



60 Keyland Court, Bohemia, NY 11716
Phone: 631-589-9070 / FAX: 631-567-2492
VENDOR SELF AUDIT CHECK LIST

Date: **5/12/2019**

Completed by: **Michael Davies**

Company Name: **Northeast Aero Compressor**

Address: **60 Keyland Court, Bohemia, N.Y. 11716 U.S.A.**

Phone: **631-589-9070**

Fax: **631-567-2492**

Subsidiary of: **N/A**

Repair Station# : **QNCR580K**

Key Personnel:

Linda Gibson

Title: **President & C.F.O.**

Michael Gibson

Title: **C.O.O. & Accountable Manager**

Michael Davies

Title: **Director of Quality Control**

Quality Contacts: **Michael Davies, Steven Wynter**

Facility Size: **15,000 SQ FT**

of Employees:

Production: **35**

QA/QC: **5**

Inspection: **4**

Engineering: **1**

Note: This checklist is based on the requirements stated in the C.A.S.E. Standard 1-A, chapter 4-2-0 of this manual. The reference numbers enclosed in brackets [] that appear throughout this document refer to the Applicable paragraph(s) in the standard. C.A.S.E. Standard may be downloaded from the following URL: www.caseinc.org/index.php/air-carriers/stds-proc-cmte.



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Policy Certifications **YES NO N/A**

- 1. Obtain and review a copy of the current FAA Air Agency or Transport Canada AMO certificate, Operations Specifications, And EASA/Canadian approval documents. Are they accurate? [2A]
- 2. If the repair station has “Limited Ratings”, does the vendor have a capabilities listing that satisfies the standard? [2B]
- 3. Does the vendor only perform work for which it is authorized on its Operations Specifications? [2A]
- 4. Does the vendor have an FAA approved anti-drug and alcohol misuse prevention Program (A449 and/or Registration)? [2C, D]
- 5. Does the vendor have a process to ensure that their U.S. based contracted/sub-contracted maintenance/preventive maintenance providers, at all tiers(certificated and non-certificated), have an FAA approved anti-drug and alcohol misuse prevention program(A449 and/or Registration)?[2D]
- 6. Does the vendor have a procedure to verify the validity of FAA mechanics certificates through the FAA?[2B]

Quality Program

- 7. Does the vendor have an FAA/NAA accepted Repair Station (or equivalent) Manual and does it meet the requirements of the 1-A standard? [3D]
- 8. Does the vendor have an FAA/NAA accepted Quality Control (or equivalent) Manual and does it meet the requirements of the 1-A standard? [3C]
- 9. Does the Quality Control Manual include references, where applicable, to the manufacturer’s inspection standards? [3C]
- 10. Does the Quality Control Manual include samples of and instructions for completing maintenance and inspection forms, or reference a separate forms manual? [3C]
- 11. Does the vendor have an internal audit and surveillance function/schedule and are personnel performing internal audits trained? [3E]
- 12. Does the internal audit function ensure compliance with air carrier specifications? [3E]
- 13. Does the internal audit program assure appropriate corrective actions to prevent reoccurrence and follow-up for effectiveness? [3F]



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YES NO N/A

- 14. Does the vendor maintain for internal audit reports for at least 36 months and two (2) complete audit cycles and are the results communicated to the Accountable Manager? [3E]
- 15. Does the vendor ensure that contractor/sub-contractors quality meets air carrier specifications and legal requirements? [3I]
- 16. Does the vendor maintain, for a minimum of 36 months, a file of audit findings, corrective actions and the signed CACS-7 from audits for which a VEL was signed? Is the file accessible on-site to the auditor? [3G]
- 17. Does the vendor maintain a list of contracted/sub-contracted maintenance functions and agencies which includes type of certificate and rating(s),if any, held by each agency? [3H]
- 18. Does the vendor comply with its receiving process? [4B]
- 19. Does the vendor have a contract allowing the FAA to inspect non-certificated contractors/sub-contractors? [3I]
- 20. Does the vendor have a procedure for reporting defects, or unairworthy conditions and suspected unapproved parts to the air carrier and FAA/NAA? [3J]

Inspection Programs

- 21. Is there proper separation of maintenance and inspection responsibilities for vendors that perform required inspections(RII)? [4A]
- 22. Does the vendor properly execute air carrier's required inspections (RII)? [4A]
- 23. Does the vendor have an acceptable receiving inspection system which includes verification of identifying data (P/N, S/N, nomenclature, mod. No.) on the documentation and data plate match? [4B]
- 24. Does the vendor ensure incoming parts and materials comply with specifications including certification documentation and traceability?[4B]
- 25. Do final inspection personnel ensure that adequate checks, tests, and inspections are performed to air carrier specifications? [13F]
- 26. Do personnel follow the return to service procedures? [3B, 5G]
- 27. Does the vendor have an acceptable system for controlling stamps for both inspection and production personnel? [4C]



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Personnel

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- 28. Has the vendor designated an employee as the “Accountable Manager?”[5A]
NOTE: Managers for FAA and EASA could be different.
- 29. Does the vendor employ a minimum of two (2) persons? [5B]
- 30. Does the roster(Do the rosters) identify all management, supervisory and inspection and personnel authorized for return to service? [5C]
- 31. Does the repair station have an employment summary for all personnel listed on the repair station roster(s)? [5D]
- 32. Do the vendor’s supervisory personnel satisfy the requirements of this standard? [5E]
- 33. Do the vendor’s inspection personnel satisfy the requirements of this standard? [5F]
- 34. Do the vendor’s return-to-service personnel satisfy the requirements of this standard?[5G]
- 35. Does the vendor identify specific individuals primarily responsible for the internal audit program? [5H]
- 36. Do personnel properly interpret maintenance requirements and obtain approval to deviate from specified customer maintenance data? [5I]
- 37. Do Personnel notify supervisor/lead mechanic of mistakes requiring rectification to meet required customer specified maintenance data? [5I]
- 38. Do Personnel inform and await instructions from their supervisor/lead mechanic in any case where it is impossible to complete the specialized maintenance in accordance with the customer specified maintenance data? [5I]

Technical Data

- 39. Is the appropriate technical data being utilized(e.g. current CMM, AMM, SRM, etc.)? [6A, B]
- 40. Does the vendor have a documented system to ensure technical data is current? [6B]
- 41. Does the vendor have records of manual revisions? [6B]



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- | | <u>YES</u> | <u>NO</u> | <u>N/A</u> |
|---|-------------------------------------|--------------------------|-------------------------------------|
| 42. Does the vendor have a system to control working copies of manuals to ensure they are revised with the masters? [6C] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 43. Are there established approved procedures controlling revisions in manuals deviating from OEM specifications(e.g. EO,EA, Air Carrier data, etc.)? [6A] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 44. If the vendor has ODA authority, does it have a system for receiving air carrier approval prior to use of the data? [6F] | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 45. Does the vendor have an approved ODA manual and roster? [6F] | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 46. Is technical data stored in a manner that will protect it from dirt and damage?[6D] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 47. Are adequate viewing devices in good condition and available for viewing the technical data? [6E] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 48. If the technician is observed deviating from OEM technical data(e.g. alternate tooling/procedures, Process Specs., DER repairs, per as ODA, etc.) have those deviations been approved by the air carrier?[6F] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 49. Does the vendor have a process to furnish copies of all the revised repair Station Manual(s) and/or Quality Manual(s) promptly to all organizations and persons whom the manual(s) has been issued? [3K] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Shelf Life Program | | | |
| 50. Does the vendor have a documented shelf life program? [7A] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 51. Does each shelf life item have the shelf life expiration limit displayed? [7B] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 52. Were items sampled for shelf life within limits? [7C, D] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Calibration Program | | | |
| 53. Does the vendor have a documented calibration program and do they comply with it? [8B, 13B] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 54. Does the program identify the calibration frequencies, limitations and applicable tolerances or specifications? [8B] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 55. Does the calibration program require test and inspection equipment/tools to be traceable to a standard acceptable to the FAA/NAA (e.g. The National Institute of Standards and Technology (NIST))? [8C] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 56. Does the calibration program require records to be kept for a minimum of two (2) years or two (2) calibration cycles(whichever is greater)? [8H] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |



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	<u>YES</u>	<u>NO</u>	<u>N/A</u>
57. Is there a system to identify each tool in the program, its calibration frequency, and its calibration due date? [8D, I]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
58. Does the vendor have a procedure for identifying, controlling, and/or preventing out-of-service, non-calibrated, for reference only, and due-for-calibration tools and equipment from being used? [8E, I]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
59. Does the vendor have a procedure to control the calibration of personal tools? [8F]	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
60. Did the sample checks of the calibrated tooling indicate that the tool is within calibration limits? [8A-G]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
61. Do calibration records for tools and test equipment available for use: [8G]			
A. Show date calibrated?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Show calibration due date?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Identify the person that performed calibration or check?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Contain a calibration certificate for each item calibrated by an outside agency?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. Record details of adjustments and repairs?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. Show the P/N, S/N and calibration due date of the standard used to perform the calibration?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
62. Where tooling/test equipment is used, does the vendor: [13C(1)]			
A. Have an operating manual and maintenance manual for the equipment?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Perform maintenance and servicing per the manual?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Maintain maintenance and servicing records for two years?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Where applicable, list the equipment in their calibration program?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
63. Where a vendor uses non-OEM specified tooling/test equipment, is it properly substantiated as equivalent? [13C(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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64. Are tools and test equipment in serviceable condition?[8D, E]

Training Program

65. Are RII inspectors properly trained and certified? [5F]

66. Did the sampled names indicate the mechanics, inspectors, receiving inspectors, return to service personnel, auditors and supervisors were properly trained, authorized and certificated, if required, for the work they perform? [5D-F, 9A&D, and 13B]

67. Are the training records retained for a minimum of two (2) years after the employee leaves the company? [9C]

68. Do the records indicate the vendor provides initial and recurrent training to personnel? [9E]

69. Does the vendor have and use a documented training program? [9A, D(1), E, 5E-G]

70. Is formal and OTJ training documented? [9B, E]

71. Does the vendor's training program include knowledge of regulations, standards, Human Factors and procedures in accordance with customer requirements? [9D, E]

72. Does the vendor's training program include initial and recurrent training? [9D]

Housing and Facilities/Safety/Security/Fire Protection

73. If the vendor deals in non-aircraft parts, materials and/or maintenance activities, are they adequately segregated from the aircraft functions? [10A]

74. Does the vendor have: [10B(2)]

A. Sufficient work space and areas for the proper segregation and protection of articles?

B. Segregated work areas enabling environmentally hazardous or sensitive operations such as painting, cleaning, welding, avionics work, and machining to be done properly and in a manner that does not adversely affect other maintenance?

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
C. Suitable racks, hoists, trays, stands, and other segregation means for the storage and protection of articles?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Space sufficient to segregate articles and materials stocked for installation from those undergoing maintenance, preventive maintenance, or alteration?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. Ventilation, lighting, and control of temperature, humidity and other climatic conditions sufficient to ensure personnel perform maintenance, preventive maintenance or alterations to the standards required by the part?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. Areas for receiving and for shipping air carriers' units with adequate space, lighting, shelving, security and fire protection to accommodate air carriers' units in a manner that will preclude damage, loss and theft?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G. Adequate and appropriate storage area to safely store air carriers' reusable shipping containers and to protect them from environmental damage?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. Does the vendor have controls in place to prevent foreign object damage to (or contamination of) all aviation products in any area where articles are stored or worked(e.g. fuel controls, hydraulic units, instruments, electronic components, structural components etc.), including such from smoking, eating or drinking? [13G]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
75. If the vendor performs maintenance, preventive maintenance or alterations on articles outside of its housing, does it provide suitable facilities that are acceptable to the FAA/NAA and its air carriers? [10C]	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
76. Do facilities outside of the vendor's housing meet the requirements of this standard so that the work can be done in accordance with the requirements of 14 CFR 43? [10C]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
77. Does the vendor have adequate safety procedures in place and are the operations conducted in a safe manner and environment? [11A-G]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
78. Is the security system adequate to ensure safety and security of air carrier's parts and aircraft? [11B]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Storage			
79. Are parts and materials correctly identified and properly stored? [12A, B]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
80. Does the vendor have a quarantine area for rejected parts and materials awaiting disposition? [12C]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
81. Are parts and material properly protected from damage and deterioration? [12D]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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	<u>YES</u>	<u>NO</u>	<u>N/A</u>
82. Are flammable, toxic or volatile materials properly identified and stored? [12E]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
83. Are sensitive parts and equipment(oxygen parts, o-rings, electrostatic sensitive devices, temperature/humidity controlled item, etc.) properly packaged, identified and stored to protect from damage and contamination? [12F]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
84. Are high pressure bottles correctly labeled, properly stored and secured? [12G]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
85. Does the vendor maintain traceability certification on all parts and raw materials?[12H,I]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Records			
86. Does the vendor's record keeping system and retention time meet 14 CFR requirements? [13J]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work Processing			
87. Does the vendor have a duty time limitation requirement? [13A]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
88. Are all required licenses and repairman certificates available for review? [2A]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
89. Does the vendor have appropriate tools and test equipment(including equivalent non-OEM) to perform the work? [13B(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
90. Are calibrated tools and equipment labels showing within calibration and are they legible? [13B]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
91. Are air carriers' parts properly identified throughout the maintenance actions and in storage?[13D]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
92. Does the vendor have a work turnover procedure and are they following it? [13E]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
93. Does the vendor have procedures to: [13F]			
A. Obtain air carrier specifications?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Incorporate air carrier specifications into their work processes and to ensure any subcontractor used also incorporates those specifications with adequate documentation?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Verify that the air carrier specifications were incorporated?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Obtain approval for deviating, if necessary, from air carrier specifications?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. Have adequate checks, inspections, and tests to ensure work was performed to air carrier specifications?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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- F. Procedures to ensure the work documents returned from a subcontractor (at any tier) are adequate to support a major/minor determination?
- 94. Is the unit/aircraft protected from FOD? [13G]
- 95. Are fluid dispensing cans and servicing units properly identified? [13H]
- 96. Are the vendor's work records complete, in order and legible? [13I]
- 97. Do the work package records contain: [13I]
 - A. The description of the work performed, reference to data and revision level?
 - B. The date of completion of the work performed?
 - C. The name of the person performing the work?
 - D. The name of the person inspecting the work?
 - E. The signature, certificate number of the person returning the article to service?
 - F. Are all test and inspection records in work package?
- 98. Does the vendor's return-to-service document meet the air carrier and FAA/NAA requirements? [13I(5)]
- 99. Does the vendor maintain certification on sub-contractor work? [3I]
- 100. Were Major repairs/alterations properly documented? [13I]
- 101. Were AD's properly evaluated, accomplished, and documented? [13F]
- 102. Is maintenance properly performed and documented for: [1D, 3A-B]
 - A. Preliminary Inspection
 - B. Functional Test?
 - C. Hidden damage inspection?
 - D. Unit disassembly per instructions?
 - E. Unit cleaning per instructions?



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	<u>YES</u>	<u>NO</u>	<u>N/A</u>
F. Parts inspection/checking per instructions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G. Parts repairing per instructions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. Properly taking and recording fits and clearances?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I. Unit reassembly per instructions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
J. Unit functional testing per instructions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
K. Final Return to Service inspection?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
103. Are components returned in an appropriate shipping container or as specified by the air carrier? [14A]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Scrap Parts Program			
104. Does the vendor have a documented procedure for controlling scrapped parts? [15A]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
105. Does the scrap program require a record of scrapped life-limited parts to be maintained for a minimum of two (2) years? [15B]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
106. Does the record include the P/N, S/N and date of the scrapped part? [15B]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
107. Does the vendor comply with its scrapped parts procedure to ensure they are either returned to the air carrier or mutilated beyond repair? [15A]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hazmat Program			
108. If the vendor is identified as a Hazmat employer per 49 CFR Part 171.8, do they have a Hazmat training program that meets the requirements of 49 CFR Part 172 subpart H? [16A]	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Electrostatic Sensitive Device (ESD) Program			
109. The vendor, which works on or handles ESD components, shall have a documented ESD program in place.[17]			
A. Are shop floor grids grounded if installed?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Are all ESDs only handled using grounding wrist or heel straps and conductive desk mats?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Are devices contained in ESD conductive packaging sealed with conductive tape?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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- D. Are ESDs prevented from being stored on shelving covered with carpet, foam, vinyl or any other material that can store or produce an electrical charge?
- E. Are appropriate warnings and caution signs and decals placed in areas where ESDs are handled?
- F. Are wrist/heel straps, and grounding mats tested for conductivity at regular intervals or prior to use, and such test results are recorded?
- G. Are maintenance personnel trained on ESD handling?

Discrepancies/Comments

PERSON COMPLETING THE SURVEY	
DISCREPANCY:	
ROOT CAUSE:	
CORRECTIVE ACTION:	
DATE:	AUDITOR NAME:
SIGNATURE:	
FOLLOW-UP INSPECTION:	

NOTE: Each discrepancy listed above must contain an item heading "ROOT CAUSE" followed by an explanation of any such findings.