CIVIL AVIATION AUTHORITY OF NEPAL

FLIGHT OPERATIONS REGULATORY AUDIT CHECKLIST

(4th Edition – June 2021)

RECORD OF AMENDMENTS

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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 the latest edition of *CAAN Surveillance 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, unpressurized 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);
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(r) FLIGHT INSPECTION AND ROUTE CHECK ....(OP-18);
(s) AIRCRAFT PERFORMANCE OPERATING LIMITATIONS.(OP-19);
(t) SAFETY MANAGEMENT SYSTEM...(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 Chief of FSSD, 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 Team Leader.

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

2.2.1 At the discretion of the audit Team Leader, 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.

2.2.2 Items of the checklist have been categorized into two parts i.e. items that the Inspector needs to fulfill in the office (off-site) and items that require an inspection or which must be conducted at the premises of the operator (on-site).

2.2.3 Items that are generic and applicable to all aircraft categories are marked "GEN" and items that are specific are marked as either "STOL", "PRESS" or "HELI" for STOL operations, pressurized aircraft operations or helicopter operations respectively.

2.2.4 Items that should be assessed at the FSSD are marked as "OFFSITE" while items that can only be completed at the Air Operator's premises are marked as "ONSITE".

2.2.5 "NR" stands for National Regulations and "OD" stands for Operator's Documents.

CHAPTER 3

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 team leader, 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 (Air --------) 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 (Air ---------) as the contact for that area;

2.   Where problems or questions arise, team members will advise the team leader who will contact Mr./Ms._____(company representative); and

3.   If the company has a problem or questions, it is to contact the audit team leader, who will meet daily with the Flight Operations and Airworthiness team leaders to discuss the day's findings and address any questions.

METHODOLOGY

Standard audit procedures are those set out in the manual 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, the CAAN team will try 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 the team in making recommendations as necessary.

The main concern is adherence to standards. These standards have been developed so that compliance should ensure that the Air Operator is operating at an acceptable level of flight safety. If the team leader or team members determine that an examined area appears to be in order, the team 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 the team's queries within the specified timeframe, these items will be drawn up as audit findings;

4.   Where it is determined that the team's interpretation of the data is correct and that flight safety is being jeopardized, the audit team leader will approach the director of flight operations or designate to obtain the authorization to take appropriate action immediately; and

5.   Should the need arise, the convening authority will be approached for further guidance on appropriate action.

6.   Queries regarding the audit should be addressed to the audit team leader 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.

The team 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 the team to the team's 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. The team will tailor their working 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.

CHAPTER 4

FLIGHT OPERATIONS AUDIT CHECKLISTS

Air Operator:…………………………

Audit preparation date:……………….

Pre-audit meeting date:………………

OP-1 PREVIOUS AUDIT

REF	ITEM	REFERENCE	SAT	NA
OP-1.1 GEN OFFSITE	What was the date and purpose of the previous audit? Was it an initial audit/follow-up audit/post-accident or incident audit etc?	*NR: FOR (A) 4.2.1.4; FOR (H) 2.2.1.4; *OD:		
	FINDING:			
OP-1.2 GEN OFFSITE	What was the number of audit findings and conclusions from the previous audit?	*NR: FOR (A) 4.2.1.4; FOR (H) 2.2.1.4; *OD:		
	FINDING:			

OP-1.3 GEN OFFSITE	Are there any outstanding audit findings from the previous audit, if YES, how many?	*NR: FOR (A) 4.2.1.4; FOR(H) 2.2.1.4; *OD:		
	FINDING:			
OP-1.4 GEN ONSITE	Since the previous audit, are there any indication of: • high turnover of managerial staff? - [YES/NO] • high turnover of staff, flight crew or maintenance? – [YES/NO] • changes in scope, size, aircraft and type of service? - [YES/NO] • any additional OPS SPECs authorized? - [YES/NO] • financial difficulties eg. late staff salaries, non-clearance of dues for fuel, insurance, airport charges etc., reducing flight sectors, delays in clearing lease agreement dues etc. – [YES/NO] • severe cutbacks on crew or staff trainings? – [YES/NO]	*NR: FOR (A) 4.2.1.4; FOR (H) 2.2.1.4; *OD:		
	FINDINGS:			

OP-2   AIR OPERATOR CERTIFICATES AND OPERATIONS SPECIFICATIONS

REF	ITEM	REFERENCE	SAT	NA
OP-2.1 GEN OFFSITE	Does the air operator possess the following requirements: • an adequate organization? - [YES/NO] • method of control & supervision, flight operations? - [YES/NO] • training programme? - [YES/NO] • ground handling and maintenance arrangements? - [YES/NO]	*NR: FOR (A) 4.2.1.3; FOR (H) 2.2.1.3; *OD:		
	FINDING:			
OP-2.2 GEN OFFSITE	Does the operator possess a current copy of AOC & OPS SPECs?	*NR: FOR (A) 4.2.1.1, 4.2.1.2; FOR (H) 2.2.1.1, 2.2.1.2; *OD:		
	FINDING:			
OP-2.3 GEN OFFSITE	Who is responsible for maintaining the AOC & OPS SPECs docs?	*NR: FOR (A) 4.2.3.3; FOR (H) 1.1.3; *OD:		
	FINDING:			

OP-2.4 GEN	What type of AOC does the company hold, i.e., commercial/scheduled/charter/ domestic/international?	*NR: FOR (A) 4.2.1.1; FOR(H) 2.2.1.1, 2.2.1.2; *OD:		
OFFSITE	**FINDING:**			

OP-2.5 GEN	Where are the Air Operator's main base and sub-base(s)? Do these meet the applicable standards?	*NR: Air Transport License; AOC Operation Specifications *OD:		
OFFSITE	**FINDING:**			

OP-2.6 GEN	What types of aircraft are authorized pursuant to the Air Operator Certificate? How many owned? How many on lease?	*NR: Air Transport License; AOC Operations Specifications *OD:		
OFFSITE	**FINDING:**			

OP-2.7 GEN	Does the operator have the AOC that contains the following information: • identification (name, location)? - [YES/NO] • date of issue and period of validity? - [YES/NO] • the types of operations authorized? - [YES/NO] • the type(s) of a/c authorized for use? - [YES/NO] • areas of operation or routes? - [YES/NO]	*NR: AOC Operations Specifications *OD:		
OFFSITE	**FINDING:**			

OP-2.8 GEN	Does the company have proof of liability insurance? Check validity, coverage, crew qualifications, coverage for CAAN personnel on duty etc.	*NR: AOCR 3.12; 10.3.2 *OD:		
OFFSITE	**FINDING:**			
OP-2.9 GEN	Has the Air Operator received any SAFA findings from other States and have they been rectified?	*NR: FOR (A) 4.2.1.4; FOR (H) 2.2.1.4; *OD:		
OFFSITE	**FINDING:**			
OP-2.10 GEN	Does the company maintain the original AOC standard?	*NR: FOR (A) 4.2.1.4; FOR (H) 2.2.1.4; *OD:		
ONSITE	**FINDING:**			
OP-2.11 GEN	Has the company made any changes to its AOC, if so – is it coherent with the present status?	*NR: AOCR 8.8 *OD:		
ONSITE	**FINDING:**			

OP-3 COMPANY MANUALS

REF	ITEM	REFERENCE	SAT	NA
OP-3.1 **GEN** OFFSITE	Is the Operations Manual consistent with AOC & OPS SPECs?	*NR: FOR (A) 4.2.3.1 a), b); FOR (H) 2.2.3.1 a), b); *OD:		
	FINDING:			
OP-3.2 **GEN** OFFSITE	Does the company Operations Manual Parts-A, B, C and D include all items as required by FOR-A or FOR-H? Check all items as per the FOR Appendix and FORM-107 and 108 of AOCI Manual.	*NR: FOR (A) and (H): Appendix 1; *OD:		
	FINDING:			
OP-3.3 **GEN** ONSITE	Does the company possess the approved/accepted copies of at least the following additional manuals: • Aircraft Flight Manual – [YES/NO] • FCOM – [YES/NO] • Security Manual – [YES/NO] • Safety and Emergency Equipment Procedures (SEEP) Manual – [YES/NO] • Normal/Abnormal and Emergency procedures checklist – [YES/NO] • Standard Operating Procedures – [YES/NO] • Flight Dispatch Manual – [YES/NO]	*NR: AOCR 3.2.2; *OD:		
	FINDING:			

OP-3.4 GEN ONSITE	Do applicable crew members and ground operations personnel have current copies of the company manuals? *Check distribution list and verify a few by asking operations personnel.*	*NR: FOR (A) 4.2.1.3; 4.2.3.1 a), b); FOR (H) 2.2.3.2; *OD:		
	FINDING:			
OP-3.5 GEN ONSITE	Are the company manuals coherent with the type(s) of aircraft the company presently possesses and the type of operation it conducts? *This item can be checked OFFSITE as well.*	*NR: FOR (A) 4.2.1.3; 4.2.3.1 a), b); FOR (H) 2.2.3.1 a), b); *OD:		
	FINDING:			

OP-4   PUBLICATIONS LIBRARY

REF	ITEM	REFERENCE	SAT	NA
OP-4.1 GEN ONSITE	Does the company maintain a library of publications required for its operations?	*NR: FOR (A) 3.21; *OD:		
	FINDING:			

	Does the library include a minimum of the following approved current documents/ publications: *(check for latest editions and amendments, condition of manuals etc.)*			
OP-4.2 GEN ONSITE	• Aviation regulations/standards – [YES/NO] • Aircraft Flight Manual – [YES/NO] • AIP – [YES/NO] • Operations Manual Parts A, B, C and D – [YES/NO] • Flight Supplements – [YES/NO] • En-route charts – [YES/NO] • Aircraft Operating Manuals (AOM) – [YES/NO] • Standard Operating Procedures – [YES/NO]	*NR: FOR (A) 3.21; *OD:		
	FINDING:			

OP-5 MANAGEMENT PERSONNEL AND OPERATIONS COORDINATION

REF	ITEM	REFERENCE	SAT	NA
OP-5.1 GEN OFFSITE and ONSITE	Does the organization reflect that as shown in the company operations manual? (*Verify Organogram of Ops. Manual – A with present post-holders and departments*).	*NR: FOR (A) 4.2.3; FOR (H) 2.2.3; *OD:		
	FINDING:			

OP-5.2 **GEN** ONSITE	Do management personnel meet the requirements of the regulations? *(Check qualifications, trainings and CVs, take oral assessments individually of post-holders on their duties and responsibilities).*	*NR: AOCR Appendix 4 *OD:		
	FINDING:			
OP-5.3 **GEN** ONSITE	Is the chief of flight operations carrying out his/her duties in accordance with the regulations? *(check for evidence).*	*NR: FOR (A) 4.2.3.3; FOR (H) 1.10; *OD:		
	FINDING:			
OP-5.4 **GEN** ONSITE	Is the chief pilot carrying out his/her duties in accordance with the regulations? *(Check for evidence).*	*NR: FOR (A) 4.2.3.3; FOR (H) 2.2.4.1; *OD:		
	FINDING:			

| OP-5.5
GEN

ONSITE | Does the system for dissemination of general operational information to crew members function as described in the company operations manual? *(check procedures and verify through evidence).* | *NR: FOR (A) 4.2.3.1 a);
2.2.3.1 a), 2.2.4.1;
*OD: | | |
| | **FINDING:** | | | |

OP-6 DESIGNATED CHECK PILOT (DCP) PROGRAM

REF	ITEM	REFERENCE	SAT	NA
OP-6.1 **GEN** ONSITE	How many Designated Check Pilots (Type A and/or B) does the operator have and for which aircraft types? Have authorities they possess been approved?	*NR: DCP Manual 5.1.1, 5.1.2; *OD:		
	FINDING:			
OP-6.2 **GEN** ONSITE	How many PPCs have been conducted by the Check Pilots?	*NR: DCP Manual 2.3.1, 4.7.1; *OD:		
	FINDING:			

OP-6.3 GEN ONSITE	Have the PPCs been conducted in accordance with the DCP manual?	*NR: DCP Manual Ch. 6; *OD:		
	FINDING:			
OP-6.4 GEN ONSITE	Have the DCPs been monitored by a CAAN inspector within the past 12 months?	*NR: DCP Manual 2.3.1; *OD:		
	FINDING:			
OP-6.5 GEN ONSITE	Has the company been notifying CAAN on a monthly basis prior to conducting the checks?	*NR: DCP Manual 4.7.2; *OD:		
	FINDING:			
OP-6.6 GEN ONSITE	Has the DCP maintained his or her qualification to conduct PPCs? Is the DCP refresher course valid?	*NR: DCP Manual 2.3; *OD:		
	FINDING:			

OP-6.7 GEN ONSITE	If the DCP is not qualified, has he or she conducted any PPCs with an invalid authority?	*NR: DCP Manual Ch. 2; *OD:		
	FINDING:			
OP-6.8 GEN ONSITE	Does a review of training records indicate that the DCP has exceeded his or her terms of reference?	*NR: DCP Manual Ch. 5; *OD:		
	FINDING:			
OP-6.9 GEN ONSITE	Review pilot check reports and ensure that PPCs are conducted in accordance with reference.	*NR: DCP Manual Ch. 6; *OD:		
	FINDING:			
OP-6.10 GEN ONSITE	Has any pilot engaged in commercial flying even after the validity of his/her PPC expired?	*NR: DCP Manual 6.5.1 b); *OD:		
	FINDING:			

OP-6.11 GEN ONSITE	Does the company forward copies of the planned check rides for the following month?	*NR: DCP Manual 4.7.2, 4.7.3; *OD:		
	FINDING:			
OP-6.12 GEN ONSITE	Does the company have a system in place to monitor the number of Proficiency Checks which have been completed and when Proficiency Checks are due?	*NR: DCP Manual 4.7; *OD:		
	FINDING:			
OP-6.13 GEN ONSITE	How many Route or Line Checks has the DCP Type B conducted the past year? Are the Line Checks being conducted as per company manuals?	*NR: DCP Manual Ch. 5, Ch. 6; *OD:		
	FINDING:			
OP-6.14 GEN ONSITE	• Are the reports of the DCP complete, accurate and meaningful? • Do the flight checks conducted by the DCPs cover the required sequences? • Are the flight checks being conducted by the DCPs in a fair manner and in conformance with standards and procedures mentioned in the DCP manual? • Are the DCPs acting within the limits of their authority?	*NR: DCP Manual 4.6.1 *OD:		
	FINDING:			

OP-7 FLIGHT CREW TRAINING PROGRAM

REF	ITEM	REFERENCE	SAT	NA
OP-7.1 GEN OFFSITE and ONSITE	Does the air operator have an approved training policy in place in regard to the following requirements: • ground and flight training facilities? – [YES/NO] • properly qualified instructors? - [YES/NO] • ground and flight training in the type(s) of aircraft? - [YES/NO] • coordination and 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] • knowledge and skills related to visual and instrument flight procedures for the intended area of operation? - [YES/NO] • 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] • recurrent training and assessment of competence? - [YES/NO] • human performance including Threat and Error Management? - [YES/NO] • the transport of Dangerous Goods? - [YES/NO]	*NR: FOR (A) 3.18; 4.2.3.2 c); 16.1.3; 16.2, 16.3, 16.5; FOR (H) 1.12, 1.17, Ch. 13; *OD:		
	FINDING:			

OP-7.2 **GEN** ONSITE	Review the company training program in regard to the following: • recent experience for pilot in command & co-pilot? - [YES/NO] • recent experience for cruise relief pilot? - [YES/NO] • pilot experience on area, route & aerodrome qualification? - [YES/NO] • pilot proficiency check in aircraft? - [YES/NO] • pilot proficiency check in simulator? - [YES/NO]	*NR: FOR (A) Chapter 16; FOR (H) Ch. 13; *OD:		
	FINDING:			
OP-7.3 **GEN** OFFSITE and ONSITE	Review the company ground indoctrination training program and verify implementation.	*NR: FOR (A) 16.10; FOR (H) 13.10; *OD:		
	FINDING:			
OP-7.4 **GEN** OFFSITE and ONSITE	Review the line indoctrination training program and verify implementation.	*NR: FOR (A) 16.5.2.6; *OD:		
	FINDING:			
OP-7.5 **GEN** OFFSITE and ONSITE	Review the up-gradation training program.	*NR: FOR (A) 16.5.1, 16.5.2; FOR (H) 13.5.1, 13.5.2; *OD:		
	FINDING:			

OP-7.6 GEN OFFSITE and ONSITE	Review the initial and annual aircraft type training program.	*NR: FOR (A) 16.5; FOR (H) 13.5; *OD:		
	FINDING:			
OP-7.7 GEN OFFSITE and ONSITE	Review the initial and annual Safety and Emergency Equipment Procedures (SEEP) training program and verify implementation.	*NR: FOR (A) 16.1; FOR (H) 13.11; *OD:		
	FINDING:			
OP-7.8 GEN OFFSITE and ONSITE	Review the Crew Resource Management (CRM) training program and verify implementation.	*NR: FOR (A) 9.3.1 h); FOR (H) 7.3.1 d); *OD:		
	FINDING:			
OP-7.9 GEN OFFSITE and ONSITE	Review the Minimum Equipment List training program and verify implementation.	*NR: FOR (A) 9.3.1 h); *OD:		
	FINDING:			

OP-7.10 GEN	Is a synthetic training device used for training or checking?	*NR: FOR (A) 9.4.4.1 Note 1; 16.22; FOR (H) 7.4.3.1 Note 1., Ch. 14; *OD:		
OFFSITE and ONSITE	**FINDING:**			
OP-7.11 GEN	Has the synthetic training device been approved by CAAN?	*NR: FOR (A) 9.3.2, 16.22; FOR (H) 7.4.3.1 Note 1., Ch. 14; *OD:		
OFFSITE and ONSITE	**FINDING:**			
OP-7.12 GEN	Has the synthetic training device program been approved by CAAN?	*NR: FOR (A) 16.22; FOR (H) 14.1.1 (g); *OD:		
OFFSITE and ONSITE	**FINDING:**			
OP-7.13 GEN	Are the check pilots of the synthetic training device approved by CAAN?	*NR: FOR (A) 16.22.4; FOR (H) 14.1.1 (g); *OD:		
OFFSITE and ONSITE	**FINDING:**			

OP-8   FLIGHT CREW TRAINING RECORDS

REF	ITEM	REFERENCE	SAT	NA
OP-8.1 **GEN** ONSITE	Do the records for each crew member include the required data?	*NR: FOR (A) 3.18.3; FOR (H) 1.17, 2.9.5; *OD:		
	FINDING:			
OP-8.2 **GEN** ONSITE	Do the training records depict that the following have been completed in respect of each flight crew member: • initial and recurrent Technical/Performance type training? - [YES/NO] • initial and recurrent simulator type training (if applicable)? - [YES/NO] • initial and recurrent in-flight type training? - [YES/NO] • initial and recurrent line indoctrination training? - [YES/NO] • initial and recurrent SEEP training? - [YES/NO] • initial and recurrent CRM training? - [YES/NO] • up-gradation training? - [YES/NO] • initial and recurrent SMS training? – [YES/NO] • initial and recurrent CFIT training? – [YES/NO] • initial and recurrent monsoon awareness training? – [YES/NO] • initial and recurrent Upset Prevention and Recovery Training, as appropriate? – [YES/NO] • initial and recurrent ACAS training, if applicable? – [YES/NO] • initial and recurrent PBN training, as appropriate? – [YES/NO]	*NR: FOR (A) 9.3.1, 9.3.4, Appendix 7; FOR (H) 7.3.1; *OD:		
	FINDING:			

OP-8.3 **GEN** ONSITE	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)?	*NR: FOR (A) 16.13.10; *FOR (H) 13.21.3 (draft);* *OD:
	FINDING:	
OP-8.4 **GEN** ONSITE	Do the training records depict that flight training times recorded in the training records conform to that of the airport traffic sheets?	*NR: FOR (A) 16.13.10; *FOR (H) 13.21.4 draft;* *OD:
	FINDING:	
OP-8.5 **STOL** ONSITE	Is the Air Operator maintaining STOL field clearance records of PICs?	*NR: FOR(A) 9.4.3.4, Ch. 14, Part II, 2, *OD:
	FINDING:	

OP 8.6 **HELI** ONSITE	In the case of helicopter operations, is the Air Operator maintaining training records of High Altitude Operations?	*NR: FOR (H) 2.9.5; *OD:		
	FINDING:			
OP 8.7 **HELI** ONSITE	In the case of helicopter operations, is the Air Operator maintaining training records of Sling Load and/or Long Line Operations?	*NR: FOR (H) 2.9.5; *OD:		
	FINDING:			
OP 8.8 **HELI** ONSITE	In the case of helicopter operations, is the Air Operator maintaining training records of personnel involved in Marshalling aircraft?	*NR: FOR (H) 1.17.1; *OD:		
	FINDING:			
OP 8.9 **GEN** ONSITE	Review flight crew duty time & rest period limitation as prescribed in the regulation and/or by the company.	*NR: FOR (A) 9.6; FOR(H) 7.6: *OD:		
	FINDING:			

OP-9   OPERATIONAL CONTROL SYSTEM

REF	ITEM	REFERENCE	SAT	NA
OP-9.1 GEN ONSITE	Is the air operator's operational control system in place as described in its operations manual? **FINDING:**	*NR: FOR (A) 4.2.3; FOR (H) 2.2.3, 2.2.4; *OD:		
OP-9.2 GEN ONSITE	Does the air operator have an approved flight dispatcher (flight operations officer) initial training syllabus? • If the training is outsourced to an external party, how is the quality of the training monitored? • How many dispatchers does the air operator have and are they all licensed? **FINDING:**	*NR: FOR (A) 16.7; FOR (H) 1.15, Ch. 8; *OD:		
OP-9.3 GEN ONSITE	Does the air operator have an approved recurrent training program for the flight dispatchers? **FINDING:**	*NR: FOR (A) 16.7; FOR (H) 1.17.1; *OD:		

OP-9.4 **GEN** ONSITE	Does the air operator have records which show that each flight dispatcher has successfully completed the initial & recurrent training?	*NR: FOR (A) 3.18.3; FOR (H) 1.17.3; *OD:		
	FINDING:			
OP-9.5 **GEN** ONSITE	Does the air operator provide cockpit familiarization training and has this been recorded in the appropriate file?	*NR: FOR (A) 10.3 c); FOR (H) 8.3 c); *OD:		
	FINDING:			
OP-9.6 **GEN** ONSITE	Are all the Flight Dispatchers' licenses and trainings current and valid?	*NR: FOR (A) 10.1, 10.3; FOR (H) 8.1; *OD:		
	FINDING:			
OP-9.7 **GEN** ONSITE	Do all flight dispatchers have valid radio telephone operator certification?	*NR: FOR (A) 10.1; FOR (H) 8.3 c); *OD:		
	FINDING:			

	Who dispatches the aircraft when it is departing from a base other than the main base of the Operator? Are the Dispatchers familiar with MEL/CDL procedures?	*NR: FOR (A) 3.15.2, 4.2.4.1; FOR (H) 8.1, 8.2, 8.3, 8.4; *OD:		
OP-9.8 GEN ONSITE	**FINDING:**			
	If the dispatching task has been outsourced or contracted to another party, what is the procedure involved and is the external party aware of the Air Operator's procedures and documents?	*NR: FOR (A) 4.2.1.3; *FOR (H) 2.17 (draft);* *OD:		
OP-9.9 GEN ONSITE	**FINDING:**			
	Do the records of operations control personnel indicate that their required training syllabus has been followed through?	*NR: FOR (A) 16.7; FOR (H) 1.17.3*;* *OD:		
OP-9.10 GEN ONSITE	**FINDING:**			

OP-9.11 **GEN** ONSITE	Do the operational control personnel perform the duties and responsibilities as described in the operations manual?	*NR: FOR (A) 4.2.3.3; FOR (H) 2.2.3.1, 2.2.3.2; *OD:		
	FINDING:			
OP-9.12 **GEN** ONSITE	Are company aircraft being dispatched as outlined in the company operations manual? Is there an updated copy of the Flight Dispatch Manual available with the Dispatcher on duty?	*NR: FOR (A) 4.2.3, 4.2.4; FOR (H) 2.2.3; *OD:		
	FINDING:			
OP-9.13 **GEN** ONSITE	How does the company meet the ground communication requirements as outlined in the applicable regulations for its operation?	*NR: FOR (A) 4.2.4.2; *OD:		
	FINDING:			
OP-9.14 **GEN** ONSITE	How is information passed to an aircraft in flight and is the Air Operator meeting the requirement?	*NR: FOR (A) 4.6.1; 4.6.2; FOR (H) 2.6.1 c); *OD:		
	FINDING:			

OP-9.15 GEN ONSITE	Does the air operator provide the minimum operational flight plan requirements?	*NR: FOR (A) 4.3.3; FOR (H) 2.3.3; *OD:		
	FINDING:			

OP-9.16 GEN ONSITE	Does the air operator's flight release system provide a procedure for verification, acceptance and disagreement resolution of the operational flight plan?	*NR: *OD:		
	FINDING:			

OP-9.17 GEN ONSITE	How are MET, NOTAMs etc. made available for flight planning?	*NR: FOR (A) 4.1.2, 4.3.1, 4.3.5; FOR (H) 2.3.5; *OD:		
	FINDING:			

FLIGHT WATCH SYSTEM FOR AIR OPERATORS

OP-9.18 GEN ONSITE	Does the air operator have duty records for each flight dispatcher exercising duty in the operational control?	*NR: FOR (A) 10.7 ; FOR (H) 8.6; *OD:		
	FINDING:			

OP-9.19 **GEN** ONSITE	Does the flight watch continue until completion of flight?	*NR: FOR (A) 3.5; *FOR (H) 2.16 (draft)*; *OD:		
	FINDING:			
OP-9.20 **GEN** ONSITE	Are in-flight reports directed to the flight dispatcher performing flight watch?	*NR: FOR (A) 3.5; FOR (H) 2.6.1 c); *OD:		
	FINDING:			

FLIGHT FOLLOWING SYSTEM FOR AIR OPERATORS

OP-9.21 **GEN** ONSITE	Is the person qualified to respond to the requests from the pilot-in- command of an aircraft?	*NR: FOR (A) 10.3, 10.4; FOR (H) Ch. 8; *OD:		
	FINDING:			
OP-9.22 **GEN** ONSITE	Is the flight following system adequate for all hours during which aircraft are flown?	*NR: FOR (A) 3.5; *FOR (H) 2.16 (draft)*; *OD:		
	FINDING:			

OP-9.23 GEN ONSITE	Does the flight follower monitor the air operator's flights from commencement to termination and any intermediate stops?	*NR: FOR (A) 3.5; *FOR (H) 2.16 (draft);* *OD:		
	FINDING:			
OP-9.24 GEN ONSITE	Is there a procedure for the pilot-in-command to pass messages concerning landings and departures to the flight follower?	*NR: FOR (A) 3.5; *FOR (H) 2.16 (draft);* *OD:		
	FINDING:			

OP-10 FLIGHT DOCUMENTATION (OPERATIONS CONTROL)

REF	ITEM	REFERENCE	SAT	NA
OP-10.1 GEN ONSITE	Does the operational flight plan meet the requirements of the applicable reference?	*NR: FOR (A) 4.3.3; FOR (H) 2.3.3; *OD:		
	FINDING:			
OP-10.2 GEN ONSITE	Do the fuel slips, journey logs and weight & balance forms all agree with respect to fuel weights?	*NR: FOR (A) 4.2.10, 4.3.1 d) e) f), 4.3.6, 11.4.1; FOR (H) 2.2.9; *OD:		
	FINDING:			

OP-10.3 GEN ONSITE	Do the load manifests and journey logs agree with respect to cargo loads?	*NR: FOR (A) 4.3.1 d), e), f); FOR (H) 4.18 i), m), n); *OD:		
	FINDING:			
OP-10.4 GEN ONSITE	Does the weight & balance system meet the requirements of the applicable reference?	*NR: FOR (A) 4.3.1 d), e), f); FOR (H) 3.6; *OD:		
	FINDING:			
OP-10.5 GEN ONSITE	Are operational flight plans retained in accordance with the applicable reference?	*NR: FOR (A) 4.3.3.2; FOR (H) 2.3.3; *OD:		
	FINDING:			

OP-11 AIRCRAFT INSPECTION

A. AIRCRAFT CABIN INSPECTION				
REF	**ITEM**	**REFERENCE**	**SAT**	**NA**
OP-11.1 GEN ONSITE	Are there adequate restraints available to ensure that any cargo or equipment carried is secured and does not shift in flight?	*NR: FOR (A) 4.3.1 e), 4.8; FOR (H) 2.7; *OD:		
	FINDING:			

OP-11.2 GEN ONSITE	Is cargo loaded so as to not block or restrict the exit of passengers in an emergency?	*NR: FOR(A) 4.8 b) iii) 4); FOR (H) 2.7; *OD:		
	FINDING:			
OP-11.3 GEN ONSITE	Does the company aircraft have an approved safety feature card on board for each passenger?	*NR: FOR (A) 12.8; FOR (H) 10.7; *OD:		
	FINDING:			
OP-11.4 GEN ONSITE	Does the company aircraft have operational and emergency equipment which meets the requirements?	*NR: FOR (A) Ch. 6; FOR (H) 4.5.2; *OD:		
	FINDING:			
OP-11.5 GEN ONSITE	Are the emergency exits and floor proximity emergency escape path lighting systems functioning properly?	*NR: FOR (A) 4.3.1; *OD:		
	FINDING:			

OP-11.6 **GEN** ONSITE	Have carry-on baggage requirements been met?	*NR: FOR (A) 4.8; FOR (H) 2.7; *OD:		
	FINDING:			
OP-11.7 **GEN** ONSITE	Does each aircraft have required seatbelts?	*NR: FOR (A) 4.2.12.4, 6.2.2 d); FOR (H) 4.2.2 c); *OD:		
	FINDING:			
OP-11.8 **GEN** ONSITE	Does each aircraft have required shoulder harnesses for flight attendant seats?	*NR: FOR (A) 12.3; *OD:		
	FINDING:			
OP-11.9 **GEN** ONSITE	Are aircraft markings and placards in accordance with the Aircraft Flight Manual?	*NR: FOR (A) 11.1.2; FOR (H) 9.1; *OD:		
	FINDING:			

B. AIRCRAFT FLIGHT DECK INSPECTION

OP-11.10 **GEN** ONSITE	Is the general condition of the Flight Deck clean and tidy with all items stowed in their proper places?	*NR: FOR (A) 6.1.1 a), b); FOR (H) 4.1.1; *OD:		
	FINDING:			
OP-11.11 **GEN** ONSITE	Check if the Emergency Exit is clear of all obstacles.	*NR: FOR (A) 4.8 b), iii), 4); FOR (H) 2.7.2 (iii) (4); *OD:		
	FINDING:			
OP-11.12 **GEN** ONSITE	Equipment - check for the functionality of the following equipment: - Two sensitive pressure altimeters with counter drum-pointer or equivalent presentation (IFR operations) - ACAS (if applicable) - CVR and FDR - GPWS/EGPWS (if applicable) - ELT - GNSS database updates - Other equipment as defined in FOR-A or FOR-H as the case may be.	*NR: FOR (A) Ch. 6; FOR (H) Ch. 4; *OD:		
	FINDING:			

OP-11.13 **GEN** ONSITE	Check serviceability of Weather Radar, Transponder, communications equipment and all required lights (if the aircraft is authorized for night flight operations).	*NR: FOR (A) Ch. 6; FOR (H) Ch. 4; *OD:		
	FINDING:			
OP-11.14 **GEN** ONSITE	Check for the presence, number, condition and expiry date of the portable fire extinguishers.	*NR: FOR (A) 6.2.2 b); FOR (H) 4.2.2 b); *OD:		
	FINDING:			
OP-11.15 **GEN** ONSITE	Check for presence, condition and where applicable expiry date of life jackets/floatation devices.	*NR: FOR (A) 6.5.2.2; FOR (H) Ch. 4.5; *OD:		
	FINDING:			
OP-11.16 **GEN** ONSITE	Check for the presence, quantity and condition of safety harness.	*NR: FOR (A) 6.2.2 c); FOR (H) 4.2.2 c); *OD:		
	FINDING:			

OP-11.17 GEN ONSITE	Check for presence, quantity and condition of oxygen equipment for Flight Crew.	*NR: FOR (A) 6.7; FOR (H) 2.3.8.1; *OD:		
	FINDING:			

OP-11.18 GEN ONSITE	Check for crew emergency flashlight and their working condition.	*NR: FOR (A) 6.10 f); FOR (H) 4.4.3 m) (v); *OD:		
	FINDING:			

OP-11.19 GEN OFFSITE and ONSITE	If there is a Flight Deck door installed, check: (i) whether the Operator has policies and/or procedures that as a minimum define when the flight deck door must remain locked and the procedures to be followed by the Cabin Crew to notify the Flight Crew in the event of any suspicious activity or security breaches in the cabin. (ii) the way Cabin Crew members gain entry into the flight deck.	*NR: FOR (A) 13.2.1, 13.2.2; FOR (H) 11.2.3; *OD:		
	FINDING:			

OP-12 AIRCRAFT DOCUMENTATION

REF	ITEM	REFERENCE	SAT	NA
OP-12.1 GEN ONSITE	Check for the availability, condition and currency of all documents that are required to be carried onboard: - AFM, AOM, FCOM, SOP - Operations Manual A/B/C/D either in whole or applicable parts - MEL/CDL - Checklists: (i) Flight Crew Checklists (ii) Aircraft Search Procedure Checklist (iii) SEEP - Route Guides, maps and charts - C of Registration; C of Airworthiness - Radio Mobile License - Noise Certification Document - Flight crew License and Competency Card; check spare corrective lens (if applicable) - Journey Log and Technical Log - Certified true copy of the AOC and Ops. Specs. - Copy of the latest insurance coverage - ATC Flight Plan - Operational Flight Plan - Mass and balance sheet (load/trim sheet) - Passenger manifest / load manifest - Weather reports; NOTAMs - Cabin Defect logbook	*NR: FOR (A) 6.2.3; FOR (H) 4.18; *OD:		
	FINDING:			

OP-12.2 GEN	Are flight crew reporting aircraft defects in accordance with approved procedures?	*NR: FOR (A) 4.5.4, 4.5.5; FOR (H) 2.5.4, 2.5.5; *OD:		
ONSITE	**FINDING**:			
OP-12.3 GEN	Are aircraft configurations and equipment in accordance with the Aircraft Flight Manual?	*NR: FOR (A) 4.5.19; FOR (H) 4.1.1, 4.1.2; *OD:		
ONSITE	**FINDING**:			
OP-12.4 GEN	Are journey log entries made in accordance with the reference?	*NR: FOR (A) 4.5.4, 4.5.5; FOR (H) 2.5.4, 2.5.5; *OD:		
ONSITE	**FINDING**:			

OP-13 MINIMUM EQUIPMENT LIST

REF	ITEM	REFERENCE	SAT	NA
OP-13.1 GEN	Does the company utilize an approved MEL/CDL for each type of aircraft?	*NR: FOR (A) 6.1.3; FOR (H) 4.1.3; *OD:		
OFFSITE and ONSITE	**FINDING:**			

OP-13.2 GEN ONSITE	Does the company dispatch aircraft in accordance with approved MEL procedures?	*NR: FOR (A) 6.1.3; FOR (H) 4.1.3; *OD:		
	FINDING:			

OP-14   CABIN SAFETY

GENERAL REVIEW

REF	ITEM	REFERENCE	SAT	NA
OP-14.1 GEN ONSITE	**Previous Audit** List any outstanding cabin safety audit findings with respect to the previous audit.	*NR: *OD:		
	FINDING:			

OP-14.2
GEN
 	
ONSITE
	Since the previous audit, are there any indication of:
	   i. high turnover of cabin managerial staff?
	   ii. high turnover of cabin crew?
	   iii. any changes of scope, size, aircraft and type of service?
		*NR:
		*OD:		

	FINDING:			

OP 14.3 GEN ONSITE	Is the current cabin crew strength adequate for operator's flight operation? Such as;
	  i. Total number of cabin crew and the fleet in operation
	  ii. Ratio of cabin crew member and in-charge cabin crew
	  iii. Instructors/Examiners
		*NR:CCTM Appendix 3, 1.2;
		*OD:		

	FINDING:			

OP14.4 GEN ONSITE	Does the organizational structure include managerial post holders assigned with specific duties and responsibilities to look into the cabin crew matters such as;
	  i. Cabin Crew Manager? Training Manager? etc.
	  ii. Do the nominated post holders meet required qualification and experience?
		*NR: AOCR Appendix 4, para h)
		*OD:		

	FINDING:			

14.5 GEN ONSITE	Is there a cabin crew safety procedures manual issued by the operator for each type of aircraft? If yes, verify that;
	  i. This manual is prepared as per regulatory requirements and covers each of the prescribed sections;
	  ii. This manual is made consistent with operator's other related manuals;
	  iii. Are the emergency procedures and signals for flight & cabin crew compatible (is similar terminology used)?
	  iv. Safety features card for each aircraft type and model in accordance with the regulatory requirements;
	  v. This manual is maintained up to date with relevant revisions;
	  vi. This manual is distributed to all concerned including an aircraft copy.
		NR: FOR (A) 12.1.2
		CCTM 1.6;
		Attachment G, CL-01,
		OD:		

	FINDING:			

14.6 GEN
 	
 ONSITE
	Has the operator provided the following;
	    i. Cabin Crew Office room with adequate space and facilities?
	    ii. Cabin Crew Training rooms?
	    iii. Preflight Crew Briefing facility?
	    iv. Library with relevant publication?
		*NR:CCTM Chapter 4
		 *OD:		

	FINDING:			

OP 14.7 GEN
 	
 ONSITE
	Has the operator-maintained record keeping and information dissemination system that includes:
	    i. Personal folders of each post holders and cabin crew?
	    ii. Cabin Crew Training and Competency Record?
	    iii. Cabin Crew leave (absence) and medical record?
	    iv. Cabin Crew Duty and Rest Hour records?
	    v. Copy of Aircraft Technical Log Book or Cabin Log book?
	    vi. Cabin Crew In-flight reports?
	    vii. Dissemination of safety information and circulars?
		*NR: CCTM Appendix 3, 1.3 xi)
		 *OD:		

	FINDING:			

OP 14.8 GEN ONSITE	Does the operator have an effective system that ensures the following before rostering or assigning a cabin crew on operational duty? 　　i.　Training and Competency requirements 　　ii.　Accumulated duty hours and preceding rest time	*NR: CCTM 1.5.3, Appendix 3, 1.3 xii) *OD:		
	FINDING:			
OP-14.9 GEN ONSITE	Does the operator monitor compliance to the established cabin safety procedures and evaluate its effectiveness?	*NR: FOR(A) 12.1.2, 3.22; *OD:		
	FINDING:			
OP-14.10 GEN ONSITE	Does the operator have a process of dealing with cabin crew reports, investigation of cabin incidents, the means to advise management, and information feedback to employees?	*NR:FOR (A) 3.22 *OD:		
	FINDING:			

OP-15 CABIN CREW TRAINING AND CERTIFICATION

REF.	ITEM	REFERENCE	SAT	NA

OP 15.1 GEN
 	
 OFFSITE and ONSITE
	Does the operator have an approved training program for its cabin crew? If yes, verify that:
	 OFFSITE:
	   i. It contains Initial, Recurrent and Requalification/Refresher Trainings;
	   ii. It defines Instructor, Examiner and In-charge Cabin Crew Trainings;
	  iii. Its syllabus contains each of the training elements as required to be covered and suits to the operator's type of operation;
	 ONSITE:
	   i. The training courseware is defined and made available for both the instructors and trainees;
	   ii. The training materials are consistent with related part of other company manuals or publications such as OM, SMS, Security, DG, and Manufacture's manuals.
		*NR:FOR (A) 12.4 CCTM Chapter 3; *OD:		

	FINDING:			

OP 15.2 GEN
 	
 ONSITE
	Are the following training prerequisites and facilities adequate and are acceptable for the type of the training being conducted?
	   i. Classroom aids and amenities;
	   ii. Training Courseware and reference materials;
	  iii. Aircraft equipment;
	  iv. Representative training devices;
	   v. Mock up settings;
	  vi. Nominated ATOs etc.
		*NR:CCTM Chapter 4, *OD:		

	FINDING:			

OP 15.3 **GEN** ONSITE	Do the designated Instructors and Examiners meet required qualifications and have undergone recurrent training and evaluation process to ensure the required knowledge and skill are maintained?	*NR:FOR (A) 12.6 CCTM 3.2.15, 3.2.16 *OD:		
	FINDING:			
OP 15.4 **GEN** ONSITE	Has the training conducted by the operator met each of the established standards and has covered the prescribed, training elements, training hours, practical drills, written tests and proficiency checks?	*NR:FOR (A) 12,4 CCTM 2.3, 2.4 *OD:		
	FINDING:			

OP 15.5
GEN
 	
ONSITE
	Does the operator training system ensure that;
	  i. Each cabin crew has undergone required trainings and the training records of each cabin crew are maintained up to date?
	  ii. Each cabin crew has undergone annual proficiency check?
	  iii. Each cabin crew has undergone periodical medical checks?
	  iv. The Cabin Crew Certificate issued to individual cabin crew is updated accordingly?
	  v. The expiry of training and qualification of each cabin crew is monitored and such cabin crews are prevented from being assigned with operational duties?
		NR: FOR (A) 12.4
		CCTM 1.5.3,
		FOR (A)
		12.4.2/CCTM 2.6,
		Appendix 2
		OD:		

	FINDING:			

(Note to the Auditor: Refer Cabin Crew Training Manual, 2015- Appendix 3, Section 1 for detail procedures. The checklist A-01 of Attachment A shall be used for references).

OP 16 CABIN SAFETY INSPECTIONS (ONSITE)

REF	ITEM	REFERENCE	SAT	NA
OP-16.1 **OCC/ DISPATCH** ONSITE	Does the crew attendance signing indicate the start and end of each duty period?	*NR: FOR (A) 9.10.2 *OD:		
	FINDING:			
OP-16.2 **OCC/ DISPATCH** ONSITE	Is preflight briefing (Flight Crew to Cabin Crew and In-charge Cabin Crew to Cabin Crews) conducted?	*NR:3.20.2 *OD:		
	FINDING:			
OP-16.3 **OCC/ DISPATCH** ONSITE	Are the operating cabin crew carrying valid Cabin Crew Certificates and documents as required?	*NR:FOR(A) 12.6/CCTM 2.6 *OD:		
	FINDING:			
OP-16.4 **OCC/ DISPATCH** ONSITE	Are the cabin crew conversant with company SOPs/SEPs pertinent to the flight being operated?	*NR:CCTM 1.5.3 *OD:		
	FINDING:			

OP-16.5 **RAMP** ONSITE	Is the company's procedure to escort passengers safely to and from the aircraft in compliance of the regulatory requirements?	*NR: *OD: GOM/CCOM		
	FINDING:			
OP-16.6 **RAMP** ONSITE	Is re-fueling with passengers onboard carried out in accordance with the regulatory requirements?	*NR:FOR (A) 4.3.8, 19.2; *OD:		
	FINDING:			

OP-16.7
AIRCRAFT
 	
ONSITE
	Does the aircraft and its condition meet general cabin safety standards in terms of the following;
	  i. Cabin configuration such as passenger seating arrangements, galley, lavatory, closets, stowage bins, baggage loading areas etc. are satisfactory
	  ii. Cabin Crew station, call panels and display units are operational
	  iii. Aircraft safety and emergency equipment are correct in number, serviceable and properly stowed
	  iv. The placards indicating location of emergency equipment, exit locator signs, "no smoking" and "no cigarette disposal" symbols and others as applicable are visible and identifiable.
	  v. Normal and Emergency lighting, inter communication and PA system, oxygen supply, Medical supply are up to the required standards
	  vi. Emergency Exits are properly marked and operating instructions are illustrated
	  vii. Evacuation means such as slide/raft ELTs, and survival kits are intact,
		*NR: FOR (A) Ch.6
		*OD: OMB, FCOM/CCOM		

OP-16.8 INFLIGHT ONSITE	Are the correct numbers of cabin crews carried in accordance with the regulatory requirements?	*NR: FOR (A) 4.2.11; *OD: OM/CCOM		
FINDING:				
OP-16.9 INFLIGHT ONSITE	Does the composition of cabin crew members include an in-charge cabin crew when operating with more than one cabin crew?	*NR: CCTM 3.2.14 *OD:		
	FINDING:			
OP-16.10 INFLIGHT ONSITE	Is the pre boarding cabin preparation is conducted as per established procedures?	*NR: FOR (A) 4.2.12 *OD:		
	FINDING:			
OP-16.11 INFLIGHT ONSITE	Are passenger announcements and safety briefings prior to take-off, after take-off, prior to landing and for in-flight turbulence completed in accordance with the regulatory requirements?	*NR: FOR *OD: 4.2.12OM/CCOM		
	FINDING:			

OP-16.12 INFLIGHT ONSITE	Does the safety briefing contain required information and is provided in the appropriate languages?	*NR: FOR (A) 4.2.12; *OD: OM/CCOM		
	FINDING:			
OP-16.13 INFLIGHT ONSITE	Are passengers of special category and passengers seated at window exits provided with separate individual briefing?	*NR: FOR (A) 4.2.12.5; *OD: OM/CCOM		
	FINDING:			
OP-16.14 INFLIGHT ONSITE	Does cabin crew report "cabin ready" to flight deck and receive instruction/signal for take-off and landing?	*NR: FOR (A) 12.2; *OD: FCOM/CCOM		
	FINDING:			
OP-16.15 INFLIGHT ONSITE	Is the safety instruction card for that aircraft type and model available and meet the required features?	*NR: FOR (A) 12.8; CCTM Aattachment I *OD:		
	FINDING:			

OP-16.16 INFLIGHT ONSITE	Is the PED regulation complied?	NR: FOR (A) 4.12; OD:		
	FINDING:			

OP-16.17 INFLIGHT
 	
ONSITE
	Is the carry-on baggage stowed properly and kept secured so that;
	   i. it does not block access to emergency equipment, exits and aisles
	  ii. it does not obstruct cabin views
		NR: FOR (A) 4.8;
		OD:		

	FINDING:			
OP-16.18 INFLIGHT ONSITE	Is each of the in-flight duty procedures such as door closing and securing, taxi out, climb, cruise, descending landing, parking and disembarking carried out as per company's approved SOPs?	NR: OD: CCOM		
	FINDING:			
OP-16.19 INFLIGHT ONSITE	Is passenger service interfering with safety standards?	NR: OD: CCOM		
	FINDING:			
OP-16.20 INFLIGHT ONSITE	Is coordination with flight crew maintained while handling unusual situations such as turbulence, security incidents, passenger illness etc.	NR: OD: CCOM		
	FINDING:			

OP-16.21 INFLIGHT ONSITE	Are sterile flight deck procedures complied and flight deck security ensured?	NR: FOR (A) 13.2; OD:		
	FINDING:			
OP-16.22 INFLIGHT ONSITE	Is post landing procedures completed including a debriefing session?	NR: OD: CCOM		
	FINDING:			

(Note to the Auditor: Refer CCTM Appendix 3, Section 3 for details of the inspection procedures. Use AOCI Manual Checklist Attachment P for Aircraft Inspection (Ramp) and Attachment L for In-flight Cabin Inspection)

OP-17 DANGEROUS GOODS

REF	ITEM	REFERENCE	SAT	NA
OP-17.1 GEN OFFSITE and ONSITE	Identify any outstanding audit findings respecting the last audit.	*NR: *OD:		
	FINDING:			

OP-17.2 **GEN** OFFSITE	Review prior company records to establish compliance history.	*NR: *OD:		
	FINDING:			
OP-17.3 **GEN** OFFSITE and ONSITE	Review dangerous occurrence reports, where applicable.	*NR: *OD:		
	FINDING:			
OP-17.4 **GEN** OFFSITE and ONSITE	Determine if the company currently has any permits and if they received additional permits since the last audit.	*NR: *OD:		
	FINDING:			
OP-17.5 **GEN** OFFSITE	Review manual and determine if there has been any amendments to the dangerous goods section of the company operations manual.	*NR: *OD:		
	FINDING:			

OP-17.6 **GEN** OFFSITE	Determine if the company has an approved dangerous goods manual (if required).	*NR: *OD:		
	FINDING:			
OP-17.7 **GEN** ONSITE	Determine if the manual is available to company personnel as required.	*NR: *OD:		
	FINDING:			
OP-17.8 **GEN** OFFSITE	Determine if the company has an approved Dangerous Goods training program as required by CAAN regulations.	*NR: *OD:		
	FINDING:			
OP-17.9 **GEN** OFFSITE and ONSITE	Determine if the training program reflects all regulatory or operational amendments.	*NR: *OD:		
	FINDING:			

OP-17.10 GEN ONSITE	Determine if the company's acceptance procedures are in compliance with the regulations.	*NR: *OD:		
	FINDING:			
OP-17.11 GEN ONSITE	Determine if the airway bill procedures are in compliance with the appropriate regulations.	*NR: *OD:		
	FINDING:			
OP-17.12 GEN ONSITE	Determine if the shipper's declaration completion procedures are in compliance with the appropriate regulations.	*NR: *OD:		
	FINDING:			
OP-17.13 GEN ONSITE	Determine if the pilot notification system procedures are in compliance with the appropriate regulations.	*NR: *OD:		
	FINDING:			
OP-17.14 GEN ONSITE	Determine if a reporting system exists to identify undeclared or misrelated dangerous goods.	*NR: *OD:		
	FINDING:			

OP-17.15 GEN ONSITE	Determine if shipping documents are retained for two years.	*NR: *OD:
	FINDING:	
OP-17.16 GEN OFFSITE and ONSITE	Verify the company has the proper dangerous occurrence procedures in place.	*NR: *OD:
	FINDING:	
OP-17.17 GEN ONSITE	Verify the company's storage and loading procedures are in compliance with the regulations.	*NR: *OD:
	FINDING:	
OP-17.18 GEN ONSITE	Determine that ticketing/cargo personnel (including agents) are complying with the regulations.	*NR: *OD:
	FINDING:	
OP-17.19 GEN ONSITE	Determine the capability of the Air Operator to replace lost or stolen safety marks.	*NR: *OD:
	FINDING:	

OP-17.20 **GEN** ONSITE	Verify that all employees, who handle DG, offer for transport and transport DG, are appropriately trained and current.	*NR: *OD:		
	FINDING:			
OP-17.21 **GEN** ONSITE	Verify that trained employees are able to produce certificates of training upon request or are they available in company file?	*NR: *OD:		
	FINDING:			
OP-17.22 **GEN** ONSITE	Determine that the certificates of training contain the required information.	*NR: *OD:		
	FINDING:			
OP-17.23 **GEN** ONSITE	Determine that the company has a record of training for trained employees on file and that the files contain the latest updated records.	*NR: *OD:		
	FINDING:			

OP-18 FLIGHT INSPECTION AND ROUTE CHECK

18.1 Flight Operations Inspectors shall use the AOCI manual Vol. II, Attachment K *Air Operator In-Flight Cockpit Inspection Checklist/Report* for conducting in-flight inspections.

18.2 Cabin Safety Inspectors shall use the checklist of AOCI manual Vol II, Attachment L for in-flight cabin inspection.

OP-19 AIRCRAFT PERFORMANCE OPERATING LIMITATIONS

REF	ITEM	REFERENCE	SAT	NA
OP-19.1 GEN OFFSITE and ONSITE	Does the air operator utilize aircraft performance operating limitations for airports from which it operates? - Check take-off and landing weights that are being used at various airports are in accordance with the temperatures recorded for that day for that airport as reported by ATC/Hydrology and Meteorology Dept.	*NR: FOR (A) 5.2.3, 5.2.6; FOR (H) 3.2.3, 3.2.5; *OD:		
	FINDING:			
OP-19.2 GEN OFFSITE and ONSITE	Do the aircraft performance operating limitations conform to the appropriate Aircraft Flight Manual?	*NR: FOR (A) 5.2.3; FOR (H) 3.2.3, 3.2.5; *OD:		
	FINDING:			

| OP-19.3 GEN OFFSITE and ONSITE | How does the Air Operator ensure that the flight crew is able to assess landing performance prior to arrival at the destination or alternate airport in order to determine that sufficient landing distance exists for a landing to be accomplished with an adequate safety margin;
- On the runway of intended use;
- In the conditions existing at the estimated time of arrival (ETA);
- In the aircraft configuration and with the means of deceleration that will be used for the landing. | *NR: FOR (A) 5.2.5; FOR (H) 3.2.6, 3.2.7;
*OD: | | |
| | **FINDING:** | | | |

OP-20 FLIGHT SAFETY

REF	ITEM	REFERENCE	SAT	NA
OP-20.1 GEN OFFSITE	How many findings were there from the previous audit? How many of them have been rectified? How many of those previous findings are still deemed to be OPEN?	*NR: FOR (A) 4.2.1.4; *OD:		
	FINDING:			
OP-20.2 GEN OFFSITE	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.	*NR: AOCR Appendix 4 *OD:		
	FINDING:			

OP-20.3 **GEN** OFFSITE and ONSITE	Does the Air Operator have a Safety Management System in place accepted by the CAAN?	*NR: CAR-19/4.1.4 *OD:		
	FINDING:			
OP-20.4 **GEN** ONSITE	Is a Flight Data Analysis program mandatory for the Air Operator in accordance with national regulations? If YES, is it being conducted regularly?	*NR: FOR(A) 3.3.2; *OD:		
	FINDING:			
OP-20.4 **GEN** ONSITE	Check how the Air Operator has complied with Accident/Incident investigation report recommendations.	*NR: CAAN Accident/Incident Investigation Reports *OD:		
	FINDING:			
OP-20.5 **GEN** ONSITE	Has there been a Flight Safety Documentation System properly incorporated in the airline?	*NR: FOR (A) 3.3.6; *OD:		
	FINDING:			

OP-20.6 GEN ONSITE	Has an Emergency Response Plan been developed and is it maintained?	*NR: CAR-19 Appendix 2/ 1.4 *OD:
	FINDING:	
OP-20.6 GEN ONSITE	Does the Air Operator have a Quality Assurance system in place for Flight Operations?	*NR: FOR(A) 3.22; *OD:
	FINDING:	

CHAPTER 5

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 Corrective Action Plan.

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 the team 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

Air Operator:…………………………..

Date of audit:……………………….

REQUEST NUMBER: Flt. Ops. Request No. ……………..

Confirmation of Request Form

Members of the inspection team have been unable to locate the information, documents, records or personnel below. To complete the validation exercise, CAAN requires access the items identified below:

Validation Area: _____

Information required:_____

Documents required:_____

Records required:_____

Person with whom contact is required:_____

To allow for the completion of the validation exercise, this document represents CAAN's formal request to _____ Airlines to make the above information, documents, records or personnel available to the validation team either during or before tomorrow's daily operator meeting.

_____   _____   _____

Name of CAAN official
to receive material

Signature

Date