Distributors of New and Surplus Parts

Audit Checklist

Audit Type: Pre-Award: ☐ Surveillance: ☐ Follow-Up: ☐

Distributor's Name: _____

Address: _____

City: _____ **State**: _____ **Zip**: _____

Division of: _____ **Phone**: _____

E-mail: _____ **Fax**: _____

Years in Business: _____ **Size-Number of Personnel**: _____

Distributor Contacts: _____

Quality Control: _____ Phone: _____

Inspection: _____ Phone: _____

Material Control: _____ Phone: _____

Auditor's recommendation of surveillance audit interval: _____ **months**

Quality System: Accepted ☐ Not Accepted ☐

Corrective action required by _____ **prior to acceptance.**

Corrective action required by _____ **for continued acceptance.**

Acceptable corrective action received on _____

Auditor's Signature: _____ **Date**: _____

C.A.S.E. Register (circle one): **Add** ☐ **Delete** ☐ **Update** ☐ **No Action** ☐

Note: Refer to 3-A Standard, 4-4-0.

Note: If register action taken is to add or update the vendor, initiate and complete "Vendor Expectations and Limitations" form letter (CACS-7) prior to taking the register action.

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Note: This checklist is based on the requirements stated in the C.A.S.E. 3-A Standard in 4-4-0 of this manual.

	YES	NO	N/A
1. Quality Organization			
A. Is there a documented quality program? [2A]			
B. Does the quality manual describe the Quality Department and its relationship to the rest of the organization? [2A]			
C. Does the manual identify specific persons, by title, responsible for the following quality functions? [3C]			
1) Quality Program			
2) Inspection			
3) Tool and Test Equipment Calibration			
4) Technical Data Control			
5) Shelf Life Program			
6) Scrapped Parts			
D. Is the quality manual current and made available to all employees? [3C]			
E. Is there a roster of: [3D]			
1) Persons that are authorized to perform inspections?			
2) A list of inspections they are authorized to perform?			
F. Does the distributor maintain a current list of manufacturers who officially authorize them as their distributor? [3E]			

	YES	NO	N/A
2. Inspection Procedures			
A. Are all parts inspected for physical damage and preservation? [4A]	_____	_____	_____
B. Are standard parts verified as meeting technical specifications? [4B]	_____	_____	_____
C. Are there acceptable sampling procedures used? [4C]	_____	_____	_____
D. Are fasteners and raw stock inspected for condition, presence of certifications, and test reports? [4D]	_____	_____	_____
E. If inspection stamps are used, does the policy require a stamp to be retired for at least two years after an inspector leaves? [4E]	_____	_____	_____
3. Shipping Procedures			
A. Are all parts shipped in ATA 300 containers or equivalent? [5A]	_____	_____	_____
B. Do appropriately trained personnel conduct an inspection of items being shipped, including but not limited to: [5B]			
1) Obvious physical damage?	_____	_____	_____
2) Installation of plugs and caps?	_____	_____	_____
3) Verification of quantity, part number, serial number, model number, etc.?	_____	_____	_____
4) Packing slip information as required by customer?	_____	_____	_____
5) Verification of airworthiness approval, material certification, traceability documents, etc.?	_____	_____	_____
6) HAZMAT materials properly inspected?	_____	_____	_____

	YES	NO	N/A
4. Technical Data Control			
A. Is there a documented system to obtaining technical data and maintaining it up to date? [6A]	_____	_____	_____
B. Is the appropriate and current technical data readily available to personnel? [6A]	_____	_____	_____
C. Is AD status verification provided on date of sale? [6B]	_____	_____	_____
D. Is there a system to prohibit hand entries or corrections to technical data? [6A]	_____	_____	_____
E. Is technical data stored in a manner that will protect it from dirt and damage? [6C]	_____	_____	_____
5. Record Keeping			
A. Does distributor request adequate test and inspection records with each order of parts? [7A]	_____	_____	_____
B. Are records confirming fastener integrity maintained for two years (i.e. chemical and physical properties)? [7B]	_____	_____	_____
C. Are records with flammability requirements retained for two years after sale? [7C]	_____	_____	_____
D. Is traceability and certification documentation maintained for two years after sale? [7D]	_____	_____	_____
E. Does the vendor's purchase records/sales orders chain of custody lead to a production approval holder (PMA, TSO, PC, TC, STC), FAA certificate, or manufacturer of standard parts? [7E]	_____	_____	_____
F. Do all life limited parts records confirm their life limited status from previous operator? [7F]	_____	_____	_____
G. Are records protected against damage, alteration, deterioration, and loss? [7G]	_____	_____	_____

		YES	NO	N/A
H.	Can each part, carton, or package of parts be linked to its certification and/or test records by some unique identifier? [7H]	_____	_____	_____
I.	Are export Certificates of Airworthiness obtained for all foreign manufactured parts? [7H]	_____	_____	_____
J.	Do serviceable parts have airworthiness approval documents attached from an FAA certified repair station or air carrier? [7J]	_____	_____	_____
K.	Are teardown reports provided for serviceable parts? [7I]	_____	_____	_____
L.	Are parts subjected to extreme stress or heat identified? [7J]	_____	_____	_____

6. Training

A.	Are personnel who perform supervisory, inspection, record keeping, parts handling, shipping and receiving functions properly trained and competent? [8A]	_____	_____	_____
B.	Are inspection personnel properly authorized? [8B]	_____	_____	_____
C.	Are both formal classroom and on-the-job training documented and maintained for two years? [8D]	_____	_____	_____

7. Shelf Life Control

A.	Is there a documented shelf life program? [9A]	_____	_____	_____
B.	Is there a list of shelf life limited materials and parts and their limits? [9B]	_____	_____	_____

8. Measuring and Test Equipment

A.	Does the distributor have the tools required to assure conformity of the inventory to specification? [10A]	_____	_____	_____
B.	Is there a documented program to maintain serviceability and calibration of those tools? [10A, 10B]	_____	_____	_____

	YES	NO	N/A
C. Are historical records containing repair and calibration accuracy data for that tooling maintained? [10C]	_____	_____	_____
D. Is the calibration of tools traceable to the National Institute of Standards and Technology, or appropriate governmental, or OEM standards? [10C]	_____	_____	_____
E. If personally owned measuring tools are allowed on the premises, are they controlled by the program? [10C]	_____	_____	_____

9. Procurement

A. Are approved quality materials and parts purchased and are proprietary and licensing rights observed? [11A]	_____	_____	_____
B. Does the system assure that special requirements are adequately communicated to the distributor's sources? [11B]	_____	_____	_____
C. Are new parts purchased from approved manufacturers or distributors authorized by the manufacturer? [11C]	_____	_____	_____
D. Is a list of approved suppliers maintained, including a quality history of each? [11D]	_____	_____	_____

10. Material Control

A. Is material handled to preclude damage and deterioration? [12A]	_____	_____	_____
B. Are storage areas periodically checked for overall effectiveness? [12B]	_____	_____	_____
C. Is there a closed loop system for implementing corrective action following the detection of non-conforming parts and materials? [12C]	_____	_____	_____
D. Is the non-conforming part/material segregated from useable stock? [12C]	_____	_____	_____

	YES	NO	N/A
E. Are non-aircraft parts segregated from aircraft parts? [12D]	_____	_____	_____
F. Is batch segregation utilized for aircraft fasteners, materials requiring flammability testing, and other material requiring batch control? [12E, 12F]	_____	_____	_____
G. Do purchases, less sales, equal inventory? [12E]	_____	_____	_____
H. If practical, is the manufacturer's original packaging used? [12E]	_____	_____	_____
I. Does packaging clearly identify contents? [12G]	_____	_____	_____
J. Is material susceptible to electrostatic discharge damage, and flammable, toxic, or volatile material handled in accordance with proper requirements? [12H, 12I]	_____	_____	_____
K. Is a system in place to preclude part number ambiguity? [12I, 12J]	_____	_____	_____
L. Are serviceable and unserviceable parts segregated? [12L]	_____	_____	_____

11. Housing and Facilities

A. Are good housekeeping and storage practices being maintained to insure inventory is not damaged? [13A]	_____	_____	_____
B. Is storage secure to prevent cannibalization of parts for a repair process? [13A]	_____	_____	_____

12. Internal Audit and Surveillance

A. Is there an internal surveillance function that audits programs to ensure compliance with customer and regulatory requirements? [14A]	_____	_____	_____
B. Are audit results documented including effective corrective action? [14A]	_____	_____	_____

YES NO N/A

13. Scrapped Parts

A. Is there a documented procedure in place for mutilating scrapped parts which will preclude their being returned to service? [15A] _____|_____|_____

B. Does the Distributor maintain record of scrapped life limited parts for at least two years? [15B] _____|_____|_____

C. Does the distributor identify the individual responsible for verifying compliance with this procedure? [15C] _____|_____|_____

D. Does the distributor impose the procedure on subcontractors and repair facilities with which they do business? [15D] _____|_____|_____

14. Certification Forms

A. Does the quality manual contain instructions and samples of forms? [16A] _____|_____|_____

NOTES:

NOTES:

Audit Summary

Distributor: _____ **Date:** _____

Audited By: _____ _____
Company Auditor

Acknowledged By: _____ **Date:** _____

Title: _____ **Page:** _____ **of** _____

Audit Summary (Cont.)

Acknowledged By: _____ **Date:** _____

Title: _____ **Page:** _____ **of** _____