

C.A.S.E.

AIR CARRIER SECTION

POLICIES AND PROCEDURES

Component Repair/Overhaul Vendor

Audit Checklist

Audit Date: _____ Vendor Allocation #: _____

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

Vendor Name: _____

US/Canadian Certificate #: _____ JAA Certificate #: _____

Drug/Alcohol Plan #: _____

Address Line 1: _____

Address Line 2: _____

City: _____ State/Province: _____

Country: _____ Zip code: _____

Accountable Manager: _____

Personnel Contact:

Name	Title
_____	_____
_____	_____

Phone #: _____ Fax #: _____

E-mail: _____

CAPABILITIES CODES "940 XXX"

Enter the letter code for each capability in a box below

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. General Information			
A. Refer to Standard			
2. Certification			
A. Does the vendor hold an FAA Air Agency, or Transport Canada AMO certificate?	_____	_____	_____
B. Are all required certificates, operations specifications, licenses, repairman certificates and registrations available for review?	_____	_____	_____
C. Obtain a copy of certificate, Operations Specifications, and where applicable, the vendor's capabilities listing.	_____	_____	_____
D. If the repair station has "Limited Ratings," does the vendor have a capabilities listing that satisfies this standard?	_____	_____	_____
E. Does the vendor have an FAA approved and active anti-drug & alcohol misuse testing plan?	_____	_____	_____
3. Quality Control Programs			
A. Does the vendor have a current Quality Control Manual?	_____	_____	_____
1) Inspecting incoming raw material to ensure acceptable quality?	_____	_____	_____
2) Performing preliminary inspections of all articles that are maintained?	_____	_____	_____
3) Inspection of all articles that have been involved in an accident for hidden damage before maintenance, preventive maintenance, or alteration is performed?	_____	_____	_____

Aircraft Electric Motors, Inc.

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
4) Establishing and maintaining proficiency of inspection personnel?	_____	_____	_____
5) Establishing and maintaining current technical data for maintaining articles?	_____	_____	_____
6) Qualifying and surveying non-certificated persons who perform maintenance, preventive maintenance, or alterations for the repair station	_____	_____	_____
7) Performing final inspection and return-to-service of maintained articles?	_____	_____	_____
8) Calibrating measuring and test equipment used to maintain articles, including the intervals at which the equipment will be calibrated?	_____	_____	_____
9) Taking corrective action on discrepancies?	_____	_____	_____
10) References, where applicable, to manufacturer's inspection standards?	_____	_____	_____
11) Samples of and instructions for completing maintenance and inspection forms, or reference to a separate forms manual?	_____	_____	_____
12) Procedures for revising the Quality Control Manual?	_____	_____	_____
B. Does the vendor's program include procedures for controlling shelf life and scrapped parts?	_____	_____	_____
C. Does the vendor have a current Repair Station Manual that contains the following:	_____	_____	_____
1) An organizational chart identifying:			
a) Each management position with authority to act on behalf of the repair station?	_____	_____	_____
b) The area of responsibility assigned to each management position?	_____	_____	_____

Aircraft Electric Motors, Inc.

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
c) Duties, responsibilities, and authority of each management position?	_____	_____	_____
2) Procedures for maintaining the roster?	_____	_____	_____
3) A description of the vendor's operations, equipment, and facility, including procedures for:	_____	_____	_____
a) Revising the capabilities list and notifying the applicable airworthiness authority?	_____	_____	_____
b) Self evaluation for revising the capabilities list?	_____	_____	_____
4) Procedures for revising the training program? (Effective April 6, 2006)	_____	_____	_____
5) Procedures to govern work performed at another location?	_____	_____	_____
6) Procedures for maintenance, preventive maintenance or alterations performed?	_____	_____	_____
7) Procedures for maintaining and revising contract maintenance information, and notifying the FAA?	_____	_____	_____
8) A description of the record-keeping system?	_____	_____	_____
9) Procedures for revising the repair station's manual, and notifying the FAA?	_____	_____	_____
10) A description of the system used to identify and control sections of the Repair Station Manual?	_____	_____	_____
D. Is the Repair Station Manual current and available to employees?	_____	_____	_____
E. Does the vendor have an internal audit and surveillance function?	_____	_____	_____
F. Does the internal audit function ensure compliance with customer specifications?	_____	_____	_____

Aircraft Electric Motors, Inc.

YES NO N/A

G. Does the internal audit program assure appropriate corrective action? _____|_____|_____

H. Does the vendor maintain a file of audit findings? _____|_____|_____

I. Does the vendor maintain a list of sub-contracted maintenance functions and agencies including the type of certificate and rating, if any, held by each facility? _____|_____|_____

J. Does the vendor ensure that sub-contractor quality meets customer specifications and legal requirements? _____|_____|_____

K. Does the vendor maintain certification on sub-contractor work? _____|_____|_____

L. Does the vendor have a contract allowing FAA to inspect non-certificated subcontractors _____|_____|_____

M. Does the vendor have a procedure for reporting defects or unairworthy conditions to the customer and the FAA? _____|_____|_____

4. Inspection Programs

A. Does the vendor perform any required inspections (RII) for any customer? _____|_____|_____

B. Are RII inspectors properly trained and certified? _____|_____|_____

C. Is there proper separation of maintenance and inspection responsibilities for vendors that perform required inspections? _____|_____|_____

D. Does the vendor have an acceptable receiving inspection system? _____|_____|_____

Aircraft Electric Motors, Inc.

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
E. Does the vendor have an acceptable system for controlling stamps, for both inspection and production personnel?	_____	_____	_____
F. Are acceptable sampling procedures adequate to ensure quality?	_____	_____	_____
5. Personnel			
A. Has the vendor designated an employee as the “Accountable Manager”?	_____	_____	_____
B. Does the repair station roster identify all management, supervisory and inspection personnel?	_____	_____	_____
C. Does the roster identify all personnel authorized for return-to-service?	_____	_____	_____
D. Does the repair station have an employment summary for all personnel listed on the repair station roster?	_____	_____	_____
E. Do the vendor’s supervisory personnel satisfy the requirements of this standard?	_____	_____	_____
F. Do the vendor’s inspection personnel satisfy the requirements of this standard?	_____	_____	_____
G. Do the vendor’s return-to-service personnel satisfy the requirements of this standard?	_____	_____	_____
H. Are specific individuals, by title, responsible for the following programs?			
1) Technical Data?	_____	_____	_____
2) Shelf life?	_____	_____	_____
3) Calibrated tooling?	_____	_____	_____
4) Scrap parts?	_____	_____	_____

Aircraft Electric Motors, Inc.

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
I. Is there a back-up person identified by title for all programs requiring one?	_____	_____	_____

6. Technical Data Program

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

A. Does the vendor have the required shop manuals and specifications to perform the repair/overhaul in accordance with customer specifications?	_____	_____	_____
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B. Are there established approved procedures controlling revisions in manuals deviating from OEM specifications? (e.g., EO or EA)	_____	_____	_____
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C. Does the vendor have a documented system to ensure technical data is current?	_____	_____	_____
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D. Does the vendor have records of manual revisions?	_____	_____	_____
--	-------	-------	-------

E. Are manual revisions up to date?	_____	_____	_____
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F. Is the technical data properly identified and available to mechanics?	_____	_____	_____
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G. Does the vendor have a system to control working copies of manuals to ensure they are revised with the masters?	_____	_____	_____
--	-------	-------	-------

H. Is technical data stored in a manner that will protect it from dirt and damage?	_____	_____	_____
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I. Are adequate viewing devices in good condition and available for viewing the technical data?	_____	_____	_____
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J. If the vendor has SFAR 36 authority, does it have a system for receiving customer approval prior to use of the data?	_____	_____	_____
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YES **NO** **N/A**

K. Does the vendor have an approved SFAR-36 manual and roster? _____|_____|_____

7. Shelf Life Program

A. Does the vendor have a documented shelf life program? _____|_____|_____

B. Does the program list parts and materials that have shelf life limits? _____|_____|_____

C. Does each shelf life item have the shelf life expiration limit displayed? _____|_____|_____

D. Is there an adequate system to assure that no item will be issued or used past its expiration date? _____|_____|_____

E. Were items sampled for shelf life within limits? _____|_____|_____

8. Calibration Program

A. Does the vendor have a documented tool calibration program? _____|_____|_____

B. Are all tools requiring calibration identified and on the tool calibration list? _____|_____|_____

C. Are standards used to calibrate tools acceptable to the FAA? e.g., The National Institute of Standards and Technology (NIST)? _____|_____|_____

D. Is there a system to identify each tool in the program, its calibration frequency and its calibration due date? _____|_____|_____

E. Does the vendor have a procedure for identifying, controlling and/or preventing out-of-service and due-for-calibration tools & equipment from being used? _____|_____|_____

F. Does the vendor have a procedure to control the calibration of personal tools? _____|_____|_____

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10. Housing and Facilities			
A. If the vendor deals in non-aircraft parts, materials and/or maintenance activities, are they adequately segregated from the aircraft functions? [10A]	_____	_____	_____
B. Does the vendor have:[10B.2]			
1) Sufficient work space and areas for the proper segregation and protection of articles?	_____	_____	_____
2) Segregated work areas enabling environmentally hazardous or sensitive operations such as painting, cleaning, welding, avionics work, and machining to be done properly and in a manner that does not adversely affect other maintenance?	_____	_____	_____
3) Suitable racks, hoists, trays, stands, and other segregation means for the storage and protection of all articles?	_____	_____	_____
4) Space sufficient to segregate articles and materials stocked for installation from those undergoing maintenance, preventive maintenance or alterations?	_____	_____	_____
5) Ventilation, lighting, and control of temperature, humidity, and other climatic conditions sufficient to ensure personnel perform maintenance, preventive maintenance, or alterations to the standards required by the part?	_____	_____	_____
6) Areas for receiving and for shipping customers units with adequate space, lighting, shelving, security, and fire protection to accommodate customers' units in a manner that will preclude damage, loss, and theft?	_____	_____	_____
7) Adequate and appropriate storage area to safely store customers' reusable shipping containers and to protect them from environmental damage?	_____	_____	_____

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- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|---|------------|-----------|------------|
| C. If the vendor has an airframe rating, is suitable permanent housing provided to enclose the largest type and model of aircraft listed on its Operations Specifications?[10C] | _____ | _____ | _____ |
| D. If the vendor performs maintenance, preventive maintenance, or alterations on articles outside of its housing, does it provide suitable facilities that are acceptable to the FAA and its customers? [10D] | _____ | _____ | _____ |
| E. Do facilities outside of the vendor's housing meet the requirements of this standard so that the work can be done in accordance with the requirements of 14 CFR 43? [10D] | _____ | _____ | _____ |

11. Safety / Security / Fire Protection

- | | | | |
|--|-------|-------|-------|
| A. Does the vendor provide adequate security for customer parts in its possession? [11.A] | _____ | _____ | _____ |
| B. Is the security system reviewed periodically by management or an outside vendor? [11.B] | _____ | _____ | _____ |
| C. Are fire protection devices inspected periodically? [11.C] | _____ | _____ | _____ |
| D. Are fire stations identified and extinguishers in serviceable condition? [11.D] | _____ | _____ | _____ |
| E. Are fire lanes, doors and fire extinguishers clear of obstruction? [11.E] | _____ | _____ | _____ |
| F. Are safety guards in place on power equipment? [11.F] | _____ | _____ | _____ |
| G. Are the vendor's shop operations conducted in a safe manner and environment? [11.G] | _____ | _____ | _____ |

12. Storage

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

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	<u>YES</u>	<u>NO</u>	<u>N/A</u>
B. Do parts in bins match part number on bins? [12A]	_____	_____	_____
C. Does the vendor have a quarantine area for rejected parts and materials awaiting disposition? [12C]	_____	_____	_____
D. Are parts and material properly protected from damage and deterioration? [12D]	_____	_____	_____
E. Are flammable, toxic or volatile materials properly identified and stored? [12E]	_____	_____	_____
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? [12F]	_____	_____	_____
G. Are high pressure bottles correctly labeled, properly stored and secured? [12G]	_____	_____	_____
H. Does the vendor maintain traceability certification on all parts and raw materials? [12H]	_____	_____	_____
13 Work Processing			
A. Does the vendor observe duty time limitations? [13A]	_____	_____	_____
B. Does the vendor only perform work for which it is authorized on its Operations Specifications? [2A & B]	_____	_____	_____
C. Does the vendor have adequate tooling and test equipment to perform the work? [10B]	_____	_____	_____
D. Where a vendor uses specified OEM test equipment and/or test equipment other than that specified by the OEM, does that vendor: [13C(1)]	_____	_____	_____
1) Have an operating manual and maintenance manual for the equipment?	_____	_____	_____
2) Perform maintenance and servicing per the manual?	_____	_____	_____

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3) Maintain maintenance and servicing records for two years?	_____	_____	_____
4) Where applicable, list the equipment in their calibration program?	_____	_____	_____
E. Where a vendor uses non-OEM specified equipment, is the equipment properly certified? [13C(2)]	_____	_____	_____
F. Are adequate tools and current manuals available or at the mechanics' work stations? [13B(2); 6B]	_____	_____	_____
G. Are customers' parts properly identified throughout the maintenance actions and in storage? [13D]	_____	_____	_____
H. Is there a work turnover procedure used? [13E]	_____	_____	_____
I. Does the shop segregate serviceable from unserviceable components? [10B(2)(a)]	_____	_____	_____
J. Does the facility provide adequate protection of parts in work? e.g., filtered air or clean room depending on type of part? [10B(2)]	_____	_____	_____
K. Are smoking, eating and drinking forbidden in the work area or, does the vendor have a written program to ensure units are protected from contamination? [13G]	_____	_____	_____
L. Are fluid dispensing cans and servicing units properly identified? [13H]	_____	_____	_____
M. Are the vendor's work records complete, in order, and legible? [13I & J]	_____	_____	_____
N. Do the records contain: [13I & J]			
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?	_____	_____	_____

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- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|---|------------|-----------|------------|
| 4) The name of the person inspecting the work? | _____ | _____ | _____ |
| 5) The signature, certificate number of the person returning the article to service? | _____ | _____ | _____ |
| O. Are all test and inspection records in work package?
[13I & J] | _____ | _____ | _____ |
| P. Does the vendor's return-to-service document meet customer and FAA requirements? [13J] | _____ | _____ | _____ |
| Q. Does the vendor's record keeping system and retention time meet 14 CFR requirements? [13K] | _____ | _____ | _____ |

14. Shipping

- | | | | |
|---|-------|-------|-------|
| A. Are components returned in an appropriate shipping container or as specified by the customer? [14A] | _____ | _____ | _____ |
| B. Does the vendor verify that the identifying data (P/N, S/N, nomenclature, mod. no.) on the documentation and the data plate match? [14B] | _____ | _____ | _____ |

15. Scrapped Parts

- | | | | |
|---|-------|-------|-------|
| A. Does the vendor have a documented procedure to assure that scrapped parts are either returned to the customer or mutilated beyond repair? [15.A] | _____ | _____ | _____ |
| B. Does the vendor maintain a record of scrapped life limited parts for at least two years? [15.B] | _____ | _____ | _____ |
| C. Does the record include the P/N, S/N, and date of the scrapped part? [15.B] | _____ | _____ | _____ |

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