

**Element Performance Inspection (EPI) Data Collection Tool
1.3.24 Coordinating Agencies for Suppliers Evaluation (CASE) (AW)**

ELEMENT SUMMARY INFORMATION

Purpose of This Element (Certificate Holder's responsibility):

- To participate in the Coordinating Agencies for Suppliers Evaluation (C.A.S.E.) Program in such a manner that will ensure full compliance with the Certificate Holder's maintenance program, operations specifications D090, and the requirements outlined in the C.A.S.E. Air Carrier Section Policies and Procedures Manual.

Objective (FAA oversight responsibility):

- To determine if there were any changes in the personnel identified by the Certificate Holder as having responsibility and/or authority for the Coordinating Agencies for Suppliers Evaluation (CASE) process.
- To determine if the Certificate Holder follows its procedures, controls, process measurements and interfaces for the Coordinating Agencies for Suppliers Evaluation (CASE) process.

Specific Instructions:

- Intentionally left blank

Related EPI(s):

- 1.2.2 Major Repairs and Alterations Records (AW)
- 1.2.3 Maintenance Log / Recording Requirements (AW)
- 1.2.5 Mechanical Reliability Reports (MRR) (AW)
- 1.3.1 Maintenance Program (AW)
- 1.3.10 Parts / Material Control / SUP (AW)
- 1.3.11 Continuous Analysis and Surveillance (CAS) (AW)
- 1.3.16 Fueling (AW)
- 1.3.18 De-Icing Program (AW)
- 1.3.2 Inspection Program (AW)
- 1.3.7 Outsource Organization (AW)
- 1.3.8 Control of Calibrated Tools and Test Equipment (AW)
- 2.1.2 Content Consistency Across Manuals (AW)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirement(s) (SRRs):

- SRRs:
 - 119.43(b)
 - 119.43(b)(1)
 - 119.43(b)(2)
 - 119.43(c)
 - 119.5(f)(2)
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.363(a)
 - 121.363(b)
 - 121.373(a)

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:
 - Intentionally left blank
- FAA Policy/Guidance:
 - FAA Order 8300.10, Volume 2, Chapter 45.
 - FAA Order 8300.10, Volume 2, Chapter 95.
 - HBAW 95–11A
 - HBAW 95–05C
 - C.A.S.E. Air Carrier Section Policies and Procedures Manual

EPI SECTION 1 – PERFORMANCE OBSERVABLES	
Objective: (FAA oversight responsibility): To determine if the Certificate Holder follows its procedures, controls, process measures and interfaces for the Coordinating Agencies for Suppliers Evaluation (CASE).	
Tasks	
To meet this objective, the inspector must accomplish the following tasks:	
1	Review information listed in the Supplemental Information Section of this data collection tool.
2	Review the policies, procedures, instructions and information for the Coordinating Agencies for Suppliers Evaluation (C.A.S.E.) process contained in the Certificate Holder's manual.
3	Review the associated SAI for this element with emphasis on the controls, process measurements and interface attribute sections.
4	Observe the C.A.S.E. process to gain an understanding of the procedures, instructions and information contained in the Certificate Holder's manual.
5	Discuss the C.A.S.E. process with the personnel (other than management) who perform the duties and responsibilities required by the process.
Questions	
To meet this objective, the inspector must answer the following questions:	
1. Were the following Performance Measures met:	
1.1	<p>Did the Certificate Holder maintain an active sustaining membership in C.A.S.E.?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> Check at the FAA Location then at the Air carrier Specified Location that if Certificate holder ceased to maintain an active sustaining membership the C.A.S.E. authorization was cancelled. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual REV 39) Section 1–9–3 Page 1 Paragraph A Check at the Air Carrier Specified Location that the certificate holder maintained an active sustaining membership in C.A.S.E. <i>Sources:</i> 121.135(a)(1); D.090(c)
	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2	<p>Did the Certificate Holder conduct C.A.S.E. activities in accordance with the most current revision of the C.A.S.E. Air Carrier Section Policies and Procedures Manual?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> Check at the Air carrier Specified Location that the Certificate Holder's C.A.S.E. Certificate Holder Section, Policies & Procedures Manual is current. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 3–3–0 Page 2, Paragraph 4A & Section 3–3–0 Page 2, Paragraph 4B
	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>1.3 Did the Certificate Holder's C.A.S.E. auditors meet the background and experience requirements for the auditors to be recognized by the C.A.S.E. membership?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Air carrier Specified Location that the Certificate Holder's minimum requirements of the auditor background and experience was in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10, Volume 2, Chapter 95 Change 10 Section 1, Paragraph 5E(1)(a) 2. Check at the Air carrier Specified Location that the Certificate Holder's audit personnel met the minimum requirements in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.4 Did the Certificate Holder's methods for selecting and training auditors meet the requirements outlined in the C.A.S.E. Air Carrier Section Policies and Procedures Manual?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Air Carrier Specified Location that the auditor Training Program, was in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 2 Paragraph 5B; 8300.10 Volume 3 Chapter 45 Change 8 Section 1 Paragraph 7A; C.A.S.E. Certificate Holder Section, Policies & Procedures Manual REV 39) Section 2-3-1 Paragraph 1D(1)(2); C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6 & Paragraph 6A(1)(2)(3)(4) 5)(6)(7) & Section 2-3-1 Paragraph 6A Fuel #1-2-3-4-5-6-7 Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5) Section 2-3-1 Paragraph 6C(1)(2){a}{b}) (3)(4)(5)(6)(7) Section 2-3-1 Paragraph 6D(1)(2)(3)(4) (5)(6)(7) 2. Check at the Training Center Location that the auditor Training Program, is in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 2 Paragraph 5B ; 8300.10 Volume 3 Chapter 45 Change 8 Section 1 Paragraph 7A ; C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1D(1)(2) & Section 2-3-1 Paragraph 6 & Paragraph 6A(1)(2)(3)(4) (5)(6)(7) & Section 2-3-1 Paragraph 6A Fuel #1-2-3-4-5-6-7 & Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5) & Section 2-3-1 Paragraph 6C(1)(2){a}{b}) (3)(4)(5)(6)(7) & Section 2-3-1 Paragraph 6D(1)(2)(3)(4) (5)(6)(7) 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.5 Did the Certificate Holder's participation in C.A.S.E. comply with its maintenance program?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Outsource Provider Location that the C.A.S.E. program is meeting the requirements of the Certificate Holder's approved maintenance program in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 2 Paragraph 5A(3) 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

1.6 Did the Certificate Holder's C.A.S.E. auditors pass a written test, an oral examination, and a practical demonstration of their skills and capabilities as an auditor?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.7 Did the Certificate Holder's C.A.S.E. auditors qualify and meet the requirements to maintain their authorization as outlined in the C.A.S.E. Air Carrier Section Policies and Procedures Manual?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Air carrier Specified Location that the Certificate Holder's auditor candidates were authorized in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1C(1)(2)(3) & Section 2-3-0 Paragraph 1D(1)(2)(3) & Section 2-3-0 Paragraph 1E & Section 2-3-0 Paragraph 1F & Section 2-3-0 Paragraph 1G(1)(2)(3)(4) & Section 2-3-0 Paragraph 1H & Section 2-3-0 Paragraph 2A & Section 2-3-1 Paragraph 1E(1)(2)(3) Paragraph 2B(1)(2)(3)(4) (5) & (6) & Section 2-3-1 Paragraph 2D & Section 2-3-1 Paragraph 2F & Section 2-3-1 Paragraph 2G(1)(2) & Section 2-3-1 Paragraph 4A & Section 2-3-1 Paragraph 4B(1)(2)(3)(4)(5) & Section 2-3-1 Paragraph 4C & Section 2-3-1 Paragraph 4E & Section 2-3-1 Paragraph 4F & Section 2-3-1 Paragraph 4K 2. Check at the Air carrier Specified Location that the Certificate Holder's C.A.S.E. Level III or Level IV auditors that were to retain their Level III or Level IV authorization, filed an annual activities report to C.A.S.E. in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 2B 3. Check at the Air carrier Specified Location that the Certificate Holder's C.A.S.E. authorized auditor that changed employment from one member carrier to another member carrier, the individual's authorization remained valid, in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1G(1)(2) 4. Check at the Air carrier Specified Location that the Certificate Holder's C.A.S.E. authorized auditors retained their C.A.S.E. authorization, in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5A & Section 2-3-1 Paragraph 5B & Section 2-3-1 Paragraph 5B & Section 2-3-1 Paragraph 5C (1)(2) Note (1) & Section 2-3-1 Paragraph 5D(1)(2) & Note 5. Check at the Air carrier Specified Location that the Certificate Holder's C.A.S.E. authorized auditors that was lost 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>authorization, regained C.A.S.E. authorization, in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5E(1)(2); Section 2-3-1 Paragraph 5E(1)(2)</p>	
<p>1.8 Were auditors authorized through the C.A.S.E. Air Carrier Auditor Authorization Program the only personnel to submit supplier/vendor change information to the C.A.S.E. database? <i>Related Performance JTI's:</i> 1. Check at the Air carrier Specified Location only auditors authorized were allowed to submit supplier/vendor change information to the data base in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10, Volume 2, Chapter 95 Change 10 Section 1, Paragraph 5E(1)(c)</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.9 Were the Certificate Holder's C.A.S.E. audits properly conducted at the appropriate intervals? <i>Related Performance JTI's:</i> 1. Check at the Air carrier Specified Location that the Certificate Holder's audits were conducted in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0, Page 1 Paragraph B1 (a)(b) 2. Check at the Outsource Provider Location that the Certificate Holder's audits are conducted in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0, Page 1 Paragraph B1 (a)(b) 3. Check at the Air carrier Specified Location that if the Certificate Holder substituted a current C.A.S.E. audit report for the required on site audit by the Certificate Holder, they did so in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10 Appendix 3 HBAW 96-05C Attachment 2 Item 10(A) Effective date 12-15-1997 4. Check at the Air carrier Specified Location that if the Certificate Holder's had an audit schedule based on its own unique set of circumstances and needs, in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10 Appendix 3 HBAW 96-05C Paragraph 5G Effective date 12-15-1997</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>2 Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the C.A.S.E. process followed? <i>Related Performance JTI's:</i> 1. Check at the Air Carrier Specified Location that the certificate holder conducted C.A.S.E. activities in accordance with the certificate holder's instructions. <i>Sources:</i> 121.135(a)(1); D.090(a) 2. Check at the Outsource provider that the certificate holder conducted C.A.S.E. activities in accordance with the certificate holder's instructions. <i>Sources:</i> 121.135(a)(1); D.090(a)</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

3	Were the C.A.S.E. process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4	<p>Did the records for the C.A.S.E. process comply with the instructions provided in the Certificate Holder's manual?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Air carrier Specified Location that the Certificate Holder's audit records met the minimum requirements in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) 2. Check at the Air carrier Specified Location that the Certificate Holder maintained the vendor surveillance activity records in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4) 3. Check at the Air carrier Specified Location that the Certificate Holder retained audit reports, in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 4-1-0 Page 1 Paragraph 4B 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5	Were the process measurements for the C.A.S.E. process effective in identifying problems or potential problems and providing corrective action for them?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6	Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions and information that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

EPI SECTION 1 – PERFORMANCE OBSERVABLES –Drop Down Menu
1. Personnel.
2. Tools and Equipment.
3. Technical Data.
4. Procedures, policies or instructions or information.
5. Materials.
6. Facilities.
7. Controls.
8. Process Measures.
9. Interfaces.
10. Desired Outcome.
11. Other.

EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective: To determine if the person identified by the Certificate Holder having responsibility and/or authority for the Coordinating Agencies for Suppliers Evaluation (CASE) is qualified, knowledgeable, and recognizes that responsibility and/or authority. (The person with the authority may or may not be the person with the responsibility.)

Tasks

To meet this objective, the inspector must accomplish the following tasks:

1 Identify the person who has overall responsibility for the Coordinating Agencies for Suppliers Evaluation (C.A.S.E.) process.

2 Identify the person who has overall authority for the C.A.S.E. process.

NOTE: If no personnel or major program changes (as defined by the Principal Inspector) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3 – 6. Answer questions 2.1 & 2.2, and provide the name/title.

3 Review the duties and responsibilities for the person(s) who manage the C.A.S.E. process documented in the Certificate Holder's manual.

4 Review the appropriate organizational chart.

5 Discuss the C.A.S.E. process with the management personnel identified in Tasks 1 and 2.

6 Evaluate the qualifications and work experience of the management personnel identified in Tasks 1 and 2.

Questions

To meet this objective, the inspector must answer the following questions:

2. Are the following aspects of the Management Responsibility and Authority Attributes addressed for the Coordinating Agencies for Suppliers Evaluation (C.A.S.E.) process:

2.1 Is there a clearly identifiable person who is responsible for the quality of the C.A.S.E. process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input style="width: 100%;" type="text"/>
2.2 Is there a clearly identifiable person who has authority to establish and modify the Certificate Holder's policies, procedures, instructions and information for the C.A.S.E. process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input style="width: 100%;" type="text"/>
2.3 Does the responsible person know that he/she has responsibility for the C.A.S.E. process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.4 Does the person with authority know that he/she has authority for the C.A.S.E. process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5 Does the person with responsibility for the C.A.S.E. process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

2.6 Does the person with authority to establish and modify the C.A.S.E. process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.7 Does the person with responsibility understand the controls, process measurements, and interfaces associated with the C.A.S.E. process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.8 Does the person with authority understand the controls, process measurements, and interfaces associated with the C.A.S.E. process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.9 Does the responsible person know who has authority to establish and modify the C.A.S.E. process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.10 Does the individual with authority know who has the responsibility for the C.A.S.E. process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES –Drop Down Menu
1. Assignment of responsibility.
2. Assignment of authority.
3. Does not understand procedures, policies or instructions and information.
4. Does not understand controls.
5. Does not understand process measurements.
6. Does not understand interfaces.
7. Span of control.
8. Position vacant.
9. Other.