

**AUDIT & INSPECTION CHECKLIST:
 OPERATORS (PART 121)**

Name of operator			
Physical address			
			Postal code
Postal address			
			Postal code
Telephone number		Fax number	
Cell phone number		E-mail address	
Audit team			
Base of operations			
Class and type of licences			
Date application received		Operations number	
Date of last audit			
Date of this audit			
Date AOC issued			

NOTES:

INSPECTION AND AUDIT FUNCTIONS

CAA inspection and audit functions confirm that an operator is in compliance with regulatory requirements.

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. Items must be checked for documentation (**DOC**) and implementation (**IMPL**) of the various items. To be satisfactory, items must be both documented and implemented. The term "documentation" refers to the system of company manuals and all related documents. Where applicable, evidence must be supplied to confirm implementation, e.g. minutes of meetings and other supplementary documentation, or any other proof that processes have been implemented.

The "Note" (**Note Number**) column must be used to refer to the "NOTES" pages for detailed explanations. If an item is not applicable, it must be marked as such in the "Note" column. Where operators fail to comply with these requirements, they will be considered to be in non-compliance and will be required to undertake corrective action.

A Safety Management System (SMS) is compulsory for all start-up operators as from January 2009 and for all existing operators with a valid AOC as of January 2010, and where appropriate an FRMS as from November 2013

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's personnel.
- The allocation of time for pre-audit/ inspection activities.
- Team member travel requirements.
- The compiling of the required documentation.
- The contents of the operator's Operations Manual and file should be studied for background knowledge and to detect any shortcomings/ anomalies.

PRE-AUDIT MEETING ("PRE-BRIEF")

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 ("IN-BRIEF")

An entry meeting must be held. It is important in that it establishes communications between the Operator's and CAA's audit teams. (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 latest requirements.

CLOSING MEETING ("OUT-BRIEF")

The closing meeting is conducted to ensure that the Operator's senior management have been fully debriefed on the results of the audit.

CAR Ref	REQUIREMENTS	N/A	Satisfactory	Not Satisfactory	Note Number
CAR part 121 Subpart 4	ORGANIZATION/ MANAGEMENT				
	ORGANIZATIONAL STRUCTURE				
	Is there a description and organogram?				
	Confirm Management Plan is contained in the Operations Manual and that it is being implemented.				
	NOMINATED POST HOLDERS:				
	• Chief Executive Officer (Accountable Manager)				
	• Responsible Person Flight Operations				
	• Responsible Person Safety				
	• Responsible Person Aircraft				
	• Security manager				
	• Quality assurance manager				
	• Chief pilot				
	• Cabin safety manager				
	Are their responsibilities and functions defined and formalised?				
	Does senior management continually monitor and strive to improve the company safety and quality policy effectiveness?				
	Do they communicate the importance of meeting statutory and regulatory requirements?				
	Do they ensure that safety and quality objectives are understood and maintained by all personnel?				
	Are periodic operations, safety, and quality meetings/ reviews conducted?				
	Do inputs to the management review/ s 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 management reviews?				
CAR Part 140 & OM	SAFETY MANAGEMENT SYSTEM				
	Complete Initial SMS Assessment Checklist (CA 140-03)				
	For operators who have achieved 85% complete SMS Routine Assessment Checklist (CA 140-04)				
121.0 2.15& 16 & OM	FATIGUE RISK MANAGEMENT SYSTEM (FRMS)				
	Does the operator have an FRMS				
	Has the operator designated a person responsible for FRMS?				
	Does the operator's FRMS manual contain as a minimum the following?				
	1. A FRMS policy?				
	2. A FRMS processes?				
	3. A safety assurance processes?				
	4. A FRMS promotion processes; each as prescribed in document SA-CATS?				
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CAR Part 121 Subpart 10 & OM	QUALITY MANAGEMENT SYSTEM				
	Quality System & Policy				
	Does the QMS include a quality assurance programme that includes all planned and systematic actions necessary to provide confidence that all operations and maintenance are conducted in accordance with all applicable requirements, standards and operational procedures?				
	Structured according to the size and complexity of the operation?				
	Formal policy statement from Accountable Manager?				
	Does the system comply with the policy?				
	Are quality processes and procedures implemented?				
	Cite continued compliance with relevant CAR and AOC holder's standards?				
	Does Accountable Manager have overall responsibility for the Quality System?				
	Quality Manager				
	Does the Quality Manager ensure:				
	The monitoring of compliance with, and the adequacy of, the procedures required to ensure safe operational practices and airworthy aircraft?				
	The monitoring of activity in flight operations, maintenance, crew training and ground operations, to ensure that the standards required by the Director, and any additional requirements defined by the operator are being met?				
	Any additional tasks that may be assigned with respect to the financial and non-operational efficiency aspects of the company?				
	Quality assurance programme is properly established, implemented, maintained and continuously renewed and improved?				
	Does the QM have a direct link to the Accountable Manager?				
	Does the QM have access to all parts of the operator and sub-contractor's organization?				
	Are the functions of the Quality Manager carried out by different but complementary Quality Assurance programmes?				
	Are Quality Managers (QM's)/ reps and auditing functions independent with no conflict of interest?				
	Scope				
	Does the scope of the quality monitoring include all those required by the SA-CATS?				
	Audit Scheduling				
	Is the schedule flexible and does it allow for unscheduled audits when trends are identified?				
	Has the operator established a schedule of audits to be completed during a specified calendar period?				
	Are all aspects of the operation reviewed within every period of 12 months in accordance with the programme (unless an extension to the audit period is accepted by the Director)?				
	Document Control				
	Is the Quality Management System (QMS) supported by a Quality Management Manual (QMM) that is approved?				
	Quality Assurance Programme				
	Are the inspections and audits carried out as per the requirements of the Quality Manual and SA-CATS & CARS?				
	Are non-compliances identified and recorded?				

	Origin of the finding established?				
	Individual/department responsible for implementing corrective action identified?				
	Are corrective actions developed in response to findings?				
	Corrective actions monitored to verify completion?				
	Is there a procedure for when corrective action not completed within stated time limit?				
	Monitoring the implementation and completion of corrective action?				
	Providing management with an independent assessment of corrective action implementation and completion?				
	Evaluating the effectiveness of corrective action through follow-up?				
	Management Evaluation				
	Is there Process for identification of trends?				
	Prevention of non-conformities?				
	Does the Accountable Manager determine frequency, format and structure of management evaluation and review activities?				
	Recording				
	Does the operator maintain accurate, complete and readily accessible records documenting the results of the quality assurance programme for a period of at least five years?				
	Quality Assurance Responsibility For Sub-Contractors				
	Are any of the AOC holders' activities contracted out to external agencies?				
	Does a written agreement exist between the AOC holder and the sub-contractor?				
	Are the sub-contractor's safety related activities included in the AOC holder's quality assurance programme?				
	Quality System Training				
	Are those responsible for managing the quality system and those involved in the inspection or audit functions trained in accordance with SA-CATS?				
	For those not responsible for managing the quality system, does training cover a briefing on the way the quality system will function in the company?				
	REGULAR AND NON-REGULAR PRIMARY REPORTS-FROM FLIGHT CREWS				
	Operator Flight record				
	Cabin Crew report				
	Technical log				
	Aircraft log				
	Fuel docket				
	Arrival/ Departure message				
	Flight crew and Technical irregularity Report				
	Bird Strike Report & AVMED procedure				
	Flight Safety Report				
	Captain's Flight Record				
	Flight Test Report				
	Flight crew and Technical irregularity Report				
CAR Part 48	REVIEW OPERATORS WET LEASE CONTRACTS (IF APPLICABLE)*				

Subpart 3	Wet Lease – In CARS 48				
	Obtain prior approval for foreign registered aeroplanes Duration of lease 6 calendar months max. per year Wet Lease – In - From operator who holds AOC Type certified aircraft?				
	Valid COA?				
	Maintained/ operated according to 121?				
	Operated according to AOC?				
	Fleet not predominantly composed of leased aircraft Lease agreement to include 121.01.6(1) as a condition				
	Wet Lease – Out CARS 48.03.4				
	Lease-out to non-contracting state operator; (shall remain the operator of the aeroplane for the purposes of subpart 6)				
CAR Ref	REQUIREMENTS	N/A	Satisfactory	Not Satisfactory	Note Number
Car Part 48	Lease Between 2 RSA Operators				
	Leasing operator to remain the operator of aeroplane as prescribed in subpart 6 Lease operator to obtain approval from Director of Civil Aviation Conditions of approval shall be part of lease agreement Sub chartering May not exceed five days Director of Civil Aviation informed within 24 hours				
CAR Part 121 Subpart 4 & OM	DOCUMENTATION AND RECORDS MANAGEMENT				
	Does the Management system documentation include: An Organisation manual containing the organisational scope, structure, safety and quality policies and objectives including a description of management personnel and their respective duties and responsibilities?				
	Operations and Training manuals required by CAA?				
	Policy and Procedural manuals required to ensure the effective planning, operation and control of its quality processes?				
	Records required by CAA and ISO standards (the latest forms)?				
CAR Part 121 Subpart 6	AOC/ AIR SERVICE LICENCE				
	Does the company possess a valid Licence/ AOC?				
	Domestic?				
	International?				
	Both?				
	Cargo/ Pax?				
	Both?				
	Are they displayed?				
	Are the types of aircraft still valid?				
	Is the company providing the type of air service as stated on the AOC?				
	Does the company have proof of liability insurance?				
CAR Part 121 Subpart 7 & OM	DOCUMENTS TO BE RETAINED ON GROUND (90 DAYS)				
	Is this requirement ensured and controlled?				
	PARTS OF FLIGHT FOLDERS:				
	Aircraft Registration Date of Flight				

	Name of Flight Crew Members				
	Duty Assignment of Flight Crew Members				
	Place of Departure				
	Place of Arrival				
	Time of Departure (off-block time)				
	Time of Arrival (on-block time)				
	Hours of Flight				
	Nature of Flight				
	Incidents, observations (if any)				
	Signature of Pilot in Command				
	Current Maintenance Status Statement				
CAR Ref	REQUIREMENTS	N/A	Satisfactory	Not Satisfactory	Note Number
	Outstanding Deferred Defects				
	Fuel Used				
	Fuel Uplift				
	Load and trim sheet				
	Passenger list and Cargo manifest				
	Special loads notification (Dangerous Goods)				
	Copy of Operational Flight Plan				
	General Declaration				
	Are the required documents completed and signed?				
121.0	OPERATIONS MANUAL				
4.2	Approved and amendments reflect current policy and procedures?				
	Do aircrew members and ground operations personnel, such as operational controllers and dispatchers, have a copy of the appropriate part of the Ops Manual?				
	How are crew kept current on the contents of the Ops Manual? (E.g. periodic open book quizzes).				
CAR Part 91 & OM	AIRCRAFT DOCUMENTATION:				
	Does the Operator ensure and control that the following documentation is retained and available on board aircraft and is also in good condition:				
	Flight folios				
	Certificate of Airworthiness				
	Certificate of Registration				
	Licence of Flight Crew Members				
	Certificate of Safety (Release to Service)				
	Journey Logbook or General Declaration				
	Passenger Manifest				
	Manifest and Detailed Declaration of Cargo				
	Mass and Balance Report				
	Noise Certificate				
	List of Visual Signals for Intercepting/Intercepted Aircraft				
	Aircraft Flight Manual				
	Radio Station Licence?				
	Certified copies of AOC and OpsSpec				

	MEL CAA approval and/ or confirm compliance with MMEL?				
	CAR/ CATS Updated and complete?				
	AIC AND NOTAMS Updated and complete?				
CAR Ref	REQUIREMENTS	N/A	Satisfactory	Not Satisfactory	Note Number
	OPERATIONS				
CAR part 121 Subpart 7 & OM	OPERATIONAL CONTROL AND SUPERVISION				
	Is there adequate organization, control and supervision of flight operations and training?				
	Are there regular, documented flight operations meetings and reviews?				
	Are there regular, documented flight operations technical reviews?				
	Are minutes kept and is there a control/ feedback system enabling concerns to be addressed to Senior Management and to ensure corrective and preventive actions are carried out as necessary?				
	Is there a process for establishing operational policies and procedures?				
	Are operations personnel receiving safety/ operational information in a timely manner?				
	CONTRACTED SERVICES				
	Does the Operator have a surveillance or oversight programme applicable to external ground handling agents or service providers to ensure that all ground handling operations performed for the Operator are conducted in conformity with the Approved Operations Manual and applicable regulatory requirements?				
	GROUND HANDLING				
	Does the Operator have a system for the management of personnel assigned to its ground handling operations, to include assurance of appropriate competence, training, education, skills, and experience?				
	Does the Operator have an operating manual containing corporate standards that meet Operator and applicable Regulatory requirements, and include policies, processes, procedures and practices for all ground handling operations?				
	Does the operator have training programmes that include initial and recurrent training to ensure that employees engaged in ground handling operations establish and retain their effectiveness in carrying out assigned duties?				
	Does the operator ensure a designated individual is responsible for supervision and oversight of ramp operations?				
	BUILDING AND BASE FACILITIES-				
	Are office facilities adequate?				
	Are there adequate passenger and cargo handling facilities/ equipment?				
	Is there an operations library?				
	Is there an aircraft technical library?				
	Are there crew briefing facilities?				
	Are there crew and staff rest rooms?				
CAR part 121 Subpart	DISPATCHERS AND OPERATIONS				
	OFFICERS/ CONTROLLERS / FLIGHT FOLLOWERS				
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7 & OM	Does the operators have Flight Operations Officers/ Dispatchers/Ops Controllers?				
	Is there an explicit management structure and lines of authority for Dispatchers and Ops officers/ Controllers?				
	Are their responsibilities clearly defined?				
CAR Part 121 Subpart 3 & OM	Do they have the experience appropriate to their position?				
	Are all Ops Controllers and Dispatchers formally trained?				
	Is there a formal syllabus?				
	Does it cover all the relevant aspects as required by the CAR?				
	Do the Ops Controllers and dispatchers do recurrent training?				
	Who conducts the training?				
	Do the instructors that train the dispatchers/flight Operations Officers/controllers and flight followers meet the requirements of the regulations.				
	Do the instructors do recurrent training?				
CAR Part 121 Subpart 2 & OM	Has the Operator established a scheme for the regulation of duty periods that include the FOOs				
	Do the flight operations officers comply with duty period limitations as per the SACATS?				
CAR part 121 Subpart 7 & OM	SYSTEM OF FLIGHT FOLLOWING				
	Is there a system in operation?				
	Is the system formally managed and controlled?				
	Are there adequate facilities and comms available?				
CAR Ref	REQUIREMENTS	N/A	Satisfactory	Not Satisfactory	Note Number
CAR part 121 Subpart 7 & OM	ROUTES AND AREAS OF OPERATION				
	The PIC must demonstrate within the past 12 months:				
	• Knowledge of route				
	• Knowledge of aerodrome				
	• Knowledge of procedures over high density traffic/ inhabited areas				
	• Knowledge of obstructions, physical layout, lighting, holding, instrument approach, operating minima, and SID/ STAR of aerodrome				
	• Knowledge of any specific navigational qualification which may be required over the route				
	RNAV ,MNPS ,RNP AND GNSS				
	Crew trained and aircraft certified?				
	RVSM				
	Crew trained and aircraft certified?				
	SCHEDULED OPERATION: PAR. (a) (i) & (ii)				
	Are there sufficient ground facilities and services?				
	Are Meteorological services provided?				
	TWIN ENGINE OPERATION: PAR(C)				
	If a twin-engine aircraft is used, are adequate airfields available within the time and distance limitations as prescribed?				
	Described in Ops Specifications?				
	Is ETOPS / EDTO applicable? If so, are the ETOPS / EDTO rules contained in CATS 121.07.1 applied?				
	MINIMUM FLIGHT ALTITUDES				

	Does the Operator have a process in place to establish minimum flight altitudes?				
	Are there specified methods included in the Ops manual and are they applied?				
	Are performance and operating limitations as per CARS 121.07.6 par 2 and 3 and Subpart 8 and CATS 91.07.2 taken into account?				
CAR part 121 Subpart 4 & 7&8 & OM	POLICIES AND PROCEDURES				
	Does the Operator ensure that Operations policies and procedures are appropriately and consistently applied?				
	Is there a policy regarding procedure violations?				
	Are take off minima procedures applied? (See also Low Visibility Procedures (LVP's))				
	Is there a policy regarding the use and suitability of alternates for T/ O and Destination?				
	Are there sufficient procedures and practises in place to ensure safe visual and instrument approaches?				
	Are there non-precision approach procedures?				
	Precision approach: Category I operations. Confirm Operator's policy regarding missed approaches (Commencement and continuation of approach limitations 91.07.25)				
	Are Category II and III- and Low visibility operations catered for? (Part 91 Subpart8), if applicable				
	Is there adequate procedural training?				
	Does the Operator ensure that all aircraft operate in accordance with a comprehensive and detailed code of performance?				
CAR Ref	REQUIREMENTS	N/A	Satisfactory	Not Satisfactory	Note Number
	Are all significant aircraft performance factors such as wt, alt, temp, r/way gradient and contamination considered?				
	When operating into special airports?				
	Does the Operator ensure that t/o wt and estimated landing wt will not exceed max wt's as specified in the flight manual?				
	Does the Operator plan for critical engine failure and to either stop the t/ o or still continue safely?				
	Does the Operator ensure that en-route aircraft are still able to continue and remain above min flt alt?				
	FUEL POLICY				
	Is the Operators fuel policy and planning detailed in the Ops Manual? (In terms of CATS 91.07.12)				
	Is minimum dispatch/ departure fuel calculated to include taxi, trip, alternate, contingency and final reserve fuel?				
	Does the operational flight plan have a breakdown of sector fuel?				
	Are In-flight fuel checks carried out and logged?				
	Is there an in-flight re-planning procedure?				
	AEROPLANE PERFORMANCE OPERATING LIMITATIONS				
	Do the Operator's procedures/ policies ensure compliance of a Class A aeroplane, if applicable, with the requirements of Subpart 8, Division One for a Class A aeroplane?				
	OPERATORS FLIGHT CREW SCHEDULING SYSTEM				
	Has the Operator established flight- and duty time limitations?				
	How is it monitored/ controlled?				
	Are records kept?				

	Is other commercial flying tracked and accounted for?				
	Does the pilot sign a declaration declaring that he/ she will not be exceeding their limits by undertaking this flight?				
	If there is a requirement to exceed these limits, is the crewmembers' permission obtained and is CAA informed/ approval requested?				
CAR part 121 Subpart 7 & OM	AEROPLANE OPERATING MANUAL(S)				
	Is it included or referred to in the Ops manual?				
	Is each crewmember provided with a copy of the parts relevant to his/ her duties?				
	OPERATIONAL FLIGHT PLAN				
	Is it completed for each flight?				
	Is it signed?				
	Are all entries current and of permanent nature?				
	Is it complete i.r.o all required detail?				
	Is it retained for 90 days?				
	Confirm compliance with CATS 121.04.5				
	Confirm the process and organisation for handling of accidents and incidents as described in Ops Manual				
CAR part 121 Subpart 3 & OM	FLIGHT CREW TRAINING				
	TRAINING MANUAL				
	Confirm approval and currency				
	Compare with onboard normal and emergency checklists				
CAR Ref	REQUIREMENTS	N/A	Satisfactory	Not Satisfactory	Note Number
CAR part 121 Subpart 3 & OM	TRAINING RECORDS				
	Confirm copies of licenses and all other relevant records and reports				
	Confirm upkeep				
	Verify that all recurrent programs are carried out				
	Is there a system in place to ensure that crew is current in all aspects of Part 121 training requirements?				
	CONVERSION COURSE				
	Approved syllabi?				
	ANNUAL ROUTE CHECKS				
	Recorded and validity?				
	RECURRENT TRAINING/ SIX MONTHLY PROFICIENCY CHECKS				
	Confirm currency and recency and if operating on more than one type				
	CRM				
	Confirm Initial and recurrent training				
	Recurrent training every 12 months?				
	Syllabus completed over 4 year period?				
	DANGEROUS GOODS				
	Confirm Initial and recurrent training				
	Recurrent training every 24 months				
	RNAV (RNP 5), RVSM and NAT MNPS (Oceanic)				
	If applicable.				
	FLIGHT SIMULATORS				
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	• All simulators approved?				
	• Frequency satisfactory?				
	SPECIAL ENDORSEMENTS				
	ACCEPTANCE OF CARGO				
	Part 108 Checklist completed by Cargo Inspector				
	DANGEROUS GOODS HANDLING				
	Part 92 Checklist completed by DG Inspector				

DEBRIEF		
Operator Representatives		
Team		
Operations		
Training		
Administration		
Documentation		
Recommendations		
SIGNATURE OF 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. <i>*Delete which is not applicable</i>		
SIGNATURE OF OPERATOR'S REPRESENTATIVE	NAME IN BLOCK LETTERS	DATE

Number	NOTES

Number	NOTES

CONCLUSIONS: FINDINGS AND OBSERVATIONS	
LEVEL 1 FINDING	
(Constitutes non-compliance which necessitates 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)(7 days)	
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.) (30 Days)	

ATTENDANCE REGISTER

[illegible]

ATTENDANCE REGISTER

[illegible]

APPENDIX A

1. Entry meeting agenda
2. Thank the operator for their attendance, co-operation and use of their facilities.
3. Introduce the team.
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 necessary.