



Section/division: **FLIGHT OPERATIONS**
 Telephone number: **011-545-1000**
 Physical address: **Ikhaya Lokundiza, 16 Treur Close, Waterfall Park, 10 Bekker Street, Midrand, Gauteng**
 Postal address: **Private Bag X73, Halfway House 1685**

Fax Number: **011-545-1350**
 Website: **www.caa.co.za**

Form Number: CA 121-18a

**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.

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	DOC	IMPL	Note Number
	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:			
	<ul style="list-style-type: none"> Chief Executive Officer (Accountable Manager) 			
	<ul style="list-style-type: none"> Responsible Person Flight Operations 			
	<ul style="list-style-type: none"> Responsible Person Flight Crew Training 			
	<ul style="list-style-type: none"> Responsible Person Safety 			
	<ul style="list-style-type: none"> Responsible Person Aircraft 			
	<ul style="list-style-type: none"> Responsible Person Ground Operations 			
	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:			
	<ul style="list-style-type: none"> Results of audits 			
	<ul style="list-style-type: none"> Safety and quality issues/outcomes 			
	<ul style="list-style-type: none"> Operational feedback 			
	<ul style="list-style-type: none"> Changes in regulatory policy or CAA legislation 			
	<ul style="list-style-type: none"> Status of corrective and preventive actions 			
	<ul style="list-style-type: none"> Follow up actions from previous management reviews? 			
	FLIGHT SAFETY MANAGEMENT			
	Is there a Safety Management System?			
	Is there an approved/ accepted safety management manual?			
	Is there a safety management policy indicating safety accountability at all levels in the organization?			
	Are safety concerns communicated to all levels of the organization, including clients/ service providers?			
	Are risk assessments conducted for all identified hazards/ changes affecting the organization?			
	Is provision made for confidential safety reporting?			
	Is appropriate feedback given to personnel who report safety concerns?			
	Is there a Safety Manager, with significant authority, who has sufficient flying/ operational knowledge and experience to be responsible for the accident prevention and flight safety program?			

CAR Ref	REQUIREMENTS	DOC	IMPL	Note Number
	Is the Safety Manager independent from line and operational management activities and reporting directly to the CEO/ Accountable Manager?			
	Is there a control/ feedback system enabling safety related concerns to be addressed to Senior Management and to ensure corrective and preventive actions are carried out as necessary?			
	Are minutes/ records of safety and other related meetings kept, specifying persons responsible, action required, action taken, return dates and feedback to Senior Management?			
	Are these minutes signed and distributed to the appropriate persons?			
	Is there a documented accident prevention and flight safety programme?			
	Have safety targets been established and are they being monitored?			
	Are all safety related documents and records managed correctly?			
	Is provision made for safety training for all personnel?			
	Is provision made for safety communication/ promotion?			
	EMERGENCY RESPONSE PLAN			
	Confirm the process and organisation for handling of accidents and incidents as described in Ops Manual			
	QUALITY ASSURANCE			
	Is there a Quality Assurance System and associated policy statement?			
	Is there a Quality Assurance program?			
	Have AIC 18.28/ CATS 121.04.2 been used as basis?			
	Is there a Quality Manual/ Section?			
	Is there an organogram and a general description of the quality system and are management/ control lines identified?			
	Is there a Quality Manager, with significant authority and who has sufficient flying knowledge and experience to be responsible for the quality assurance and internal evaluation/ audit programme?			
	Is the Quality Manager suitably qualified?			
	Is the Quality Manager independent from line and operational management activities (preferably not one of the nominated post holders but could be the CEO if not one of the nominated post holders as well) and reporting directly to the CEO/ Accountable Manager?			
	Is there a control/ feedback system enabling quality related concerns to be addressed to Senior Management and to ensure corrective and preventive actions are carried out as necessary?			
	Are minutes/ records of quality and other related meetings kept specifying persons responsible, action required, action taken, return dates and feedback to Senior Management?			

CAR Ref	REQUIREMENTS	DOC	IMPL	Note Number
	Are these minutes signed and distributed to the appropriate persons?			
	If the quality/ audit function is outsourced, does the organisation still ensure control over it?			
	Is the control identified within the management system?			
	Does the Operator ensure that these external auditors carry out their responsibilities according to the Operator's requirements and applicable legislation?			
	How? (E.g. by means of a formal contract/ SLA)			
	Are they familiar with the Operator's type of operation?			
	In this case, is there a control/ feedback system as well, enabling quality related concerns to be addressed to the Operator's Senior Management and to ensure corrective and preventive actions are carried out promptly when necessary?			
	QUALITY AUDITS (QA'S)			
	The purpose of QA's is to confirm that Operator policies, structures, facilities, resources and procedures remain relevant to the operation; to ensure conformance with regulatory and management system requirements; and to identify potentially unsatisfactory practices or procedures before they cause an accident or incident.			
	Is this requirement specified by the Operator?			
	Is there an audit team either dedicated or otherwise?			
	Are they independent with no conflict of interest?			
	Do they have direct line reporting to Senior Management (Accountable Manager)?			
	Are Quality Managers (QM's)/ reps and auditing functions independent of Ops and other line managers?			
	Does/ do the QM/s have direct access to the CEO/ Accountable Manager?			
	Do QM's have access to all parts of the organisation?			
	Has an audit-schedule/ program been established?			
	Does the audit scope cover at least the aspects in par (8) (d) of AIC 18.28/CATS 121.04.2?			
	Are company wide internal audits conducted including sub-contracted activities?			
	Are audit reports submitted to the CEO/ Accountable Manager and other relevant managers at the completion of each audit?			
	Are actions taken without delay to eliminate detected non-compliances and ensure corrective and preventive actions are carried out?			
	Is root cause analysis conducted on all findings?			
	Are corrective/ preventive actions followed up to confirm appropriateness and effectiveness?			

CAR Ref	REQUIREMENTS	DOC	IMPL	Note Number
	QUALITY INVESTIGATIONS (Q INV)			
	The purpose is to determine the chain of events and to identify and analyse the prime causes of an occurrence/ non-conformance. This includes quality and safety concerns.			
	Are reports submitted to the CEO/ Accountable Manager and other relevant managers at the completion of each investigation?			
	Is there a formal feedback process, and are actions taken without delay, to eliminate detected non-compliances and ensure corrective and preventive actions are carried out?			
	QUALITY TRAINING			
	Are training courses for QA personnel and auditors planned/ carried out for the relevant person/ s?			
	Does existing training for all employees cover the fact that the Operator:			
	Operates under SA-CARS 121			
	Has a Quality System			
	Has a Quality Manual, and			
	Has a Quality Assurance/ Audit Program?			
	QUALITY ASSURANCE WITHIN FLIGHT OPERATIONS			
	INTERNAL CONTROL AS PART OF THE QUALITY SYSTEM			
	The Reporting System detailed below is aimed at keeping management and other functions informed about the performance in the Flt Ops fields. Reports should consist of the following:			
	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			
	Flight Safety Report			
	Captain's Flight Record			
	Flight Test Report			
	Flight crew and Technical irregularity Report			

CAR Ref	REQUIREMENTS	DOC	IMPL	Note Number
	REVIEW OPERATORS WET LEASE CONTRACTS (IF APPLICABLE)			
	Wet Lease - In			
	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			
	Lease-out to non contracting state operator; (shall remain the operator of the aeroplane for the purposes of subpart 6)			
	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			
	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?			
	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 Ref	REQUIREMENTS	DOC	IMPL	Note Number
	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			
	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?			
	OPERATIONS MANUAL			
	Approved and amendments reflect current policy and procedures?			
	STRUCTURE COMPRISES THE FOLLOWING:			
	Part 1: General			
	Part 2: Aeroplane Operating Matters			
	Part 3: Route and Aerodrome Instructions Information			
	Part 4: Training			
	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 Ref	REQUIREMENTS	DOC	IMPL	Note Number
	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			
	Noise Certificate			
	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?			
	OPERATIONS			
	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?			

CAR Ref	REQUIREMENTS	DOC	IMPL	Note Number
	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?			
	DISPATCHERS AND OPERATIONS			
	OFFICERS/ CONTROLLERS			
	Is there an explicit management structure and lines of authority for Dispatchers and Ops officers/ Controllers?			
	Are their responsibilities clearly defined?			
	Are all Ops Controllers and Dispatchers formally trained?			
	Is there a formal syllabus?			
	Does it cover all the relevant aspects?			
	Do they have the experience appropriate to their position?			
	SYSTEM OF FLIGHT FOLLOWING			
	Is there a system in operation?			
	Is the system formally managed and controlled?			
	Are there adequate facilities and comms available?			
	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 and MNPS			
	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 applicable? If so, are the ETOPS rules contained in CATS 121.07.1 applied?			

CAR Ref	REQUIREMENTS	DOC	IMPL	Note Number
	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?			
	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?			
	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?			

CAR Ref	REQUIREMENTS	DOC	IMPL	Note Number
	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?			
	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			
	FLIGHT CREW TRAINING			
	TRAINING MANUAL			
	Confirm approval and currency			
	Compare with onboard normal and emergency checklists			
	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?			

CAR Ref	REQUIREMENTS	DOC	IMPL	Note Number
	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			
	<ul style="list-style-type: none"> All simulators approved? 			
	<ul style="list-style-type: none"> Frequency satisfactory? 			

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

CONCLUSIONS: FINDINGS AND OBSERVATIONS

SEVERE NON-COMPLIANCE

(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)

MAJOR NON-COMPLIANCE

(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)

NON-COMPLIANCE

(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.)

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.