SOUTH AFRICAN CIVIL AVIATION AUTHORITY

Section/division **FLIGHT OPERATIONS PART 135**
Telephone number: **011-545-1000** *Fax Number:* **011-545-1350**
Physical address **Ikhaya Lokundiza, 16 Treur Close, Waterfall Park, Bekker Street, Midrand, Gauteng**
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Form Number: CA 101-08

INITIAL/ANNUAL AUDIT CHECKLIST PART 101 (RPAS)

OPERATIONS AUDIT CHECKLIST PART 101 (OFFICE USE)				
Note: Inspector to complete these details before the audit and confirm all information is still valid during the audit.				
Operator				
File Number				
Physical Address				
Postal Address				
			Postal Code	
Telephone Number		Fax Number		
Cell Phone Number		E-Mail Address		
Base Of Operations				(and as per ASLC)
LICENSE DETAILS				
Licence(s) Number(s)				
Class of Air Service:				
Type of Air Service :				
Category of Aircraft:				
Date Application Received				
Confirmation of payment and date				
RPAS Operating Certificate Expiry Date				
PREVIOUS FINDINGS				
LEVEL 1				
LEVEL 2				
LEVEL 3				
NOTES FOR THIS INSPECTION				

NOTES:

INSPECTION AND AUDIT FUNCTIONS
CAA inspection and audit functions confirm for CAA that an Operator is operating in compliance with regulatory requirements and RPAS Operations Manual (ROM). The ROM might hold additional standards which the Operator has agreed to uphold.

There will be times when it is not possible or necessary to review or examine 100% of a company's operation. This is when sampling principles apply.

Inspection and audit checklists have been developed to provide a systematic approach to the inspection of an Operator's various specialty areas. The checklists are designed to identify specific items within each specialty area and to make reference to applicable regulatory requirements. Where an Operator fails to comply with these requirements, they will be considered to be in non-compliance and will be required to undertake corrective action.

AUDIT PLANNING
The following should be considered when scheduling an audit:

- The feasibility of the audit dates and time-periods with consideration given to availability of inspectors and the operator.
- The allocation of time for pre-audit activities.
- Team member travel requirements.
- The compiling of the required documentation.
- The contents of the Operator's ops manual and file should be studied for background knowledge and to detect any shortcomings and anomalies.

PRE-AUDIT MEETING
A pre-audit team meeting is important as it informs team members of the expectations of the team leader. It also provides an opportunity for team members to clear up any questions and gain clarity on their specific roles.

ENTRY MEETING
An entry meeting must be held. It is important in that it establishes communications between the Operator's- and CAA's audit team. (See appendix for an agenda).

AUDIT FINDINGS
Audit findings are the foundation of the audit report so it is important that they be completed in accordance with the requirements. An audit finding needs to be recorded on an Audit Finding Report form on which the Operator signs for agreement with the finding.

PARALLEL FINDINGS
Should a shortcoming from the CAA or the need for a correction in procedure or regulation be found, submit a parallel finding on the prescribed form to the line manager.

CLOSING MEETING
The closing meeting is conducted to ensure that the Operator's senior management have been fully debriefed on the results of the audit. Agreement is also reached on the submission of a corrective action plan by the Operator

Regulatory Ref.	REQUIREMENTS	N/A	Satisfactory	Not satisfactory	Note No.
	ORGANIZATION / MANAGEMENT				
CAR 101.04.5	Is the RPAS Operations Manual (ROM) up to date with the latest regulations and technical standards?				
	ROM amendment number and date as per CAA copy?				
	No hand amendments?				
	Is the ROM available at the operating sites				
	Are controlled copies of ROM current with master copy?				
CAR 101.04.5	**POST HOLDERS:** Are they still in the nominated posts? (*Complete post holders names*)				
	- Accountable Manager / CEO:				
	- Safety Manger:				
	- Responsible Person: Flight Operations:				
	- Responsible Person: Aircraft:				
	- Quality Manager:				
	- Security Manager:				
	Are post holder's responsibilities and functions defined and formalised?				
	Have all 6 post holders accepted their duties?				
CAR 101.04.7	Does management continually monitor and improve the company safety and quality policy? (Minutes, company memos)				
	Does management ensure the safety and quality objectives are understood and maintained by all personnel?				
	Are periodic management safety and quality meetings and reviews conducted and documented?				
	Are safety and quality concerns, decisions and information distributed by management throughout all relevant personnel and structures of the Operator?				
	Do inputs to the management review include:				
	- - Results of audits?				
	- - Safety and quality issues/outcomes?				
	- - Operational feedback?				
	- - Changes in regulatory policy or CAA legislation?				
	- - Status of corrective and preventive actions?				
	- - Follow –up actions from previous reviews?				
CAR 101.04.01	**Air Service Licence**				
	- Available for presentation				
	- Correct type and category for the operations conducted				
	ROC and Operations Specifications				
	RPAS Operating Certificate and Operations Specifications available for presentation?				
CAR 101.04.2(2)	Does the operator ensure that his/her aircraft are only registered on one ROC				

Regulatory reference	REQUIREMENTS							N/A	Satisfactory	Not satisfactory	Note No.
	PUBLICATIONS Hard copy or electronically available										
	CARS & CATS	D	D	M	M	Y	Y				
	AIP's	D	D	M	M	Y	Y				
	Notams, AIC'c, AIP's supplements	D	D	M	M	Y	Y				
	Jeppesen/Airad/ equivalent: If specified in ROM	D	D	M	M	Y	Y				
	Flight planning software if specified in ROM	D	D	M	M	Y	Y				
	Do operations personnel and remote pilots have access to operator's electronic publications if in use?										
CAR 101.04.7	**SAFETY MANAGEMENT SYSTEM**										
	Has the operator established an SMS?										
	Is there a process for hazard identification and risk mitigation?										
	Is there a process to develop and implement remedial action necessary to maintain an acceptable level of safety?										
	Is there provision for continuous assessment of the effectiveness of safety management activities?										
	Does the operator make use of Hazard, Incident and accident reporting forms?										
	Is the database of hazards and incidents regularly updated and analysed?										
	Sample hazard, incident and accident reports to ensure action has been taken. Also review assessment of the effectiveness of the action taken										
	Emergency Response Plan:										
	Is there an Emergency Response Plan (ERP) with clear indication of responsibilities of indicated personnel during transition from normal to emergency to normal operations?										
	Is the ERP co-ordinated with local, remote base and all applicable airport and/or operating site emergency facilities?										
	Are ERP contact details regularly updated (eg: with QA audit)?										
	SMS/ERP Training:										
	Are new employees given SMS and ERP training as part of induction training?										
	Safety Meetings:										
	Are safety meetings held frequently and according to the safety objectives, if applicable										
	Do the minutes of safety meetings reflect adequate attention to SMS principles and reported hazards?										

Regulatory Ref	REQUIREMENTS		N/A	Satisfactory	Not Satisfactory	Note No.
CATS 101.04.5	**QUALITY MANAGEMENT SYSTEM**					
	Is there a quality management system in place?					
	Is there a formal policy statement from the Accountable Manager/CEO?					
	Are checklists used?					
	Is there an audit schedule, which can be tracked and monitored?					
	Is there a feedback and control system to ensure that corrective and preventative actions are carried out and evaluated for effectiveness?					
	Are records retained?					
	Are new employees given QA training as part of induction training?					
	Is the quality system formalised and controlled?					
	Does the quality system enable the operator to monitor compliance with:					
	a	Relevant sections of the CATS and CARS?				
	b	Operations manual and CONOPS				
	c	Any other standards established by the ROC holder or SACAA?				
	APPROVALS					
CAR 101.04.4(2)	**E-VLOS APPROVAL**					
	Observer training included in the ROM					
CAR 101.05.1	**INCLEMENT WEATHER OPERATIONS APPROVAL**					
	Provision in RPAS operations manual					
CAR 101.05.2	**TAKE OFF or LANDING ON PUBLIC ROADS APPROVAL**					
	Provision in RPAS operations manual					
CARS/CATS 101.05.3	**CONTROLLED AIRSPACE**					
	Provision in RPAS operations manual: safety and separation procedures					
CAR 101.05.4	**RELEASING AN OBJECT or SUBSTANCE**					
	Provision in operations manual					
CAR 101.05.5	**DANGEROUS GOODS**					
	Provision in operations manual					
CAR 101.05.10	**OPERATIONS ABOVE 400FT AGL**					
	Provision in operations manual					
CAR 101.05.10	**OPERATIONS WITHIN 10KM OF AN AERODROME**					
	Provision in operations manual					
	OPERATIONS WITHIN RESTRICTED AIRSPACE					
	Provision in operations manual					
	ADJACENT TO/ABOVE NUCLEAR POWER PLANT, PRISON, POLICE STATION, CRIME SCENE, COURT OF LAW, NATIONAL KEY POINT OR STRATEGIC INSTALLATION					
	Provision in operations manual					
CAR 101.05.11	**B-VLOS OPERATIONS**					
	Provision in operations manual					
CAR 101.05.12	**NIGHT OPERATIONS**					
	Provision in operations manual (select) ☐ Limited to R-VLOS operations only OR ☐ VLOS/E-VLOS/B-VLOS night operations					

Regulatory Ref.	REQUIREMENTS	N/A	Satisfactory	Not satisfactory	Note No.
	APPROVALS				
CAR 101.05.13	**OPERATIONS IN THE VICINITY OF PEOPLE (overhead or within 50m lateral distance)**				
	Provision in operations manual				
CAR 101.05.14	**OPERATIONS IN THE VICINITY OF PROPERTY, STRUCTURES or BUILDINGS (within 50m lateral distance)**				
	Provision in operations manual				
CAR 101.05.15	**OPERATIONS IN THE VICINITY OF PUBLIC ROADS (over, along or within 50m)**				
	Provision in operations manual				
CAR 101.04.8	**SECURITY**				
	Is RPAS storage secure? Protecting RPAS from unlawful interference?				
	Is the RPAS stored and prepared for flight in a manner that prevents and detects tampering and ensures the integrity of the system				
	Is there a designated security co-ordinator?				
	Are security roles and responsibilities defined and carried out as per the ROM, Part 4: Safety and Security?				
	Does the operator complete induction training with all new employees?				
	Is recurrent training and checking done as per the ROM, if applicable				
	Does the operator conduct background checks on all employees?				

AIRCRAFT ON ROC												
	Registration	**Type**	**Owner**	**CLASS of RPAS**	Aircraft category (A4, H1, H2)	3rd Party liability (Y/N)	Insured amount	Insurance Expiry date	ICASA approval	Certificate of registration	RPAS Letter of Approval (Date of expiry)	Maximum weight (MAUW)
1	ZT-											
2	ZT-											
3	ZT-											
4	ZT-											
5	ZT-											
6	ZT-											
7	ZT-											
8	ZT-											
9	ZT-											
10	ZT-											
11	ZT-											
12	ZT-											
13	ZT-											
14	ZT-											
15	ZT-											
16	ZT-											
17	ZT-											
18	ZT-											
19	ZT-											
20	ZT-											
Note: Category A4: Fixed wing // Category H1: Multi-rotor // Category H2: Helicopter												

RECORDS: REMOTE PILOT & PERSONNEL INLVOLVED IN THE DEPLOYMENT, HANDLING AND STORAGE OF RPAS										
							DATE OF EXPIRY			
	NAME	(A), (MR) or (H)	License Number (or position, for example: "observer")	VLOS, E-VLOS or B-VLOS	Background check completed (date)	Induction training (including SMS and QMS)	Aviation Security Awareness training	Criminal record check (every 24 months)	Medical (Class 4 or above) (not applicable to non-RPL holders unless stated in ROM)	Proficiency check or Observer training (as per ROM, if applicable)
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
12										
13										
14										
15										
16										
17										
18										
19										
20										

NOTE NUMBER	NOTES

CONCLUSIONS: FINDINGS AND OBSERVATIONS
LEVEL 1 FINDING
(Constitutes non-compliance which necessitate the exercising of immediate discretionary enforcement action/powers vested in the inspectors, authorized officers and/or authorized persons in the interest of safeguarding aviation safety)
LEVEL 2 FINDING
(Constitutes non-compliance requiring the client to develop action plans with time frames and coupled with a follow-up inspection to verify rectification of the non-compliance)
LEVEL 3 FINDING
(Constitutes non-compliance which is left to the client to rectify and which will not necessitate a follow-up inspection but which can be followed up at the next inspection. The client is required to notify the CAA when the rectification has been effected within an agreed timeframe.)

Number	OBSERVATIONS

DEBRIEF TO OPERATOR REPERSENTATIVES FROM AUDIT MANAGER		
CAA Audit Team		
Operator Representatives		

COMMENTS MADE BY THE AUDIT MANAGER TO THE OPERATOR'S REPRESENTATIVES	
Operations	
Training	
Administration	
Documentation	
Recommendations	

SIGNATURE OF FOD INSPECTOR	**NAME IN BLOCK LETTERS**	**DATE**

I was de-briefed on the inspection/audit, have read and accept*/do not accept* the findings and observations of the flight operations inspector/s and have received a copy of the report. **Delete which is not applicable*

SIGNATURE OF OPERATOR'S REPRESENTATIVE	**NAME IN BLOCK LETTERS**	**DATE**

ATTENDANCE REGISTER

CAA & OPERATOR REPRESENTATIVES

PURPOSE OF MEETING			
CHAIRPERSON / PRESENTER		**DATE:**	Y Y Y Y M M D D

ATTENDEE INITIALS & SURNAME	**SECTION**	**SIGNATURE**

APPENDIX A

Entry meeting agenda

1 Thank the operator for their attendance, co-operation and use of their facilities.

2 Introduce the team.

3 Allow Operator senior representative to introduce their representatives.

4. Explain the purpose of the inspection/audit.

5. Emphasise confidentiality of the inspection/audit.

6. Define the objective and scope of the audit: to establish the correct implementation of procedures set out in the **ops manual** and other relevant regulations. Point out, however, that international best practice and good common sense cannot always be covered by legislation and the checklist may, therefore, in the interests of flight safety, contain a few items of this nature.

7. Explain the methodology and that there will be times when it is not possible or necessary to review or examine 100% of a company's operation. This is when sampling principles apply.

8. Explain non-compliance and the associated gradings.

9. State when team and team/operator liaison meetings will take place.

10. Confirm logistical arrangements e.g. available office space, time for meals, etc.

11. Verify that all operator staff members are aware of the audit/inspection taking place.

12. Explain the purpose of the closing meeting and confirm the detail and time if possible.

13. Allow time for the operator to ask questions.

14. Allocate inspectors to various departments if need be.

Closing meeting agenda

1. Thank Operator for hospitality as required

2. Present the findings to the Operator (Each Team Member from relevant Department)

3. Explain Level of Finding and time frame to submit CAP along with evidence as required

4. Explain to Operator that Audit Report will be sent

5. Operator to sign Audit Checklist and Findings as required