ________ ________ ________

15. SCRAPPED PARTS (13)
   A. Does the ROV have a documented procedure to assure that scrapped parts are either returned to the customer or mutilated beyond repair? ________ ________ ________
   B. Does the program identify an individual, by title, responsible for verifying that mutilation is accomplished? ________ ________ ________
   C. Does the ROV maintain a record of life limited parts scrapped for two years ________ ________ ________
      1. Does the record include the P/N and S/N of the part and the date scrapped? ________ ________ ________
### SUPPLIERS OF NEW AND SURPLUS PARTS
#### AUDIT CHECKLIST

<table>
<thead>
<tr>
<th>Audit Type:</th>
<th>Pre-Award Survey</th>
<th>Surveillance</th>
<th>Follow-Up</th>
</tr>
</thead>
</table>

**Supplier’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 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, 6-4.

**NOTE:** If register action taken is to add or update the vendor initiate and complete “SUPPLIER EXPECTATIONS AND LIMITATIONS” form letter ARS-7 prior to taking the register action.
<table>
<thead>
<tr>
<th>Section</th>
<th>Subject</th>
<th>Page</th>
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<tbody>
<tr>
<td>1</td>
<td>Quality Organization</td>
<td>3</td>
</tr>
<tr>
<td>2</td>
<td>Inspection Procedures</td>
<td>3</td>
</tr>
<tr>
<td>3</td>
<td>Shipping Procedures</td>
<td>4</td>
</tr>
<tr>
<td>4</td>
<td>Technical Data Control</td>
<td>4</td>
</tr>
<tr>
<td>5</td>
<td>Record Keeping</td>
<td>4</td>
</tr>
<tr>
<td>6</td>
<td>Training</td>
<td>5</td>
</tr>
<tr>
<td>7</td>
<td>Shelf Life Control</td>
<td>6</td>
</tr>
<tr>
<td>8</td>
<td>Measuring and Test Equipment</td>
<td>6</td>
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<tr>
<td>9</td>
<td>Procurement</td>
<td>6</td>
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<tr>
<td>10</td>
<td>Material Control</td>
<td>6</td>
</tr>
<tr>
<td>11</td>
<td>Housing and Facilities</td>
<td>7</td>
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<tr>
<td>12</td>
<td>Internal Audit and Surveillance</td>
<td>7</td>
</tr>
<tr>
<td>13</td>
<td>Scrapped Parts</td>
<td>8</td>
</tr>
<tr>
<td>14</td>
<td>Certification Forms</td>
<td>8</td>
</tr>
</tbody>
</table>
**NOTE:** This checklist is based on the requirements stated in the C.A.S.E 3A Standard in 6.4 of this manual.

### 1. QUALITY ORGANIZATION

<table>
<thead>
<tr>
<th>YES</th>
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A. Is there a documented quality program? 
B. Does the quality manual describe the Quality Department and its relationship to the rest of the organization? 
C. Does the manual identify specific persons, by title, responsible for the following quality functions? 
   1. Quality Program 
   2. Inspection 
   3. Tool & 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? (obtain copy) 
E. Is there a roster of: 
   1. Persons that are authorized to perform inspections? 
   2. A list of inspections they are authorized to perform? 
F. Does the supplier maintain a current list of manufacturers who officially authorize them as their distributor? 

### 3. INSPECTION PROCEDURES

<table>
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<tr>
<th>YES</th>
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A. Are inspections conducted by authorized personnel only? 
B. Is purchased material routed to receiving inspection? 
C. Is there an acceptable sampling specification procedure in place? 
D. Is there a documented inspection stamp control policy? 
E. If inspection stamps are used, does the policy require a stamp to be retired for at least 6 months after an inspector leaves. 

### 4. SHIPPING

<table>
<thead>
<tr>
<th>YES</th>
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</table>

A. Is there a visual inspection of all parts/components being shipped?
B. Is there proper documentation?  

__________________________________________________________________________

C. Do part numbers, model numbers, etc. on parts/components being shipped match with all documentation?  

__________________________________________________________________________

D. Contamination; ie., fittings/holes plugged, unit wrapped or bagged?  

__________________________________________________________________________

E. ATA 300 containers or equivalent, appropriate for the unit being shipped?  

__________________________________________________________________________

F. Do packing slips contain all customer information?  

__________________________________________________________________________

5. TECHNICAL DATA

A. is there a documented system for obtaining technical data and maintaining it up to date?  

__________________________________________________________________________

NOTE: Technical data includes any documents used to determine that the part complies with OEM requirements. Examples are, but are not limited to drawings, manuals, parts catalogs, and cross reference manuals.

B. Is the appropriate, current technical data readily available to personnel that need it.  

__________________________________________________________________________

C. Does the suppler have a method for verifying AD status?  

__________________________________________________________________________

D. Is there a system to prohibit hand entries or corrections to technical data?  

__________________________________________________________________________

E. Is technical data stored in a manner that will protect it from dirt and damage?  

__________________________________________________________________________

6. RECORDS

A. Does the distributor request adequate test and inspection records with each order of parts?  

__________________________________________________________________________

B. Are records confirming fastener integrity maintained for  

__________________________________________________________________________
7 years? (i.e. chemical and physical properties.)

C.  Are certifications and test reports being received and filed as required? ______ | ______ | ______

D.  Can each part or carton or package of parts be linked to its certification and/or test records by some unique identifier? ______ | ______ | ______

E.  Does the vendor’s purchase records/sales orders chain of custody lead to a production approval holder (PMA, TSO, PC, TC, STC Holder) or manufacturer of standard parts? ______ | ______ | ______

F.  Is serial number traceability maintained when applicable? ______ | ______ | ______

G.  Are export Certificates of Airworthiness obtained for all foreign manufactured parts? (Ref. FAR 21.502) ______ | ______ | ______

H.  Are records protected against damage, alteration, deterioration and loss? ______ | ______ | ______

7. SHELF LIFE PROGRAM

A.  Is there a documented shelf life program? ______ | ______ | ______

B.  Is there a list of shelf life limited materials and parts and there limits? ______ | ______ | ______

8. TRAINING AND AUTHORIZED PERSONNEL

A.  Are personnel who perform inspection, shipping and receiving functions properly trained? ______ | ______ | ______

B.  Are inspection personnel properly authorized? ______ | ______ | ______

C.  Are both formal class room and on-the-job training documented and maintained? ______ | ______ | ______

D.  Is a roster of personnel authorized to perform specific functions maintained? ______ | ______ | ______

9. PROCUREMENT

A.  Does the system demonstrate the ability to: ______ | ______ | ______

1.  trace parts to the source of procurement and to the source production or to an FAA certificate holder ______ | ______ | ______
2. provide, upon request, information pertaining to the production approval status of each part in accordance with the applicable FAR’s?

B. Does the system assure that special requirements are adequately communicated to the supplier’s sources?

C. Does the surplus suppliers system assure that:
   1. parts subjected to extreme heat or stress are identified as such?
   2. all parts procured have traceability and/or airworthiness certification as required by FAR’s?
   3. all Airworthiness Directives (A.D.s) which have been accomplished are documented appropriately?
   4. part numbers conform to the customers purchase request?
   5. items identified as “overhauled” were in fact overhauled and have appropriate documentation to substantiate the condition of the part?

10. MATERIAL CONTROL
   A. Is material handled in such a fashion as to preclude damage and deterioration?
   B. Are storage areas periodically checked for overall Effectiveness?
   C. Is batch segregation utilized for aircraft fasteners and other material requiring batch control?
   D. Is the original packaging used as practical?
   E. Does packaging clearly identify its contents?
      YES  NO  N/A
   F. Does packaging conform to ATA specification 300 when appropriate?
   G. Is material susceptible to electrostatic discharge damage handled in accordance with proper requirements?
   H. Are parts/components adequately protected against
the environment and damage (including caps and plugs)?

I. Is a system in place to preclude part number ambiguity?  

J. Does the quality program provide a closed loop system for implementing corrective action following the identification of non-conforming parts or material?  

K. Is the non-conforming part/material segregated from useable stock?  

L. Is there a documented procedure in place for mutilating scrapped parts which will preclude their being returned to service?  

M. Are records maintained on all serialized scrapped parts?  

N. Is this requirement imposed on the subcontractors and/or suppliers?  

O. Is there a balance procedure for quantities purchased less sales inventory?  

11. HOUSING AND FACILITIES  

A. Is ventilation, lighting, temperature, and humidity control adequate?  

B. Are good housekeeping practices being maintained?  

12. MEASURING AND TEST EQUIPMENT  

A. Does the supplier have the tools required to assure conformity of the inventory to specification?  

B. Is there a documented program to maintain serviceability and calibration of those tools?  

C. Are historical records containing repair and calibration of those tools?  

D. If personally owned measuring tools are allowed on the premises are they controlled by the program?  

E. If in-house calibration is performed are the standards
used traceable to N.I.S.T?

F. Is there current certification for each in-house standard used?

G. Are the precision tools stored in a manner that will prevent damage and/or adverse affects on the calibration of the tool?

13. SCRAPPED PARTS

A. Does the supplier have a documented procedure for the handling of scrapped parts?

B. Does the supplier identify by title or position the individual responsible for verifying compliance with the procedure?

C. Does the supplier impose the procedure on subcontractors and repair facilities with whom they do business?
1. Proposed revision to Aeronautical Repair Station Section Policies and Procedures
Name:  
Company Name:  
Business Address:  
Phone:  Fax:  

2. Enter section, page, and current revision date to be revised  

3. Enter (or attach) the new text that is proposed as a change  

4. Write a brief explanation of the reason for the change  

5. Signature:  Date:  

6. Action taken regarding proposed change  
   [ ] Accepted  [ ] Rejected  [ ] Modified  

7. Explanation of action  

8. Policies and Procedures Committee Signatures  
   Signature:  Date:  
   Phone:  Fax:  
   Signature:  Date:  
   Phone:  Fax:
Aeronautical Repair Station Section
Case Policies and Procedures
Revision Proposal
Instructions for Completion

CASE
INCORPORATED
Achievement Through Cooperative Effort

A. Person proposing a change to the Policy and Procedures is requested to complete Items 1 through 5.

B. Mail or fax proposed revision:

[Insert Name And Address]
Of
[Membership Chairperson]

C. Policy and Procedures Committee will complete Items 6 through 8. These will generally be acted on at the semi-annual meetings of C.A.S.E.

In all cases, a response must be provided to the submitter.