

**Safety Attribute Inspection (SAI) 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 the Certificate Holder's C.A.S.E. process meets all applicable requirements of the Federal Aviation Regulations and FAA policies.
- To determine if the Certificate Holder's C.A.S.E. process incorporates the System Safety Attributes.
- To identify any shortfalls in the Certificate Holder's C.A.S.E. process.

Specific Instructions:

- Intentionally left blank

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:
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- 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

SAI SECTION 1 – PROCEDURES ATTRIBUTE

Objective: Procedures, instructions and information contained in Certificate Holder's manual are documented methods for accomplishing a process. Policies contained in the Certificate Holder's manual should establish the Certificate Holder's compliance posture. Policies may not be stand-alone statements but may be imbedded within procedures, instructions or information regarding a particular regulatory requirement. The questions in this section of the data collection tool are designed to assist the inspector in determining if the Certificate Holder's manual has documented or prescribed methods of accomplishing the process requirements that provide answers to the associated who, what, when, where and how type questions. This section of the data collection tool contains policy questions, procedural questions and instructional or informational questions pertaining to various types of Certificate Holder requirements such as actions, prohibitions or resources (i.e., personnel, facilities, equipment, technical data, etc.).

Tasks

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

- 1 Review the information listed in the Supplemental Information section of this data collection tool.
- 2 Review the duties and responsibilities for management and other personnel identified by the Certificate Holder who accomplish the C.A.S.E. process.
- 3 Review the Certificate Holder's Manual to ensure it contains policies, procedures, instructions and information for the C.A.S.E. process.

Questions

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

- 1 Does the Certificate Holder's manual content meet the specific regulatory and FAA policy requirements for a Coordinating Agencies for Suppliers Evaluation (C.A.S.E.) process:
 - 1.1 Does the Certificate Holder's manual contain general policies for the C.A.S.E. process that comply with the specific regulatory requirements?
SRRs: 119.5(f)(2); 121.135(b)(1); 121.363(b); 121.373(a); 121.363(a); D.090; D.090(b)

Related Design JTI's:

 1. Check that the certificate holder's manual contain a general policy that Operations Specifications Paragraph D090 authorizes the air carrier to utilize Coordinating Agencies for Suppliers Evaluation (C.A.S.E.) as a means of qualifying a vendor for service, parts, and materials to satisfy the requirements of 14 CFR Section 121.373.
Sources: 121.135(b)(1); D.090
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
 2. Check that the Certificate Holder's manual contains a general policy that the C.A.S.E. program includes continuing analysis and surveillance of the performance and effectiveness of its inspection program and the program covering other maintenance, preventive maintenance, and alterations.
Sources: 121.373(a); 121.135(b)(1)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
 3. Check that the Certificate Holder's manual contains a general policy the C.A.S.E. program includes the correction of any deficiency in the inspection program and the program covering

- Yes
 No, Explain

<p>other maintenance, preventive maintenance, and alterations, regardless of whether those programs are carried out by the Certificate Holder or by another person. <i>Sources:</i> 121.373(a); 121.135(b)(1) <i>Interfaces:</i> 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw</p> <p>4. Check that the Certificate Holder's manual contains a general policy that their operations will comply with the appropriate authorizations, limitations, and procedures specified in the operations specifications for each kind of operation. <i>Sources:</i> 119.5(f)(2); 121.135(b)(1) <i>Interfaces:</i> 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw</p> <p>5. Check that the Certificate Holder's manual contains a general policy to make arrangements with another person for the performance of any maintenance, preventive maintenance, or alterations. However, this does not relieve the Certificate Holder of the responsibility specified in of 14 CFR part 121 subpart L, 121.363 (a). <i>Sources:</i> 121.363(b); 121.135(b)(1) <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw</p>	
<p>1.2 Does the Certificate Holder's manual cite the regulatory requirements listed in the Supplemental Information section of this SAI? SRRs: 121.135(b)(3)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.3 Does the Certificate Holder's manual contain the duties and responsibilities for personnel who will accomplish the C.A.S.E. process? SRRs: 121.135(b)(2)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.4 Does the Certificate Holder's manual include instructions and information for personnel to meet the requirements of the C.A.S.E. process? SRRs: 121.135(a)(1)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5 Does the Certificate Holder's manual specify that the Certificate Holder will conduct C.A.S.E. activities in accordance with:</p>	
<p>1.5.1 The most current revision of the C.A.S.E. Air Carrier Section Policies and Procedures Manual? SRRs: D.090(a) <i>Related Design JTI's:</i></p> <p>1. Check that the certificate holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility to conduct C.A.S.E. activities in accordance with the most current revision of the C.A.S.E. Air Carrier Section Policy and the certificate holder's manual system. <i>Sources:</i> 121.135(a)(1); D.090(a) <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5.2 The Certificate Holder's manual system? SRRs: D.090(a) <i>Related Design JTI's:</i></p> <p>1. Check that the certificate holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility to conduct C.A.S.E. activities in accordance with the most current revision of the C.A.S.E. Air Carrier Section Policy and the</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>certificate holder's manual system. <i>Sources:</i> 121.135(a)(1); D.090(a) <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw</p>	
<p>1.6 Does the Certificate Holder's manual include instructions and information necessary for personnel to utilize C.A.S.E. as a means of qualifying a vendor for: SRRs: 121.135(a)(1); D.090</p>	
<p>1.6.1 Services to satisfy the requirements of 14 CFR Section 121.373? SRRs: D.090 <i>Related Design JTI's:</i> 1. Check that the certificate holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility to utilize C.A.S.E. as a means of qualifying a vendor for service, parts, and materials to satisfy the requirements of 14 CFR Section 121.373. <i>Sources:</i> 121.135(a)(1); D.090(b) <i>Interfaces:</i> 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.6.2 Parts to satisfy the requirements of 14 CFR Section 121.373? SRRs: D.090 <i>Related Design JTI's:</i> 1. Check that the certificate holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility to utilize C.A.S.E. as a means of qualifying a vendor for service, parts, and materials to satisfy the requirements of 14 CFR Section 121.373. <i>Sources:</i> 121.135(a)(1); D.090(b) <i>Interfaces:</i> 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.6.3 Materials to satisfy the requirements of 14 CFR Section 121.373? SRRs: D.090 <i>Related Design JTI's:</i> 1. Check that the certificate holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility to utilize C.A.S.E. as a means of qualifying a vendor for service, parts, and materials to satisfy the requirements of 14 CFR Section 121.373. <i>Sources:</i> 121.135(a)(1); D.090(b) <i>Interfaces:</i> 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.7 Does the Certificate Holder's manual specify that the Certificate Holder has primary responsibility for the airworthiness of parts and materials processed through any vendor or contractor approved for use by the Certificate Holder and for services rendered to the Certificate Holder? SRRs: D.090(b)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.8 Does the Certificate Holder's manual specify that:</p>	
<p>1.8.1 The contents of the C.A.S.E. manual shall not conflict with the CFR or the Certificate Holder's manual system? SRRs: D.090(a)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>1.8.2 Should the Air Carrier Section of C.A.S.E. cease to exist, this authorization is canceled? SRRs: D.090(c)</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the certificate holder's manual contains instructions that should the air carrier section of C.A.S.E. cease to exist or function, this authorization is canceled. <i>Sources:</i> 121.135(b)(24); D.090(c) <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.8.3 Should the Air Carrier Section of C.A.S.E. cease to function, this authorization is canceled? SRRs: D.090(c)</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the certificate holder's manual contains instructions that should the air carrier section of C.A.S.E. cease to exist or function, this authorization is canceled. <i>Sources:</i> 121.135(b)(24); D.090(c) <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.8.4 Should the Certificate Holder cease to maintain an active sustaining membership, this authorization is canceled? SRRs: D.090(c)</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the certificate holder's manual contains instructions that should the certificate holder cease to maintain an active sustaining membership, this authorization is canceled. <i>Sources:</i> 121.135(b)(24); D.090(c) <i>Interfaces:</i> 1.3.11-aw; 1.3.1-aw; 1.3.15-aw; 1.3.2-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.9 Does the Certificate Holder's manual contain the required references to, or excerpts from, the applicable operations specifications? SRRs: 119.43(b); D.090</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.10 If the Certificate Holder's manual includes excerpts from its operations specifications, are the excerpts clearly identified as part of the operations specifications? SRRs: 119.43(b)(1)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.11 Does the Certificate Holder's manual require compliance with the applicable operations specifications? SRRs: 119.43(b)(2); D.090</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.12 Does the Certificate Holder's manual contain a method for keeping all persons engaged in its operations informed of the provisions of the applicable operations specifications? SRRs: 119.43(c); D.090</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>1.13 Does the Certificate Holder's C.A.S.E. process comply with the guidance contained in FAA Order 8300.10?</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's instructions and information regarding the purpose of C.A.S.E. is to conduct audits of various suppliers/vendors through a cooperative effort. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 1 Paragraph 5B(2) <i>Interfaces:</i> 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw 2. Check that the Certificate Holder's instructions and information regarding C.A.S.E. audits are a method for the analysis, control, and acceptability of those vendors supplying parts and maintenance services. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 1 Paragraph 5B(2) <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw 3. Check that the Certificate Holder's instructions and information regarding the use of initial specifications by C.A.S.E include audits of repair stations that provide components/parts that have been restored, overhauled, or otherwise repaired. In addition the suppliers of the following: Used and salvaged equipment Airline surplus parts/components New aircraft parts Fuel and fueling services Oxygen <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 1 Paragraph 5C <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw 4. Check that the Certificate Holder's instructions and information regarding a C.A.S.E. audit is a sampling examination and assessment of a vendor's quality control system. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 1 Paragraph 5D <i>Interfaces:</i> 1.3.2-aw; 1.3.1-aw; 1.3.11-aw; 1.3.15-aw 5. Check that the Certificate Holder's instructions and information regarding a C.A.S.E. audit is a sampling examination and assessment of a supplier's quality control system. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 1 Paragraph 5D <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw 6. Check that the Certificate Holder's instructions and information regarding a C.A.S.E. audit is an assessment is made by an on-site review. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 1 Paragraph 5D <i>Interfaces:</i> 1.3.11-aw; 1.3.1-aw; 1.3.2-aw; 1.3.15-aw 7. Check that the Certificate Holder's instructions and information regarding a C.A.S.E. audit must be mutually agreed upon standards of performance against which suppliers and vendors are gauged. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 1 Paragraph 5D <i>Interfaces:</i> 1.3.1-aw; 1.3.2-aw; 1.3.11-aw; 1.3.15-aw 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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8. Check that the Certificate Holder's instructions and information regarding the utilization of C.A.S.E. audits performed by other members.
Sources: 8300.10 Volume 2 Chapter 95 Change 10 Section 1 Paragraph 5D
Interfaces: 1.3.15–aw; 1.3.11–aw; 1.3.1–aw; 1.3.2–aw
9. Check that the Certificate Holder's instructions and information regarding C.A.S.E.'s strict training and certification program's specific minimum requirements in terms of the auditor background and experience are required.
Sources: 8300.10, Volume 2, Chapter 95 Change Section 1, Paragraph 5E (1) (a)
Interfaces: 1.3.1–aw; 1.3.2–aw; 1.3.15–aw; 1.3.11–aw
10. Check that the Certificate Holder's instructions and information includes the stipulation that only auditors authorized through the C.A.S.E. Certificate holder Auditor Authorization Program are allowed to submit supplier/vendor change information to the data base.
Sources: 8300.10, Volume 2, Chapter 95 Change Section 1, Paragraph 5E(1)(c)
Interfaces: 1.3.11–aw; 1.3.15–aw; 1.3.2–aw; 1.3.1–aw
11. Check that the Certificate Holder's instructions and information regarding the use of the C.A.S.E published policy and procedures manual which outlines the program in its entirety.
Sources: 8300.10, Volume 2, Chapter 95 Change Section 1, Paragraph 5E:(2)
Interfaces: 1.3.11–aw; 1.3.15–aw; 1.3.2–aw; 1.3.1–aw
12. Check that the Certificate Holder's instructions and information regarding the C.A.S.E. published policy and procedures manual that outlines the methods for selecting auditors.
Sources: 8300.10, Volume 2, Chapter 95 Change Section 1, Paragraph 5E:(2)
Interfaces: 1.3.2–aw; 1.3.1–aw; 1.3.15–aw; 1.3.11–aw
13. Check that the Certificate Holder's instructions and information regarding the C.A.S.E. published policy and procedures manual that outlines the methods for training auditors.
Sources: 8300.10, Volume 2, Chapter 95 Change Section 1 Paragraph 5E:(2)
Interfaces: 1.3.15–aw; 1.3.11–aw; 1.3.1–aw; 1.3.2–aw
14. Check that the Certificate Holder's instructions and information regarding the C.A.S.E. published policy and procedures manual that outlines the methods for evaluation standards for evaluating the vendor/supplier.
Sources: 8300.10, Volume 2, Chapter 95 Change Section 1, Paragraph 5E:(2)
Interfaces: 1.3.11–aw; 1.3.15–aw; 1.3.1–aw; 1.3.2–aw
15. Check that the Certificate Holder's instructions and information regarding the names of vendors/suppliers whose quality control systems comply with C.A.S.E. program standards as determined by an on–site technical audit are exchanged voluntarily.
Sources: 8300.10 Volume 2 Chapter 95 Change 10 Section 1

<p>Paragraph 5E(3) <i>Interfaces:</i> 1.3.1–aw; 1.3.2–aw; 1.3.15–aw; 1.3.11–aw</p> <p>16. Check that the Certificate Holder's instructions and information regarding the periodically published and updated C.A.S.E. Register of vendors and suppliers used by the certificate holder will be accessible to FAA representatives. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 1 Paragraph 5E(3) <i>Interfaces:</i> 1.3.15–aw; 1.3.11–aw; 1.3.1–aw; 1.3.2–aw</p> <p>17. Check that the Certificate Holder's manual procedures reflect the requirements outlined in the C.A.S.E. Certificate Holder Section Policy and Procedure manual. <i>Sources:</i> 8300.10, Volume 2, Chapter 95 Change 10 Section 2, Paragraph 5:A.(2) <i>Interfaces:</i> 1.3.11–aw; 1.3.15–aw; 1.3.2–aw; 1.3.1–aw</p> <p>18. Check that the Certificate Holder's instructions and information regarding their participation in the C.A.S.E. program will meet the requirements of the Certificate Holder's approved maintenance program. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 2 Paragraph 5A(3) <i>Interfaces:</i> 1.3.2–aw; 1.3.1–aw; 1.3.11–aw; 1.3.15–aw</p> <p>19. Check that the Certificate Holder's instructions and information regarding the auditor Training Program, ensures that their methods for selecting auditors meets the requirements as outlined in the C.A.S.E. Certificate Holder Section Policy and Procedure manual. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 2 Paragraph 5B <i>Interfaces:</i> 1.3.15–aw; 1.3.11–aw; 1.3.2–aw; 1.3.1–aw</p> <p>20. Check that the Certificate Holder's instructions and information regarding the auditor Training Program, ensures that their methods for training auditors meets the requirements as outlined in the C.A.S.E. Certificate Holder Section Policy and Procedure manual. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 2 Paragraph 5B <i>Interfaces:</i> 1.3.11–aw; 1.3.2–aw; 1.3.1–aw; 1.3.15–aw</p> <p>21. Check that the Certificate Holder's instructions and information ensures that their C.A.S.E. auditors maintain a consistency in qualifications, though the C.A.S.E. strict training and certification program. <i>Sources:</i> 8300.10 Volume 3 Chapter 45 Change 8 Section 1 Paragraph 7A <i>Interfaces:</i> 1.3.1–aw; 1.3.2–aw; 1.3.11–aw; 1.3.15–aw</p>	
<p>1.14 Does the Certificate Holder's C.A.S.E. process comply with the guidance contained in FAA HBAW 95–11A?</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the Certificate Holder's instructions and information regarding the Certificate Holder notifying the FAR Part 145 PMI/PAI of air agencies that have been deleted from the C.A.S.E. register. <i>Sources:</i> 8300.10 Appendix 3 HBAW 95–11A Paragraph 2 Effective</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

<p>date 12-5-1995 <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw</p>	
<p>1.15 Does the Certificate Holder's C.A.S.E. process comply with the guidance contained in the C.A.S.E. Air Carrier Section Policies and Procedures Manual Chapter 1, Section 1-9-3?</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's instructions and information includes the specification that should the Certificate Holder cease to maintain an active sustaining membership in C.A.S.E. their authorization is cancelled. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 1-9-3 Page 1 Paragraph A <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw 2. Check that the Certificate Holder's instructions and information includes their action to be taken, if they are notified by the Membership, Audit & Compliance committee of a downgrade to their membership, is to notify their FAA Principal Maintenance Inspector in writing within ten (10) working days. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 1-9-3 Page 1 Paragraph A <i>Interfaces:</i> 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.16 Does the Certificate Holder's C.A.S.E process comply with the guidance contained in the C.A.S.E. Air Carrier Section Policies and Procedures Manual Chapter 2, Section 2-2-0?</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's instructions and information are structured to have an internal program of vendor surveillance that is either FAA accepted or in accordance with the regulations of the certifying government. <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) <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw 2. Check that the Certificate Holder's instructions and information are structured to have an internal program of vendor surveillance that is described in detail in their manual system, the published procedures that are defined to the extent of the surveillance program and lists the details of the type of audits to be conducted for a initial approval audit. <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) <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw 3. Check that the Certificate Holder's instructions and information are structured to have an internal program of vendor surveillance that described in detail in their manual system the published procedures that are defined to the extent of their surveillance program and lists the details the type of audits to be conducted for a follow-up audits. <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) <i>Interfaces:</i> 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw 4. 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

- Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details the minimum requirements for audit personnel.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
5. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details the extent of audit records as required in C.A.S.E. Certificate Holder Section, Policies & Procedures Manual Section 2-2-0 paragraph "C".
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
 6. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program to the minimum audit formats described in chapter four of the C.A.S.E. Certificate Holder Section, Policies & Procedures Manual.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
 7. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that lists the details for the use of audit forms.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw
 8. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with procurement, including such areas as notification.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
 9. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with procurement, including such areas as scheduling.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures

- Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.11-aw; 1.3.15-aw
10. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with procurement, including such areas as audit requests.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
11. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with procurement, including such areas as handling of unapproved vendors/suppliers.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.2-aw; 1.3.1-aw; 1.3.15-aw
12. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with procurement, including such areas as parts distributors.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.1-aw; 1.3.11-aw; 1.3.15-aw; 1.3.2-aw
13. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with vendor audit, including such areas as notification.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
14. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with vendor audit, including such areas as scheduling.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
15. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the

published procedures that define the extent of the surveillance program and lists the details of the interaction with vendor audit, including such areas as audit requests.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)

Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw

16. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with vendor audit, including such areas as handling of unapproved vendors/suppliers.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)

Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw

17. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with vendor audit, including such areas as parts distributors.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)

Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw

18. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with material review, including such areas as notification.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)

Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw

19. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with material review, including such areas as scheduling.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)

Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw

20. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with material review, including such areas as audit requests.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)

- Interfaces:* 1.3.2–aw; 1.3.1–aw; 1.3.11–aw; 1.3.15–aw
21. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with material review, including such areas as handling of unapproved vendors/suppliers.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–2–0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.15–aw; 1.3.11–aw; 1.3.1–aw; 1.3.2–aw
22. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with material review, including such areas as parts distributors.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–2–0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.11–aw; 1.3.15–aw; 1.3.1–aw; 1.3.2–aw
23. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with receiving inspection, including such areas as notification.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–2–0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.1–aw; 1.3.2–aw; 1.3.11–aw; 1.3.15–aw
24. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with receiving inspection, including such areas as scheduling.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–2–0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.15–aw; 1.3.11–aw; 1.3.2–aw; 1.3.1–aw
25. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with receiving inspection, including such areas as audit requests.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–2–0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.2–aw; 1.3.1–aw; 1.3.15–aw; 1.3.11–aw
26. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program

- and lists the details of the interaction with receiving inspection, including such areas as handling of unapproved vendors/suppliers.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
27. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with receiving inspection, including such areas as parts distributors.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
28. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with engineering, including such areas as notification.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
29. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with engineering, including such areas as scheduling.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
30. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with engineering, including such areas as audit requests.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
31. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with engineering, including such areas as handling of unapproved vendors/suppliers.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw

32. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system the published procedures that define the extent of the surveillance program and lists the details of the interaction with engineering, including such areas as parts distributors.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
33. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system that records must provide adequate documentation of vendor surveillance activities by maintaining the records listing audit activity from the audit request through the final notification of status.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1C(1)(2)(3)(4)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
34. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system that records must provide adequate objective evidence of vendor surveillance activities by maintaining the records listing audit activity from the audit request through the final notification of status.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4)
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.11-aw; 1.3.15-aw
35. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system that records must provide adequate documentation of vendor surveillance activities by maintaining a listing of approved vendors/suppliers that is updated periodically.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
36. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system that records must provide adequate documentation of vendor surveillance activities by maintaining a listing of approved parts distributors that is updated periodically.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4)
Interfaces: 1.3.11-aw; 1.3.1-aw; 1.3.2-aw; 1.3.15-aw
37. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system that records must provide adequate documentation of vendor surveillance activities by maintaining a listing of approved vendors/suppliers that is

transmitted to all using departments.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4)

Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.11-aw; 1.3.15-aw

38. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system that records must provide adequate documentation of vendor surveillance activities by maintaining a listing of approved parts distributors that is transmitted to all using departments.
- Sources:* C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4)
- Interfaces:* 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw
39. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system that records must provide adequate documentation of vendor surveillance activities by maintaining Individual vendor/supplier files containing audit requests, completed audit forms, and related documentation, such as inter-department correspondence and vendor/distributor correspondence.
- Sources:* C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4)
- Interfaces:* 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
40. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system that records must provide adequate documentation of vendor surveillance activities by maintaining Individual parts distributor files containing audit requests, completed audit forms, and related documentation, such as inter-department correspondence and vendor/distributor correspondence.
- Sources:* C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4)
- Interfaces:* 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
41. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's internal program of vendor surveillance describes in detail in the member's manual system that records must provide adequate documentation of vendor surveillance activities by maintaining The material and data necessary to update the C.A.S.E. Register as described in C.A.S.E. Certificate Holder Section, Policies & Procedure's Manual section 3-2-0.
- Sources:* C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4)
- Interfaces:* 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw

<p>1.17 Does the Certificate Holder's C.A.S.E. process comply with the guidance contained in the C.A.S.E. Air Carrier Section Policies and Procedures Manual Chapter 2, Section 2-3-0?</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization for both fuel auditor and maintenance auditor must comply with the requirements of both authorizations in their entirety. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1G(1)(2)(3)(4) <i>Interfaces:</i> 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw 2. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization may only be evaluated by Level IV Evaluators against the standards for which the Level IV Evaluators themselves are authorized to audit. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1G(1)(2)(3)(4) <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw 3. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization for fuel auditors must be knowledgeable of fuel tests required by the C.A.S.E. 2-A Standard, i.e. Millipore, free water, ASI. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1H <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw 4. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization for fuel auditors must understand why and when these tests are to be performed. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1H <i>Interfaces:</i> 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw 5. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization for fuel auditors must be able to interpret the test results and understand the meaning of these results. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1H <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw 6. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization for fuel auditors must also be able to perform each test required by the C.A.S.E. 2-A Standard, i.e. Millipore, free water, ASI. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1H <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw 7. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. 	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>
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authorization that before a member's auditor is authorized to perform an audit on behalf of the Certificate Holder membership the individual must be a qualified Level III or Level IV auditor authorized through the Audit and Compliance Committee of the Certificate Holder Section. Refer to C.A.S.E. Certificate Holder Section, Policies & Procedures Manual Section 2-3-1.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 2A

Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.11-aw; 1.3.15-aw

8. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization that before a member's auditor is authorized to submit information to the C.A.S.E. Data Center, the individual must be a qualified Level III or Level IV auditor authorized through the Audit and Compliance Committee of the Certificate Holder Section. Refer to C.A.S.E. Certificate Holder Section, Policies & Procedures Manual Section 2-3-1.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 2A
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
9. Check that the Certificate Holder's instructions and information regarding that for a Certificate Holder's C.A.S.E. Level III or Level IV auditors to retain their Level III or Level IV authorization, that the member's representative must file an annual activities report (for the previous January-December calendar year) with the Audit & Compliance Committee Chair. The report must be submitted not later than January 31st. Refer to C.A.S.E. Certificate Holder Section, Policies & Procedures Manual Section 2-3-1, Maintaining Authorization.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 2B
Interfaces: 1.3.11-aw; 1.3.2-aw; 1.3.1-aw; 1.3.15-aw
10. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates to be authorized for standards other than the fuel standard must have: a minimum of three years experience in aircraft maintenance/quality control/quality assurance experience with a comprehensive knowledge of quality systems.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1C(1)(2)(3)
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw
11. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates to be authorized for standards other than the fuel standard must have at least one year as a full time Certificate Holder technical auditor of maintenance or modification activities.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1C(1)(2)(3)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw

12.

Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates to be authorized for standards other than the fuel standard must have a portion of these duties devoted to conducting audits of maintenance or modification activities, if audit duties are collateral with other duties, and candidates are members of the Certificate Holder's Quality Assurance staff, for the last two years.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1C(1)(2)(3)

Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw

13. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates to be authorized for fuel standards must have three years experience as a fuel farm operator, aircraft fueler, oil company technical/Q.A./Q.C. representative, or similar related occupation.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1D(1)(2)(3)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
14. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates to be authorized for fuel standards must have at least six months as a full time auditor of fuel farms and/or fueling facilities, equipment, and activities.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1D(1)(2)(3)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw
15. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates to be authorized for fuel standards must have a portion of the duties devoted to conducting audits of fuel farms and/or fueling facilities, equipment, and activities, if audit duties are collateral with other duties and candidates are members of the Quality Assurance staff, for the last two years.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1D(1)(2)(3)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
16. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization must have conducted twelve-vendor facility audits to the C.A.S.E. standard (appropriate for the authorization sought) within the twelve-month period preceding the application.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1E
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.11-aw; 1.3.15-aw
17. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization must have conducted Six of the required twelve audits must have been accomplished within the six-month period preceding the application.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1E
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw

18. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization must have conducted Three of the twelve audits specified in C.A.S.E. Certificate Holder Section, Policies & Procedure's Manual Section 2-3-0 Paragraph 1E must have been conducted as a precheck-ride evaluation with any Level III Auditor or Level IV Evaluator.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1F
Interfaces: 1.3.11-aw; 1.3.2-aw; 1.3.1-aw; 1.3.15-aw
19. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization must have each precheck-ride evaluation conducted by a different Level III Auditor, or Level IV Evaluator.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1F
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.11-aw; 1.3.15-aw
20. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization must have Each Level III Audit or Level IV Evaluator conducting a pre-check-ride evaluation must provide the candidate with constructive written comments using C.A.S.E. form CACS-5 identifying a candidate's strengths and weaknesses.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1F
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw
21. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization must have received C.A.S.E. form CACS-5 from each Level III Audit or Level IV Evaluator conducting the pre-check-rides, failure to provide such comments (C.A.S.E. form CACS-5) may nullify the precheck-ride evaluation.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1F
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
22. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization to conduct fuel vendor audits must complete the required number of audits on fuel vendors only.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1G(1)(2)(3)(4)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
23. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization to conduct audits to standards other than fuel may combine audits of various standards, not including fuel. At least 50% of the required audits must be to the C.A.S.E. 1-A standard.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1G(1)(2)(3)(4)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw

<p>1.18 Does the Certificate Holder's C.A.S.E. process comply with the guidance contained in the C.A.S.E. Air Carrier Section Policies and Procedures Manual Chapter 2, Section 2-3-1?</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's training program consists of four phases Auditor qualification levels are: (reference C.A.S.E. Certificate Holder Section, Policies & Procedures Manual section 2-3-1, part six) Level I – Company Auditor Trainee Level II – Qualified Company Auditor Level III – C.A.S.E. Authorized Auditor Level IV – C.A.S.E. Authorized Evaluator <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1D(1)(2) <i>Interfaces:</i> 1.3.1-aw; 1.3.11-aw; 1.3.15-aw; 1.3.2-aw 2. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's auditor candidates, that upon successful completion of each phase of training, the trainee is qualified for the respective "Level" authorization. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1D(1)(2) <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw 3. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's auditor candidates, for Levels I and II cover the training activities that qualify an individual as an auditor for his or her employer. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1D(1)(2) <i>Interfaces:</i> 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw 4. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's auditor candidates, that Level III training is designed to acquaint an experienced auditor with specific requirements of the C.A.S.E. audit program. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1D(1)(2) <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw 5. Check that the Certificate Holder's instructions and information regarding the C.A.S.E. Audit and Compliance Committee must evaluate and accept the Certificate Holder's auditor candidate's training, experience, and capabilities before issuing the candidate a Level III C.A.S.E. authorization. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1D(1)(2) <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw 6. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. Level III auditor authorization can be recommended to the Audit and Compliance Committee for consideration, the candidate must successfully pass a written examination of C.A.S.E. policy and procedures. This is a closed book test with a passing grade of 70%. 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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- Sources:* C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1E(1)(2)(3)
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw
7. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. Level III auditor authorization can be recommended to the Audit and Compliance Committee for consideration, the candidate must successfully pass a written examination of C.A.S.E. policy and procedures, test results are valid for twelve months from the date the test was taken.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1E(1)(2)(3)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
8. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. Level III auditor authorization that has not completed all requirements and been accepted as a level III auditor prior to the expiration dates, of the written examination, that individual must repeat the classes and the written test successfully to re-qualify for a check-ride.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1E(1)(2)(3)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
9. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. Level III auditor authorization can be recommended to the Audit and Compliance Committee for consideration, the candidate must successfully pass an oral examination by a Level IV Evaluator on C.A.S.E. policy and procedures, and general auditing procedures, techniques, and skills.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1E(1)(2)(3)
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.11-aw; 1.3.15-aw
10. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. Level III auditor authorization can be recommended to the Audit and Compliance Committee for consideration, the candidate must successfully pass a practical demonstration of auditing knowledge and skill to the satisfaction of a Level IV Evaluator.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1E(1)(2)(3)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw
11. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's C.A.S.E. authorized auditor that changes employment from one member carrier to another member carrier, the individual's authorization shall remain valid provided the auditor complies with the requirements to retain certification.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1G(1)(2)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
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Check that the Certificate Holder's instructions and information regarding a Certificate Holder's C.A.S.E. authorized auditor that changes employment from one member carrier to another member carrier, the individual's authorization shall remain valid provided the auditor notifies, in writing within thirty (30) days, the C.A.S.E. DATA Center and the C.A.S.E. Audit and Compliance Committee Chair of the change of employer. The notification must include: the name and mailing address of the employer, a telephone number where the auditor can be reached a FAX number, if available

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1G(1)(2)

Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.11-aw; 1.3.15-aw

13. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's C.A.S.E. Level III Auditor and Level IV Evaluator may not act as a paid consultant to assist a vendor in qualifying for a C.A.S.E. audit.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1H

Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw

14. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. Level III authorization submitting their C.A.S.E. Level III application to the C.A.S.E. Audit and Compliance committee chair, shall provide the following: 1. All observation and evaluations (CACS-5s). The last evaluation must recommend the candidate for a check-ride. 2. A copy of their completed CACS-4. (The original must be retained and signed by the Level IV Evaluator after the candidate has successfully completed the check-ride.) 3. A copy of their airframe and/or Powerplant license (if applicable) 4. Copies of diploma(s), if applicable 5. Proof of experience (training records, Level 1 and Level II completion records). It is imperative that candidates provide documented evidence of their experience. Candidates must also submit documented evidence of their Level I & Level II qualifications for their Certificate Holder (reference 2-3-1, part six). 6. A copy of their CACS-9 written test score.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2B(1)(2)(3)(4)(5) & (6)

Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw

15. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization that the C.A.S.E. Audit and Compliance committee chair shall inform the member in writing. If the candidate does not meet minimum requirements, the C.A.S.E. Audit and Compliance committee chair identifies the reasons for rejection.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D

Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw

16. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization, that the C.A.S.E. Audit and Compliance committee chair,

shall inform the member in writing if the candidate meets minimum requirements.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D

Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw

17. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. authorization, is to make arrangements with a Level IV Evaluator acceptable to the C.A.S.E. Audit and Compliance committee chair, for a check-ride.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
18. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates shall arrange with a C.A.S.E. Level IV Evaluator from another C.A.S.E. member to observe the candidate's performance on an actual audit; a check-ride.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
19. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluator that has participated in the C.A.S.E. auditor candidate's pre-check ride evaluation process, may not conduct the check-ride. Level IV Evaluators are listed in the C.A.S.E. computer system.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
20. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluator that has participated in the C.A.S.E. auditor candidate's pre-check ride evaluation process, may not conduct the check-ride. Level IV Evaluators are listed in the C.A.S.E. computer system.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
21. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluator that conducts the check-ride and files a written report (CACS-5) with the C.A.S.E. Audit and Compliance Committee Chair.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2F
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
22. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluator that conducts the check-ride reports shall contain The name of the agency audited, An evaluation of the candidate auditor's capabilities, The candidate's signature in the ethic's statement block (for both initial and recurrent check-rides), A recommendation to accept or reject the candidate auditor.

- Sources:* C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2F
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
23. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluator that conducts the check-ride that reports recommendation to reject, the report must give supporting reasons.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2F
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.11-aw; 1.3.15-aw
24. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluator that conducts the check-ride also records the Level III candidate's satisfactory communication skills on the candidate's qualification record, (form CACS-4).
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2F
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
25. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates for C.A.S.E. Level III authorization if accepted, the candidate's name is added to the list of C.A.S.E. authorized auditors. A Level III Certification of Designation and a wallet size identification card are sent to the member.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2G(1)(2)
Interfaces: 1.3.11-aw; 1.3.1-aw; 1.3.2-aw; 1.3.15-aw
26. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's auditor candidates if rejected, the member is given the reasons why, by the C.A.S.E. Audit and Compliance Committee Chair.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2G(1)(2)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.11-aw; 1.3.15-aw
27. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's C.A.S.E. representative must submit a written request to the Audit and Compliance Committee Chair for each Level IV candidate. The request must be submitted sufficiently in advance (approximately 30 days or more) of a semi-annual C.A.S.E. meeting for the Chair to review the applicant's qualifications.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4A
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw
28. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's C.A.S.E. representative must submit a written request to the C.A.S.E. Audit and Compliance Committee Chair for each Level IV candidate, The request shall: 1) Verify that the applicant meets the requirements of the training & qualification requirements section of this publication. 2) Describe how the requirements are met. 3) Include supporting data requested. 4) List the six vendor audits conducted within the last six months. Submit written

- analysis of check-ride conducted with the level IV Evaluator. (Ref. C.A.S.E. Certificate Holder Section, Policies & Procedures Manual Section 2-3-1, item 6.D.5)
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4B(1)(2)(3)(4)(5)
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw
29. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluators candidate, have to be authorized to evaluate against only the standards for which they themselves are authorized to audit.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4C
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
30. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluators candidate does not meet the requirements, the C.A.S.E. Audit and Compliance Committee Chair shall send a letter of rejection and explanation to the candidate's C.A.S.E. representative.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4E
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
31. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluators candidate meets the requirements, the C.A.S.E. Audit and Compliance Committee Chair shall send a letter to the candidate's C.A.S.E. representative accepting the application and inviting the candidate to a panel interview at the next C.A.S.E. semi-annual meeting.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4F
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw
32. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluators candidate shall be notified immediately of the membership's decision to accept or reject the applicant as a C.A.S.E. Level IV Evaluator.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4K
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw
33. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluators candidate shall issue a Certificate of Designation to each successful candidate as soon as practical by C.A.S.E. The Audit and Compliance Committee chair.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4L
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
34. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's. C.A.S.E. authorized auditors and evaluators must continue to function as active C.A.S.E. auditors to retain C.A.S.E. authorization.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5A

- Interfaces:* 1.3.1–aw; 1.3.2–aw; 1.3.15–aw; 1.3.11–aw
35. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's C.A.S.E. representative for each company shall annually provide the Audit & Compliance Committee chair with a written statement certifying that each of its auditors has complied with the minimum requirements for retaining their C.A.S.E. Level III or Level IV authorization.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 5A
Interfaces: 1.3.15–aw; 1.3.11–aw; 1.3.1–aw; 1.3.2–aw
36. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's statement for retaining their C.A.S.E. Level III or Level IV authorization not provided or the auditor/evaluator fails to meet the minimum requirements, the auditor/evaluator is deleted from the C.A.S.E. authorized auditor roster.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 5A
Interfaces: 1.3.11–aw; 1.3.15–aw; 1.3.2–aw; 1.3.1–aw
37. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's level III Auditors and Level IV Evaluators qualified to the 1–A Standard must attend the 1–A Standard training class every two years, not to exceed the next training class following their check–ride.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 5B
Interfaces: 1.3.2–aw; 1.3.1–aw; 1.3.11–aw; 1.3.15–aw
38. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's level III Auditors and Level IV Evaluators must attend the 1–A Standard training class every two years, Non–compliance will result in suspension of an auditor's certificate.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 5B
Interfaces: 1.3.15–aw; 1.3.11–aw; 1.3.2–aw; 1.3.1–aw
39. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's level III Auditors and Level IV Evaluators is expected to provide issues arising from their audit experiences to the Training committee for trend analysis and curriculum consideration.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 5B
Interfaces: 1.3.11–aw; 1.3.2–aw; 1.3.1–aw; 1.3.15–aw
40. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's level III Auditors to retain Level III authorization an auditor must conduct six audits to the applicable C.A.S.E. standard within the past 12 months.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 5C (1)(2) Note (1)
Interfaces: 1.3.1–aw; 1.3.2–aw; 1.3.11–aw; 1.3.15–aw
- 41.

- Check that the Certificate Holder's instructions and information regarding a Certificate Holder's level III Auditors to retain Level III authorization an auditor must successfully pass a check-ride with any appropriate Level IV Evaluator every two years.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5C (1)(2) Note (1)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw
42. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's level III Auditors required audits must cover all parts of the C.A.S.E. audit specification but need not result in adding or updating a vendor in the C.A.S.E. Register. If the vendor fails the audit, it can still be counted as one of the required audits.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5C (1)(2) Note (1)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
43. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's level III Auditors required audits, conducted to the C.A.S.E. standard, whether assigned by the C.A.S.E. audit allocation program or not, should be considered for addition to or update of the Register.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5C (1)(2) Note (1)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
44. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's level IV Auditors to retain Level IV authorization an auditor must conduct six audits to the appropriate C.A.S.E. standard within the past 12 months.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5D(1)(2) & Note
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
45. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's level IV Auditors to retain Level IV authorization an auditor must successfully pass a check-ride for the appropriate C.A.S.E. standard with a Level IV Evaluator from another member every two years.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5D(1)(2) & Note
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw
46. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's level IV Auditors check-ride, the two year period is measured from the date of the last check-ride, not from the date accepted as a Level IV Evaluator.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5D(1)(2) & Note
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
47. Check that the Certificate Holder's instructions and information regarding that to regain C.A.S.E. authorization that was lost because the Certificate Holder's C.A.S.E. representative failed to file the annual certification statement certifying that each of its auditors has complied with the minimum requirements.

- Sources:* C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5E(1)(2)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
48. Check that the Certificate Holder's instructions and information regarding that to regain C.A.S.E. authorization that was lost because the Certificate Holder's auditor/evaluator did not complete the required number of audits in the specified time limit.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5E(1)(2)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
49. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's C.A.S.E. representative must re-submit the auditor's name, requesting that authorization be restored.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5E(1)(2)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw
50. Check that the Certificate Holder's instructions and information regarding that the Certificate Holder's level III Auditors and Level IV Evaluators must be re-authorized per the standard authorization procedure.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5E(1)(2)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
51. Check that the Certificate Holder's instructions and information regarding that the C.A.S.E. Audit & Compliance Chair may waive the documentation review and/or check-ride if the Certificate Holder's level III Auditors and Level IV Evaluators applicant's skill level is still adequate to accomplish an acceptable C.A.S.E. audit.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5E(1)(2)
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.11-aw; 1.3.15-aw
52. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's auditor training qualification program is used to provide goals for tentative Level III applicants program.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
53. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's auditor training timeline to obtain a Level I or II status rests with each carrier's internal program.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6
Interfaces: 1.3.11-aw; 1.3.2-aw; 1.3.1-aw; 1.3.15-aw
54. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program shall provide auditing techniques and professional behavior.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A(1)(2)(3)(4) (5)(6)(7)
Interfaces: 1.3.1-aw; 1.3.11-aw; 1.3.15-aw; 1.3.2-aw
- 55.

- Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program shall provide basic people and interviewing skills.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
56. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program shall provide technical writing skill.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
57. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program shall provide introduction to the CFRs relative to vendor surveillance.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
58. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program shall provide CAS/Surveillance program orientation.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
59. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program shall provide introduction to its company's maintenance procedures manual.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw
60. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program shall provide On-site audit on-the-job training.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
61. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program for fuel auditors shall also receive training in ATA 103 & IATA fuel quality control & fueling service.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A Fuel #1-2-3-4-5-6-7
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
62. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program for fuel auditors shall also receive training in API 1581 & 1542.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A Fuel #1-2-3-4-5-6-7
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.11-aw; 1.3.15-aw
- 63.

- Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program for fuel auditors shall also receive training in Applicable sections of NFPA 77, 407, and 10.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A Fuel #1-2-3-4-5-6-7
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw
64. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program for fuel auditors shall also receive training in 14 CFR part 139.321.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A Fuel #1-2-3-4-5-6-7
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
65. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program for fuel auditors shall also receive training in FAA AC 150/230-4.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A Fuel #1-2-3-4-5-6-7
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.11-aw; 1.3.15-aw
66. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program for fuel auditors shall also receive training in the Certificate Holder's fuel handling quality manual.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A Fuel #1-2-3-4-5-6-7
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
67. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program for fuel auditors shall also receive training in the Certificate Holder's aircraft specific fueling manual.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6A Fuel #1-2-3-4-5-6-7
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw
68. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. Level II auditor training program as an end result, the Level II auditor trainee has the skills to handle the entire audit process in a professional and positive manner.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
69. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. Level II auditor training program as an end result, the Level II auditor trainee has the skills to evaluate a vendor against his or her company's program and the appropriate sections of the CFRs.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
70. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. Level II auditor training

- program as an end result, the Level II auditor trainee has the skills to know where and when applicable, cite the vendor for non-compliance.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
71. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. Level II auditor training program as an end result, the Level II auditor trainee has the skills to explain in detail the rationalization for any finding.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
72. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. Level II auditor training program as an end result, the Level II auditor trainee has the skills to evaluate the vendor's corrective action.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
73. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level III auditor-training program for fuel auditors shall include C.A.S.E. policies and procedures.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6C(1)(2){a}{b})(3)(4)(5)(6)(7)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw
74. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level III auditor training program for fuel auditors shall include for maintenance auditor 14 CFR Parts 43, 65, 121 or 135 as appropriate, and 145.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph (1)(2){a}{b})(3)(4)(5)(6)(7)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw
75. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level III auditor training program for fuel auditors shall include for fuel auditor ATA-103.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6C(1)(2){a}{b})(3)(4)(5)(6)(7)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
76. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level III auditor training program for fuel auditors shall include for fuel auditor API 1581.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6C(1)(2){a}{b})(3)(4)(5)(6)(7)
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.11-aw; 1.3.15-aw
77. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level III auditor training program for fuel auditors shall include for fuel auditor appropriate portion of NFPA

77 &407.

Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6C(1)(2{a}{b})(3)(4)(5)(6)(7)

Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw

78. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level III auditor training program for fuel auditors shall include for fuel auditor filter element cross reference and specification manuals.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6C(1)(2{a}{b})(3)(4)(5)(6)(7)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw
79. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level III auditor training program shall include Federal Aviation Act of 1958.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6C(1)(2{a}{b})(3)(4)(5)(6)(7)
Interfaces: 1.3.1-aw; 1.3.2-aw; 1.3.11-aw; 1.3.15-aw
80. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level I auditor training program shall include Anti-Trust and Corporate Law.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6C(1)(2{a}{b})(3)(4)(5)(6)(7)
Interfaces: 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw
81. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level III auditor training program shall include written examinations.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6C(1)(2{a}{b})(3)(4)(5)(6)(7)
Interfaces: 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw
82. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level III auditor training program shall include twelve vendor facility audits conducted to the C.A.S.E. standard appropriate for the authorization sought. Six of these audits must have been completed within the past six months.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6C(1)(2{a}{b})(3)(4)(5)(6)(7)
Interfaces: 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw
83. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level III auditor training program shall include evaluation check-ride conducted by Level IV Evaluator from another C.A.S.E. Certificate Holder member.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6C(1)(2{a}{b})(3)(4)(5)(6)(7)

- Interfaces:* 1.3.11–aw; 1.3.15–aw; 1.3.2–aw; 1.3.1–aw
84. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level IV auditor training and Qualification requirements, for Level IV the candidate must: be an authorized Level III C.A.S.E. auditor.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 6D(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.2–aw; 1.3.1–aw; 1.3.15–aw; 1.3.11–aw
85. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level IV auditor training and Qualification requirements, for Level IV the candidate must: have conducted six vendor facility audits within last six months to the C.A.S.E. standard appropriate for the authorization sought.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 6D(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.15–aw; 1.3.11–aw; 1.3.1–aw; 1.3.2–aw
86. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level IV auditor training and Qualification requirements, for Level IV the candidate must: Submit FAA violation record/history and application with training/teaching experience to Audit and Compliance Committee.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 6D(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.11–aw; 1.3.15–aw; 1.3.1–aw; 1.3.2–aw
87. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level IV auditor training and Qualification requirements, for Level IV the candidate must: have been an active committee participant (either as a full committee member or as an attendee) for at least two years. Also, participated as a C.A.S.E. trainer, either as a classroom instructor, or on–the–job trainer.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 6D(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.1–aw; 1.3.2–aw; 1.3.15–aw; 1.3.11–aw
88. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level IV auditor training and Qualification requirements, for Level IV the candidate must: have witnessed two level III check–rides with a Level IV Evaluator. The candidate will submit in writing an analysis of the check–ride to the Level IV.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 6D(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.15–aw; 1.3.11–aw; 1.3.1–aw; 1.3.2–aw
89. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level IV auditor training and Qualification requirements, for Level IV the candidate must: demonstrate active participation as a Level III Auditor for at least three years, or a minimum of twenty–five audits.
Sources: C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2–3–1 Paragraph 6D(1)(2)(3)(4)(5)(6)(7)
Interfaces: 1.3.11–aw; 1.3.15–aw; 1.3.2–aw; 1.3.1–aw

<p>90. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level IV auditor training and Qualification requirements, for Level IV the candidate must: submit to an evaluation interview by sustaining members present at a C.A.S.E. semi-annual meeting. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6D(1)(2)(3)(4)(5)(6)(7) <i>Interfaces:</i> 1.3.2-aw; 1.3.1-aw; 1.3.11-aw; 1.3.15-aw</p>	
<p>1.19 Does the Certificate Holder's C.A.S.E. process comply with the guidance contained in the C.A.S.E. Air Carrier Section Policies and Procedures Manual Chapter 3, Section 3-1-0? <i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. Data Center shall keep on file all vendor/supplier information transmitted by C.A.S.E. sustaining members. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39), Section 3-1-0 Page 1 Paragraph 1B <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw 2. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. Data Center shall keep on file all parts distributor information transmitted by C.A.S.E. sustaining members. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39), Section 3-1-0 Page 1 Paragraph 1B <i>Interfaces:</i> 1.3.11-aw; 1.3.2-aw; 1.3.1-aw; 1.3.15-aw 3. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. Data Center shall be responsible for maintaining a Register containing names of evaluated vendors/suppliers as transmitted by C.A.S.E. sustaining members. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 3-1-0 Page 1 Paragraph 1C <i>Interfaces:</i> 1.3.1-aw; 1.3.2-aw; 1.3.11-aw; 1.3.15-aw 4. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. Data Center shall be responsible for maintaining a Register containing names of parts distributors as transmitted by C.A.S.E. sustaining members. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 3-1-0 Page 1 Paragraph 1C <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.1-aw; 1.3.2-aw 5. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. member who believes a "safety of flight" issue exists must immediately involve both the vendor's and the member's FAA representative. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39), Section 3-2-0 Paragraph 4A(1) Notice <i>Interfaces:</i> 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw 6. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. member who believes a 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

<p>"safety of flight" issue exists must verify that the FAA will take formal action to advise the public. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39), Section 3-2-0 Paragraph 4A(1) Notice <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw</p> <p>7. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. member who believes a "safety of flight" issue exists, with appropriate actions in place, deleting that vendor from the C.A.S.E. Register is appropriate. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39), Section 3-2-0 Paragraph 4A(1) Notice <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.2-aw; 1.3.1-aw</p> <p>8. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's C.A.S.E. member who believes a "safety of flight" issue exists must advise the membership in the transmittal "comments" section that specifics may be sought through their own Principle Maintenance Inspector. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39), Section 3-2-0 Paragraph 4A(1) Notice <i>Interfaces:</i> 1.3.2-aw; 1.3.1-aw; 1.3.15-aw; 1.3.11-aw</p> <p>9. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's are responsible for keeping their own C.A.S.E. Certificate Holder Section, Policies & Procedures Manual current. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 3-3-0 Page 2, Paragraph 4A <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.2-aw; 1.3.1-aw</p> <p>10. Check that the Certificate Holder's instructions and information regarding the certificate holder must retain at least one current copy of the C.A.S.E. Certificate Holder Section, Policies & Procedures Manual for as long as they remain a member is good standing. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 3-3-0 Page 2, Paragraph 4B <i>Interfaces:</i> 1.3.11-aw; 1.3.15-aw; 1.3.1-aw; 1.3.2-aw</p>	
<p>1.20 Does the Certificate Holder's C.A.S.E. process comply with the guidance contained in the C.A.S.E. Air Carrier Section Policies and Procedures Manual Chapter 4, Section 4-1-0?</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the Certificate Holder's instructions and information regarding the Certificate Holder shall retain the audit report in their files until it is superseded by another C.A.S.E. audit. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 4-1-0 Page 1 Paragraph 4B <i>Interfaces:</i> 1.3.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.11-aw</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

SAI SECTION 1 – PROCEDURES ATTRIBUTE –Drop Down Menu
1. No procedures, policy, instructions or information specified.
2. Procedures or instructions and information do not identify (who, what, when, where, how).
3. Procedures, policy or instructions and information do not comply with CFR.
4. Procedures, policy or instructions and information do not comply with FAA policy and guidance.
5. Procedures, policy or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen's Charts, etc.).
6. Procedures, policy or instructions and information unclear or incomplete.
7. Documentation quality (e.g., unreadable or illegible).
8. Procedures, policy or instructions and information inconsistent across Certificate Holder manuals (FOM – Flight Operations Manual to GMM – General Maintenance Manual, etc.).
9. Procedures, policy or instructions and information inconsistent across media (e.g., paper, microfiche, electronic).
10. Resource requirements incomplete (personnel, facilities, equipment, technical data).
11. Other.

SAI SECTION 2 – CONTROLS ATTRIBUTE

Objective: Controls are checks and restraints designed into a process to ensure a desired result. The questions in this section of the data collection tool are designed to assist the inspector in determining if checks and restraints are designed into the process to ensure the desired result is achieved. Controls should be written into the manual system to ensure that the most important manual policies, procedures or instructions and information will be complied with.

Controls may be in the form of "administrative controls" which are secondary or supplemental written procedures. Like written procedures, administrative controls also need to provide answers to the associated who, what, when, where and how type questions. Controls may also be in the form of "engineered controls" such as automated features or mechanical actions or devices (i.e., safety devices, warning devices, etc.).

Tasks

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

- 1 Review the control questions below.
- 2 Review the Certificate Holder's policies, procedures, instructions and information to gain an understanding of the controls that it has documented.

Questions

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

2. Are the following controls built into the Coordinating Agencies for Suppliers Evaluation (C.A.S.E.) process:
 - 2.1 Is there a control in place to ensure that the Certificate Holder maintains an active sustaining membership in C.A.S.E.?

<input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain
 - 2.2 Is there a control in place to ensure that the Certificate Holder conducts 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?

<input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain
 - 2.3 Is there a control in place to ensure that each of the Certificate Holder's C.A.S.E. auditors meet the background and experience requirements to be recognized by the C.A.S.E. membership?

<input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain
 - 2.4 Is there a control in place to ensure that 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?

<input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain
 - 2.5 Is there a control in place to ensure that the Certificate Holder's participation in C.A.S.E. complies with its maintenance program?

<input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain
 - 2.6 Is there a control in place to ensure that 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?

<input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain
 - 2.7 Is there a control in place to ensure that each of 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
 - 2.8 Is there a control in place to ensure that only auditors authorized through the C.A.S.E. Air Carrier Auditor Authorization Program are allowed to submit supplier / vendor change information to the C.A.S.E. database?

<input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain
 - 2.9 Is there a control in place to ensure that the Certificate Holder's C.A.S.E. audits are properly conducted at the appropriate intervals?

<input type="checkbox"/> Yes

	<input type="checkbox"/> No, Explain
2.10 Is there a control in place to ensure that the Certificate Holder maintains a current copy of the C.A.S.E. Air Carrier Section Policies and Procedures Manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.11 Does the Certificate Holder have a documented method for assessing the impact of any changes made to the controls in the C.A.S.E. process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 2 – CONTROLS ATTRIBUTE –Drop Down Menu
1. No controls specified.
2. Documentation for the controls do not identify (who, what, when, where, how).
3. Controls incomplete.
4. Controls could be circumvented.
5. Controls could be unenforceable.
6. Resource requirements incomplete (personnel, facilities, equipment, technical data).
7. Other.

SAI SECTION 3 – PROCESS MEASUREMENT ATTRIBUTE

Objective: Process measurements are used by the Certificate Holder to measure and assess its processes to identify and correct problems or potential problems and to make improvements to the processes. The questions in this section of the data collection tool are designed to assist the inspector in determining if the Certificate Holder measures or assesses information to identify, analyze and document potential problems with the process. Process measurements are basically a Certificate Holder's internal evaluation or auditing of the most important policies, procedures or instructions and information associated with an element.

To prevent the duplication of work that would otherwise occur, Process Measurements are most commonly addressed through a combination of auditing features contained in both the Certificate Holder's Safety Program/Internal Evaluation Program (for Operations and Cabin Safety related issues) and the auditing function of the Continuous Analysis & Surveillance System (for Airworthiness or Maintenance/Inspection related issues). The Director of Safety and the Quality Assurance Department often work in conjunction to accomplish this function for the Certificate Holder. This approach simply requires amendment of the Safety Program/Internal Evaluation Program audit forms or checklists and the Continuous Analysis & Surveillance System audit forms or checklists to include the specific process measurements for each element.

Tasks

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

- 1 Review the process measurement questions below.
- 2 Review the Certificate Holder's policies, procedures, instructions and information to gain an understanding of the process measurements that it has documented.

Questions

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

- 3 Does the Certificate Holder's Coordinating Agencies for Suppliers Evaluation (C.A.S.E.) process include the following process measurements:

3.1 Process measurements that would reveal if the Certificate Holder failed to maintain an active sustaining membership in C.A.S.E.?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.2 Process measurements that would reveal when the Certificate Holder failed to 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?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.3 Process measurements that would reveal that a Certificate Holder's C.A.S.E. auditor failed to meet the background and experience requirements to be recognized by the C.A.S.E. membership?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.4 Process measurements that would reveal if the Certificate Holder's methods for selecting and training auditors failed to meet the requirements outlined in the C.A.S.E. Air Carrier Section Policies and Procedures Manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.5 Process measurements that would reveal if the Certificate Holder's participation in C.A.S.E. failed to comply with its maintenance program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.6 Process measurements that would reveal if the Certificate Holder's C.A.S.E. auditors failed to qualify and meet the requirements to maintain their authorization as outlined in the C.A.S.E. Air Carrier Section Policies and Procedures Manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

3.7 Process measurements that would reveal that a Certificate Holder's C.A.S.E. auditor failed to pass a written test, and / or an oral examination, and / or a practical demonstration of his / her skills and capabilities as an auditor?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.8 Process measurements that would reveal that personnel other than, auditors authorized through the C.A.S.E. Air Carrier Auditor Authorization Program, submitted supplier / vendor change information to the C.A.S. E. database?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.9 Process measurements that would reveal if the Certificate Holder's C.A.S.E. audits were not properly conducted at the appropriate intervals?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.10 Process measurements that would reveal if the Certificate Holder failed to maintain a current copy of the C.A.S.E. Air Carrier Section Policies and Procedures Manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.11 Does the Certificate Holder document its process measurement methods and results?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.12 Does the organization that conducts the process measurements have direct access to the person with responsibility for the C.A.S.E. process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 3 – PROCESS MEASUREMENT ATTRIBUTE –Drop Down Menu
1. No process measurements specified.
2. Documentation for the process measurements does not identify (who, what, when, where, how).
3. Inability to identify negative findings.
4. No provisions for implementing corrective actions.
5. Ineffective follow-up to determine effectiveness of corrective actions.
6. Resources requirements (personnel, facilities, equipment, technical data).
7. Other.

SAI SECTION 4 – INTERFACES ATTRIBUTE

Objective: Interfaces are used by the Certificate Holder to identify and manage the interactions between processes. The questions in this section of the data collection tool are designed to assist the inspector in determining whether or not interactions between the procedures, policies or instructions and information associated with other independent processes within the Certificate Holder's organization are documented. Written procedures, policies or instructions and information that are interrelated and located in different manuals within the Certificate Holder's manual system need to be consistent and complement each other. For the interfaces to be effectively managed, it is not only important to identify what the interfaces are, but it is imperative to document the specific location of the interfaces within the Certificate Holder's manual system.

Tasks

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

- 1 Review the interfaces associated with the Coordinating Agencies for Suppliers Evaluation (C.A.S.E.) process that have been identified along with the individual questions in the Procedures Section (1) of this data collection tool.
- 2 Review the Certificate Holder's policies, procedures, instructions and information to gain an understanding of the interfaces that it has documented.

Questions

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

NOTE: ALL EXPLANATIONS IN THE DROP DOWN MENU FOR "NO" ANSWERS MUST INCLUDE THE INDIVIDUAL QUESTION NUMBER FROM THE PROCEDURES SECTION (1) OF THIS DATA COLLECTION TOOL AND THE ELEMENT NUMBER(S) OF THE INTERFACE(S) THAT WERE NOT ADDRESSED.

4. Does the Certificate Holder's manual:

- | | |
|--|--|
| 4.1 Properly address the interfaces that are identified along with the individual questions in the Procedures Section (1)? | <input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain |
| 4.2 Document a method for assessing the impact of any changes to the associated interfaces within the C.A.S.E. process? | <input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain |
| 4.3 List additional interfaces identified during the accomplishment of this SAI. | |

SAI SECTION 4 – INTERFACES ATTRIBUTE –Drop Down Menu
1. No interfaces specified.
2. The following interfaces not identified within the Certificate Holder's manual system:
3. Interfaces listed are inaccurate.
4. Specific location of interfaces not identified within the manual system.
5. Other

SAI SECTION 5 – MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE

Objective: The questions in this section of the data collection tool address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified and knowledgeable person who is responsible for the process, is answerable for the quality of the process and has the authority to establish and modify the process. (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.
- 3 Review the duties and responsibilities of the person(s), documented in the Certificate Holder's manual.
- 4 Review the appropriate organizational chart.

Questions

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

5. Are the following aspects of the Management Responsibility and Authority Attributes addressed in the Coordinating Agencies for Suppliers Evaluation (C.A.S.E.) process:
 - 5.1 Does the Certificate Holder's manual clearly identify 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"/>
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 - 5.2 Does the Certificate Holder's manual clearly identify who has authority to establish and modify the 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"/>
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 - 5.3 Does the Certificate Holder's manual include the duties and responsibilities of those who manage the work required by the C.A.S.E. process?
SRRs: 121.135(b)(2)

	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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 - 5.4 Does the Certificate Holder's manual include instructions and information for those who manage the work required by the C.A.S.E. process?
SRRs: 121.135(a)(1)

	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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 - 5.5 Does the Certificate Holder's manual clearly and completely document the authority for this position?

	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
--	--
 - 5.6 Does the Certificate Holder's manual clearly and completely document their qualification standards for the person having responsibility for the C.A.S.E. process?

	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
--	--
 - 5.7 Does the Certificate Holder's manual clearly and completely document their qualification standards for the person having 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
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 - 5.8 Does the Certificate Holder's manual clearly and completely document the procedures for delegation of authority for the C.A.S.E. process?

	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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SAI SECTION 5 – MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE –Drop Down Menu
1. Not documented.
2. Documentation unclear.
3. Documentation incomplete.
4. Other.