



Supplier Self Audit Questionnaire / Quality Assurance Survey

This Questionnaire/Survey is intended to gather data from the supplier regarding their Quality and Compliance system for products and/or services provided to AerSale. It is the Supplier's responsibility to notify AerSale, Inc. of any changes that occur to the information that the Supplier is providing in this document. Be advised that your performance will be rated based on product quality and on-time delivery with the expectation that both will be a minimum of 90%.

INSTRUCTIONS

Check all that apply to your company and complete Sections accordingly:

Type 1 - Certified Part Supplier – Complete Sections 1 & 3 only.

Please attach copies of supporting documentation, as appropriate.

- ☐ OEM
- ☐ Authorized Distributor
- ☐ All Scheduled Domestic and Foreign Carriers
- ☐ 145 Repair Station with FAA, EASA, CAAC, TCCA, CAA, etc.
- ☐ Supplier with Accredited Quality Management System
(ASA-100, NADCAP, ISO9001/AS9100/AS9110/AS9120, etc.)

Type 2 - Sub-Contractor or Non-Certified Supplier - Complete ALL Sections

Please attach copies of supporting documentation, as appropriate

- ☐ Sub-Contractor with FAA, EASA, CAAC, TCCA, CAA, etc.
- ☐ Supplier / Sub-Contractor with Non-Accredited Quality Management System
- ☐ Supplier of commercial material or equipment (Tooling, Stands, etc.)
- ☐ Government or Military supplier

SECTION 1 - General Information

Supplier/Sub-contractor Details			
Name:		Cage Code (if applicable):	
Street Address:			
City:	Province/State:	Postal Code/Zip:	Country:
Telephone No.:			
Fax Number:			
Email Address:			
Website:			



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Key Management/Principal Personnel (i.e., Officer/Owners, CEO, CFO, President)			
Name:		Title:	
Name:		Title:	
Name:		Title:	
Name:		Title:	

Personnel Numbers				
Production	Quality	Engineering	Admin.	Total

General Facility Information		
Total Facility Area (Sq. Ft.)	Number of Buildings:	
Type of Building (e.g., 3-Story Brick, etc.)		

Supplier Scope
☐ Engine/Aircraft Parts Purchase ☐ Engine/Aircraft Purchase ☐ Repair of Engine/Aircraft Parts ☐ Teardown Service ☐ Purchase of commercial material or equipment ☐ NDT ☐ Other
<u>Type of Repair Shop Business/Scope Examples (check if applicable):</u>
☐ 1. Machining: Wire EDM, Electrochemical machining, Electron beam machining, CNC Photochemical machining, Ultrasonic machining, Conventional machining, Waterjet, other.
☐ 2. Welding: Arc, MIG, TIG, Electron Beam.
☐ 3. Plating: Gold, Silver, Rhodium, Zinc, Zinc-Nickel, Tin, Alloy, Composite, Cadmium, Nickel, Electroless Nickel, other.
☐ 4. Coatings: Anodizing, Chromate Conversion, Plasma Spray (detail type), Thermal Spray (detail type), other.
☐ 5. Assembly, disassembly, testing (detail type), etching (laser etch, vibropeen), Composites (detail type).
☐ 6. Surface treatment: Grit Blast, Shotpeen, Glassbeed, Laser Shockpeening, other.
7. Aircraft components and materials:
☐ 7.1 Avionics components such as flight data computers, switches, modules, data cards, Monitors, wire, connectors, etc.
☐ 7.2 Airframe components such as flight controls, valves, panels, hydraulic and pneumatic components, etc.
☐ 7.3 Engine components such as valves, blades, hardware, panels, lines, tubes, etc.
☐ 7.4 Composite and Structure components such as raw materials, aramid fibers, Aluminum and composite honeycomb materials, adhesives, etc.
☐ 7.5 Materials General such as adhesives, tapes, coatings, placards, solvents, etc.



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** AerSale USE ONLY **		
Approved:	☐ Yes ☐ No	Vendor #:
One-time approval	☐ Yes ☐ No	Export Approval:
Comments:	TYPE: Purchase ☐ Repair/Overhaul ☐ Both ☐	
Expiration Date:		
Approved by:		
Date:		



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SECTION 1 – Authorization/Quality Control System Accreditation

*** Please attach copies of supporting documentation, as appropriate**

Air Agency Certificate or Approving Body		Certification Number	Expiration Date
FAA	☐ Yes ☐ No		
EASA	☐ Yes ☐ No		
CAAC	☐ Yes ☐ No		
CAA (UK, Singapore, etc.)	☐ Yes ☐ No		
Transport Canada	☐ Yes ☐ No		
AS9100/AS9110/AS9120 and/or ISO 9000 Certificate	☐ Yes ☐ No		
ASA-100 Certificate	☐ Yes ☐ No		
ISO 14001	☐ Yes ☐ No		
FAA/PMA or TSO Approval	☐ Yes ☐ No		
Mil-Q-9858	☐ Yes ☐ No		
SFAR 36 Authority	☐ Yes ☐ No		
Other:	☐ Yes ☐ No		

Please attach copies of ADDITIONAL supporting documentation, as appropriate:

☐	FAA OPS Spec. (Table of Contents with entire Spec) + Anti-Drug Program Approval Letter
☐	Letter from OEM/Manufacture authorizing any distributorship
☐	Company Organization Chart
☐	Capabilities List
☐	W-9 Request for Taxpayer Identification Number and Certificate (U.S. Companies Only)
	Non-Disclosure Agreement
Additional Info	



QUALITY ASSURANCE SURVEY



Stop – only for Type 2 SECTION 2 - Quality Management System (QMS)
Sub-Contractor & Non-Certified Supplier only

Type 1 Certified Suppliers
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General	Yes	No	N/A
A. Do you have a current Quality Assurance Manual? <i>(If requested, a copy may be required)</i>	☐	☐	☐
Is there a prompt issuance of revision changes to the facility's Quality Manual?	☐	☐	☐
B. Is there an established Quality Management System Program and is it defined in the Quality Control Manual?	☐	☐	☐
C. Does the Quality Manual clearly identify the people responsible for the following duties and tasks, including their reporting relationships and back-up person for Various quality functions below			
i. Quality Program?	☐	☐	☐
ii. Inspection?	☐	☐	☐
iii. Tool & Test Equipment Calibration?	☐	☐	☐
iv. Technical Data Control?	☐	☐	☐
v. Shelf Life Program and Administration?	☐	☐	☐
vi. Control and disposal of scrap parts/components?	☐	☐	☐
D. Do you have an internal audit system that has:			
i. An audit program that assures appropriate corrective/preventive action for non-compliance findings?	☐	☐	☐
ii. Corrective/preventive actions documented accordingly?	☐	☐	☐
iii. A verification process for the corrective/preventive actions, i.e. are there checks to see if the non-compliance is properly addressed?	☐	☐	☐
E. Are the audit findings accessible to the customer?	☐	☐	☐
F. Are the internal auditors independent of other duties?	☐	☐	☐
G. Is the following information available:			
i. Current list of approved inspection staff?	☐	☐	☐
ii. List of inspection they are authorized to perform?	☐	☐	☐
iii. List of current suppliers (e.g., OEM, MMF, PAH, etc.)?	☐	☐	☐

Environmental Management System

A. Does your company have an Environmental Management System, Re: ISO 14001?	☐	☐	☐
B. Is worked performed involve disassembly, recycling of engine or aircraft?	☐	☐	☐
If yes -			
Are you currently certified or have processes that confirm to "Best Management Practice" of "Aircraft Fleet Recycling Association" (AFRA)?	☐	☐	☐



QUALITY ASSURANCE SURVEY

Sub-Contractor & Non-Certified Supplier only		SECTION 2 (Continued) Requirements		
	Yes	No	N/A	
A. Do you have procedures and controls to ensure compliance with air carrier and/or customer requirements?	☐	☐	☐	
B. Can you validate the work that your facility performs? If yes, provide evidence (i.e. capabilities list, sample validation/substantiation records, etc.).	☐	☐	☐	
C. Do you have procedures and controls that cover the following:				
i. Maintenance, Preventive Maintenance, alterations, and inspections?	☐	☐	☐	
ii. Determination of major and minor work scope?	☐	☐	☐	
iii. Final inspection on the articles that the facility maintains?	☐	☐	☐	
D. Do you have sub-contractor procedures and controls that ensure the following:				
i. That your US-based sub-contractors are participating in an Anti-Drug and Alcohol Misuse prevention program? If yes, please provide objective evidence (i.e. an audit of one of your sub-contractors).	☐	☐	☐	
ii. For non-certified sub-contractors, that work performed by sub-contractor is airworthy via inspection or test?	☐	☐	☐	
iii. For non-certified sub-contractors, that there is a contract which allows FAA/NAA to inspect the non-certified sub-contractor?	☐	☐	☐	
E. If scheduled in advance, can AerSale and/or FAA visit your facility, if required?				



QUALITY ASSURANCE SURVEY

Sub-Contractor & Non-Certified Supplier only		SECTION 2 (continued) Inspection		
		Yes	No	N/A
A.	Does company carry out incoming inspection?	☐	☐	☐
B.	Are inspections conducted by approved personnel only?	☐	☐	☐
C.	What form of inspection is accomplished:			
	i. Visual?	☐	☐	☐
	ii. Dimensional?	☐	☐	☐
	iii. Sampling?	☐	☐	☐
	iv. Other (specify as required):	☐	☐	☐
D.	If "Sampling", is there a sampling specification procedure in place? Explain briefly:	☐	☐	☐
E.	Does the company have a non-conforming materials control procedure?	☐	☐	☐
F.	Are inspection stamps used?			
	If "Yes" -			
	i. Is there an inspection stamp control policy?	☐	☐	☐
	ii. Does this policy identify procedure for retiring inspection stamps?	☐	☐	☐
	iii. Is there a controlled register of stamp holders?	☐	☐	☐
	iv. Who controls the issue/withdrawal of inspection stamps?			
	Name of stamp manager:			

Technical Data

Note: Technical data includes any documents used to verify that the parts comply with OEM requirements/specifications i.e., drawings, manuals, parts catalogues, etc. *It also includes any software package used to control specialized equipment/process that are used in the maintenance of components or piece parts.*

A.	Is the appropriate, current technical data readily available to all staff?	☐	☐	☐
B.	Is there a documented system for obtaining technical data and maintaining it up to date?	☐	☐	☐
C.	Is there an approved procedure to control and maintain a record of manual revisions?	☐	☐	☐
D.	Is technical data stored in a manner that will protect it from dirt and damage?	☐	☐	☐
E.	Does the company maintain a current set of FAA/EASA regulations?	☐	☐	☐
F.	Does the company have a method for verifying AD status of a part/component?	☐	☐	☐



QUALITY ASSURANCE SURVEY

Sub-Contractor & Non-Certified Supplier only	SECTION 2 (continued) Procurement
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	Yes	No	N/A
A. Do company procedures demonstrate the ability to:			
i. Trace parts/components to the source of procurement and to the source of production or to an FAA/EASA/TC certificate holder?	☐	☐	☐
ii. Provide, upon request, information pertaining to the production approval status of each part/component in accordance with the applicable FARs/CAAs?	☐	☐	☐
B. Where the part/component is <u>not</u> in new condition, can the company assure the following:			
i. Part/component has not been subjected to extreme heat or stress?	☐	☐	☐
ii. All part/components procured have traceability and/or airworthiness certification as required by FARs/CAAs?	☐	☐	☐
iii. All Airworthiness Directives (A.D.s) which have been accomplished are documented on release documentation? (Where applicable)	☐	☐	☐
iv. Where a part/component is identified as "Overhauled/Repaired" that the appropriate documentation to substantiate the condition of the part/component will be provided at time of shipment?	☐	☐	☐
v. Part number conforms to the customer purchase order?	☐	☐	☐

Material Control

A. Is batch segregation utilized for material requiring batch control?	☐	☐	☐
B. Is material handled/protected in such a manner to preclude damage and/or deterioration from (i.e., blanking caps, plugs, protective packing):			
i. Environment?	☐	☐	☐
ii. Electrostatic discharge?	☐	☐	☐
iii. FOD?	☐	☐	☐
C. Is the original packaging used where practical?	☐	☐	☐
D. Does the packing clearly identify:			
i. Part number?	☐	☐	☐
ii. Shelf life (if applicable)?	☐	☐	☐
iii. Batch/lot number (if applicable)?	☐	☐	☐
E. Is there a system/procedure for identifying non-conforming parts of materials? (If No, briefly explain method used):	☐	☐	☐
F. Is the non-conforming stock identified and segregated from usable stock?	☐	☐	☐
G. Is there a procedure for reporting non-conforming defects and un-airworthy issues to the air carrier / customer and the FAA/NAA/EASA?	☐	☐	☐
H. Is there a procedure in place for detecting, handling, and reporting Suspicious Unapproved Parts (SUP)?	☐	☐	☐
I. Are controls in place for proper segregation of aviation and non-aviation parts and activities?	☐	☐	☐



QUALITY ASSURANCE SURVEY

**Sub-Contractor &
Non-Certified Supplier only**

SECTION 2 (continued) Shelf Life Control Program

	Yes	No	N/A
A. Is there a documented procedure for parts requiring a shelf-life program?	☐	☐	☐
B. Does the program list parts and materials that have shelf life limits?	☐	☐	☐
C. Does each shelf-life item show evidence of a shelf life limit?	☐	☐	☐
D. Is there a system to assure that no item will be issued past its expiration date?	☐	☐	☐

Records

A. Can company provide Certificate of Conformance/FAA 8130-3 Form/EASA Form 1's (Dual Release) for all parts supplied showing the approved source and origin of the parts/components?	☐	☐	☐
B. Is serial number traceability maintained where applicable?	☐	☐	☐
C. Can company purchase records/sales orders show chain of ownership to a production approval holder (e.g., PMA, TSO, PC, TC, STC holder) or a manufacturer of standard parts?	☐	☐	☐
D. Can you supply a Material Certificate conforming to ATA 106 for all components?	☐	☐	☐
E. Do record procedures establish and maintain current technical data for articles that the facility maintains and are all records protected against damage, alteration, deterioration, loss? Retained for ____ years?	☐	☐	☐
F. Are test and inspection records for parts/components supplied with all repaired/overhauled material supplied?	☐	☐	☐

Training and Authorized Personnel

A. Is initial and recurrent training provided for personnel who perform inspection, supervisory, shipping and receiving or other key functions?	☐	☐	☐
B. Is both formal classroom and on-the-job training documented and maintained?	☐	☐	☐
C. Is a list of certifying staff maintained?	☐	☐	☐
D. Does training include Suspicious Unapproved Parts (SUP)?	☐	☐	☐

Scrapped Parts

A. Is there a documented procedure for handling, mutilating of scrapped parts which will preclude their being returned to service?	☐	☐	☐
B. Does the supplier identify by title or position the individual responsible for verifying compliance with this procedure?	☐	☐	☐
C. Are records maintained of all serialized parts that are scrapped?	☐	☐	☐



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Sub-Contractor & Non-Certified Supplier only		SECTION 2 (continued) Measuring and Test Equipment		
		Yes	No	N/A
A.	Does your company use measuring or test equipment to ensure part or component meets manufacturer's specifications?	☐	☐	☐
B.	Is there a program/procedure to calibrate and maintain serviceability of these tools?	☐	☐	☐
C.	Are precision tools stored in a manner that will ensure that they:			
	i. Do not get damaged?	☐	☐	☐
	ii. Maintain their accuracy?	☐	☐	☐
D.	Calibration records, do they contain the following information:			
	i. Calibration next due date?	☐	☐	☐
	ii. Inspection interval?	☐	☐	☐
	iii. Tool part number?	☐	☐	☐
	iv. Tool serial number?	☐	☐	☐
	v. Date of calibration?	☐	☐	☐
	vi. Reference to standard used to calibrate?	☐	☐	☐
E.	Are Reference Standards used traceable to National/International Standards?	☐	☐	☐
F.	Is employee-owned measuring equipment allowed to be used on the premises?	☐	☐	☐
G.	If "Yes", is this measuring equipment subject to the control of the calibration program?	☐	☐	☐

Housing and Facility				
A.	Is your facility of adequate size to house all materials?	☐	☐	☐
B.	Is the receiving and shipping area separate and do they have adequate shelving and space?	☐	☐	☐
C.	Is your facility environmentally controlled?	☐	☐	☐
D.	Is there adequate:			
	i. Lighting?	☐	☐	☐
	ii. Humidity control?	☐	☐	☐
	iii. Security?	☐	☐	☐
E.	Is there a separate:			
	i. Bonded area?	☐	☐	☐
	ii. Unserviceable area?	☐	☐	☐
	iii. Quarantine area?	☐	☐	☐
	iv. Scrap area?	☐	☐	☐



QUALITY ASSURANCE SURVEY

Sub-Contractor & Non-Certified Supplier only	SECTION 2 (continued) Shipping
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		Yes	No	N/A
A.	Is there a visual inspection of all parts/components being shipped?	☐	☐	☐
B.	Are all parts/components packaged to preclude the possibility of contamination i.e., blanks, caps, plugs, bagged, etc.?	☐	☐	☐
C.	Are units shipped in containers that comply with or equivalent to ATA300 container specifications?	☐	☐	☐
D.	Is a checklist used to verify shipping requirements and documentation to be enclosed in the shipment i.e., customer requirements, part/serial number, certification, etc.?	☐	☐	☐

Additional Comments

Please provide an explanation or brief description to any answers that were marked “No” or “N/A”



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SECTION 3 SURVEY APPROVAL

Only Repair Stations Sign: *Confirmation of Contractors Authority Limit*

The statement below applies to all FAA/EASA & Transport Canada Repair Stations Only:

Any supplemental instructions must be noted on the Repair Order and approved by the appropriate person(s).

1. A written supplemental instruction issued to the vendor in an acceptable manner of changing work instructions or other pertinent concern as long as it is issued by the buyer who is listed as a buyer on the specific Repair Order.
2. SFAR 36 repairs are **NOT** approved on any part without the prior and expressed written authorization of AerSale.
3. FAA authorized major repairs (i.e., 8110, DER) are **NOT** approved without the prior written authorization of AerSale.
4. AerSale repair orders only authorize repairs and limits specified as approved by the manufacturer of the engine, airframe or component unless specifically noted otherwise (e.g., EOs, POSH, etc.).
5. Written communication is the only means of authorizing a change in workscope, authorizing repairs other than manufacture repair or communicating any other pertinent change such as the use of PMA material, price, etc.
6. Material on AerSale, Inc. Repair Orders is **NOT** to be exchanged without prior written authorization of the buyer identified on the repair order.

BY SIGNING BELOW, YOU ARE CONFIRMING RECEIPT AND UNDERSTANDING OF THE CONFIRMATION OF CONTRACTORS AUTHORITY LIMIT NOTICE.

- ***Repair Stations also need to sign again below.***

Company Officer or Manager - Quality Control: **Only Repair Stations need to sign here.**

X

Date: _____

MUST BE SIGNED BY ALL PURCHASE AND REPAIR SUPPLIERS:

BY SIGNING BELOW, YOU ARE CONFIRMING RECEIPT AND WILL COMPLY WITH ALL REQUIREMENTS CONTAINED IN THE AERSALE CERTIFICATION AND TRACEABILITY STANDARD AND THE INFORMATION CONTAINED IN THIS QUESTIONNAIRE IS TRUE AND ACCURATE AT THE TIME OF ISSUE.

And that, all supplemental instructions will be noted on a copy of the AerSale purchase/repair order issued at the time of purchase.

Company Officer or Manager - Quality Control:

X

Date: _____