

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 (CASE) process in such a manner that will ensure full compliance with the certificate holder's maintenance program, operations specifications paragraph D090, and the requirements outlined in the CASE Air Carrier Section Policies and Procedures Manual.

Objective (FAA oversight):

- To determine if the certificate holder's CASE process meets all applicable requirements of Title 14 of the Code of Federal Regulations (14 CFR) and FAA policies.
- To determine if the certificate holder's CASE process incorporates the safety attributes.
- To identify any shortfalls in the certificate holder's CASE process.

Specific Instructions:

- Intentionally left blank

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (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)
 - D.090
 - D.090(a)
 - D.090(b)
 - D.090(c)

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
 - Intentionally left blank
- FAA Policy/Guidance:
 - FAA Order 8900.1, Volume 3, Chapter 49, Section 1
 - C.A.S.E. Air Carrier Section Policies and Procedures Manual

SAI Section 1 - Procedures Attribute

Objective: Procedures, instructions, and information are documented methods for accomplishing a process. The certificate holder's policies should establish their compliance posture. Policies may be stand-alone statements, or they may be imbedded within procedures, instructions, or information regarding a particular regulatory requirement. The questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder has documented or prescribed methods of accomplishing the process requirements that provide answers to the associated questions regarding who, what, when, where, and how. This section 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 DCT.
2.	Review the duties and responsibilities for management and other personnel identified by the certificate holder who accomplish the CASE process.
3.	Review the certificate holder's CASE process to ensure it contains the policies, procedures, instructions and information necessary for personnel to perform their duties and responsibilities with a high degree of safety.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Does the certificate holder's Coordinating Agencies for Suppliers Evaluation (CASE) process meet the specific regulatory and FAA policy requirements:	
1.1.	Does the certificate holder's CASE process include that it will conduct CASE activities in accordance with:	
1.1.1	<p>The most current revision of the CASE Air Carrier Section Policies and Procedures Manual? SRRs: D.090(a) <i>Related Design JTIs:</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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.1.2	<p>Its manual system? SRRs: D.090(a) <i>Related Design JTIs:</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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
1.2.	<p>Does the certificate holder's CASE process include instructions and information necessary for personnel to use CASE as a means of qualifying a vendor for: SRRs: 121.135(a)(1); D.090</p>	
1.2.1	<p>Services to satisfy the requirements of 14 CFR part 121, section 121.373? SRRs: D.090 <i>Related Design JTIs:</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); 1.3.11(AW); 1.3.15(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.2	<p>Parts to satisfy the requirements of 14 CFR part 121, section 121.373? SRRs: D.090 <i>Related Design JTIs:</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); 1.3.11(AW); 1.3.15(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.3	<p>Materials to satisfy the requirements of 14 CFR part 121, section 121.373? SRRs: D.090 <i>Related Design JTIs:</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); 1.3.11(AW); 1.3.15(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	<p>Does the certificate holder's CASE process include 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
1.4.	Does the certificate holder's CASE process ensure that:	

1.4.1	<p>The contents of the CASE manual do not conflict with the CFRs or the certificate holder's manual system?</p> <p>SRRs: D.090(a)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.2	<p>Should the Air Carrier section of CASE cease to exist, this authorization is canceled?</p> <p>SRRs: D.090(c)</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 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. <p><i>Sources:</i> 121.135(b)(26); D.090(c)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.3	<p>Should the Air Carrier section of CASE cease to function, this authorization is canceled?</p> <p>SRRs: D.090(c)</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 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. <p><i>Sources:</i> 121.135(b)(26); D.090(c)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.4	<p>Should the certificate holder cease to maintain an active sustaining membership, this authorization is canceled?</p> <p>SRRs: D.090(c)</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 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. <p><i>Sources:</i> 121.135(b)(26); D.090(c)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	<p>Does the certificate holder's CASE process comply with the guidance contained in FAA Order 8900.1?</p> <p><i>Related Design JTIs:</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. <p><i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 49, Sec 1, Para 3-4035</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <ol style="list-style-type: none"> 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. <p><i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 49, Sec 1, Para 3-4035</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <ol style="list-style-type: none"> 3. Check that the Certificate Holder's instructions and information regarding C.A.S.E.'s strict training and certification program's specific 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>minimum requirements in terms of the auditor background and experience are required. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 49, Sec 1, Para 3-4035 K <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>4. 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. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 49, Sec 1, Para 3-4035 D <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>5. 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. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 49, Sec 1, Para 3-4038 B <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>6. 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. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 49, Sec 1, Para 3-4035 F <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>7. 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. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 49, Sec 1, Para 3-4038 B <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>8. 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. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 49, Sec 1, Para 3-4035 F <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
<p>1.6.</p>	<p>Does the certificate holder's CASE process comply with the guidance contained in the CASE Air Carrier Section Policies and Procedures Manual, chapter 1, section 1-9-3? <i>Related Design JTIs:</i></p> <p>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> FAA Order 8900.1, Vol 3, Ch 49, Sec 1, Para 3-4034 E <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>2. Check that the Certificate Holder's instructions and information includes their action to be taken, if they are notified by the Membership, Audeit & Compliance committee of a downgrade to their membership, is to notify their FAA Principal Maintenance Inspector in witting 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); 1.3.11(AW); 1.3.15(AW)</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

1.7.	<p>Does the certificate holder's CASE process comply with the guidance contained in the CASE Air Carrier Section Policies and Procedures Manual, chapter 2, section 2-2-0?</p> <p><i>Related Design JTIs:</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 certificating 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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(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> 1.3.1(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 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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(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". <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
------	---	--

	<p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
--	---	--

	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
--	--	--

	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
--	---	--

	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
--	--	--

	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1C(1)(2)(3)(4) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
--	--	--

	<p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
<p>1.8.</p>	<p>Does the certificate holder's CASE process comply with the guidance contained in the CASE Air Carrier Section Policies and Procedures Manual, chapter 2, section 2-3-0?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

	<p><i>Related Design JTIs:</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 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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1C(1)(2)(3) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW) 2. 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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1C(1)(2)(3) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW) 3. 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 there 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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1C(1)(2)(3) <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 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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1D(1)(2)(3) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW) 5. 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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1D(1)(2)(3) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW) 6. 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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1D(1)(2)(3) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW) 7. Check that the Certificate Holder's instructions and information 	
--	--	--

	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1E</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>8. 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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1E</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>9. 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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1F</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>10. 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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1F</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>11. 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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1F</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>12. 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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1F</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>13. 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.</p>	
--	---	--

	<p><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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>14. 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.</p> <p><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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>15. 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.</p> <p><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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>16. 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.</p> <p><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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>17. 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.</p> <p><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); 1.3.11(AW); 1.3.15(AW)</p> <p>18. 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.</p> <p><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); 1.3.11(AW); 1.3.15(AW)</p> <p>19. 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.</p> <p><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); 1.3.11(AW); 1.3.15(AW)</p> <p>20. 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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 1H</p>	
--	--	--

	<p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>21. 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 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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 2A</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>22. 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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 2A</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>23. 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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-0 Paragraph 2B</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
<p>1.9.</p>	<p>Does the certificate holder's CASE process comply with the guidance contained in the CASE Air Carrier Section Policies and Procedures Manual, chapter 2, section 2-3-1?</p> <p><i>Related Design JTIs:</i></p> <p>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</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1D(1)(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>

	<p>Manual (REV 39) Section 2-3-1 Paragraph 1D(1)(2) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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); 1.3.11(AW); 1.3.15(AW)</p> <p>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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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%. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1E(1)(2)(3) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1E(1)(2)(3) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1E(1)(2)(3) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>9. Check that the Certificate Holder's instructions and information</p>	
--	---	--

	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1E(1)(2)(3)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1E(1)(2)(3)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1G(1)(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>12. 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</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1G(1)(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 1H</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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</p>	
--	---	--

	<p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2B(1)(2)(3)(4)(5) & (6) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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</p>	
--	---	--

	<p>C.A.S.E. computer system.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2D</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2F</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2F</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2F</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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).</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2F</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2G(1)(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 2G(1)(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>27. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's C.A.S.E. representative must submit a</p>	
--	--	--

	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4A</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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)</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4B(1)(2)(3)(4)(5)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4C</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4E</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4F</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4K</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>33. Check that the Certificate Holder's instructions and information regarding a Certificate Holder's Level IV Evaluators candidate shall</p>	
--	---	--

	<p>issue a Certificate of Designation to each successful candidate as soon as practical by C.A.S.E. The Audit and Compliance Committee chair.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 4L</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5A</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5A</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5A</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5B</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5B</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5B</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>40. Check that the Certificate Holder's instructions and information</p>	
--	---	--

	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5C (1)(2) Note (1)&(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5C (1)(2) Note (1)&(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5C (1)(2) Note (1)&(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5C (1)(2) Note (1)&(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5D(1)(2) & Note</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5D(1)(2) & Note</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5D(1)(2) & Note</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>47. Check that the Certificate Holder's instructions and information regarding that to regain C.A.S.E. authorization that was lost because</p>	
--	--	--

	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5E(1)(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5E(1)(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5E(1)(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5E(1)(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 5E(1)(2)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> 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)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
--	--	--

	<p>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. <i>Sources:</i> 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) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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 <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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 <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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</p>	
--	---	--

	<p>77, 407, and 10.</p> <p><i>Sources:</i> 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</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
64.	<p>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.</p> <p><i>Sources:</i> 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</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
65.	<p>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.</p> <p><i>Sources:</i> 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</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
66.	<p>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.</p> <p><i>Sources:</i> 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</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
67.	<p>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.</p> <p><i>Sources:</i> 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</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
68.	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
69.	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
70.	<p>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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	

	<p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual (REV 39) Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <i>Sources:</i> 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)</p>	
--	---	--

	<p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> 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)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> 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)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>81. Check that the Certificate Holder's instructions and information regarding the Certificate Holder's Level III auditor training program shall include written examinations.</p> <p><i>Sources:</i> 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)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> 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)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><i>Sources:</i> 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)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><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)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><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)</p> <p><i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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</p>	
--	--	--

	<p>experience to Audit and Compliance Committee. <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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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. <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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
<p>1.10.</p>	<p>Does the certificate holder's CASE process comply with the guidance contained in the CASE Air Carrier Section Policies and Procedures Manual, chapter 3, section 3-1-0? <i>Related Design JTIs:</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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(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 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

	<p>file all parts distributor information transmitted by C.A.S.E. sustaining members.</p> <p><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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>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.</p> <p><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)</p> <p>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.</p> <p><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)</p> <p>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.</p> <p><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); 1.3.11(AW); 1.3.15(AW)</p> <p>6. 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 verify that the FAA will take formal action to advise the public.</p> <p><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); 1.3.11(AW); 1.3.15(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.</p> <p><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); 1.3.11(AW); 1.3.15(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.</p> <p><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); 1.3.11(AW); 1.3.15(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.</p> <p><i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures</p>	
--	--	--

	<p>Manual (REV 39) Section 3-3-0 Page 2, Paragraph 4A <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(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.</p> <p><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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
1.11.	<p>Does the certificate holder's CASE process comply with the guidance contained in the CASE Air Carrier Section Policies and Procedures Manual, chapter 4, section 4-1-0?</p> <p><i>Related Design JTIs:</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.</p> <p><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); 1.3.11(AW); 1.3.15(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.12.	<p>Does the certificate holder s manual contain the required references to, or excerpts from, the operations specifications listed in the Supplemental Information section of this safety attribute inspection (SAI)?</p> <p>SRRs: 119.43(b); D.090</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.13.	<p>If the certificate holder s manual includes excerpts from its operations specifications, are the excerpts clearly identified as part of the operations specifications?</p> <p>SRRs: 119.43(b)(1)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.14.	<p>Does the certificate holder s manual require compliance with operations specifications listed in the Supplemental Information section of this safety attribute inspection (SAI)?</p> <p>SRRs: 119.43(b)(2); D.090</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.15.	<p>Does the certificate holder s manual contain a method for keeping all persons engaged in its operations informed of the provisions of the operations specifications listed in the Supplemental Information section of this safety attribute inspection (SAI)?</p> <p>SRRs: 119.43(c); D.090</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	<p>Does the certificate holder's manual contain general policies for the CASE process that comply with the SRRs?</p> <p>SRRs: 119.5(f)(2); 121.135(b)(1); 121.363(b); 121.373(a); 121.363(a); D.090; D.090(b)</p> <p><i>Related Design JTIs:</i></p> <p>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.</p> <p><i>Sources:</i> 121.135(b)(1); D.090 <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>2. 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> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>3. 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> 121.135(b)(1); 121.363(b) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>4. 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. <i>Sources:</i> 121.135(b)(1); 121.373(a) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p> <p>5. 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 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> 121.135(b)(1); 121.373(a) <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.11(AW); 1.3.15(AW)</p>	
3.	<p>Does the certificate holder's manual reference the appropriate Federal Aviation Regulations listed in the Supplemental Information section of this safety attribute inspection (SAI)? SRRs: 121.135(b)(3)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	<p>Does the certificate holder's manual contain the duties and responsibilities for personnel who will accomplish the CASE process? SRRs: 121.135(b)(2)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	<p>Does the certificate holder's manual include instructions and information for personnel to meet the requirements of the CASE process? SRRs: 121.135(a)(1)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

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 DCT 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 system to ensure that the most important policies, procedures, or instructions and information will be followed.

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 questions regarding who, what, when, where, and how. 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:	
1.	Are the following controls built into the Coordinating Agencies for Suppliers Evaluation (CASE) process:	
1.1	Is there a control or controls in place to ensure that the certificate holder maintains an active sustaining membership in CASE?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2	Is there a control or controls in place to ensure that the certificate holder conducts CASE activities in accordance with the most current revision of the CASE Air Carrier Section Policies and Procedures Manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3	Is there a control or controls in place to ensure that each of the certificate holder's CASE auditors meet the background and experience requirements to be recognized by the CASE membership?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4	Is there a control or controls in place to ensure that the certificate holder's methods for selecting and training auditors meet the requirements outlined in the CASE Air Carrier Section Policies and Procedures Manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5	Is there a control or controls in place to ensure that the certificate holder's participation in CASE complies with its maintenance program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6	Is there a control or controls in place to ensure that the certificate holder's CASE auditors qualify and meet the requirements to maintain their authorization as outlined in the CASE Air Carrier Section Policies and Procedures Manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7	Is there a control or controls in place to ensure that each of the certificate holder's CASE 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
1.8	Is there a control or controls in place to ensure that only auditors authorized	<input type="checkbox"/> Yes

	through the CASE Air Carrier Auditor Authorization process are allowed to submit supplier/vendor change information to the CASE database?	<input type="checkbox"/> No, Explain
1.9	Is there a control or controls in place to ensure that the certificate holder's CASE audits are properly conducted at the appropriate intervals?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Does the certificate holder have a documented method for assessing the impact of any changes made to the controls in the CASE 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 DCT 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 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, 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 and Surveillance System (for airworthiness or maintenance/inspection-related issues). The director of safety and the quality assurance department often work together to accomplish this function for the certificate holder. This approach requires amendment of the safety program/internal evaluation program audit forms or checklists and the Continuous Analysis and 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:	
1.	Does the certificate holder's Coordinating Agencies for Suppliers Evaluation (CASE) process include the following process measurements:	
1.1.	Is there a process measurement or process measurements that would identify if the certificate holder failed to maintain an active sustaining membership in CASE?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Is there a process measurement or process measurements that would identify if the certificate holder failed to conduct CASE activities in accordance with the most current revision of the CASE Air Carrier Section Policies and Procedures Manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Is there a process measurement or process measurements that would identify if a certificate holder's CASE auditor failed to meet the background and experience requirements to be recognized by the CASE membership?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	Is there a process measurement or process measurements that would identify if the certificate holder's methods for selecting and training auditors failed to meet the requirements outlined in the CASE Air Carrier Section Policies and Procedures Manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	Is there a process measurement or process measurements that would identify if the certificate holder's participation in CASE failed to comply with its	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	maintenance program?	
1.6.	Is there a process measurement or process measurements that would identify if the certificate holder's CASE auditors failed to qualify and meet the requirements to maintain their authorization as outlined in the CASE Air Carrier Section Policies and Procedures Manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7.	Is there a process measurement or process measurements that would identify if a certificate holder's CASE 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
1.8.	Is there a process measurement or process measurements that would identify if personnel other than auditors authorized through the CASE Air Carrier Auditor Authorization process submitted supplier/vendor change information to the CASE database?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.9.	Is there a process measurement or process measurements that would identify if the certificate holder's CASE audits were not properly conducted at the appropriate intervals?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Is there a process measurement or process measurements that would reveal if the certificate holder's policy, procedures, instructions, and information were not followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Does the certificate holder document its process measurement results?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Does the certificate holder use its process measurement results to improve its programs?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Does the organization that conducts the process measurements have direct access to the person with responsibility for the CASE 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 DCT are designed to assist the inspector in determining whether or not interactions between the policies, procedures, or instructions and information associated with other independent processes within the certificate holder's organization are documented. Written policies, procedures, or instructions and information that are interrelated and located in different areas within the certificate holder's system must be consistent and complement each other. For the interfaces to be effectively managed, the certificate holder's system should identify and document the interfaces.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:	
1.	Review the interfaces associated with the Coordinating Agencies for Suppliers Evaluation (CASE) process that have been identified along with the individual questions in section 1, Procedures, of this DCT.	
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: The design job task items (JTIs) displayed with the questions in section 1, Procedures, of this DCT identify potential interfaces (by element number) for this element.	
1.	Does the certificate holder's system properly address the interfaces that are identified along with the questions in section 1, Procedures, of this DCT?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Does the certificate holder document a method for assessing the impact of any changes to the associated interfaces within the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

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 Attributes

Objective: The questions in this section of the DCT 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 (CASE) process.
2.	Identify the person who has overall authority for the CASE 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:	
	Are the following aspects of the Management Responsibility and Authority Attributes addressed in the Coordinating Agencies for Suppliers Evaluation (CASE) process:	
1.	Does the certificate holder clearly identify who is responsible for the quality of the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Does the certificate holder clearly identify who has authority to establish and modify the policies, procedures, instructions, and information for the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the certificate holder's manual include the duties and responsibilities of those who manage the work required by the CASE process? SRRs: 121.135(b)(2)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Does the certificate holder's manual include instructions and information for those who manage the work required by the CASE process? SRRs: 121.135(a)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Does the certificate holder clearly and completely document the responsibility for this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6.	Does the certificate holder clearly and completely document the authority for this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
7.	Does the certificate holder clearly and completely document its qualification standards for the person having responsibility for the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
8.	Does the certificate holder clearly and completely document its qualification standards for the person having authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

9.	Does the certificate holder clearly and completely document the procedures for delegation of authority for the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
----	--	--

SAI Section 5 - Management Responsibility & Authority Attributes Drop-Down Menu	
1.	Not documented.
2.	Documentation unclear.
3.	Documentation incomplete.
4.	Other.