

**FLIGHT OPERATIONS
REGULATORY AUDIT CHECKLIST
(VOLUME I – Pressurized aircraft operations)**

(3rd EDITION – August 2012)

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OPERATIONS AUDIT

POLICY AND PROCEDURES

CHAPTER 1 PROGRAM APPLICATION

1.1 PURPOSE

Audits are conducted to ensure conformance with regulations and standards in order to maintain an acceptable level of aviation safety.

This chapter will provide operations inspectors with the appropriate tools to complete audits and inspections effectively and efficiently. Users of these checklists are advised to refer to CAAN Flight Operations Audit Policy And Procedures Manual, in order to be familiar with the planning, organization, conducting and reporting involved with Regulatory Audits.

1.2 APPLICABILITY

The policies, procedures, forms and checklists contained in this chapter apply to air operators using pressurized aircraft and training organisations.

1.3 AREAS OF INSPECTION (AIR OPERATORS)

There are 20 (OP- 1 to 20) functional audit areas in which an air operator may be assessed:

- (a) PREVIOUS AUDITS(OP-1);
- (b) OPERATOR CERTIFICATES & OPERATIONS SPECIFICATIONS (OP-2);
- (c) COMPANY MANUALS(OP-3);
- (d) THE PUBLICATIONS LIBRARY(OP-4);
- (e) MANAGEMENT PERSONNEL & OPS CO-ORDINATION(OP-5);
- (f) THE COMPANY CHECK PILOT PROGRAM.....(OP-6);
- (g) THE FLIGHT CREW TRAINING PROGRAM.....(OP-7);
- (h) THE FLIGHT CREW TRAINING RECORDS(OP-8);
- (i) THE OPERATIONAL CONTROL SYSTEM.....(OP-9);
- (j) FLIGHT DOCUMENTATION(OP-10);
- (k) AIRCRAFT INSPECTION(OP-11);
- (l) AIRCRAFT DOCUMENTATION(OP-12);
- (m) THE MINIMUM EQUIPMENT LIST.....(OP-13);
- (n) CABIN SAFETY.....(OP-14);
- (o) CABIN CREW TRAINING PROGRAMS(OP-15);
- (p) CABIN CREW TRAINING RECORDS(OP-16);
- (q) DANGEROUS GOODS.....(OP-17);
- (r) FLIGHT INSPECTION AND ROUTE CHECK(OP-18);
- (s) AIRCRAFT PERFORMANCE OPERATING LIMITATIONS.....(OP-19);

- (t) FLIGHT SAFETY PROGRAM(OP-20).

The scope, depth and complexity of the audit, along with the size and type of the operator, will determine which of the operator's functional areas are to be audited.

1.4 CABIN SAFETY OR DANGEROUS GOODS

- (1) During their audit activities, operations audit team members must constantly be on the alert for any condition that may affect cabin safety or the safe carriage of dangerous goods.
- (2) When requested to do so by the ca, team members will support cabin safety or dangerous goods audit functions during routine or en-route flight duties.
- (3) Violations in these areas will be documented on an audit finding form and reported to the audit manager.

CHAPTER 2 OPERATIONS AUDIT CHECKLISTS

2.1 PURPOSE

Audit checklists have been developed to provide a systematic approach to the inspection of an air operator's various functional areas. The checklist is designed to identify specific items within each functional area, with reference to the applicable regulation or standard. An operator's failure to comply with the applicable regulation or standard will be considered a non-conformance.

2.2 APPLICABILITY

At the discretion of the audit manager, the audit checklist may:

- (a) Be used in the inspection of a process, procedure or program;
- (b) Be amended to reflect the current revision of the applicable regulation or standard;
- (c) Be fully completed;
- (d) Be signed and dated by the team member responsible for that functional area;
- (e) Assist the team member in initiating and systematically completing the inspection of that functional area; and provide the flexibility to support specific situations during the inspection of the functional area.

FLIGHT OPERATIONS AUDIT CHECKLIST

OP-1 PREVIOUS AUDIT

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|--------|---|---------------------------|----|---------|----|
| OP-1.1 | What was the date and purpose of the previous audit? | ICAO: N/A *NR: *OD: | | | |
| OP-1.2 | What was the number of audit findings and conclusions from the previous audit? | ICAO: N/A *NR: *OD: | | | |
| OP-1.3 | Are there any outstanding audit findings from the previous audit, how many? | ICAO: N/A *NR: *OD: | | | |
| OP-1.4 | Since the previous audit, are there any indication of : <input type="checkbox"/> high turnover of managerial staff? - [YES/NO] <input type="checkbox"/> high turnover of staff, flight crew or maintenance? – [YES/NO] <input type="checkbox"/> changes in scope, size, aircraft and type of service? - [YES/NO] <input type="checkbox"/> any additional OPS SPECS authorized? - [YES/NO] | ICAO: N/A *NR: *OD: | | | |

OP-2 AIR OPERATOR CERTIFICATES AND OPERATIONS SPECIFICATIONS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|--------|---|----------------------------------|----|---------|----|
| OP-2.1 | Does the air operator possess the following requirements: <input type="checkbox"/> an adequate organization? - [YES/NO] <input type="checkbox"/> method of control & supervision, flight operations? - [YES/NO] <input type="checkbox"/> training programme? - [YES/NO] <input type="checkbox"/> ground handling and maintenance arrangements? - [YES/NO] | ICAO: A6-4.2.1.4 *NR: *OD: | | | |
| OP-2.2 | Does the operator possess a current copy of AOC & OPS SPECS? | ICAO: A6-4.2.1.1 *NR: *OD: | | | |
| OP-2.3 | Who is responsible for maintaining the AOC & OPS SPECS docs? | ICAO: N/A *NR: *OD: | | | |
| OP-2.4 | What type of AOC does the company hold, i.e., commercial/ charter & domestic/international? | ICAO: N/A *NR: *OD: | | | |
| OP-2.5 | Where are the carrier's main base & sub-base(s)? Do these meet the applicable standards? | ICAO: N/A *NR: *OD: | | | |
| OP-2.6 | What types of aircraft are authorized pursuant to the air operator certificate? | ICAO: N/A *NR: *OD: | | | |

| | | | | | |
|----------------|--|----------------------------------|--|--|--|
| OP-2.7 | Does the operator have the AOC that contains the following information: <input type="checkbox"/> identification (name, location)? - [YES/NO] <input type="checkbox"/> date of issue and period of validity? - [YES/NO] <input type="checkbox"/> the types of operations authorized? - [YES/NO] <input type="checkbox"/> the type(s) of a/c authorized for use? - [YES/NO] <input type="checkbox"/> areas of operation or routes? - [YES/NO] | ICAO: A6-4.2.1.6 *NR: *OD: | | | |
| OP-2.8 | Does the company have proof of liability insurance? | ICAO: N/A *NR: *OD: | | | |
| OP-2.9 | Does the company use AOC of other contracting state(s)? | ICAO: A6-4.2.1.3 *NR: *OD: | | | |
| OP-2.10 | Does the company maintain the original AOC standard? | ICAO: A6-ATT-F/6 *NR: *OD: | | | |
| OP-2.11 | Has the company made any changes to its AOC, if so – is it coherent with the present status | ICAO: A6-ATT-F/7 *NR: *OD: | | | |

OP-3 COMPANY MANUALS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------------|---|------------------------------------|----|---------|----|
| OP-3.1 | Is the operations manual consistent with AOC & OPS SPECS? | ICAO: A6-ATT-F/4.3 *NR: *OD: | | | |
| OP-3.2 | Does the company operations manual include all items required as follows : General : <input type="checkbox"/> organized with the structure: a) general; b) aircraft operating information; c) areas, routes and aerodromes; and d) training? - [YES/NO] <input type="checkbox"/> instructions outlining the responsibilities of operations personnel pertaining to the conduct of flight operations? - [YES/NO] <input type="checkbox"/> rules limiting the flight time and flight duty periods and providing for adequate rest periods for flight crew members and cabin crew? - [YES/NO] <input type="checkbox"/> a list of the navigational equipment to be carried including any requirements relating to operations in RNP airspace? - [YES/NO] <input type="checkbox"/> where relevant to the operations, the long-range NAV procedures, engine failure procedure for ETOPS and the nomination and utilization of diversion aerodromes? - [YES/NO] <input type="checkbox"/> circumstances in which a radio listening watch is to be maintained? - [YES/NO] <input type="checkbox"/> the method for determining minimum flight altitudes? - [YES/NO] <input type="checkbox"/> the methods for determining aerodrome operating minima? - [YES/NO] <input type="checkbox"/> safety precautions during refueling with passengers on board? - [YES/NO] <input type="checkbox"/> ground handling arrangements and procedures? - [YES/NO] <input type="checkbox"/> procedures for pilots-in-command observing an accident? - [YES/NO] <input type="checkbox"/> the flight crew for each type of operation including the designation of the succession of | ICAO: A6-APP-2 *NR: *OD: | | | |

- command? - [YES/NO]
- specific instructions for the computation of the quantities of fuel and oil to be carried, in all circumstances of the operation including loss of pressurization and the failure of one or more power-units while en route? - [YES/NO]
 - conditions for use & amount of oxygen to be determined? - [YES/NO]
 - instructions for mass and balance control? - [YES/NO]
 - instructions on ground de-icing/anti-icing operations? - [YES/NO]
 - the specifications for the operational flight plan? - [YES/NO]
 - standard operating procedures (SOP) for each phase of flight? - [YES/NO]
 - instructions on the use and time of use of normal checklists? - [YES/NO]
 - departure contingency procedures? - [YES/NO]
 - instructions on the maintenance of altitude awareness and the use of automated or flight crew altitude call-out? - [YES/NO]
 - instructions on the use of autopilots and auto-throttles in IMC? - [YES/NO]
 - instructions on the clarification and acceptance of ATC clearances, particularly where terrain clearance is involved? - [YES/NO]
 - departure and approach briefings? - [YES/NO]
 - procedures for familiarization with areas, routes and aerodromes? - [YES/NO]
 - stabilized approach procedure? - [YES/NO]
 - limitation on high rates of descent near the Surface? - [YES/NO]
 - conditions required to commence or to continue an inst approach? - [YES/NO]
 - instructions for the conduct of precision and non-precision instrument approach procedures? - [YES/NO]
 - allocation of flight crew duties and procedures for management of crew workload during night and IMC inst app and landing operations? - [YES/NO]
 - instructions and training requirements for the avoidance of controlled flight into terrain (CFIT) and policy for the use of the ground proximity warning system (GPWS)? - [YES/NO]
 - policy, instructions, procedures and training requirements for the avoidance of collisions and the use of the (ACAS)? - [YES/NO]
 - information and instructions relating to the interception of civil aircraft including:
 - A) procedures, as prescribed in annex 2, for pilots-in command of intercepted aircraft? - [YES/NO]
 - B) visual signals for use by intercepting and intercepted aircraft? - [YES/NO]
 - for aeroplanes intended to be operated above 15 000 M (49 000 ft): a) information which will enable the pilot to determine the best course of action to take in the event of exposure to solar cosmic radiation; and b) procedures in the event that a decision to descend is taken, covering:
 - 1) the necessity of giving the appropriate ATS unit prior warning of the situation and of obtaining a provisional descent clearance? - [YES/NO]
 - 2) the action to be taken in the event that communication with the ATS unit cannot be established or is interrupted? - [YES/NO]
 - details of the accident prevention and flight safety programme provided in accordance with chapter 3, 3.2, including a statement of safety policy and the responsibility of personnel? - [YES/NO]
 - information and instructions on the carriage of dangerous goods, including action to be taken in the event of an emergency? - [YES/NO]
 - security instructions and guidance? - [YES/NO]
 - the search procedure checklist? - [YES/NO]
- AIRCRAFT OPERATING INFORMATION :**
- Certification limitations and operating limitations? - [YES/NO]
 - the normal, abnormal and emergency procedures to be used by the flight crew and the checklists relating thereto as required by chapter 6, 6.1.3? - [YES/NO]

- operating instructions and information on climb performance with all engines operating, if provided in accordance with chapter 4, 4.2.3.3? - [YES/NO]
- flight planning data for pre-flight and in-flight planning with different thrust/power and speed settings? - [YES/NO]
- the maximum crosswind and tailwind components for each aeroplane type operated and the reductions to be applied having regard to gusts, low visibility, runway surface conditions, crew experience, use of autopilot, abnormal or emergency circumstances, or any other relevant Operational factors? - [YES/NO]
- instructions and data for mass and balance calculations? - [YES/NO]
- instructions for aircraft loading and securing of load? - [YES/NO]
- aircraft systems, associated controls and instructions for their use, as required by chapter 6, 6.1.3? - [YES/NO]
- the minimum equipment list and configuration deviation list for the aeroplane types operated and specific operations authorized, including any requirements relating to operations in RNP airspace? - [YES/NO]
- checklist of emergency and safety eqpt and instructions for its use? - [YES/NO]
- emergency evacuation procedures, including type specific procedures, crew coordination, assignment of crew's emergency positions and the emergency duties assigned to each crew member? - [YES/NO]
- the normal, abnormal and emergency procedures to be used by the cabin crew, the checklists relating thereto and aircraft systems information as required, including a statement related to the necessary procedures for the coordination between flight and cabin crew? - [YES/NO]
- survival and emergency equipment for different routes and the necessary procedures to verify its normal functioning before take-off, including procedures to determine the required amount & quantity of oxygen available? - [YES/NO]
- the ground-air visual signal code for use by survivors? - [YES/NO]

ROUTES AND AERODROMES :

- A route guide to ensure that the flight crew will have, for each flight, information relating to communication facilities, navigation aids, aerodromes, instrument approaches, instrument arrivals and instrument departures as applicable for the operation, and such other information as the operator may deem necessary for the proper conduct of flight operations? - [YES/NO]
- the minimum flight altitudes for each route to be flown? - [YES/NO]
- aerodrome operating minima for each of the aerodromes that are likely to be used as aerodromes of intended landing or as alternate aerodromes? - [YES/NO]
- the increase of aerodrome operating minima in case of degradation of approach or aerodrome facilities? - [YES/NO]
- the necessary information for compliance with all flight profiles required by regulations, including but not limited to, the determination of:
 - A) take-off runway length for dry, wet and contaminated conditions, including those dictated by system failures which affect the take-off distance? - [YES/NO]
 - B) take-off climb limitations? - [YES/NO]
 - C) en-route climb limitations? - [YES/NO]
 - D) approach climb limitations and landing climb limitations? - [YES/NO]
 - E) landing runway length requirements for dry, wet and contaminated conditions, including systems failures which affect the landing distance? - [YES/NO]
 - F) supplementary information, such as tire speed limitations? - [YES/NO]

TRAINING :

- Details of the flight crew training programme? - [YES/NO]
- details of the cabin crew duties training programme? - [YES/NO]

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|---------------|---|------------------------------------|--|--|--|
| | <input type="checkbox"/> details of the flight operations officer/flight dispatcher? - [YES/NO] | | | | |
| OP-3.3 | Do the company possess the approved copies of at least the following additional manuals : | ICAO: N/A *NR: *OD: | | | |
| | <input type="checkbox"/> aircraft flight manual? - [YES/NO] <input type="checkbox"/> flight crew operating manual? - [YES/NO] <input type="checkbox"/> security manual? - [YES/NO] <input type="checkbox"/> safety & emergency equipment procedure manual? - [YES/NO] <input type="checkbox"/> normal/emergency checklist? - [YES/NO] <input type="checkbox"/> standard operating procedure? - [YES/NO] <input type="checkbox"/> flight dispatchers manual? - [YES/NO] <input type="checkbox"/> the DCP manual? - [YES/NO] | | | | |
| OP-3.4 | Do applicable crew members and ground operations personnel have current copies of the company manuals? | ICAO: A6-4.2.2.1/2 *NR: *OD: | | | |
| OP-3.5 | Are the company manuals coherent with the type(s) of aircraft the company presently possesses & the type of operation it conducts? | ICAO: A6-ATT-F/7 *NR: *OD: | | | |

OP-4 PUBLICATIONS LIBRARY

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------------|---|--------------------------------|----|---------|----|
| OP-4.1 | Does the company maintain a library of publications required for its operations? | ICAO: A6-ATT-H *NR: *OD: | | | |
| OP-4.2 | Does the library include a minimum of the following approved current documents/publications: | ICAO: A6-ATT-H *NR: *OD: | | | |
| | <input type="checkbox"/> aviation regulations/standards? - [YES/NO] <input type="checkbox"/> aircraft flight manual? - [YES/NO] <input type="checkbox"/> AIP? - [YES/NO] <input type="checkbox"/> company operations manual? - [YES/NO] <input type="checkbox"/> flight supplement? - [YES/NO] <input type="checkbox"/> en-route charts? - [YES/NO] <input type="checkbox"/> aircraft flight manuals? - [YES/NO] <input type="checkbox"/> aircraft operating manuals? - [YES/NO] <input type="checkbox"/> standard operating procedures? - [YES/NO] | | | | |

OP-5 MANAGEMENT PERSONNEL AND OPERATIONS CO-ORDINATION

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|-----|------|-----------|----|---------|----|
|-----|------|-----------|----|---------|----|

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|---------------|--|----------------------------------|--|--|--|
| OP-5.1 | Does the organization reflect that is shown in the company operations manual? | ICAO: N/A *NR: *OD: | | | |
| OP-5.2 | Do management personnel meet the requirements of the regulations? | ICAO: A6-4.2.1.4 *NR: *OD: | | | |
| OP-5.3 | Is the operations manager carrying out his/her duties in accordance with the regulations? | ICAO: A6-4.2.3 *NR: *OD: | | | |
| OP-5.4 | Is the chief pilot carrying out his/her duties in accordance with the regulations? | ICAO: N/A *NR: *OD: | | | |
| OP-5.5 | Does the system for dissemination of general operational information to crew members function as described in the company operations manual? | ICAO: N/A *NR: *OD: | | | |

OP-6 COMPANY CHECK PILOT PROGRAM

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------------|---|---------------------------|----|---------|----|
| OP-6.1 | How many CCPs the operator has and for which aircraft types? Have authorities they possess been approved? | ICAO: N/A *NR: *OD: | | | |
| OP-6.2 | How many PPCs have been conducted by the CCPs? | ICAO: N/A *NR: *OD: | | | |
| OP-6.3 | Have the PPCs been conducted in accordance with the CCP manual? | ICAO: N/A *NR: *OD: | | | |
| OP-6.4 | Have the CCPs been monitored by a civil aviation inspector within the past 12 months? | ICAO: N/A *NR: *OD: | | | |
| OP-6.5 | Has the company been notifying civil aviation on a monthly basis prior to conducting the checks? | ICAO: N/A *NR: *OD: | | | |
| OP-6.6 | Has the CCP maintained his or her qualification to conduct PPCs? | ICAO: N/A *NR: *OD: | | | |
| OP-6.7 | If the CCP is not qualified, has he or she conducted any PPCs with an invalid authority? | ICAO: N/A *NR: *OD: | | | |
| OP-6.8 | Does a review of training | ICAO: N/A | | | |

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|----------------|--|---------------------------|--|--|--|
| | records indicate that the CCP has exceeded his or her terms of reference? | *NR: *OD: | | | |
| OP-6.9 | Review pilot check reports and ensure that PPCs are conducted in accordance with reference. | ICAO: N/A *NR: *OD: | | | |
| OP-6.10 | Does the company forward PPC/IFT forms to civil aviation? | ICAO: N/A *NR: *OD: | | | |
| OP-6.11 | Does the company forward copies of the planned check rides for the following month? | ICAO: N/A *NR: *OD: | | | |
| OP-6.12 | Does the company have a system in place to monitor the number of CCP rides which have been completed and when monitor CCP rides are due? | ICAO: N/A *NR: *OD: | | | |

OP-7 FLIGHT CREW TRAINING PROGRAM

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------------|---|--------------------------------|----|---------|----|
| OP-7.1 | Does the air operator have an approved training policy in place in regard to the following requirements: <input type="checkbox"/> ground and flight training facilities? – [YES/NO] <input type="checkbox"/> properly qualified instructors? - [YES/NO] <input type="checkbox"/> ground and flight training in the type(s) of aeroplane? - [YES/NO] <input type="checkbox"/> coordination & training in all types of emergency and abnormal situations or procedures caused by power plant, airframe or systems malfunctions, fire or other abnormalities? - [YES/NO] <input type="checkbox"/> knowledge and skills related to visual and instrument flight procedures for the intended area of operation? - [YES/NO] <input type="checkbox"/> knowledge of all flight crew members on the functions for which they are responsible and the relation of these functions to the functions of other crew members, particularly to abnormal or emergency procedures? - [YES/NO] <input type="checkbox"/> recurrent training and assessment of competence? - [YES/NO] <input type="checkbox"/> human performance including threat & error management? - [YES/NO] <input type="checkbox"/> the transport of dangerous goods? - [YES/NO] | ICAO: A6-9.3 *NR: *OD: | | | |
| OP-7.2 | Review the company training program in regard to the following: <input type="checkbox"/> recent experience for pilot in command & co-pilot? - [YES/NO] <input type="checkbox"/> recent experience for cruise relief pilot? - [YES/NO] <input type="checkbox"/> pilot experience on area, route & aerodrome qualification? - [YES/NO] <input type="checkbox"/> pilot proficiency check in aircraft? - [YES/NO] <input type="checkbox"/> pilot proficiency check in simulator? - [YES/NO] | ICAO: A6-9.4.2 *NR: *OD: | | | |

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|----------------|--|---|--|--|--|
| | <input type="checkbox"/> single pilot operation under instrument rules or at night? - [YES/NO] | | | | |
| OP-7.3 | Review the company ground indoctrination training program. | ICAO: A6-9.3 *NR: *OD: | | | |
| OP-7.4 | Review the line indoctrination training program. | ICAO: A6-9.3 REGULATOR: OPERATOR: | | | |
| OP-7.5 | Review the up-gradation training program. | ICAO: A6-9.3 *NR: *OD: | | | |
| OP-7.6 | Review the initial and annual aircraft type training program. | ICAO: A6-9.3 *NR: *OD: | | | |
| OP-7.7 | Review the initial and annual safety & emergency equipment training program | ICAO: A6-9.2 *NR: *OD: | | | |
| OP-7.8 | Review the crew resource management training program. | ICAO: A6-9.3 *NR: *OD: | | | |
| OP-7.9 | Review the minimum equipment list training program. | ICAO: N/A *NR: *OD: | | | |
| OP-7.10 | Is a synthetic training device used for training or checking? | ICAO: N/A *NR: *OD: | | | |
| OP-7.11 | Has the synthetic training device been approved by civil aviation? | ICAO: A6-9.3 *NR: *OD: | | | |
| OP-7.12 | Has the synthetic training device program been approved by civil aviation? | ICAO: A6-9.3 *NR: *OD: | | | |
| OP-7.13 | Are the check pilots of the synthetic training device been approved by civil aviation? | ICAO: N/A *NR: *OD: | | | |

OP-8 FLIGHT CREW TRAINING RECORDS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------------|--|----------------------------------|----|---------|----|
| OP-8.1 | Do the records for each crew member include the required data? | ICAO: A6-9.2/9.3 *NR: *OD: | | | |
| OP-8.2 | Do the training records depict that the following have been completed in respect of each flight crew member : <input type="checkbox"/> initial and recurrent technical type training? - [YES/NO] <input type="checkbox"/> initial and recurrent simulator type training? - [YES/NO] <input type="checkbox"/> initial and recurrent aircraft type training? - [YES/NO] | ICAO: A6-9.3 *NR: *OD: | | | |

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|---------------|--|-------------------------------|--|--|--|
| | <input type="checkbox"/> initial & recurrent line indoctrination training? - [YES/NO] <input type="checkbox"/> initial and recurrent seep training? - [YES/NO] <input type="checkbox"/> initial and recurrent CRM training? - [YES/NO] <input type="checkbox"/> up-gradation training? - [YES/NO] | | | | |
| OP-8.3 | Do the training records depict that flight training times recorded in the training records conform to that of the aircraft journey logs (random sample check)? | ICAO: A6-11.4 *NR: *OD: | | | |
| OP-8.4 | Do the training records depict that flight training times recorded in the training records conform to that of the airport traffic sheets? | ICAO: A6-11.4 *NR: *OD: | | | |

OP-9 OPERATIONAL CONTROL SYSTEM

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------------|--|-------------------------------|----|---------|----|
| OP-9.1 | Is the air operator's operational control system in place as described in its operations manual? | ICAO: N/A *NR: *OD: | | | |
| OP-9.2 | Does the air operator have an approved flight dispatcher training syllabus? | ICAO: A6-10.3 *NR: *OD: | | | |
| OP-9.3 | Does the air operator have an approved recurrent training program for the flight dispatchers? | ICAO: A6-10.3 *NR: *OD: | | | |
| OP-9.4 | Does the air operator have record that each flight dispatcher has successfully completed the initial & recurrent training? | ICAO: A6-10.3 *NR: *OD: | | | |
| OP-9.5 | Does the air operator provide cockpit familiarization training and has this been recorded in the appropriate file? | ICAO: A6-10.3 *NR: *OD: | | | |
| OP-9.6 | Do all the certified flight dispatchers meet the minimum age requirement as per regulation /company | ICAO: A6-10.2 *NR: *OD: | | | |

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|----------------|--|--------------------------------|--|--|--|
| | procedure? | | | | |
| OP-9.7 | Do all flight dispatchers have valid radio telephone operator certification? | ICAO: A6-10.3 *NR: *OD: | | | |
| OP-9.8 | Does the air operator have a check dispatcher? | ICAO: N/A *NR: *OD: | | | |
| OP-9.9 | Has the check dispatcher (if any) been approved? | ICAO: N/A *NR: *OD: | | | |
| OP-9.10 | Do the records of operations control personnel indicate that their required training syllabus has been followed through? | ICAO: A6-10.3 *NR: *OD: | | | |
| OP-9.11 | Do the operational control personnel perform the duties & authority as described in operations manual? | ICAO: N/A *NR: *OD: | | | |
| OP-9.12 | Are company aircraft being dispatched as outlined in the company operations manual? | ICAO: A6-APP-2 *NR: *OD: | | | |
| OP-9.13 | How does the company meet the ground communication requirements as outlined in the applicable regulations for its operation? | ICAO: A6-APP-2 *NR: *OD: | | | |
| OP-9.14 | How information is passed to an aircraft in flight and can the air operator meet the requirement? | ICAO: A6-APP-2 *NR: *OD: | | | |
| OP-9.15 | Does the air operator provide the minimum operational flight plan requirements? | ICAO: A6-APP-2 *NR: *OD: | | | |
| OP-9.16 | Does the air operator's flight release system provide a procedure for verification, acceptance and disagreement resolution of the operational flight plan? | ICAO: A6-APP-2 *NR: *OD: | | | |
| OP-9.17 | How are MET, NOTAMs etc made available for flight planning? | ICAO: A6-APP-2 *NR: *OD: | | | |

FLIGHT WATCH SYSTEM AIR OPERATORS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------|--|---------------------------|----|---------|----|
| OP-9.18 | Does the air operator have duty records for each flight dispatcher exercising duty in the operational control? | ICAO: N/A *NR: *OD: | | | |
| OP-9.19 | Does the flight watch continue until completion of flight? | ICAO: N/A *NR: *OD: | | | |
| OP-9.20 | Are in-flight reports directed to the flight dispatcher performing flight watch? | ICAO: N/A *NR: *OD: | | | |

FLIGHT FOLLOWING SYSTEM FOR AIR OPERATORS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------|---|---------------------------|----|---------|----|
| OP-9.21 | Is the person qualified to respond to the requests from the pilot-in-command of an aircraft? | ICAO: N/A *NR: *OD: | | | |
| OP-9.22 | Is the flight following system adequate for all hours during which aircraft are flown? | ICAO: N/A *NR: *OD: | | | |
| OP-9.23 | Does the flight follower monitor the air operator's flights from commencement to termination and any intermediate stops? | ICAO: N/A *NR: *OD: | | | |
| OP-9.24 | Is there a procedure for the pilot-in-command to pass messages concerning landings and departures to the flight follower? | ICAO: N/A *NR: *OD: | | | |

OP-10 FLIGHT DOCUMENTATION (OPERATIONS CONTROL)

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------|--|--------------------------------|----|---------|----|
| OP-10.1 | Does the operational flight plan meet the requirements of the applicable reference? | ICAO: A6-6.4.3 *NR: *OD: | | | |
| OP-10.2 | Do the fuel slips, journey logs and weight & balance forms all agree with respect to fuel weights? | ICAO: A6-11.4 *NR: *OD: | | | |
| OP-10.3 | Do the load manifests and journey logs agree with respect to cargo loads? | ICAO: A6-APP-2 *NR: *OD: | | | |
| OP-10.4 | Does the weight & | ICAO: A6-APP-2 | | | |

| | | | | | |
|----------------|--|--------------------------------|--|--|--|
| | balance system meet the requirements of the applicable reference? | *NR: *OD: | | | |
| OP-10.5 | Are operational flight plans retained in accordance with the applicable reference? | ICAO: A6-APP-2 *NR: *OD: | | | |

OP-11 AIRCRAFT INSPECTION

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------------|--|------------------------------------|----|---------|----|
| OP-11.1 | Are there adequate restraints available to ensure that any cargo or equipment carried is secured and does not shift in flight? | ICAO: A6-4.3/4.8 *NR: *OD: | | | |
| OP-11.2 | Is cargo loaded so as to not block or restrict the exit of passengers in an emergency? | ICAO: A6-4.3/4.8 *NR: *OD: | | | |
| OP-11.3 | Does the company aircraft have an approved safety feature card on board for each passenger? | ICAO: A6-6 *NR: *OD: | | | |
| OP-11.4 | Does the company aircraft have operational and emergency equipment which meets the requirements? | ICAO: A6-6 *NR: *OD: | | | |
| OP-11.5 | Have the requirements for emergency exits and floor proximity emergency escape path lighting systems been met? | ICAO: A6-6 *NR: *OD: | | | |
| OP-11.6 | Have carry-on baggage requirements been met? | ICAO: A6-APP-2/4.8 *NR: *OD: | | | |
| OP-11.7 | Does each aircraft have required seatbelts? | ICAO: A6-4.2.11 *NR: *OD: | | | |
| OP-11.8 | Does each aircraft have required shoulder harnesses for flight attendant seats? | ICAO: A6-4.2.11 *NR: *OD: | | | |
| OP-11.9 | Are aircraft markings and placards in accordance with the aircraft flight manual? | ICAO: A6-6 *NR: *OD: | | | |

OP-12 AIRCRAFT DOCUMENTATION

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------------|-----------------------------|--------------------|----|---------|----|
| OP-12.1 | Is there a current aircraft | ICAO: A6-6 *NR: | | | |

| | | | | | |
|----------------|--|-------------------------------|--|--|--|
| | library on board each aircraft containing at least the following documents/manuals : <input type="checkbox"/> certificate of registration? - [YES/NO] <input type="checkbox"/> certificate of airworthiness? - [YES/NO] <input type="checkbox"/> certificate of radio licence? - [YES/NO] <input type="checkbox"/> certificate of insurance? - [YES/NO] <input type="checkbox"/> aircraft journey logbook? - [YES/NO] <input type="checkbox"/> MEL/CDL? - [YES/NO] <input type="checkbox"/> cabin defect report book? - [YES/NO] <input type="checkbox"/> company operations manual? - [YES/NO] <input type="checkbox"/> aircraft flight manual? - [YES/NO] <input type="checkbox"/> flight crew operating manual? - [YES/NO] <input type="checkbox"/> security/safety & emergency equipment procedure manual? - [YES/NO] <input type="checkbox"/> checklist/SOP? - [YES/NO] | *OD: | | | |
| OP-12.2 | Are flight crews reporting aircraft defects in accordance with approved procedures? | ICAO: A6-4.5 *NR: *OD: | | | |
| OP-12.3 | Are aircraft configurations and equipment in accordance with the aircraft flight manual? | ICAO: A6-8.1 *NR: *OD: | | | |
| OP-12.4 | Are journey log entries made in accordance with the reference? | ICAO: A6-11.4 *NR: *OD: | | | |

OP-13 MINIMUM EQUIPMENT LIST

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------------|--|---|----|---------|----|
| OP-13.1 | Does the company utilize an approved MEL/CDL for each type of aircraft? | ICAO: A6-ATT-G REGULATOR: OPERATOR: | | | |
| OP-13.2 | Does the company dispatch aircraft in accordance with approved MEL procedures? | A6-ATT-G *NR: *OD: | | | |

OP-14 CABIN SAFETY

PRE-AUDIT - GENERAL REVIEW

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------------|--|---------------------------|----|---------|----|
| OP-14.1 | List any outstanding cabin safety audit findings respecting the previous audit | ICAO: N/A *NR: *OD: | | | |
| OP-14.2 | Since the previous audit, are there any indication of : | ICAO: N/A *NR: *OD: | | | |

| | | | | | |
|---|--|--|--|--|--|
| | | | | | |
| <input type="checkbox"/> high turnover of cabin managerial staff? - [YES/NO] <input type="checkbox"/> high turnover of cabin crew? - [YES/NO] <input type="checkbox"/> any changes of scope, size, aircraft and type of service? - [YES/NO] | | | | | |

CABIN CREW MANUAL & INSPECTION REVIEW

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------|---|-------------------------------|----|---------|----|
| OP-14.3 | Is there a cabin crew safety manual on board every aircraft? | ICAO: N/A *NR: *OD: | | | |
| OP-14.4 | Is the cabin crew manual content in accordance with the regulatory requirements? | ICAO: A6-12 *NR: *OD: | | | |
| OP-14.5 | Is the cabin crew manual maintained up to date, if so, indicate the approval date and the latest revision number. | ICAO: N/A *NR: *OD: | | | |
| OP-14.6 | Do cabin crews carry competency cards? | ICAO: N/A *NR: *OD: | | | |
| OP-14.7 | Indicate whether the cabin crew manual is procedurally consistent with the operations manual and other company manuals? (Such as the manufacturer's aircraft manuals, the standard operating procedures manual, etc?) | ICAO: N/A *NR: *OD: | | | |
| OP-14.8 | Is the cabin crew training program consistent with the cabin crew manual and other company manuals? (i.e., operations manual, manufacturer's aircraft manuals and the air operator's operation)? | ICAO: A6-12.4 *NR: *OD: | | | |
| OP-14.9 | Are the emergency procedures and signals for flight & cabin crew compatible (is similar terminology used)? | ICAO: N/A *NR: *OD: | | | |

AIRCRAFT SAFETY FEATURES CARD

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|--|----------------------------|----|---------|----|
| OP-14.10 | Is the safety features card for each aircraft type and model in accordance with the regulatory | ICAO: A6-6 *NR: *OD: | | | |

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|--|---------------|--|--|--|--|
| | requirements? | | | | |
|--|---------------|--|--|--|--|

OP-15 CABIN CREW TRAINING PROGRAMME

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------|--|-------------------------------|----|---------|----|
| OP-15.1 | Is the training program in accordance with the training manual and regulatory requirements? | ICAO: A6-12.4 *NR: *OD: | | | |
| OP-15.2 | Are the cabin crew training facilities adequate? | ICAO: A6-12.4 *NR: *OD: | | | |
| OP15.3 | When were the following syllabus and training programs initially approved (date): <input type="checkbox"/> initial training? [.....] <input type="checkbox"/> recurrent/annual training? [.....] <input type="checkbox"/> re-qualification training? [.....] <input type="checkbox"/> CRM training? [.....] <input type="checkbox"/> SEEP training? [.....] | | | | |
| OP-15.4 | Are the cabin crew instructors' qualifications in accordance with regulatory requirements? | ICAO: N/A *NR: *OD: | | | |
| OP-15.5 | Are instructors qualifications maintained and recorded (record of training)? | ICAO: N/A *NR: *OD: | | | |
| OP-15.6 | Are emergency evacuation trainers used (doors, tail-cone, etc.)? If yes, are they in accordance with the regulatory requirements? | ICAO: A6-12.4 *NR: *OD: | | | |
| OP-15.7 | Is there adequate portable emergency equipment available for training purposes? | ICAO: N/A *NR: *OD: | | | |
| OP-15.8 | Is equipment for training representative of the equipment onboard the air operator's aircraft? | ICAO: N/A *NR: *OD: | | | |
| OP-15.9 | Are the following training aids accurate and pertinent? ↑ video? - [YES/NO] <input type="checkbox"/> slides/tape? - [YES/NO] <input type="checkbox"/> aircraft diagrams? - [YES/NO] <input type="checkbox"/> transparencies? - [YES/NO] <input type="checkbox"/> handouts? - [YES/NO] <input type="checkbox"/> other? | ICAO: N/A *NR: *OD: | | | |

OP-16 CABIN CREW TRAINING RECORDS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|-----|------|-----------|----|---------|----|
|-----|------|-----------|----|---------|----|

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|----------------|--|---------------------------|--|--|--|
| OP-16.1 | Are cabin crew training records maintained as per regulatory requirements? | ICAO: N/A *NR: *OD: | | | |
| OP-16.2 | Does the training performed show the following? <input type="checkbox"/> name of cabin crew? - [YES/NO]; <input type="checkbox"/> types of aircraft qualified on [.....] <input type="checkbox"/> the date of training [.....] <input type="checkbox"/> passed or failed [.....] <input type="checkbox"/> date of initial training [.....] <input type="checkbox"/> date of recurrent/annual training [.....] <input type="checkbox"/> date of differences training [.....] <input type="checkbox"/> date of re-qualification training [.....] <input type="checkbox"/> date of first aid training [.....] <input type="checkbox"/> date of in-charge training [.....] <input type="checkbox"/> date of CRM training [.....] <input type="checkbox"/> date of dangerous goods training [.....] | ICAO: N/A *NR: *OD: | | | |
| OP-16.3 | How long the training records retained (min requirement is three years)? | ICAO: N/A *NR: *OD: | | | |
| OP-16.4 | Does the training file contain a copy of the most recent written exam for each aircraft type on which the flight attendant is qualified? | ICAO: N/A *NR: *OD: | | | |

OP-17 DANGEROUS GOODS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------------|--|---------------------------|----|---------|----|
| OP-17.1 | Identify any outstanding audit findings respecting the last audit. | ICAO: N/A *NR: *OD: | | | |
| OP-17.2 | Review prior company records to establish compliance history. | ICAO: N/A *NR: *OD: | | | |
| OP-17.3 | Review dangerous occurrence reports, where applicable | ICAO: N/A *NR: *OD: | | | |
| OP-17.4 | Determine if the company currently has any permits and if they received additional permits since the last audit. | ICAO: N/A *NR: *OD: | | | |
| OP-17.5 | Review manual and determine if there has been any amendments to the dangerous goods section of the company | ICAO: N/A *NR: *OD: | | | |

| | | | | | |
|-----------------|--|---------------------------|--|--|--|
| | operations manual. | | | | |
| OP-17.6 | Determine if the company has approved dangerous goods manual. | ICAO: N/A *NR: *OD: | | | |
| OP-17.7 | Determine if the manual is available to company personnel as required. | ICAO: N/A *NR: *OD: | | | |
| OP-17.8 | Determine if the company has an approved dangerous goods training program. | ICAO: N/A *NR: *OD: | | | |
| OP-17.9 | Determine if the training program reflects all regulatory or operational amendments. | ICAO: N/A *NR: *OD: | | | |
| OP-17.10 | Determine if the company's acceptance procedures are in compliance with the regulations. | ICAO: N/A *NR: *OD: | | | |
| OP-17.11 | Determine if the airway bill procedures are in compliance with the appropriate regulations. | ICAO: N/A *NR: *OD: | | | |
| OP-17.12 | Determine if the shipper's declaration completion procedures are in compliance with the appropriate regulations. | ICAO: N/A *NR: *OD: | | | |
| OP-17.13 | Determine if the pilot notification system procedures are in compliance with the appropriate regulations. | ICAO: N/A *NR: *OD: | | | |
| OP-17.14 | Determine if a reporting system exists to identify undeclared or misrelated dangerous goods. | ICAO: N/A *NR: *OD: | | | |
| OP-17.15 | Determine if shipping documents are retained for two years. | ICAO: N/A *NR: *OD: | | | |
| OP-17.16 | Verify the company has the proper dangerous occurrence procedures in place. | ICAO: N/A *NR: *OD: | | | |
| OP-17.17 | Verify the company's storage and loading procedures are in compliance with the regulations. | ICAO: N/A *NR: *OD: | | | |
| OP-17.18 | Determine that ticketing/cargo personnel (including agents) are | ICAO: N/A *NR: *OD: | | | |

| | | | | | |
|-----------------|--|---------------------------|--|--|--|
| | complying with the regulations. | | | | |
| OP-17.19 | Determine the capability of the carrier to replace lost or stolen safety marks. | ICAO: N/A *NR: *OD: | | | |
| OP-17.20 | Verify that all employees, who handle, offer for transport and transport, are trained. | ICAO: N/A *NR: *OD: | | | |
| OP-17.21 | Verify that trained employees are able to produce certificates of training upon request or they are available in company file? | ICAO: N/A *NR: *OD: | | | |
| OP-17.22 | Determine that the certificates of training contain the required information. | ICAO: N/A *NR: *OD: | | | |
| OP-17.23 | Determine that the company has a record of training for trained employees on file. | ICAO: N/A *NR: *OD: | | | |

OP-18 FLIGHT INSPECTION AND ROUTE CHECK

AUDIT (ON SITE) IN-FLIGHT INSPECTION

GENERAL

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------------|---|---------------------------|----|---------|----|
| OP-18.1 | Does the air operator provide a confirmed passenger seat for the cabin safety inspector performing an in-flight inspection? | ICAO: N/A *NR: *OD: | | | |

APRON SAFETY

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------------|---|---------------------------|----|---------|----|
| OP-18.2 | Is the company's procedure to escort passengers safely to and from the aircraft in compliance of the regulatory requirements? | ICAO: N/A *NR: *OD: | | | |
| OP-18.3 | Is fuelling with passengers on board carried out in accordance with the regulatory requirements? | ICAO: N/A *NR: *OD: | | | |

FLIGHT ATTENDANTS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------|--|-------------------------------|----|---------|----|
| OP-18.4 | Are the correct numbers of flight attendants carried in accordance with the regulatory requirements? | ICAO: A6-12.1 *NR: *OD: | | | |

CREW BRIEFING

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|---------|--|---------------------------|----|---------|----|
| OP-18.5 | Do the flight attendants receive a pre-flight briefing from the pilot in command? | ICAO: N/A *NR: *OD: | | | |
| OP-18.6 | If more than one flight attendant is carried, does the in-charge provide a pre-flight briefing to the other flight attendant(s)? | ICAO: N/A *NR: *OD: | | | |

PASSENGER BRIEFINGS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|---|-------------------------------------|----|---------|----|
| OP-18.7 | Are the safety briefings prior to take-off, after take-off, prior to landing and for in-flight turbulence completed in accordance with the regulatory requirements? | ICAO: A6-4.2.11/6.2 *NR: *OD: | | | |
| OP-18.8 | Are all safety briefings provided in the appropriate languages? What were the languages used? | ICAO: A6-4.2.11/6.2 *NR: *OD: | | | |
| OP-18.9 | Are passengers seated at window exits provided with the standard briefing? | ICAO: A6-4.2.11/6.2 *NR: *OD: | | | |
| OP-18.10 | Is the safety features card for that aircraft type and model available at each passenger seat? | ICAO: A6-4.2.11/6.2 *NR: *OD: | | | |
| OP-18.11 | Is the information contained on the safety features card reflective of the aeroplane and equipment carried? | ICAO: A6-4.2.11/6.2 *NR: *OD: | | | |

CARRY-ON BAGGAGE

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|--|-------------------|----|---------|----|
| OP-18.12 | Is there at least one carry-on baggage control | ICAO: N/A *NR: | | | |

| | | | | | |
|-----------------|--|---------------------------|--|--|--|
| | point outside the aircraft? | *OD: | | | |
| OP-18.13 | Does a crew member verify that all carry-on baggage is stowed prior to closure of the passenger entry door? | ICAO: N/A *NR: *OD: | | | |
| OP-18.14 | Is carry-on baggage stowed so that it does not block access to the safety equipment, exits and aisles? | ICAO: N/A *NR: *OD: | | | |
| OP-18.15 | Is carry-on baggage stowed so that no passenger's view to the "seat belt" and "no smoking" signs is obscured? | ICAO: N/A *NR: *OD: | | | |
| OP-18.16 | Is carry-on baggage placed so as to prevent it from shifting during take-off, landing and in-flight turbulence? | ICAO: N/A *NR: *OD: | | | |
| OP-18.17 | Is the procedure for handling unusual or fragile items in accordance with the operations manual and flight attendant manual? | ICAO: N/A *NR: *OD: | | | |

CABIN CHECKS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|-----------------|--|-------------------------------------|----|---------|----|
| OP-18.18 | Are passengers seated and secured in accordance with the regulatory requirements? | ICAO: A6-4.2.11/6.2 *NR: *OD: | | | |
| OP-18.19 | Are seat belts fastened in accordance to the regulatory requirements? | ICAO: A6-4.2.11/6.2 *NR: *OD: | | | |
| OP-18.20 | Are child restraint systems used in accordance with the regulatory requirements? | ICAO: A6-4.2.11/6.2 *NR: *OD: | | | |
| OP-18.21 | Are passenger service carts stowed in accordance with the regulatory requirements? | ICAO: A6-6 *NR: *OD: | | | |
| OP-18.22 | Is all equipment on board stowed in accordance with the regulatory requirements? (i.e. galleys, overhead bins, etc.) | ICAO: A6-6 *NR: *OD: | | | |
| OP-18.23 | Are all video monitors | ICAO: A6-6 | | | |

| | | | | | |
|--|--|--------------|--|--|--|
| | that are suspended from the ceiling in an aisle stowed for take-off and landing? | *NR: *OD: | | | |
|--|--|--------------|--|--|--|

ELECTRONIC DEVICES

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|--|----------------------------|----|---------|----|
| OP-18.24 | Is the use of electronic devices in accordance with the regulatory requirements? | ICAO: A6-6 *NR: *OD: | | | |

ALCOHOL/DRUGS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|--|---------------------------|----|---------|----|
| OP-18.25 | Is the use of alcohol on board in accordance with the regulatory requirements? | ICAO: N/A *NR: *OD: | | | |

SMOKING

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|---|---------------------------|----|---------|----|
| OP-18.26 | Are smoking procedures followed in accordance with the regulatory requirements? | ICAO: N/A *NR: *OD: | | | |

TURBULENCE PROCEDURES

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|--|---------------------------------|----|---------|----|
| OP-18.27 | If turbulence exceeds light turbulence, does the pilot-in-command direct the flight attendants according to regulatory requirements? | ICAO: A6-4.2.11 *NR: *OD: | | | |
| OP-18.28 | If the in-charge considers it necessary, due to turbulence, to fasten seat belts, take jump seats and discontinue service, do they follow the procedures as per regulatory requirements? | ICAO: A6-4.2.11 *NR: *OD: | | | |

EXITS/DOORS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|---|--------------------------------|----|---------|----|
| OP-18.29 | Are all exits serviceable, accessible and correctly placarded with operating instructions and exit locator signs? | ICAO: A6-6.2.2 *NR: *OD: | | | |

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|-----------------|---|--------------------------------|--|--|--|
| OP-18.30 | Is there a means for the crew, in an emergency, to unlock each lavatory door? | ICAO: A6-6.2.2 *NR: *OD: | | | |
| OP-18.31 | Is there a removable ashtray installed on or near the outside of the door to each lavatory or in some other location that is readily visible to the users of each lavatory from outside the lavatory? | ICAO: A6-6.2.2 *NR: *OD: | | | |

PLACARDS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|-----------------|--|--------------------------------|----|---------|----|
| OP-18.32 | Is there a "no smoking" symbol or wording in the appropriate language that is readily visible on each lavatory door? | ICAO: A6-6.2.2 *NR: *OD: | | | |
| OP-18.33 | Is cigarette disposal prohibition mark, as applicable, is identifiable and visible? | ICAO: A6-6.2.2 *NR: *OD: | | | |
| OP-18.34 | Is there a placard indicating the location of emergency equipment as per regulatory requirements? | ICAO: A6-6.2.2 *NR: *OD: | | | |
| OP-18.35 | Have in-flight inspections or route checks been completed using the appropriate forms? | ICAO: Doc-8335 *NR: *OD: | | | |

OP-19 AIRCRAFT PERFORMANCE OPERATING LIMITATIONS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------------|--|----------------------------------|----|---------|----|
| OP-19.1 | Does the carrier utilize aircraft performance operating limitations for airports from which it operates? | ICAO: A6-6/APP-2 *NR: *OD: | | | |
| OP-19.2 | Do the aircraft performance operating limitations conform to the appropriate aircraft flight manual? | ICAO: A6-6/APP-2 *NR: *OD: | | | |

OP-20 AIR OPERATOR FLIGHT SAFETY PROGRAM/FLIGHT SAFETY PROGRAM ELEMENTS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|-----|------|-----------|----|---------|----|
|-----|------|-----------|----|---------|----|

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|-----------------|---|--------------------------------------|--|--|--|
| OP-20.1 | Does the person responsible for running the flight safety program have extensive operational experience (normally achieved as a flight deck crew member or equivalent experience in aviation management); and training. | ICAO: A6-3.2.5/APP-2 *NR: *OD: | | | |
| OP-20.2 | Does the person responsible for the flight safety program have direct access to the operations manager? | ICAO: N/A *NR: *OD: | | | |
| OP-20.3 | Does the reporting system provide for a timely and free flow of flight safety related information? | ICAO: A6-4.4.3 *NR: *OD: | | | |
| OP-20.4 | Are surveys conducted? | ICAO: N/A *NR: *OD: | | | |
| OP-20.5 | Are flight safety improvement suggestions solicited and processed? | ICAO: A6-3.2 *NR: *OD: | | | |
| OP-20.6 | Has a safety awareness program been developed and maintained? | ICAO: A6-3.2 *NR: *OD: | | | |
| OP-20.7 | Is a close relationship with the appropriate aircraft manufacturers maintained? | ICAO: N/A *NR: *OD: | | | |
| OP-20.8 | Are incidents/accidents investigated and are recommendations to preclude a recurrence reported? | ICAO: A6-3.2 *NR: *OD: | | | |
| OP-20.9 | Has a flight safety database been developed to monitor and analyze trends? | ICAO: A6-3.2.7 *NR: *OD: | | | |
| OP-20.10 | Has there been a flight safety documentation system properly incorporated in the airline? | ICAO: A6-3.2.9 *NR: *OD: | | | |

ACCIDENT PREVENTION PROGRAMME

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|-----------------|--|-------------------------------|-----------|----------------|-----------|
| OP-20.11 | Has the air operator established the following programmes as a part of accident prevention : | ICAO: (SASIs) *NR: *OD: | | | |

| | |
|--|--|
| | <input type="checkbox"/> terrain avoidance warning system? - [YES/NO] <input type="checkbox"/> SOP for all types of its aircrafts? - [YES/NO] <input type="checkbox"/> appropriate stabilized approach procedure for landing? - [YES/NO] <input type="checkbox"/> flight data analysis programs? - [YES/NO] <input type="checkbox"/> airline proactive safety programs? - [YES/NO] <input type="checkbox"/> implementation plan for training–CRM? -[YES/NO] <input type="checkbox"/> training CFIT prevention? - [YES/NO] <input type="checkbox"/> policies for ALAR? - [YES/NO] <input type="checkbox"/> loss of control (SOPs/policies and procedures/ human factors and automation)? - [YES/NO] <input type="checkbox"/> runway incursion – pilot training? - [YES/NO] <input type="checkbox"/> cabin injury reduction during turbulence? - [YES/NO] <input type="checkbox"/> midair – ACAS installation/ACAS policies and procedures? - [YES/NO] |
|--|--|

INCIDENT MANAGEMENT

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|--|--------------------------------|----|---------|----|
| OP-20.12 | Has an incident reporting system been developed and maintained? | ICAO: A6-CH-13 *NR: *OD: | | | |
| OP-20.13 | Does it provide a process of reporting incidents; investigation of incidents; the means to advise management; and information feedback to employees? | ICAO: A6-CH-13 *NR: *OD: | | | |

FLIGHT SAFETY COMMITTEE

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|---|---------------------------------|----|---------|----|
| OP-20.14 | Has a flight safety committee been established to identify safety concerns and deficiencies and to make recommendations for corrective measures to senior management? | ICAO: GASP/NAST *NR: *OD: | | | |
| OP-20.15 | Are members from all operating departments represented? | ICAO: GASP/NAST *NR: *OD: | | | |
| OP-20.16 | Does the committee meet at least twice a year? | ICAO: GASP/NAST *NR: *OD: | | | |
| OP-20.17 | Do meeting minutes provide a record of agenda items, discussions and corrective actions taken, where applicable? | ICAO: GASP/NAST *NR: *OD: | | | |
| OP-20.18 | Has the company developed a safety management system in its organization to ensure the | ICAO: A6-3.2.4 *NR: *OD: | | | |

| | | | | |
|--|--|--|--|--|
| | following : | | | |
| | <input type="checkbox"/> identifies safety hazards? - [YES/NO] <input type="checkbox"/> ensures that remedial action necessary to maintain an acceptable level of safety is implemented? - [YES/NO] <input type="checkbox"/> provides for continuous monitoring and regular assessment of the safety level achieved? - [YES/NO] <input type="checkbox"/> aims to make continuous improvement to the overall level of safety? - [YES/NO] | | | |

EMERGENCY RESPONSE PLANNING

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|---|---------------------------|----|---------|----|
| OP-20.19 | Has an emergency response plan been developed and is it maintained? | ICAO: N/A *NR: *OD: | | | |
| OP-20.20 | Has the air operator included the following elements in its emergency response planning : <input type="checkbox"/> air operator policy? - [YES/NO] <input type="checkbox"/> air operator mobilization and agency notification? - [YES/NO] <input type="checkbox"/> passenger and crew welfare? - [YES/NO] <input type="checkbox"/> casualty and next-of-kin co-ordination? - [YES/NO] <input type="checkbox"/> accident investigation on behalf of the air operator? - [YES/NO] <input type="checkbox"/> air operator team's response to the accident site? - [YES/NO] <input type="checkbox"/> preservation of evidence? - [YES/NO] <input type="checkbox"/> emergency response training? - [YES/NO] | ICAO: N/A *NR: *OD: | | | |

AUDIT (ON SITE) BASE INSPECTION**RANDOM SPOT CHECKS**

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|--|-------------------------------|----|---------|----|
| OP-20.21 | Review flight crew duty time & rest period limitation as prescribed in the regulation and/or by the company. | ICAO: A6-9.6 *NR: *OD: | | | |
| OP-20.22 | Review cabin crew duty time & rest period limitation as prescribed in the regulation and/or by the company. | ICAO: A6-12.5 *NR: *OD: | | | |
| OP-20.23 | Check the cabin crew manuals held by other departments to verify if they are kept up-to-date? (i.e. flight operations, base offices, etc.) | ICAO: N/A *NR: *OD: | | | |
| OP-20.24 | Check random cabin crew reports to ensure safety issues are dealt with | ICAO: N/A *NR: *OD: | | | |

| | | | | | |
|--|---------------------------------------|--|--|--|--|
| | accordingly and record discrepancies. | | | | |
|--|---------------------------------------|--|--|--|--|

AUDIT (ON SITE) INTERVIEWS AND MISCELLANEOUS

| REF | ITEM | REFERENCE | OK | FINDING | NA |
|----------|--|--------------------------------|----|---------|----|
| OP-20.25 | How are routine and safety measures given to the flight and cabin crew, i.e., bulletins? Is the method effective? Is the method universal? | ICAO: A6-3.1.1 *NR: *OD: | | | |
| OP-20.26 | Are key management personnel familiar with pertinent sections of the regulatory requirements? | ICAO: A6-3.1.1 *NR: *OD: | | | |
| OP-20.27 | Are the management and training personnel job descriptions accurate and applicable to the current position? | ICAO: N/A *NR: *OD: | | | |
| OP-20.28 | Is the air operator's organization chart current? | ICAO: N/A *NR: *OD: | | | |

SAMPLE ENTRY MEETING NOTES**ACKNOWLEDGEMENTS**

Thank the company officials for their attendance, co-operation and use of their facilities.

PURPOSE

Explain the purpose of the meeting:

1. Introduce the audit team members;
2. Define the objective and scope of the audit;
3. Define the methodology used during the audit; and
4. Co-ordinate staff and facilities.

INTRODUCTIONS

Introduce the audit manager, team members, specialists and observers; and company representatives.

OBJECTIVE AND SCOPE

The objective and scope of this audit is:

1. to conduct an analysis of the policies, standards, procedures and facilities of (company name) to ensure that delegated authorities and the civil aviation's legislative requirements are being met and that maximum effort is made to ensure flight safety; and
2. To ensure compliance with the act, regulations, standards and company operations manual

DEPTH

The audit will

1. Encompass, but not be limited to, the functional audit areas identified, as covered by the appropriate audit checklists; and
2. Cover the period from _____ (date) to _____ (date).

COMMUNICATIONS

The following communication protocols will be observed:

1. Initial communication in each audit area will be between the auditor for that area and the company official specified by _____ (company) as the contact for that area;
2. Where problems or questions arise, team members will advise me and i will contact _____ (company representative); and
3. If the company has a problem or questions, it is to contact the audit manager, who will meet daily with the team leaders to discuss the day's findings and address any questions.

METHODOLOGY

Standard audit procedures are those set out in the mra and will include:

1. Interviews with personnel to discuss the areas of responsibility;
2. The examination of records, such as those for training, ccp and flight documentation;
3. In-flight inspections;
4. Aircraft inspections; and
5. The review of manuals and directives.

In every case, we are trying to determine the company's level of conformance to regulations and standards. The audit process will help determine the adequacy of these standards and assist us in making recommendations as necessary.

Our concern is adherence to standards. These standards have been developed so that compliance should ensure that the carrier is operating at an acceptable level of flight safety. If i or team members determine that an examined area appears to be in order, we will move on to the next area.

When the company appears to be violating a known statute, it is said to be in non-conformance;

If questions arise regarding potential or definite non-conformances:

1. Approach the company to determine whether we are interpreting the data correctly (there may occasionally be ambiguities);
2. Direct the company to provide missing data within a specific timeframe;
3. Where it is determined that our perception is correct, or where the company does not respond adequately to our queries within the specified timeframe, these items will be drawn up as audit findings;

4. Where it is determined that our interpretation of the data is correct and that flight safety is being jeopardized, the audit manager will approach the director of flight operations or designate to obtain the authorization to take appropriate action immediately; and
5. Should the need arises, the convening authority will be approached for further guidance on appropriate action.
6. Queries regarding the audit should be addressed to the audit manager as well;
7. Two things must be remembered:
 - a) All activities are to be conducted in a professional manner; and
 - b) Civil aviation regulations and standards specify the minimum acceptable standards for an air operator.

We will undoubtedly find areas in which the company far exceeds the minimum acceptable standards.

TOUR OF FACILITIES

It may be possible to arrange a tour of the facilities after the briefing. This will include directing us to our workspaces, identifying the location of records and doing anything else that will facilitate the audit process (such as providing access to photocopiers, fax machines and telephones).

EXIT MEETING

The exit meeting is proposed for _____ (location) on _____ (date) at _____ (time).

GENERAL

Every effort will be made to conduct all audit activities with minimal disruption to the company. The fact that flight operations are ongoing will be respected. Should an interview be requested, for example, it will be conducted at a mutually satisfactory time. We will tailor our hours to the company's normal working hours and team leaders will inform their staff of the protocol discussed at this meeting, with regard to communications in particular.

QUESTION PERIOD

A question period will follow.

SAMPLE EXIT MEETING NOTES

ACKNOWLEDGEMENTS

Thank the company officials for their co-operation and assistance.

PURPOSE

1. Explain the purpose of the meeting;
2. Summarize the audit report; and
3. Ensure that there are no surprises.

AUDIT FINDINGS

1. Explain that there will not be a discussion on findings.
2. The company will have the opportunity to address these findings in its cap.

POST-AUDIT

1. Explain the next stage of the audit.
2. Inform the attendees that the audit report will be completed in twenty working days.

3. State that the company will have thirty working days to respond.
4. Explain that the audit team's role is to make a report, and that we will meet with the convening authority concerning any further action.
5. Explain that the company can expect a follow-up after the audit is completed.

REPORT FORMAT

Review the audit report format in terms of content.

QUESTIONS AND COMMENTS**AUDIT FINDING FORM**

| | | |
|---|--|--|
| <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> COMPANY NAME | <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> BASE LOCATION | <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> FILE REF. |
| AREA OF AUDIT: | | NO.: OP - |
| NON-CONFORMANCE WITH: | | |
| EXAMPLE: | | |
| NAME AND SIGNATURE OF AUDITOR: | | DATE: |
| COMPANY CORRECTIVE ACTION: IMMEDIATE, SHORT AND/OR LONG TERM | | |
| SIGNATURE / TITLE: | | DATE: |
| DEPARTMENT OF CIVIL AVIATION RESPONSE: | | |
| AUDIT FOLLOW UP: | | |
| <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> TARGET COMPLETION DATE | <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> DATE ITEM COMPLETED | <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> INSPECTOR |

