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Civil Aviation Authority of Sri Lanka

MANUAL OF REGULATORY AUDITS

Second Edition - 2004

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Foreword

The Regulatory Audit Program (RAP) has been developed to promote conformance with the aviation regulations and standards, which collectively prescribe an acceptable level of aviation safety. It also ensures audit policies and procedures are applied uniformly across the State.

A regulatory audit is a cost-effective means of providing civil aviation authorities with an in-depth view of an aviation document holder's operation. It is a unique process in that our approach to the candidate organisation is one of complete openness throughout the activity.

Successful regulatory audits require auditors to adopt a positive manner and a professional approach while using proven methods for analysis. Equally important are the overall experience and auditing skills developed by each participant in the process. Only when all audit participants strive for the highest possible standards, can the final product be an accurate assessment of the audit organisation.

Many air operators have developed a process for conducting internal regulatory audits of their organisation to supplement the audits conducted by Civil Aviation. Air operators are encouraged to use the policy and procedures in this manual to guide this process.

H.M.C.Nimalsiri
Director General of Civil Aviation and
Chief Executive Officer

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Part 1

Audit Policy and Procedures

Chapter 1 Definitions, Abbreviations and Acronyms

1.1 Definitions

The following terminology is specific to the Regulatory Audit Program's (RAP) Manual of Regulatory Audits (MRA):

audit means an in-depth review of the activities of an organisation to verify conformance to regulations and standards.

audit activities means those activities and procedures through which information is obtained to verify the auditee's conformance to applicable regulations and standards. Such activities may include, but are not limited to: interviews, observations, inspections and the review of files and documents.

auditee means the organisation to be audited. This term may be interchanged with "organisation", "company", "operator", "air operator", "private operator" or "flight training unit operator".

audit finding means the determination of non-conformance of a product, process, practice or procedure or a characteristic thereof to a specified regulation or standard. This will be documented on the Audit Finding Form.

audit manager means the individual, designated by the Convening Authority, responsible for the planning and conduct of an audit, including the production of the audit report.

audit report means a report that outlines the audit process and provides a summary of the audit findings.

certification means the process of determining competence, qualification, or quality on which the issuance of an aviation document is based. This includes the original issuance, denial, renewal or revision of that document.

characteristic means any distinct property or attribute of a product, process, service or practice of which the conformance to a regulation or standard can be measured.

combined audit means an audit that targets both Airworthiness and Operations functional areas.

confirmation means the assurance that audit findings are in accordance with data obtained from different sources.

Confirmation Request Form (CRF) means a form issued during the inspection portion of an audit to the auditee by a Civil Aviation inspector requesting information that is not readily available. The auditee will be requested to respond within a specified time period.

conformance means the state of meeting the requirements of a regulation or standard.

Convening Authority (CA) means the individual responsible for authorising and overseeing the regulatory audit. The CA is also responsible for ensuring that the follow-up is completed.

Corrective Action Plan (CAP) means a plan submitted to the CA or to his or her delegate by the auditee, following receipt of the audit report. This plan outlines the manner in which the company proposes to correct the deficiencies identified by the audit findings. Carrying out the plan should bring the auditee into full conformance with regulatory requirements.

depth means the period of time over which a company will be audited, normally from the last audit up to the present day.

documented means that which has been recorded in writing, photocopied or photographed and then signed, dated and retained so as to ensure the continuity of the evidence secured.

follow-up means the activity following an audit that is dedicated to program modification based on an approved Corrective Action Plan. Follow-up ensures that the document holder meets regulatory requirements.

inspection means the basic activity of an audit, involving examination of a specific characteristic of a company.

Regulatory Audit Program (RAP) means the program that promotes conformance with the aviation regulations and standards that collectively prescribe an acceptable level of aviation safety. The RAP ensures that Civil Aviation audit policies and procedures are applied uniformly.

Regulatory Audit Plan means the annual plan of scheduled audits intended to measure the level of an organisation's conformance. These organisations include designated airworthiness organisations and air operators.

non-conformance means the failure of characteristics, documentation or a procedure to meet the requirements of a regulation or standard, which renders the quality of a product or service unacceptable or uncertain.

practice means the method by which a procedure is carried out.

product means the end result of a procedure or process.

procedure or **process** means a series of steps followed methodically to complete an activity. This includes: the activity to be done and individual(s) involved; the time, place and manner of completion; the materials, equipment, and documentation to be used; and the manner in which the activity is to be controlled.

sampling means the inspection of a representative portion of a particular characteristic to produce a statistically meaningful assessment of the whole.

scope means the number of functional areas within a company that will be audited.

specialist audit means an audit that targets either Airworthiness or Operations functional areas.

special-purpose audit means an audit intended to respond to special circumstances beyond initial certification, requests for additional authority or routine conformance monitoring.

standard means an established criterion used as a basis for measuring an auditee's level of conformance.

team leader means the individual appointed by the audit manager to conduct either the Airworthiness or the Operations portion of the audit.

team member means the individual appointed by the team leader to participate in either the Airworthiness or the Operations portion of the audit.

verification means an independent review, inspection, examination, measurement, testing, checking, observation and monitoring to establish and document that products, processes, practices, services and documents conform to regulatory requirements. This includes confirmation that an activity, condition or control conforms to the requirements specified in contracts, codes, regulations, standards, drawings, specifications, program element descriptions, and technical procedures.

working papers means all documents required by the auditor or audit team to plan and implement the audit. These may include audit schedules, auditor assignments, checklists and various report forms.

1.2 Abbreviations and Acronyms

The following abbreviations and acronyms will be found throughout this manual:

AA .....Aeronautics Act
A/C .....Aircraft
ACA .....Aircraft Certification Authority
AD.....Airworthiness Directive
AEO.....Airworthiness Engineering Organisation
AFM.....Aircraft Flight Manual
AIP .....Aeronautical Information Publication
AIR.....Airworthiness Inspection Representative
AME.....Approved Maintenance Engineer
AMO .....Approved Maintenance Organisation
AN.....Airworthiness Notice
ATC.....Air Traffic Control
ATO.....Approved Training Organisation
CA.....Convening Authority
CAI .....Civil Aviation Inspector
CAP.....Corrective Action Plan
CCP .....Company Check Pilot or Instructor Pilot
CDL .....Configuration Deviation List
C of A .....Certificate of Airworthiness
C of G.....Centre of Gravity
C of R.....Certificate of Registration
CRF .....Confirmation Request Form
DAEO .....Design Approval Engineering Organisation
DAMI .....Designated Airworthiness Maintenance Inspector
DAO .....Design Approval Organisation
DAPM .....Design Approval Procedures Manual
DAR.....Design Approval Representative
DFO.....Director, Flight Operations
DG .....Dangerous Goods
ELT.....Emergency Locator Transmitter
FAM.....Flight Attendant Manual
FAR.....Federal Aviation Regulation
FOO.....Flight Operations Officer

HF .....High Frequency
ICAO .....International Civil Aviation Organisation
IFR .....Instrument Flight Rules
IFT .....Instrument Flight Test
JAA.....Joint Aviation Authority
JAR.....Joint Aviation Requirements
MCM.....Maintenance Control Manual
MDRS.....Mandatory Defect Reporting System
MEL.....Minimum Equipment List
MMEL.....Master Minimum Equipment List
MMM.....Manufacturer's Maintenance Manual
MRA.....Manual of Regulatory Audits
MRB.....Maintenance Review Board
N/A.....Not Applicable
RAP.....Regulatory Audit Program
NOTAM .....Notice to Airmen

NVFR .....Night Visual Flight Rules
PAI .....Principal Airworthiness Inspector
PCSM.....Product Control System Manual
PI .....Principal Inspector
PIC .....Pilot-in-Command
POI.....Principal Operations Inspector
PPC .....Pilot Proficiency Check
PF .....Parallel Finding
QA.....Quality Assurance
QAR.....Quality Assurance Review
QC .....Quality Control
QPM.....Quality Program Manual
SB .....Service Bulletins
SDR.....Service Difficulty Report
SFC.....Safety Features Card
SIC.....Second-in-Command
SID .....Supplemental Inspection Document
STA .....Supplemental Type Approval
STC.....Supplemental Type Certificate
TA/TC.....Type Approval/Type Certificate
TBO .....Time Between Overhauls
TCM.....Training Control Manual
TDG.....Transportation of Dangerous Goods
TI.....Technical Inspection
TL.....Team Leader
TP .....Technical Publication
TSO.....Technical Standard Order
VFR.....Visual Flight Rules
VHF .....Very High Frequency
WB.....Weight and Balance

Chapter 2 Audit Policy

2.1 Purpose

The Regulatory Audit Program (RAP) has been developed to promote conformance with the aviation regulations and standards that collectively prescribe an acceptable level of aviation safety. It also ensures that Civil Aviation audit policies and procedures are applied uniformly.

2.2 Authority

2.2.1 State

(1) Audits are conducted pursuant to the civil aviation act/regulations. Specifically, the State has the responsibility to investigate, examine and report on the safe operation of commercial air services in, to or from the State.

(2) Other organisations, such as Approved Maintenance Organisations (AMOs) are subject to the audit process under the terms of an aviation document issued to them. The audit confirms that the organisation is conforming to regulations and standards required to maintain the certificate.

2.2.2 Director General, Civil Aviation

The Director General, Civil Aviation (DGCA) is responsible for all regulatory audits and inspections and is normally the Convening Authority.

2.3 Audit Types

The type of audit is determined by the circumstances under which the audit is convened.

2.3.1 Initial Certification Audit

Prior to the issuance of an aviation document, all areas of a company will be inspected to ensure that it has conformed to the required regulations and standards. Once the company has been issued an aviation document, an initial certification audit will normally be conducted approximately six months after the certification date.

2.3.2 Additional Authority Audit

An additional authority audit may be conducted prior to the granting of additional authority. When such an audit is to be conducted, specific notification to the company is not required.

2.3.3 Routine Conformance Audit

Companies are audited on a regular basis for the purpose of determining conformance to aviation regulations and standards. A company will be contacted approximately 30 to 60 days prior to the

planned audit date to confirm the audit schedule. The complexity of the routine conformance audit will determine the lead time for contact with the company.

2.3.4 Special-Purpose Audit

A special-purpose audit is one conducted to respond to special circumstances other than those requiring an initial certification audit, an additional authority audit or a routine conformance audit. For example, a special-purpose audit may be convened with little or no notice and focus on specific areas of concern arising from safety issues. A "no-notice" audit may preclude certain team-member activities and responsibilities that would be normally associated with other types of audits.

2.3.5 Scope and Convening Authority (CA) Level Matrix

The following is a matrix of the scope and CA level for each type of audit.

Audit Category	Scope	Convening Authority
Combined	All areas of the auditee's operation.	DGCA
Specialist	One or more specific area: Operations, Airworthiness, Distributors, ATO, AEO, AMO.	DGCA.

2.4 Audit Activities

The audit process consists of the following four distinct phases of activities:

(a) the pre-audit;
(b) the physical audit;
(c) the post-audit; and
(d) the audit follow-up.

2.4.1 Pre-Audit

Planning and preparation during the pre-audit phase will ensure that the objectives of the audit are achieved effectively, efficiently and economically. The scope and depth of the proposed audit, to be addressed and justified within the audit plan, will determine the time schedule, personnel and financial resources required.

2.4.2 Physical Audit

The physical audit phase will be implemented in accordance with the audit plan. It includes the entry meeting with the audit, the determination of audit findings through interviews, inspections and the evaluation and verification of files and records, functional area debriefings and the exit meeting.

2.4.3 Post-Audit

Post-audit activities include completion of the audit report and parallel report.

2.4.4 Follow-up

Audit follow-up includes the development and approval of the auditee's Corrective Action Plan and ensures full implementation of the CAP. The CA will appoint an inspector who will be responsible for tracking and verifying the progress of the auditee's approved CAP.

2.5 Co-ordination

Audits will be co-ordinated through the CA. The audit manager will ensure that the CA is informed of all relevant audit matters, and will be accountable to the CA for the management of audit resources and the integrity of the audit process.

2.6 Scope and Depth

2.6.1 Criteria

The scope and depth of the audit is determined by the following:

(a) the size and complexity of the company;
(b) the time since the last audit;
(c) the enforcement record of the company; and
(d) audit resources available.

2.7 Frequency

2.7.1 Resource Allocation

One objective of the audit program is to target companies with poor conformance or safety records for more frequent audits. Accordingly, maximum resources will be directed at those companies where the risk of compromising aviation safety is the greatest.

2.7.2 Criteria

Audit targeting and frequency will consider the following factors:

(a) risk indicators;
(b) scope;
(c) depth;
(d) personnel resources available;
(e) flexibility;
(f) time;
(g) financing or budgets;
(h) accountability; and
(i) a poor conformance record.

2.7.3 Risk Indicators

Although inspection and audit frequency will be determined by those factors outlined in paragraph 2.7.2, risk indicators are very important when determining whether a company should be subject to additional special-purpose or more frequent inspections. A list of these indicators, with an explanation of each, follows. The ranking of each indicator may vary according to circumstances within the company when it is evaluated.

2.7.3.1 Financial Change

The effects of financial difficulties and the subsequent impact on operations and maintenance actions are potential indicators of operational safety. Examples could be "cash on delivery" demands made by suppliers; delays by the company in meeting financial obligations such as rent, payroll or fuel bills; spare-part shortages; and repossession of aircraft or other equipment.

2.7.3.2 Labour Difficulties

Labour unrest may occur during periods of seniority-list mergers, union contract negotiations, strikes, or employer lockouts, and may warrant increased regulatory monitoring.

2.7.3.3 Management Practices

Management controls employment, salaries, equipment, training and operational/ maintenance processes. It can ensure that operations and maintenance functions are performed in a controlled and disciplined manner, or it can adopt a less active approach. Management can also determine how quickly problems are solved and weak processes rectified. These factors all determine the extent of regulatory monitoring required.

2.7.3.4 Poor Internal Audit or Quality Assurance Program

Some larger companies and maintenance organisations have adopted formal quality controls. These may be in the form of a Quality Assurance Program or formal internal audits. The absence of these programs may influence the frequency of monitoring, inspections or audits.

2.7.3.5 Change in Operational Scope or Additional Authorities

Changes such as a new level of aircraft operations and associated service will require increased regulatory monitoring.

2.7.3.6 Changes in Contracting for Services

Any changes to aircraft handling or maintenance contracts may require increased monitoring to ensure that the company has conformed to regulatory requirements.

2.7.3.7 High Turnover in Personnel

A loss of experienced personnel or lack of employee stability may be the result of poor working conditions or management attitudes that result in operational inconsistencies or the inability to meet or maintain regulatory requirements. This situation will require increased monitoring.

2.7.3.8 Loss of Key Personnel

The replacement of operations managers, maintenance managers, chief pilots or other key personnel within a company will require increased regulatory monitoring to ensure a smooth transition.

2.7.3.9 Additions or Changes to Product Line

Any changes to a product line may require increased monitoring to ensure that appropriate regulatory requirements have been met.

2.7.3.10 Poor Accident or Safety Record

Incidents or accidents that occur during company operations may be an indicator of the company's level of conformance and require additional monitoring, inspection or audits.

2.7.3.11 Merger or Takeover

Any merger or change in controlling management may require additional regulatory monitoring or inspection after initial recertification.

2.7.3.12 Regulatory Record

A company's record of previous inspections and audits, the promptness with which the company has completed its CAP, and its overall conformance history are indicators that will influence the frequency of monitoring, inspections and audits.

2.7.4 Periodic Cycle

Every company holding an aviation document will be audited on a periodic cycle ranging from six to 36 months. This periodic cycle can be extended to a 60-month maximum for those companies with a strong internal audit program, a sound conformance record, and none of the risk indicators described in paragraph 2.7.3. The promptness with which previous non-conformances were corrected should also be a factor in the timing of the next audit.

2.8 Unity of Control

Inspectors assigned to an audit shall report to the designated audit manager for the duration of the audit. To ensure continuity, inspectors assigned to an audit shall not be released from their audit duties prior to the completion of the audit unless written authorisation has been received by the audit manager.

2.9 Qualifications

The audit team members' qualifications will vary according to their respective duties and responsibilities. However, each member of the team (except those in training or serving as observers) will have taken the Audit Procedures Course.

2.10 Principal Inspector Restrictions

To remain impartial throughout the audit process, Principal Operations Inspectors (POIs) and Principal Airworthiness Inspectors (PAIs) should not participate in audits of their assigned companies except in an advisory capacity to assist the appropriate team leader. The CA, however, may approve the participation of the POI or PAI as an active member of the audit team, should circumstances and resources dictate.

2.11 Inconsistencies — Civil Aviation Approvals

During an audit, the auditee may produce letters or approval documents which appear inconsistent with current legislation or policy. The audit manager shall report such documentation to the CA immediately and include these inconsistencies in the parallel report. Unless safety is compromised, the auditee will not be required to make immediate program changes. The CA is responsible for resolving these inconsistencies and advising the auditee of any required action.

2.12 Confidentiality

2.12.1 Discussion of Audit Content

Owing to the sensitive nature of audits, confidentiality is of the utmost importance. Team members shall exercise discretion when discussing audit matters during an audit (whether on or off the site). Discussion of audit content shall be limited to the audit team and appropriate Civil Aviation management.

2.13 Parallel Report

When audit findings are identified against civil aviation, the audit manager will prepare a parallel report for the CA. Chapter 3, Section 3.4.4 of this Part outlines the general procedures for preparing a parallel report. A sample parallel report can be found in Appendix 11.

Chapter 3 General Audit Procedures

3.1 Classes of Audits

3.1.1 General

(1) The two classes of audits are:

(a) Combined Audit;
(b) Specialist Audit.

(2) For an audit to be a complete and effective review of a company's operation it should normally be conducted as a combined audit (i.e., as a joint airworthiness and operations audit). The combined audit should be the norm for air operators of any complexity in operations and maintenance.

3.1.2 Combined Audit

This includes both airworthiness and operations functional areas.

3.1.3 Specialist Audit

This audit focuses on specific functional areas within a company.

3.1.3.1 Airworthiness

An airworthiness specialist audit will review the activities of the following organisations:

(a) Approved Maintenance Organisations (AMOs);
(b) Manufacturing Organisations;
(c) Distributors;
(d) Airworthiness Engineering Organisations (AEOs);
(e) Design Approval Organisations (DAOs);and
(f) Design Approval Representatives (DARs).

3.1.3.2 Operations

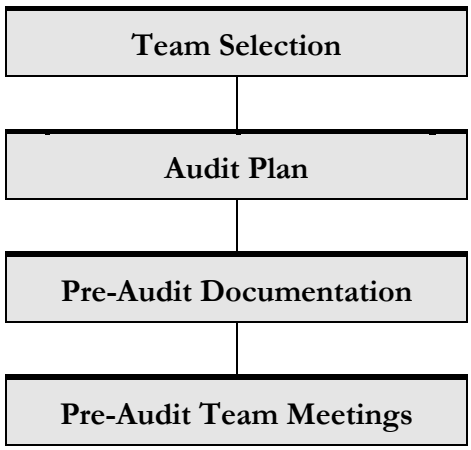
An operations specialist audit will review one or more of the following specific activities of a company:

(a) flight operations;
(b) cabin safety;
(c) dangerous goods;
(d) training organisations;
(e) flight simulators; and

(f) Operational Control System organisations.

3.2 Pre-Audit

The pre-audit process for audits begins with the selection of a team, followed by the preparation of an audit plan, the gathering of pre-audit documentation and the holding of a pre-audit team meeting. This process is illustrated by the following figure.



3.2.1 Team Selection

The audit team, approved by the CA, will normally consist of the audit manager, two team leaders, team members and observers as appropriate. For audits of smaller air operators the team may be reduced in size.

3.2.2 Convening Authority (CA)

3.2.2.1 Responsibilities

The convening authority shall:

(a) appoint the audit manager at least one to two months prior to the audit;

(b) oversee the selection of the audit team;

(c) approve the objective, scope and depth of the audit;

(d) approve the audit plan;

(e) attend the entry meeting if possible;

(f) attend the exit meeting, when practicable;

(g) approve the covering letter and audit report and ensure that the auditee receives the report within twenty working days;

(h) ensure that action is taken in an appropriate, timely manner for critical safety issues identified by the audit manager during the physical audit;

(i) ensure that appropriate follow-up action is completed after the physical audit; and

(j) send a letter to the auditee confirming that all audit findings and corrective actions are complete and that the audit has been closed.

3.2.3 Audit Manager

3.2.3.1 Terms of Reference

The CA will appoint an audit manager for each audit. This individual will be an airworthiness engineer or an operations or airworthiness inspector. For a large air operator, the audit manager should be appointed at least two months prior to the planned audit. This will allow sufficient time for research, familiarisation with the terms of reference, the selection of the audit team and the development of an audit plan. The audit manager:

(a) will report directly to the CA for all audit matters. Team leaders and team members will report to the audit manager until released from their audit duties; and

(b) will immediately contact the CA with a recommendation for action in the event of an imminent threat to aviation safety;

3.2.3.2 Qualifications

The audit manager shall:

(a) have completed the applicable Speciality Course and Audit Procedures Course;

(b) have experience related to the type of organisation to be audited;

(c) possess a sound knowledge of aeronautical legislation and regulations;

(d) have demonstrated communication and management skills; and

(e) have acted as team leader for at least two audits.

3.2.3.3 Responsibilities

The audit manager shall:

(a) plan, organise, direct and control the audit process;

(b) negotiate dates sufficiently in advance to allow adequate planning prior to the audit;

(c) select team leaders in consultation with the CA;

(d) maintain an audit file, which will include all working notes, copies of audit-related documents and a copy of the audit report;

(e) develop an audit plan for approval by the CA. The plan shall include the audit schedule and an indication of sampling sizes for audit files or records to be used to obtain information during the audit;

(f) notify the auditee by letter of the planned audit at least one month prior to the audit dates. A sample letter can be found in Appendix 2;

(g) ensure that the pre-audit documentation review is complete;

(h) ensure that team members are knowledgeable in their assigned functional areas;

(i) convene a pre-audit team meeting;

(j) establish contact with the CA to relay fieldwork progress, potential problems, changes in the objectives, scope or depth of the audit, and other significant matters arising during the pre-audit phase;

(k) co-ordinate and chair the entry meeting with the auditee and maintain a liaison with the auditee's senior management;

(l) advise the CA immediately of any critical safety issues identified during the physical audit;

(m) ensure that any decisions to be made by, or approvals required from, the CA during the physical audit are received in a timely manner;

(n) exercise line authority over audit team members and observers;

(o) ensure that all audit findings are tied to applicable regulations or standards and supported by specific examples;

(p) co-ordinate and chair the exit meeting with the auditee's senior management;

(q) prepare the covering letter and audit report for approval by the CA;

(r) provide the CA with recommendations for possible enforcement action arising from the audit; and

(s) ensure that a parallel report, if required, has been completed.

3.2.4 Team Leader

3.2.4.1 Terms of Reference

The audit manager will appoint team leaders in consultation with the CA. There will normally be one team leader for Operations and one for Airworthiness, although special circumstances may require the appointment of team leaders for other audit areas. Depending on the scope, depth and complexity of the audit, a team leader may delegate selected duties to one or more deputies.

3.2.4.2 Qualifications

The team leader shall:

(a) have completed the applicable Speciality Course and Audit Procedures Course;

(b) have experience related to the type of organisation to be audited;

(c) possess a sound knowledge of aeronautical legislation and regulations;

(d) have demonstrated skills in communication and management; and

(e) have acted as team member in at least two audits.

3.2.4.3 Responsibilities

The team leader shall:

(a) support and assist the audit manager;

(b) select the appropriate team members;

(c) direct and control his or her speciality team's activities;

(d) become familiar with the audit terms of reference;

(e) revise the audit checklists applicable to the assigned functional areas;

(f) keep the audit manager informed of the audit progress in his or her speciality area;

(g) review and verify draft audit findings and specific sections of the audit report as required by the audit manager; and

(h) brief audit management on his or her speciality area during daily briefings and at the exit meeting.

3.2.5 Team Member

3.2.5.1 Terms of Reference

Team leaders will appoint team members in consultation with the audit manager.

3.2.5.2 Qualifications

A team member shall:

(a) have completed the applicable Speciality Course and Audit Procedures Course;

(b) have experience related to the type of organisation to be audited; and

(c) possess a sound knowledge of aeronautical legislation and regulations.

3.2.5.3 Responsibilities

A team member shall:

(a) become familiar with auditing procedures and associated company documentation;

(b) become familiar with the auditee's policies and procedures;

(c) revise the audit checklists applicable to the assigned audit functions;

(d) conduct audit fieldwork and document audit findings;

(e) liase with the team leader to ensure that audit progress is reported and potential problems are addressed; and

(f) review the validity and applicability of audit findings by ensuring that all are tied to applicable regulations or standards and supported by specific examples.

3.2.6 Observer

An observer may join the audit team with the approval of the CA.

3.2.7 Audit Plan

The audit manager will develop an audit plan for the CA's approval. This plan ensures that the audit will be conducted in an organised manner and in accordance with predetermined criteria. A sample audit plan can be found in Appendix 1. Appropriate sections of the plan will be distributed to each member of the audit team to provide guidance and direction throughout the audit. The audit plan should address the following items:

3.2.7.1 Objective

The audit plan should state the class and type of audit (i.e., combined-routine conformance audit, specialist-additional authority audit, etc.).

3.2.7.2 Scope and Depth

The following factors should be considered when determining the scope and depth of an audit:

(a) the areas of the company to be audited (the entire operation or a specific area);

(b) the depth (i.e. how far back in time) to which the audit will reach;

(c) the geographical dispersion; and

(d) the sample sizes to be used versus the population being sampled.

3.2.7.3 Company Data

The audit plan should provide specific information on the company's

(a) aircraft types, models, serial numbers and type certificates;
(b) approved points of operation, main bases and sub-bases;
(c) training facilities and simulators used;
(d) maintenance bases, main bases, sub-bases and contract bases; and
(e) employees and their location (base of operation).

3.2.7.4 Approach

The audit plan should describe the RAP approach to auditing by describing:

(a) the manner in which the audit is to be conducted (i.e. whether it is a combined or specialist audit); and

(b) the specific procedures to be followed (MRA checklists and forms).

3.2.7.5 Specialist Assistance

The audit plan should address the issue of specialist assistance by determining whether:

(a) computers will be used to monitor company systems;

(b) there are team members who understand these systems; and

(c) specialists will be required (those with aircraft-type, non-destructive testing, engineering, or private-sector expertise).

3.2.7.6 Scheduling

The following points should be considered when scheduling an audit:

(a) the feasibility of the audit dates and timeframes;

(b) the sufficiency of time allotted for the completion of the audit;

(c) the time allotted for the physical audit, with a daily schedule of inspection for each specialist functional area (airworthiness and operations);

(d) travel time; and

(e) the preparation of the audit findings and distribution of the audit report.

3.2.8 Pre-Audit Documentation

This includes a thorough review of all company files and documentation and the opening of a company audit file. Information gathered during the pre-audit phase will assist the audit team in determining the specific areas, systems and activities that warrant examination; supplementing audit checklists; or amending the scope of the audit. This audit phase should:

(a) ensure that all reference manuals and documents to be used during the audit in accordance with the Reference Material Matrix are readily available and include the latest approved amendments;

(b) review the auditee's approved manuals for conformance to the appropriate Civil Aviation guidelines;

(c) review the auditee's files and records;

(d) itemise areas which require further review;

(e) select the appropriate checklist items from Part II, Chapter 3, and Part III, Chapter 2, as applicable, in accordance with the scope, depth and complexity of the audit;

(f) complete all pre-audit sections of the checklists;

(g) ensure that all audit documentation is chronologically recorded on the company audit sub-file; and

(h) ensure that each team member has received appropriate portions of the audit plan.

(i) previous inspection or Audit Reports;

(j) accident or incident data;

(k) any enforcement action;

(l) appropriate extracts from regulations, standards and policies; and

(m) flight permits, waivers, approvals, aircraft type approvals, manufacturing limitations and operations specifications authorisations.

3.2.9 Pre-Audit Team Meeting

This meeting should:

(a) confirm individual team members' duties and responsibilities;

(b) ensure that all team members have received appropriate portions of the audit plan;

(c) ensure that all team members are aware of restrictions regarding audit report distribution;

(d) outline the overall audit plan;

(e) clarify any outstanding issues or problems;

(f) include a briefing by the POI and PAI on current company activities, trends, performance or other information related to previous audits; and

(g) address the issues of conflict of interest, confidentiality and access to information.

3.3 Physical Audit

3.3.1 General

The physical audit consists of the entry meeting, evaluation and verification, daily briefings and the exit meeting.

3.3.2 Entry Meeting

The entry meeting should set the tone for the physical audit and should be attended by the auditee's senior management and identified members of the audit team. It will outline the audit process to the company and confirm any administrative requirements so that the physical audit may be conducted both effectively and efficiently, while minimising disruptions to the company's operation. Sample entry meeting notes can be found in Appendix 3.

(1) The entry meeting should:

(a) take place on the auditee's premises;
(b) be attended by the auditee's senior management;
(c) specify audit details and procedures; and
(d) be brief, specific and courteous.

(2) The audit manager shall:

(a) explain the purpose of the entry meeting;

(b) introduce audit team members, including specialists and observers;

(c) state the objective, scope and depth of the audit;

(d) address the means of communication between the audit team and the auditee;

(e) explain that company officials will be briefed daily on progress of the audit;

(f) describe the manner in which any audit finding detected will be handled;

(g) establish a location and time for the exit meeting;

(h) emphasise that the purpose of an audit is to identify non-conformances and that enforcement action may result from any of these findings; and

(i) respond to all questions from the auditee.

(3) The auditee may agree to provide:

(a) adequate, preferably private, working space;
(b) access to a photocopier and facsimile machines;
(c) measuring or test equipment;
(d) access and admission to all facilities;
(e) access to company files and records;
(f) credentials and facility passes;
(g) selected personnel for interviews; and
(h) knowledgeable company advisors or liaison officers.

3.3.3 Evaluation

In the evaluation phase, the company's level of conformance with regulations and standards contained in existing legislation and company control manuals will be assessed. The following are possible means of evaluation:

3.3.3.1 Pre-Audit Checklists

Pre-audit checklists will determine whether all essential controls appear to be in place and are properly designed. Based on the results of the checklist, a summary of the strengths and weaknesses of the auditee's control system will be developed. This system will be most effective if all questions are answered.

3.3.3.2 Interviews

Interviews with company personnel are important during the evaluation phase to determine whether the control system documented in company manuals is that in use, and to assess the knowledge of supervisory personnel of their duties and responsibilities. Interviews may also confirm the validity of audit findings reached through observation or sampling. The following guidelines will be useful when preparing for an interview:

(a) prepare carefully prior to the interview by defining the areas to be explored and setting specific objectives;

(b) explain why the interview is taking place;

(c) use open questions and avoid complex questions or phrases;

(d) listen carefully to answers and allow interviewee to do most of the talking;

(e) avoid being side-tracked from your original objectives;

(f) ensure that questions are understood;

(g) terminate the interview if the atmosphere becomes highly negative;

(h) document all responses; and

(i) thank the interviewee at the conclusion of the interview.

3.3.3.3 Sampling

The sample size of a population and selection criteria have a direct impact on the validity and confidence level of the results. The following guidelines should be used:

(a) each sample group must stand alone. If there are 1 400 pilots, 2 800 flight attendants, 180 maintenance personnel, and 15 dispatchers, each of the four groups must be considered separately;

(b) the RAP goal is to achieve a 95 per cent confidence level with the results of the sample tested. Often, this goal may not be appropriate; therefore, the audit team must carefully consider both the sample size and the time devoted to the task. Random sampling may be considered an acceptable alternative;

(c) the chart found in Appendix 4 will help determine the sample size needed to achieve a 95 per cent confidence level for populations of 400 or more. For smaller populations, a larger sample must be examined and the following guide should be used:

Population	Sample
100:	50 per cent
199:	40 per cent
399:	35 per cent

3.3.4 Verification

(1) During this phase, the audit team will gather information to determine the company's level of conformance. Specifically, verification will:

(a) determine whether company controls are operating effectively and as intended;

(b) determine whether the auditee's operation conforms to the aviation regulations and standards contained in the audit checklists; and

(c) analyse particular deficiencies to assess their effects and identify the causes.

(2) Company files or records should not be accessed without appropriate company authorisation and, when possible, company representatives should be present during the review of these files and records.

(3) If the review and verification phases do not provide sufficient confirmation of the company's level of conformance, further substantiation will be required to ensure that any evidence obtained up to that point supports the audit findings and conclusions. In short, other supporting documentation must be acquired and secured.

(4) Verification includes various types of inspections. These may be Aircraft Inspections (of each type of aircraft), Pre-Flight/Ramp Inspections, In-Flight Inspections (sampling of company routes, i.e. domestic, transborder, international and new routes) and Base Inspections. These inspections may be carried out as co-ordinated inspections. For example, a Pre-Flight. Ramp Inspection may be conducted by a Flight Operations Inspector and an Airworthiness Inspector.

3.3.5 Confirmation Request Form (CRF)

(1) The CRF is an effective audit tool in the following cases:

(a) where evidence indicates an audit finding, the company will be given the opportunity to show otherwise;

(b) the auditor will determine the course of action to be adopted based on the auditee's response;

(c) the auditor will observe the state of the company records management system from the auditee's perspective;

(d) arbitrary audit findings based on subjective examples will be eliminated;

(e) the audit will not be surprised at the end of the audit, as all contentious issues will have been discussed openly during the physical audit;

(f) the auditor can concentrate on auditing rather than on researching company files and records; and

(g) the auditor will receive a signed document from the audit for inclusion in the supporting documentation package.

(2) The CRF will be sent to the team leader or a delegate at the outset to avoid untimely surprises. It should then be recorded in a control log, the format of which will be determined by the team leader. It may range from a simple title, time and date log to a file of photocopied duplicates. All CRFs will be issued sequentially to ensure that, upon completion of the physical audit, the CRFs have responses and appropriate action has been taken.

(3) At the end of each day, the CRF control log should be compared with the returned CRF to ensure that it is current. For a large audit, this can be done at the daily briefing with the company. In this manner, both the company and the audit team will be updated as to the status of these documents. Regardless of the way in which the control log is maintained, all CRFs should be cleared prior to the completion of the physical audit at that site or base.

(4) When the CRF has been returned and appropriate action taken, this material should be filed according to the appropriate audit area, allowing documentation relating to high-profile items to be maintained for later reference. This file will also provide background and evidence for any enforcement action to be taken at a later date. A sample CRF can be found in Appendix 5.

3.3.6 Audit Finding Form

(1) Audit finding forms must be completed accurately as they form the basis of the audit report and a successful audit. A sample audit finding form can be found in Appendix 6.

(2) Since a number of team members will be completing audit finding forms, it is important that a standardised approach to inputting data on the form be taken to reduce the number of data entry errors.

(3) All supporting documentation will be included with the completed audit finding form for review by the audit manager. Although this documentation will not be included in the audit report, it will be retained in the audit file.

(2) All hand-written copies of audit finding forms will be filed according to functional area and will form Part of the supporting documentation in the audit report for ease of reference.

3.3.6.1 Completion of Audit Finding Form

Non-conformances are recorded on audit finding forms. When completing these forms, auditors shall use the following checklist:

(a) **at the top of the audit finding form:**

(i) correctly identify the company name as found on the aviation document;

(ii) enter the location of the base or sub-bases;

(iii) identify the company by Civil Aviation file number;

(iv) identify the area of audit in accordance with the checklist; and

(v) identify the audit finding number in accordance with the checklist or as directed by the audit manager.

(b) **in the "Non-Conformance With" section of the audit form:**

(i) correctly identify the title of the regulatory requirement to be referenced, without using acronyms or abbreviations;

(ii) isolate the relevant portion of the regulatory requirement by reference to the chapter, section, sub-section, and paragraph as appropriate;

(iii) tie the non-conformance to the most applicable regulatory requirement;

(iv) use the phrase "which states" when an entire quotation is to be used, then quote the regulatory requirement word for word, ensuring that the quotation is relevant; or

(v) use the phrase "which states in part" when a partial quotation must be used (segmenting), then quote the regulatory requirement word for word, separating segments as necessary with the notation "..." and ensuring that the quotation is relevant; and

(vi) when segmenting, quote a sufficient portion of the text to clearly identify the regulatory requirement while avoiding the use of unnecessary words.

(c) **in the "Examples" section:**

(i) identify the auditors and date of the finding;

(ii) specify the three most applicable examples of the non-conformance, where practicable;

(iii) ensure that the examples illustrate non-conformance with the particular standard;

(iv) use an appropriate lead-in statement to introduce the examples; and

(v) support the audit finding with secured evidence (i.e. photocopies, photographs or seized perishable evidence to be retained in an appropriate location).

3.3.7 Daily Briefings

(1) Team briefings will normally be held at the end of each day during the audit to:

(a) ensure adherence to the audit plan;
(b) validate confirmation requests and audit findings;
(c) resolve issues or problems arising from the day's activities; and
(d) update the CA if necessary.

(2) Company briefings should be held at the end of each day, following team briefings, to update the auditee's management on audit progress. The audit manager or team leaders may elect to have specialist team members brief company officials on specific items.

3.3.8 Exit Meeting

The exit meeting with the company's senior management should provide an overview of the audit. The meeting should summarise the audit findings, stating areas of strength and weakness. A controversial discussion with company representatives regarding audit report content must be avoided. (Appendix 7 contains sample exit meeting notes.) The process for the exit meeting is as follows:

(1) Normally, the CA, audit manager and team leaders will attend the exit briefing, however, other members may be required for specific briefings. The CA may wish to chair the meeting or simply attend with the team.

(2) If team members other than the audit manager and team leaders are required to speak at the exit meeting, the audit manager will advise them in advance.

(3) All audit findings should have been discussed with company officials as each functional area was completed. New audit findings should not normally be identified at the exit meeting. The meeting should provide an overview of the audit and not become a debate between the team and the organisation. The auditee should be advised that the company will have an opportunity to respond formally to the audit report.

(4) The auditee will be advised of those audit findings that may be subject to enforcement action. The auditee will also be advised of the company's responsibility to take appropriate action to correct all non-conformances and prevent their recurrence.

(5) The audit manager shall advise the auditee that the audit report will be forwarded to the company within twenty working days and that a CAP must be submitted to Civil Aviation within 30 working days after the company has received the report.

3.4 Post-Audit

3.4.1 General

This phase includes preparation of the audit report and the parallel report.

3.4.2 Audit Report

(1) The audit report is normally presented to the company within twenty working days. Any delay must be documented since the validity of the audit will be compromised if the report is not presented in a timely manner. Although draft audit finding forms may be left with the company as a courtesy, this is not mandatory.

(2) The audit manager is responsible for the preparation of the audit report and its approval by the CA.

(3) A sample covering letter and audit report for combined audits can be found in Appendices 8 and 9. The audit report will include:

(a) **Part I — Introduction**, which summarises the audit process and the content of the audit report;

(b) **Part II — Executive Summary of Findings**, which summarises the most significant findings for the information of the senior management of the audit and Civil Aviation;

(c) **Part III — Airworthiness**, which contains the functional summaries for airworthiness;

(d) **Part IV — Operations**, which contains the functional summaries for operations; and

(e) **an Appendix**, which contains the audit findings for both airworthiness and operations.

(5) The audit report will be a factual account of the audit and will not include subjective statements, suggestions or recommendations.

(6) The CA will sign the covering letter and forward it, with a copy of the audit report, to the company. The letter will outline the procedure for responding to audit findings and specify the required response time of 30 working days from the time the company receives the report.

3.4.3 Parallel Report

(1) An audit may identify observations and/or deficiencies in, or the misapplication of, Civil Aviation legislation, policies and procedures. Where an observation or deficiency indicates a need for revised policies, standards, procedures or guidelines, a finding shall be made against Civil Aviation and not the auditee. Where a non-conformance to a regulatory requirement is found, and that requirement required Civil Aviation approval (i.e., document or manual approval), a finding shall be made against the auditee (so that the non-conformance is resolved through the CAP) as well as Civil Aviation.

(2) Findings against Civil Aviation will be described in a document called the parallel report. The audit manager will forward the parallel report to the CA within 30 days of the completion of the audit and shall identify the problem, cause, responsibility and recommended solution for each finding. All supporting documentation shall be included in the parallel report.

(3) Civil Aviation deficiencies shall neither be included nor referenced in the audit report.

3.4.4 Parallel Report Follow-Up

(1) Parallel report items shall be forwarded to DGCA who will assign an appropriate office for co-ordination and follow-up of those deficiencies.

(2) A sample parallel report can be found in Appendix 11.

3.5 Audit Follow-Up

3.5.1 General

Upon completion of the audit, the CA will delegate follow-up responsibilities to the appropriate office who will then ensure that all audit findings have been resolved in accordance with an approved CAP.

3.5.2 Corrective Action Plan

(1) The covering letter of the audit report will advise the auditee that it must submit a CAP addressing the audit findings within 30 working days. Normally, this deadline will not be extended without the CA's approval.

(2) It is important to review the company's CAP to determine whether the company has developed a reasonable timetable for corrective action. It is also essential to ensure that the timetable has prioritised the corrective actions to address the most critical findings first.

(3) Depending on the nature of the audit findings, the company's CAP should involve:

(a) **Immediate Corrective Action**. This is action taken immediately upon identification of the audit finding to remove the immediate threat to aviation safety;

(b) **Short-Term Corrective Action**. This is short-term action to correct a non-conformance that does not pose an immediate threat to aviation safety, which

ensures that conformance is established quickly until long-term action is completed to prevent recurrence of the problem. Short-term corrective action will normally take place within 30 days; and

(c) **Long-Term Corrective Action**. This is longer-term action and has two components. The first will involve identifying the cause of the problem and indicating the measures the company will take to prevent a recurrence. These measures should focus on a system change. The second component will include a timetable for company implementation of the long-term corrective action. Long-term corrective action will normally take place within twelve months.

(4) Long-term corrective action should be accompanied by the forwarding of supporting documents for review. Short-term corrective action should also be accompanied by the forwarding of supporting documents, which may take the form of logbook entries, purchase orders, memoranda or revised inspection procedure cards. It is important to verify as much supporting documentation as possible during subsequent surveillance.

(5) If the company's CAP is not acceptable, the responsible office will indicate the reasons, propose changes and negotiate a new target date. Otherwise, an alternative course of action may be pursued.

(6) Where the audit findings are of a minor nature, no threat to aviation safety exists and the company has a reputable quality assurance or internal audit program, a "paper follow-up" may be acceptable. In this case, the documents are submitted with the CAP and no interim surveillance is required. As the company completes its audit responses as Part of the CAP, its progress will be monitored.

(7) An audit will be formally closed when every audit finding has been corrected through the CAP, the corrections have been found to be acceptable by the follow-up office and post-audit surveillance has been completed.

(8) Normally, the CA will ensure that a letter has been sent to the auditee, confirming that all audit findings have been completed and that the audit has been closed. A sample letter can be found in Appendix 10.

3.5.3 Post-Audit Surveillance

During audit follow-up, surveillance is the only means to ensure that companies with non-conformances comply with regulatory requirements and respond satisfactorily to audit findings. Post-audit surveillance can be conducted as informal visits or as a more structured follow-up audit.

Part 2

Airworthiness Audit Policy and Procedures

Chapter 1 Introduction

1.1 Audit Philosophy

The airworthiness audit function completes a loop in the regulatory process, confirming for Civil Aviation that an aviation document holder is upholding the commitments to which they agreed to prior to document issue. A candidate organisation is certified on the basis that the program submitted for Civil Aviation approval meets the minimum regulatory requirements. At this time, great emphasis is placed on the candidate's control manual to ensure that the content adequately addresses program control. For the program to receive Civil Aviation approval, the manual must clearly explain how the organisation intends to meet the requirements of the standards and regulations relating to the scope of authority sought. Essentially, the greater degree of delegation, privilege, or authorisation accorded to the document holder, the more explicit the draft control manual must be. The manual is reviewed to ensure that the means of achieving conformance to standards and compliance with regulations is referenced and documented by process.

1.2 Applied Standard

The control manual, once approved, becomes the primary standard for evaluating an approved airworthiness organisation. In theory, conformance to the control manual should ensure compliance with the applicable regulations. If, for one reason or another, the approved control manual used by the document holder fails to meet the minimum requirements of Civil Aviation regulations, this failure must be documented in the audit report.

1.3 Program Amendments

For a program to be successful, a great deal depends on the skill of the participants; however, the quality of the program itself is equally important. The audit process will be amended from time to time to ensure that it will provide adequate and timely oversight of air operators.

1.4 Compliance

The concept of *"fair but firm"* treatment is the primary means of motivating voluntary compliance with regulatory requirements.

1.5 Conclusion

With all of these forces affecting the program, changes have been made to streamline the process. The overall intent remains consistent with our objective:

"to ensure that the audit process is applied in a manner that is both fair and equitable."

Chapter 2 Policy and Organisation

2.1 Purpose

Airworthiness audits are conducted primarily to ensure conformance to regulations and standards to provide a safe environment for the flying public. This section is intended to guide and direct Airworthiness personnel engaged in regulatory audits so that the standardisation of audit procedures is achieved and maintained. In addition, the establishment and maintenance of an audit monitoring system for the regulatory oversight of air operators is a requirement of the State.

2.2 Applicability

The audit policy and procedures contained in this chapter apply to all approved organisations that are subject to the audit process as a condition of document issue.

2.3 Approved Organizations

2.3.1 Approved Maintenance Organizations (AMOs)

(1) Approved Maintenance Organisations (AMOs) are approved by Civil Aviation to maintain aeronautical products to their design standards through the repair, overhaul, inspection and alteration of these products and the replacement of parts. AMOs include many different companies engaged in diverse areas of aviation. Maintenance specifications are attached to the AMO certificate, defining and limiting the scope of authority.

(2) AMOs may stand alone or form part of a larger organisation. Regardless of their structure, each of these organisations must first submit a maintenance control manual (MCM), defining the company's method of operation and control, for Civil Aviation approval. This manual is referenced by Civil Aviation and used as the primary document for assessing compliance during Civil Aviation audits.

2.3.2 Foreign Approved Maintenance Organizations (FAMOs)

(1) Foreign Approved Maintenance Organisations (FAMOs) are approved by the State to maintain aeronautical products to their design standards through the repair, overhaul, inspection and alteration of these products and the replacement of parts. Maintenance specifications are attached to the FAMO certificate, defining and limiting the scope of authority. FAMO certificates may be issued if and when a need is identified for approval outside a bilateral or technical agreement already established by Civil Aviation.

(2) FAMOs may stand alone or form part of a larger organisation. Regardless of their structure, each of these organisations must first submit an MCM, defining the company's method of operation and control, for Civil Aviation approval. This manual is referenced by Civil Aviation and used as the primary document for assessing compliance during Civil Aviation audits.

2.3.3 Airworthiness Engineering Organizations (AEOs)

(1) Approved airworthiness engineering organisations (AEOs) are engineering organisations, approved by Civil Aviation, within a company that has a current commercial air service operating certificate. An AEO is involved in the modification and repair of the aeronautical products listed on the corporation's air service certificate, and employs individuals qualified to make findings of compliance with airworthiness standards within the lines of authority granted.

(2) An AEO must submit for Civil Aviation approval a design approval procedures manual (DAPM), which provides a complete framework within which the AEO exercises their authority. This DAPM is the primary document for assessing compliance during Civil Aviation audits.

2.3.4 Design Approval Organizations (DAOs)

(1) Design approval organisations (DAOs) are engineering corporations, approved by Civil Aviation, engaged in the design, modification or repair of aeronautical products. This category of delegation is typically associated with design organisations of aeronautical-product manufacturers, repair and overhaul facilities, or consulting engineering firms. A DAO employs individuals qualified to make findings of compliance with airworthiness standards within the limits of authority granted.

(2) A DAO must submit for Civil Aviation approval a DAPM, which provides a complete framework within which the DAO exercises their authority. This DAPM is the primary document for assessing compliance during Civil Aviation audits.

2.3.5 Manufacturers

(1) These organisations are approved by Civil Aviation to make or assemble aeronautical products. The manufacturers of these products submit a quality control manual for Civil Aviation approval.

(2) The manual describes their organisation, method of operation and system for controlling product quality. This manual, once approved, is the primary document referenced by Civil Aviation when these types of organisations are audited.

2.3.6 Distributors

Distributors are organisations with ministerial approval to recertify and distribute aeronautical products that have previously been certified by the manufacturer. Companies engaged in these types of operations must describe their method of control in a product control system manual (PCSM). This manual, once approved by Civil Aviation, serves as the primary standard for the regulatory audit. The checklists included in this part reflect that standard.

Chapter 3 Checklists

3.1 Purpose

Audit checklists have been developed that reflect the standards to be applied in the area being reviewed. To detect a non-conformance, the auditor must follow a guideline reflecting that standard. The checklists tell the audit team what "should" be happening and their observations tell them what is happening. A gap between the two generally indicates a non-conformance.

3.1.1 Requirements

The audit checklists must:

(a) be used when a process, procedure or program is monitored;

(b) be updated to reflect the latest revision;

(c) be completed;

(d) be initialled by the auditor (team member) responsible for that checklist area;

(e) get the auditor started, keep him or her on track, and confirm completion; and

(f) be as flexible as necessary so that questions may be added and specific situations supported.

3.1.2 Caution

If used correctly, audit checklists can be an extremely valuable auditing tool. However, if handled incorrectly, they can ruin a good audit. When referring to a checklist item, the auditor must record his or her findings opposite the area under review.

3.1.3 Checklist as a Framework

The checklists are not exhaustive but do provide a consensus approach to auditing a function. For this reason, inspectors are encouraged to review the lists and add to their content when necessary.

3.1.4 Conduct of the Audit Team

It is the goal of the regulatory audit program that all audits conducted by Civil Aviation be carried out in a professional manner. In addition, it is important that the auditee view our audits as fair and equitable.

3.1.5 Use of Checklists

(1) The auditor shall:

(a) on entering a department or an area, ask the host to explain how the system works;

(b) ascertain how personnel work with the system;

(c) evaluate the above information against the manual or standard and determine whether it meets the requirements;

(d) record examples of numbers, procedures, documents, drawings, and measuring and testing equipment in each area; and

(e) use the checklist to ensure that all aspects of the standards have been met.

(2) The auditor shall not gain access to files or other company documents without the appropriate authorisation. Company representatives should be present during document review whenever possible.

3.4 Pre-Audit Activities

	Item	References	Result
P-1	Does the company have a control manual approved to the applicable department standards?	N/A	❑ OK ❑ FDG ❑ NA
P-2	Does the company's Certificate of Approval accurately reflect its limitations?	N/A	❑ OK ❑ FDG ❑ NA
P-3	Review previous audit reports, including follow-up action. Discuss discrepancies with the PAI.	N/A	❑ OK ❑ FDG ❑ NA
P-4	Review department files for outstanding action items, history and correspondence.	N/A	❑ OK ❑ FDG ❑ NA
P-5	Review the approved control manual for discrepancies. Develop questions and confirmation requests to address specific concerns. Use the MRA checklists as a guide.	N/A	❑ OK ❑ FDG ❑ NA
P-6	Review the company's scope of activities.	N/A	❑ OK ❑ FDG ❑ NA
P-7	Review the status of the authorisation documents issued by Civil Aviation.	N/A	❑ OK ❑ FDG ❑ NA
P-8	Review the history of enforcement action.	N/A	❑ OK ❑ FDG ❑ NA
P-9	Discuss the applicable enforcement action procedures and policies.	N/A	❑ OK ❑ FDG ❑ NA
P-10	Obtain the necessary company/airport security passes.	N/A	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5 Approved Maintenance Organizations

3.5.1 Maintenance Policy Manual or Maintenance Control Manual (MPM/MCM)

	CAR 573.10/706.8	References	Result
A-1	Does the MPM/MCM describe the organisation, its size, its nature and the scope of its work?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Does the MPM/MCM contain a statement of the manual's purpose, including the system of amendments and distribution controls?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisational chart describe the duties and responsibilities attached to each position?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Does the MPM/MCM identify the Director of Maintenance, the quality manager and the production manager?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Do these individuals meet Civil Aviation requirements?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Does the MPM/MCM contain a description of the quality assurance system?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-7	Does the MPM/MCM describe the system used to record the performance of work?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Does the MPM/MCM identify the standards observed in the performance of work?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-9	Does the MPM/MCM describe the procedures used to perform the work?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-10	Does the MPM/MCM describe the method used to ensure that authorised personnel sign a maintenance release?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 573.10/706.8	References	Result
A-11	Does the MPM/MCM describe the training program?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-12	Does the MPM/MCM describe the maintenance facilities, equipment and level of work performed at each base?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-13	Does the distribution list include all required personnel, such as directors, chiefs, foremen, and those at sub-bases Civil Aviation?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-14	Do all MPM/MCM holders keep their copies up to date with approved amendments?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-15	Does the MPM/MCM contain a copy of the Civil Aviation Certificate of Approval and List of Limitations? Do they require revision?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-16	Has the company exceeded the limitations on its approval?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-17	Does the MPM/MCM contain administrative procedures to ensure the proper use of authorisations such as: - engine-out and flight permits; - flight permit authorisation; - inspection time extensions; - time between overhauls (TBO) escalations; - changes to reliability programs; and - MELs.	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-18	Does the manual contain any information inconsistent with Civil Aviation regulations?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.2 Technical Publications/Library

	CARs 573.08(7)	References	Result
A-1	Does the organisation follow the policies and procedures for technical publications as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for keeping publications current aware of his or her responsibilities?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the company have technical and regulatory manuals available for the scope of work performed, such as: - the Aviation Regulations and associated standards ; - type approvals; - type certificates; - supplemental type approvals; - supplemental type certificates (STCs); - foreign Ads; - manufacturer's maintenance, parts and overhaul manuals, service bulletins, and service letters; and - the maintenance policy manual/maintenance control manual?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Are the manuals current, i.e. are the amendments up to date?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Are the applicable portions of manuals available to personnel as outlined in the MCM, i.e. shops,(i.e. those in shops and sub-bases, management, and contractors) as outlined in the MPM/MCM,?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.3 Personnel

	CAR 573.07/706.13	References	Result
A-1	Does the organisation follow the policies and procedures for personnel as detailed in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Does the MPM/MCM list all personnel with signing authority and their qualifications?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Is the list up to date and accurate?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Does the quality assurance department maintain up-to-date files on each individual, including qualifications and training?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Is there evidence of unqualified personnel certifying aircraft or aeronautical products?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.4 Maintenance Training

	CAR 573.06/706.12	References	Result
A-1	Does the organisation conduct approved aircraft type courses? If so, use the Approved Training Organisations checklist, s. 3.7.	TCM	❑ OK ❑ FDG ❑ NA
A-2	Does the organisation follow the recurrent training program as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Is the person responsible for the program knowledgeable about his or her duties and responsibilities?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Do new employees receive training in company policy and procedures?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 573.06/706.12	References	Result
A-5	Do the files trace training records to with the individuals' present duties and responsibilities?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Are maintenance personnel assigned to training courses as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-7	Are non-approved training courses controlled to ensure the quality?	MCM	❑ OK ❑ FDG ❑ NA
A-8	Are line station personnel trained?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-9	Is the training program for specialists (i.e. shop personnel, those in non-destructive testing (NDT) shops, the foreman) followed as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-10	Is maintenance training that has been contracted out monitored and recorded?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-11	Is there an accurate and current record-keeping system tracking all training as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-12	Do the records reflect: - the type of training; - the location; - the duration of training; - the recurrent training program; - examination control; - the certificates issued; and - the failure rate?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-13	Are syllabi available for all training courses offered or contracted for by the company?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-14	Are all training materials and manuals clearly marked "for training purposes only"?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.5 Technical Records

	CAR 571.03/605.93	References	Result
A-1	Does the organisation control maintenance records as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Are established procedures being followed to record and control the following maintenance items: – scheduled maintenance and inspection; – ADS and special instruction; – components; – TBOs and life-limited times; – calendar-time items; – pitot-static and altimeter calibration checks; – compass calibration; and – weight and balance?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Are the procedures or methods effective?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Does the operator use a approved alternative technical log system?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Are the procedures used to transmit maintenance information to aircraft operating away from the base as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	When company aircraft become unserviceable away from base, is the procedure for returning them to service as described in the MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-7	Are maintenance records acceptable for completeness and final certification?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Are inspections completed on time?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 571.03/605.93	References	Result
A-9	Review the aircraft technical records (including Journey Log). Do they meet Civil Aviation requirements, i.e., certifications, time between checks, and the weight and balance report?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-10	Are aircraft periodic check sheets complete? Compare with the aircraft log books.	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-11	Are the check sheets used as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.6 Fuelling/Defuelling

	CAR 573.08/706.11 and 12	References	Result
A-1	Does the company have its own refuelling facility?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Does the company contract out the refuelling to a facility? If so, is the contractor performing fuelling operations as detailed in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the company routinely inspect the fuelling facility for contamination?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Are current records kept of the fuel contamination inspections?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	When fuelling is carried out from drums, is the method used to filter the fuel as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Is the time limit on the storage of fuel in drums being respected as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 573.08/706.11 and 12	References	Result
A-7	Is the condition of the fuelling facility, i.e., hoses (bonded), nozzle caps, filters, grounding cables and fire extinguishers being monitored?	MCM	❑ OK ❑ FDG ❑ NA
A-8	Is the fuelling/defuelling equipment properly identified and maintained?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-9	Is the training program for personnel operating fuelling/defuelling equipment followed as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-10	Are the aircraft refuelling points properly identified (placarded?)?	TA/TC	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.7 De-Icing Procedures/Equipment

	CAR 73.08/605.30/ 706.11&12	References	Result
A-1	Does the company have its own de-icing facilities?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Does the company contract the de-icing to an outside facility? If so, is the contractor performing de-icing operations as detailed in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the company routinely inspect the de-icing facility?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Are personnel conducting de-icing operations trained and knowledgeable with the procedures specified in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Is the de-icing equipment properly identified and maintained?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Is the training program for personnel operating de-icing equipment followed as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

CAR 73.08/605.30/ 706.11&12	References	Result

Items Certified - Completed by: _____

3.5.8 Service Difficulty Reporting

	CAR 573.12/591	References	Result
A-1	Does the MPM/MCM reflect the system presently used by the operator?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Does the operator submit service difficulty reports (SDRs) as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the operator's data collection system for defects, malfunctions and failures reflect the procedures described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Are personnel knowledgeable about the procedures to be followed?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Is the individual responsible for reporting SDRs to Civil Aviation familiar with the reporting procedures?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Are the reports forwarded within the timeframes established in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-7	Is there evidence that some SDRs are not being forwarded?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Are SDR records maintained as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-9	Are the proper forms used for reportable occurrences?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-10	Is there evidence that reports of difficulties or occurrences are being duplicated?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 573.12/591	References	Result
A-11	Are all data sources feeding the SDR functioning as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by:

3.5.9 Defect Control (Deferral)

	CAR 703.10(j), 605.09, 605.10 and 706.05	References	Result
A-1	Does the operator follow the procedures described in the MPM/MCM for the recording and rectification of aircraft defects?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Are defects deferred by approved company personnel only?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Are defects inspected by maintenance personnel prior to deferral?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Do deferred defects refer to MELs or configuration deviation lists (CDLs) by numbered items?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Are deferred defects time-limited as described in the MPM/MCM or approved MEL?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Does the operator rectify defects at the closest maintenance facility or as indicated in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-7	Does the operator defer critical airworthiness-required items or components?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Are all defects entered in the journey log when deferred?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-9	Are systems placarded and/or isolated as described in the MPM/MCM when the operator opts for deferral?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 703.10(j), 605.09, 605.10 and 706.05	References	Result
A-10	Is the procedure monitored by the individual responsible for the deferred defect program?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-11	Is the individual responsible for control of defect rectification knowledgeable with the procedures as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-12	Do maintenance personnel follow the defect rectification procedures as described in the MPM/MCM?	MPM/MCM	

Items Certified - Completed by: _____

3.5.10 Ramp Procedures

(1) The auditor shall use the checklists that reflect the scope or functions conducted from:

(a) 3.5 Approved Maintenance Organisations;
- (i) 3.5.6 Fuelling /Defuelling,
- (ii) 3.5.7 De-icing Procedures,
- (iii) 3.5.8 Service Difficulty Reporting;
- (iv) 3.5.9 Defect Control, and
- (v) 3.5.12 Sample Aircraft for Conformance.

(b) 3.6 Air operator
- (i) 3.6.2 Minimum Equipment List;
- (ii) 3.6.3 Category II/III Maintenance Program; and
- (iii) 3.6.4 Extended-Range Operations.

(2) The auditor shall indicate on the audit finding form that the non-conformance was found during a ramp inspection.

3.5.11 Facilities/General

	CAR 573.08	References	Result
A-1	Does the organisation have suitable lighted hangars, docks, workshops, clean rooms and other housing facilities to enable maintenance to be performed in clean conditions and protected from the elements?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 573.08	References	Result
A-2	Are these facilities capable of accommodating the largest aircraft listed in the maintenance specifications?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Is maintenance, other than unforeseen or routine line maintenance as defined in the MPM/MCM, performed in appropriate facilities?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Does the organisation have suitable tools, jigs, fixtures, inspection aids, measuring devices and other equipment for the type of work undertaken?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.12 Sample Aircraft for Conformance

	CAR 507.02/571/605	References	Result
A-1	Review Certificates of Airworthiness.	MCM	❑ OK ❑ FDG ❑ NA
A-2	Does the aircraft conform to the applicable type certificate or type approval?	MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the aircraft have an up to date weight and balance on board?	MCM	❑ OK ❑ FDG ❑ NA
A-4	Are required manuals on board, e.g.: - Flight Manual plus supplements, - Journey Log, - Refuelling Manual, and - approved MEL?	MCM	❑ OK ❑ FDG ❑ NA

	CAR 507.02/571/605	References	Result
A-5	Are all applicable aircraft markings and placards in place for: - instrument markings - emergency equipment markings - emergency exits (instructions internal/external); - toilets, no smoking; - fuel quantity and type; - weight limitation placards for overhead bins/cargo compartments; - door passenger/cargo operating instructions; - ELT locations; and - life rafts, life jackets and oxygen?	MCM	❑ OK ❑ FDG ❑ NA
A-6	Does the aircraft contain the necessary emergency equipment in a serviceable condition: - fire bottles (extinguishers), - oxygen equipment, - first aid kits, - fire axe, - life rafts/life jackets, - fire detector (toilets), - flashlights, - emergency lights, and - floor proximity emergency escape path markings?	MCM	❑ OK ❑ FDG ❑ NA

	CAR 507.02/571/605	References	Result
A-7	Does the aircraft have the following serviceable equipment: - flight data recorder, - cockpit voice recorder, - altitude alerting system, - emergency locator transmitter, - ground proximity warning system, - additional horizon indicator, - radar transponder, and - pitot static/altimeter checks.	MCM	❑ OK ❑ FDG ❑ NA
A-8	Does the organisation maintain aircraft to the approved maintenance program described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
	Verify the condition of the following:		
A-9	**The Fuselage – External**: compartments, batteries, doors, exits, panels, fairings, antennas, beacons, placards and pitot-static;	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-10	**The Fuselage – Internal:** passenger compartment, seats, tracks, safety belts, safety equipment, windows, doors, seals, exits, placards, floors and upholstery;	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-11	**The Cockpit:** instrument range markings, placards, windshield, seats, rails, belts, safety equipment, oxygen system, lights, cabin heater, floors, circuit breakers, fuses, radios, structures and documentation;	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-12	**Engines (Piston)**: cowlings, fairings, baffles, doors, access panels, firewall, intake exhaust, accessories, wiring, controls, mounts, structure, boots, placards, drains, leaks and propellers;	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 507.02/571/605	References	Result
A-13	**Engines (Turbine)**: cowlings, pylons, fairings, bleed air ducts, firewall, mounts, structure, thrust reversers, bypass ducts, nacelles, gag seals, insulation, heat shields, nozzles, intake guide vanes, compressor blades, exhaust turbine blades and placards; and	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-14	**Cargo Compartments**: inspect for fire/smoke integrity; compartment liners, ceiling, side walls, unapproved repairs; and damaged tie downs, lights, seals, locks, security of bulkheads, panels, placards and fasteners.	MCM	❑ OK ❑ FDG ❑ NA

Verify the condition of the following:

Fixed Wing

A-15	**The Undercarriage**: wheels, structure hoses, brakes, links, steering mechanism, doors and floats;	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-16	**Control Mechanisms**: ailerons, elevators, rudder stabilisers, trim tabs, actuators, cables, stops, control rods, balance weights, flaps, static wicks and indicators;	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-17	**Wings**: access planes, doors, de-icer boots, structure, skins, attachments, struts, fabric, lights, fasteners, leaks, fuel caps, placards, flap carriage, static wicks and fairings; and	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-18	**Galley Equipment**: hot plates, hot carts, coffee makers, ovens, electrical plugs, insulation of wiring, the presence of wearing/chafing/ arcing, contact points, security attachments and placards for condition.	MPM/MCM	❑ OK ❑ FDG ❑ NA

Helicopter

A-20	**The Main Rotor**: latches, yoke, grips, restraints and blades;	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 507.02/571/605	References	Result
A-21	**The Transmission**: swashplate assembly, collective, lateral controls, vibration isolator, mast assembly supports, colour codes, yokes, grips and oil level; and	MPM/MCM	❑ OK ❑ FDG ❑ NA

Verify the condition of the following:

Helicopter

A-22	**The Tail Rotor:** gear box, driveshaft, tailboom, stabilizer and oil levels.	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.13 Sub-base

The auditor shall use the checklists that reflect the scope or functions conducted at the individual base and shall ensure that the findings forms identify the sub-base adjacent to the area of audit.

3.5.14 Company Quality Audits

	Item	References	Result
A-1	Does the quality assurance system ensure conformance with regulations and standards?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Does the quality manager have sole control over the quality assurance system?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisation ensure that quality assurance takes precedence for personnel with responsibilities relating to both the quality system and other functional areas?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Are personnel responsible solely to the quality manager when performing their functions?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Does the quality assurance program of surveillance or internal audit provide a check of the system's own effectiveness?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	Item	References	Result
A-6	Does the quality assurance system ensure the correct performance of critical maintenance tasks?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-7	Does the internal audit program include sub-bases and sub-contractors?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Does the quality assurance department maintain audit records? Are the recommendations acted upon?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-9	Does the organisation ensure that a corrective action plan is implemented? Are follow-up procedures in place and carried out in a timely fashion?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.15 Airworthiness Control Committee

This section is under review and development.

3.5.16 Engineering

The auditor shall use the checklists in s. 3.10.

3.5.17 Receiving Inspections

		References	Result
A-1	Does the organisation follow the policies and procedures for receiving inspections as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for receiving inspections knowledgeable with the procedures described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the receiving inspector report directly to the Manager of Quality Assurance as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

		References	Result
A-4	Does the receiving inspector ensure that parts, material and components are properly identified with traceability back to the originator?	MCM	❑ OK ❑ FDG ❑ NA
A-5	Does the receiving inspection identify bogus parts and ensure that they are not accepted?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Does the receiving inspector ensure compliance with airworthiness directives regarding parts, materials and components?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.18 Maintenance Schedule

CAR 571.02/573.08/ 605.86/625, App. A B and C/706.07		References	Result
A-1	Does the operator follow the maintenance schedule as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Do inspection sheets cover all applicable areas of the aircraft as described in the program?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisation follow the supplemental inspection documents (SIDs), EROPS and Category II/III inspection requirements, if applicable, as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Do personnel adhere to the maintenance schedule?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Is the individual responsible for the program knowledgeable about the procedures described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Does the organisation maintain current inspection sheets applicable to the program?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 571.02/573.08/ 605.86/625, App. A B and C/706.07	References	Result
A-7	Are personnel using the latest check sheet revisions during inspections?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Does the organisation ensure that special inspections (e.g. inspections regarding hard landings and lighting strikes) are reported and the procedures adhered to as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-9	Does the organisation ensure that completed inspection packages are reviewed and retained by the records section as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.19 Reliability/Maintenance Development Programs

	CAR 706.07	References	Result
A-1	Does the organisation follow the reliability/maintenance development program as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Is the data collection source being adhered to for: - unscheduled removals; - confirmed failures; - pilot reports; - sampling inspections; - functional checks; - shop findings; - service difficulty reports; and - other sources that the operator may consider appropriate?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the data analysis system recognise and ensure the need for corrective action?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 706.07	References	Result
A-4	Is corrective action taken?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Does the correction action function allow for: - component modification; - aircraft modification; - revised maintenance, overhaul, or operating procedures; and - time limitations or revised inspection schedules?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Is the individual responsible for the program knowledgeable with the procedures described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-7	Does the organisation follow the procedures for adjusting maintenance and overhaul intervals as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Does the organisation conform to the reliability program as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.20 Support/Overhaul Shops

	CAR 571 Schedule 1	References	Result
A-1	Does the organisation follow the policies and procedures for shops as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for the shop knowledgeable about the procedures described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisation ensure the competence of shop personnel through training as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 571 Schedule 1	References	Result
A-4	Do shops have special tools and equipment properly calibrated to accomplish the tasks required as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Do shops have the up-to-date manuals, controlled by the technical library, required to accomplish the task as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Do shops follow control and traceability procedures for all incoming and outgoing parts, materials and components as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-7	Does the organisation ensure that work orders and inspection sheets are completed in accordance with the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Are inspection sheets kept up to date as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.21 Control of Parts/Material

	CAR 571/706.08	References	Result
A-1	Does the organisation follow the policies and procedures for control of parts/material as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for the control of parts/material knowledgeable about the procedures described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the system provide traceability back to the original certification?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Does the company's system ensure that there are no unserviceable, unidentified or untagged parts in bonded stores?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 571/706.08	References	Result
A-5	Does the segregated, locked quarantine store contain unserviceable parts, components, material and equipment?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Are these items properly identified and held in temporary transit status?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-7	Are scrap items mutilated as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Are material batches numbered as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-9	Does the company redistribute parts and if so, is this specified in its letter of approval?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-10	Are shelf-lifed items controlled as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-11	Are flammable fluids and materials stored in fireproof cabinets in a separate area?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.22 Testing/Measuring Equipment

	CAR 573.08	References	Result
A-1	Does the organisation follow the policies and procedures for test and measuring equipment control as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for this control knowledgeable about the procedures detailed in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the system provide traceability for all calibrated equipment?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Are these items properly identified and maintained?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 573.08	References	Result
A-5	Does the company ensure that all test and measuring equipment is controlled and that calibration is up to date?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.23 Maintenance Contracts

	CAR 573.11/706.09	References	Result
A-1	Does the operator's MPM/MCM describe contract administration and the scope of work?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Are both parties in possession of contract-substantiating documents for reliability programs and MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the company follow the procedures for transmitting records between parties as established in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Does the contract specify the work in accordance with the operator's maintenance program?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Are all parties' responsibilities clearly defined in the MPM/MCM and the contract?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Does the contractor have the facilities and capability to perform the additional work?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-7	Is the contractor approved to maintain the same type of aircraft as the operator?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Has compatibility been established between the operator's and the contractor's aircraft?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-9	Does the maintenance program address equipment unique to the operator?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 573.11/706.09	References	Result
A-10	Have cycle time inspections, intervals and other variances been adjusted to suit the operator?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-11	Has the operator adopted any contract facility publications, i.e. repair methods and techniques?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-12	Have the applicability and authority of the publications been delineated in the contract?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-13	Does the contract include an approved reliability program?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-14	Does the MPM/MCM state the responsibilities and involvement of both parties in all or part of the reliability program?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-15	Does the contractor subcontract any part of the work?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-16	Have all phases of the subcontractor's arrangements been investigated using the same procedures as for the main contractor?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-17	Have all phases of aircraft maintenance (e.g. maintenance of heavy and light engines and structural maintenance) been established?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.24 Airworthiness Directives/Service Bulletin Compliance

	CAR 573.10/593/605.84/ 706.07&08	References	Result
A-1	Is information processed (administration, routing, analysis, recommendations and decision follow-up) as described in MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 573.10/593/605.84/ 706.07&08	References	Result
A-2	Are the airworthiness/reliability aspects taken into account?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Are service bulletin procedures for justification and authorisation followed as outlined in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Do work cards reflect the airworthiness directive requirements adequately and completely?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Are accomplishments recorded and/or followed up as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.25 Corrosion Control/Aging Aircraft

	CAR 571.02/573.08/ 605.86/625 App. A, B and C/706.07	References	Result
A-1	Does the operator follow the corrosion control/ageing aircraft program as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Do inspection sheets cover all applicable areas of the aircraft as described in the program?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisation follow the SIDs requirements, if applicable, as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Do personnel adhere to the program?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Is the individual responsible for the program knowledgeable with the procedures described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Does the organisation maintain current inspection sheets applicable to the program?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 571.02/573.08/ 605.86/625 App. A, B and C/706.07	References	Result
A-7	Are personnel using the latest check sheet revisions during inspections?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Does the organisation ensure that completed inspection packages are reviewed and retained by the records section as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.26 Non-Destructive Testing

The auditor shall use the checklists that reflect the scope or functions conducted from s. 3.8 - Manufacturing.

3.5.27 Weight and Balance Control

	CAR 571, App B/ 573.10/605.92/706.02	References	Result
A-1	Does the organisation follow the policies and procedures on weight and balance control as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Does the organisation replace the weight and balance report every five years for aircraft not on a fleet weight and balance control system?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Does the weight and balance report get amended upon any change to the A/C empty weight or C of G?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Does the weight and balance include all items required by the A/C type approval or type certificate?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Does the weight and balance equipment list include additional items as installed?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Is the weight and balance certified by a qualified person signing a maintenance release?	MPM/MCM	❑ OK ❑ FDG ❑ NA

	CAR 571, App B/ 573.10/605.92/706.02	References	Result
A-7	Are the latest weight and balance reports or amendments on file with the department?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-8	Do amendments to weight and balance reports include: - dates of changes; - the revised equipment list; - the new empty weight and C of G; and - a maintenance release?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.28 Borrowing/Pooling of Parts

This section is under review and development.

3.5.29 Certification of Components

	CAR 571 Schedule 1/573.02	References	Result
A-1	Are aeronautical products properly certified or recertified as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Are only authorised signatories, corresponding to the Civil Aviation listing, used by the distributor?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Is the organisation using the approved stamps?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Are the stamps properly maintained and controlled?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Are airworthiness certifications attached to products and verified prior to packaging and shipping?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.30 Storage Facilities

	CAR 573.08/726.04	References	Result
A-1	Are aeronautical products stored in an organised manner?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-2	Is access to bonded stores restricted and controlled as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-3	Are shelf-lifed items located in the stores area past their expiration date?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-4	Does the distributor follow the procedures in the MPM/MCM for the control of shelf-lifed items?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-5	Are aeronautical products isolated from non-aeronautical products?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-6	Is raw material stock (e.g. sheet, bars, extrusions) identified and stored as described in the MPM/MCM?	MPM/MCM	❑ OK ❑ FDG ❑ NA
A-7	Are customer-returned or unserviceable parts held in quarantine?	MPM/MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.5.31 Flight Authority

The auditor shall use the checklists that reflect the scope or functions conducted from s. 3.6 - Air operator:

(a) Minimum Equipment List;
(b) Category II/III Maintenance Program;
(c) Extended-Range Operations (EROPS);
(d) Maintenance Test and Ferry Flights; and
(e) Enroute Inspection.

3.6 Air Operator

3.6.1-13 General

The auditor shall use the checklists that reflect the scope or functions conducted from s. 3.5 - Approved Maintenance Organisations:

.1 Maintenance Control Manual;

.2 Technical Publications/Library;
.3 Personnel;
.4 Maintenance;
.5 Technical Records;
.6 Fuel/Defuel/Fire Prevention;
.7 De-Icing Procedures/Equipment;
.8 Mandatory Reporting of Defects;
.9 Defect Control (Deferral/Rectification);
.10 Ramp Procedures;
.11 Facilities/General;
.12 Sample Aircraft for Conformance; and
.13 Sub-bases.

3.6.14 Minimum Equipment Lists (MELs)/Configuration Deviation Lists (CDLs)/Deferred Maintenance Procedures

	CAR 604.52/605.07 to 10/706.05	References	Result
A-1	Does the organisation follow the policies and procedures for conformance to the MEL as described in the MCM?	MCM	❑ OK ❑ FDG ❑ NA
A-2	Is a copy of the approved MEL carried on board the aircraft?	MCM	❑ OK ❑ FDG ❑ NA
A-3	Are aircraft with multiple deferred MEL items operated for extended periods through maintenance bases and terminating airports?	MCM	❑ OK ❑ FDG ❑ NA
A-4	Are MEL numbers entered in the journey log for deferred MEL items?	MCM	❑ OK ❑ FDG ❑ NA
A-5	Are placards installed for inoperative equipment?	MCM	❑ OK ❑ FDG ❑ NA
A-6	Are only authorised personnel releasing or dispatching aircraft with inoperative items?	MCM	❑ OK ❑ FDG ❑ NA
A-7	Does the operator follow the training program that includes MEL procedures?	MCM	❑ OK ❑ FDG ❑ NA
A-8	Is the MEL Civil Aviation-approved?	MCM	❑ OK ❑ FDG ❑ NA

	CAR 604.52/605.07 to 10/706.05	References	Result
A-9	Are appropriate maintenance instructions carried on board the aircraft to facilitate conformance to the MEL?	MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.6.15 Category II/III Maintenance Program

	Air Reg. 555.10, TP 1490	References	Result
A-1	Does the operator have All Weather Operations (AWO) approval to Category II/III?	MCM	❑ OK ❑ FDG ❑ NA
A-2	Does the operator have an approved maintenance program in support of the AO? AWO?	MCM	❑ OK ❑ FDG ❑ NA
A-3	Are the equipment and systems certified for AWO maintained in accordance with the approved maintenance program?	MCM	❑ OK ❑ FDG ❑ NA
A-4	Are aircraft derated/returned to Category II/III status in accordance with approved procedures?	MCM	❑ OK ❑ FDG ❑ NA
A-5	Are instructions for the interpretation and limitations of built-in test equipment (BITE) included in the Category II/III maintenance program?	MCM	❑ OK ❑ FDG ❑ NA
A-6	Are modifications to Category II/III equipment and systems approved in accordance with the Airworthiness Manual?	MCM	❑ OK ❑ FDG ❑ NA
A-7	Do Category II/III certified maintenance personnel receive initial and recurrent training?	MCM	❑ OK ❑ FDG ❑ NA
A-8	Does the operator maintain a current list of personnel authorised to certify the company aircraft to Category II/III?	MCM	❑ OK ❑ FDG ❑ NA

	Air Reg. 555.10, TP 1490	References	Result
A-9	Does the operator utilise contract maintenance?	MCM	❑ OK ❑ FDG ❑ NA
A-10	If so, can it be verified that the contracting maintenance organisation is approved by Civil Aviation too properly maintain the Category II/III systems?	MCM	❑ OK ❑ FDG ❑ NA
A-11	If a foreign maintenance organisation is used, does it meet the minimum requirements for approval to properly maintain the Category II/III systems?	MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.6.16 Extended Range Operations (EROPs)

	Item	References	Result
A-1	Does the operator have EROPS authority?	MCM	❑ OK ❑ FDG ❑ NA
A-2	Has the company MCM been amended to reflect the approved EROPS program?	MCM	❑ OK ❑ FDG ❑ NA
A-3	Is the EROPS program now in use in line with the program approved by Civil Aviation?	MCM	❑ OK ❑ FDG ❑ NA
A-4	Has the MEL been amended to reflect the additional maintenance procedures necessary for the EROPS operation?	MCM	❑ OK ❑ FDG ❑ NA
A-5	Are the individuals involved with the EROPS program knowledgeable with their duties and responsibilities?	MCM	❑ OK ❑ FDG ❑ NA
A-6	Is the operator following the EROPS control document or program as outlined in the company MCM?	MCM	❑ OK ❑ FDG ❑ NA

	Item	References	Result
A-7	Does the operator adhere to the approved reliability program, propulsion, systems, structure?	MCM	❑ OK ❑ FDG ❑ NA
A-8	Does the operator release aircraft participating in the EROPS program in accordance with the approved MEL document?	MCM	❑ OK ❑ FDG ❑ NA
A-9	Does the operator compare trend monitoring data with that of other carriers and world fleet?	MCM	❑ OK ❑ FDG ❑ NA
A-10	Does the operator adhere to the enhanced training, maintenance procedures and tasks approved in the operator's EROPS control document or MCM?	MCM	❑ OK ❑ FDG ❑ NA
A-11	Does the operator dispatch aircraft (EROPS qualified) after a power unit or primary failure without reference to the approved MEL?	MCM	❑ OK ❑ FDG ❑ NA
A-12	Does the operator continue to input unscheduled/scheduled engine removal data into the EROPS program?	MCM	❑ OK ❑ FDG ❑ NA
A-13	Are thrust reductions due to abnormal causes logged and tracked for program input?	MCM	❑ OK ❑ FDG ❑ NA
A-14	Does the operator continue to collect and advise Civil Aviation of data relevant to the health of the approved EROPS program as defined in the approved document or MCM?	MCM	❑ OK ❑ FDG ❑ NA
A-15	Are EROPS aircraft being maintained in conformance with the manufacturer's EROPS type configuration?	MCM	❑ OK ❑ FDG ❑ NA
A-16	Is the operator incorporating changes required by configuration document amendments?	MCM	❑ OK ❑ FDG ❑ NA

	Item	References	Result
A-17	Is the operator reviewing and modifying the EROPS program to reflect control document amendments in a timely manner?	MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.6.17 Maintenance Program

This section is under review and development.

3.6.18 Maintenance Test and Ferry Flights

	CAR 571.10	References	Result
A-1	Does the operator follow maintenance test flight procedures as described in the MCM?	MCM	❑ OK ❑ FDG ❑ NA
A-2	Are maintenance personnel knowledgeable about test flight procedures?	MCM	❑ OK ❑ FDG ❑ NA
A-3	Is there control of maintenance test flight authorisation as described in the MCM?	MCM	❑ OK ❑ FDG ❑ NA
A-4	Are records of maintenance test flights kept on file and monitored by the individual responsible?	MCM	❑ OK ❑ FDG ❑ NA
A-5	Are maintenance test flight results fed back into the maintenance and inspection programs?	MCM	❑ OK ❑ FDG ❑ NA
A-6	Is there adequate communication between flight test personnel, e.g. those in maintenance and operations?	MCM	❑ OK ❑ FDG ❑ NA
A-7	Are the log entries for maintenance test flights as described in the MCM?	MCM	❑ OK ❑ FDG ❑ NA
A-8	Does the operator follow the procedures described in the MCM when exercising ferry-flight authorisation?	MCM	❑ OK ❑ FDG ❑ NA

	CAR 571.10	References	Result
A-9	Are flight and maintenance crews familiar with "away from base" ferry-flight procedures as described in the MCM?	MCM	❑ OK ❑ FDG ❑ NA
A-10	Is there evidence pointing to misuse of the ferry-flight authorisation?	MCM	❑ OK ❑ FDG ❑ NA
A-11	Are ferry flights being reported to the Civil Aviation as described in the MCM?	MCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.6.19 Enroute Inspection

This section is under development. Refer to ASI 68.

3.7 Approved Training Organizations

3.7.1 Common Requirements

3.7.1.1 Training Control Manual (TCM)

	CAR 423.08, Item (2) to become CAR 506	References	Result
A-1	Does the training facility have an approved TCM?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Does the TCM meet the requirements of the ATO document?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Does the training facility have an approval for each training course?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 423.08, Item (2) to become CAR 506	References	Result
A-4	Does the TCM cover the following areas: - quality control; - the curriculum; - record-keeping; - attendance; - examinations; - graduation certificates; - instructors; - the organisational chart; - the facilities (general); - the equipment; - the facilities (specific); - reference material; - the class size; and - the advisory committee?	TCM	❑ OK ❑ FDG ❑ NA
A-5	Are organisational changes reflected in the TCM?	TCM	❑ OK ❑ FDG ❑ NA
A-6	Have all findings from the previous audit been rectified?	TCM	❑ OK ❑ FDG ❑ NA
A-7	Does the TCM have a system for amendments?	TCM	❑ OK ❑ FDG ❑ NA
A-8	Is the system effective?	TCM	❑ OK ❑ FDG ❑ NA
A-9	Are all copies of the TCM up to date?	TCM	❑ OK ❑ FDG ❑ NA
A-10	Do all copies of the TCM have a serial number?	TCM	❑ OK ❑ FDG ❑ NA
A-11	Does the TCM include a list of all manual holders by serial number?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.1.2 Quality Control

	CAR 423.08 (3)(c)(ii)	References	Result
A-1	Does the quality control system ensure compliance with the requirements?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Does the organisation follow the policy and procedures for quality control as described in the TCM?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Is the individual responsible for quality control knowledgeable?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Does the quality manager have systems in place to ensure program integrity?	TCM	❑ OK ❑ FDG ❑ NA
A-5	Does the quality control program provide a check of the system's effectiveness?	TCM	❑ OK ❑ FDG ❑ NA
A-6	Does the quality control section maintain records? Are recommendations acted upon?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.7.1.3 Curriculum

	CAR 423.08 (3)(c)(iii)	References	Result
A-1	Does the training organisation have a curriculum approved by Civil Aviation?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 423.08 (3)(c)(iii)	References	Result
A-2	Does the curriculum provide: - the allotted number of hours per subject; - the course objectives, indicating the level of competency to be achieved; - the skills to be acquired; - practical problems to be completed; - the ratio of theory to hands-on time; and - the examination schedule?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisation have policies and procedures in place to ensure that the curriculum objectives are achieved?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Are curriculum changes or amendments made without prior approval?	TCM	❑ OK ❑ FDG ❑ NA
A-5	Does the curriculum meet published guidelines, where applicable?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.1.4 Record-Keeping

	CAR 423.08 (3)(c)(iii)	References	Result
A-1	Does the organisation maintain a current record for each student?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Does this record include attendance and grades?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Are the records retained for at least five years?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.1.5 Attendance

	CAR 423.08 (3)(c)(v)	References	Result
A-1	Does the training schedule ensure that students do not exceed: - eight hours of duty in any day; and - six days or forty hours of duty in any seven days? Are concessions to the above supported by authorisation?		❑ OK ❑ FDG ❑ NA
A-2	Does the organisation accurately record and control each student's attendance?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisation have policies and procedures for students who miss more than 5 per cent of the course curriculum? Is there evidence demonstrating that students missing more than 5 per cent of the course are not given accreditation?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Does the organisation have policies and procedures in place for supplementary studies? Are there indications that students engaged in supplementary studies are not meeting requirements equivalent to those of the original curriculum?	TCM	❑ OK ❑ FDG ❑ NA
A-5	Does the organisation have policies and procedures in place regarding instructors' attendance? Does it ensure the students' course content?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.1.6 Examination

	CAR 423.08 (3)(c)(vi)	References	Result
A-1	Have examinations been developed by the organisation to ensure that students meet course objectives?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 423.08 (3)(c)(vi)	References	Result
A-2	Does the organisation have a system for ensuring the quality and effectiveness of the questions?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Are there indications that students have been issued certificates without meeting the 70% pass requirement?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Do students attain a passing grade in each part of the course curriculum?	TCM	❑ OK ❑ FDG ❑ NA
A-5	Does the organisation have limited access control over examinations?	TCM	❑ OK ❑ FDG ❑ NA
A-6	Are the completed examinations corrected to 100 per cent, which can reveal course, student or instructor shortcomings?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.1.7 Graduation Certificates

	CAR 423.08 (3)(c)(vii)	References	Result
A-1	Does the certificate include the following: - the name and location of the facility; - the type of training; - the student's full name; - the date of course completion; - an embossed raised seal; - the signature of authorised officials; and - the DOT course approval number?		❑ OK ❑ FDG ❑ NA
A-2	Does the TCM list the names and signatures of individuals authorised to sign certificates? Is this list up to date?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Does the TCM contain an up-to-date copy of a sample certificate?	TCM	❑ OK ❑ FDG ❑ NA

CAR 423.08 (3)(c)(vii)	References	Result

Items Certified – Completed by: _____

3.7.1.8 Instructors

	CAR 423.08(3)(b)	References	Result
A-1	Does the organisation have an appropriate number of instructors licensed or experienced in aircraft maintenance? Have they been trained in instructional techniques?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Is the instructor-student ratio appropriate for the type of training? Refer to the section on class size.	TCM	❑ OK ❑ FDG ❑ NA
A-3	Are specialist instructors inexperienced in aircraft maintenance giving instruction on that subject?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Does the organisation have a program for the evaluation of instructors? Does it address teaching techniques, technical accuracy and conformance to course objectives?	TCM	❑ OK ❑ FDG ❑ NA
A-5	Does the organisation have a structured professional development program in place? Does this program ensure the continual updating of faculty members' knowledge and experience?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.1.9 Organizational Chart

		References	Result
A-1	Does the TCM include an organisational chart?	TCM	❑ OK ❑ FDG ❑ NA

		References	Result
A-2	Does the chart show the responsibilities and reporting levels of each faculty member?	TCM	❑ OK ❑ FDG ❑ NA
A-3	If an individual reports to more than one manager, does the chart define which manager is responsible for which function?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Does the TCM describe the duties and responsibilities of each reporting level? Are these descriptions accurate?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.7.1.10 Facilities

	CAR 423.08 (3)(a)	References	Result
A-1	Does the TCM include a floor plan of the facility?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Does the facility have proper heating, lighting and ventilation to accommodate the maximum number of students?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Are classrooms isolated from all interruptions?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Do classrooms have the following equipment: - proper seating and suitable writing surfaces for students; - proper writing surfaces for the instructor, such as a blackboard, whiteboard or flipchart; and - a desk and/or podium for the instructor?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 423.08 (3)(a)	References	Result
A-5	Does the instructor have the following equipment available: - an overhead projector and screen; - a slide film projector, video player and monitor; - wall charts; and - visual training aids?	TCM	❑ OK ❑ FDG ❑ NA
A-6	Does the facility have a technical library in a controlled environment?	TCM	❑ OK ❑ FDG ❑ NA
A-7	Do students have reasonable access to this area and material?	TCM	❑ OK ❑ FDG ❑ NA
A-8	Does the school have appropriate and adequate equipment, tools and materials for the maintenance of aircraft?	TCM	❑ OK ❑ FDG ❑ NA
A-9	Are tools and equipment maintained in a satisfactory working condition?	TCM	❑ OK ❑ FDG ❑ NA
A-10	Does the training organisation use facilities other than its own?	TCM	❑ OK ❑ FDG ❑ NA
A-11	Does the organisation have a letter of agreement or contract with facilities other than its own?	TCM	❑ OK ❑ FDG ❑ NA
A-12	Does this contract state the extent to which other facilities will be used and is the contract signed by an appropriate official?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.7.2 Basic Training Requirements

3.7.2.1 Prerequisites and Curriculum

	CAR 423.08(3)(d)(i)(A)(B)and(C)(iii)	References	Result
A-1	Does the basic training organisation have procedures for student admission?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Do these procedures ensure that the student has the required background knowledge to assimilate the course content?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Does the course content cover the subjects and items prescribed in the applicable curriculum guide?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Is the curriculum for each accredited training program included in the TCM?	TCM	❑ OK ❑ FDG ❑ NA
A-5	Does the curriculum show the allotted hours for each subject areas and whether it is theoretical area and indicate whether the time is devoted to theoretical or practical work?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.2.2 Equipment (General Aircraft and Avionics)

	CAR 423.08(3)(d)(i)(c)	References	Result
A-1	Does the basic training organisation have at least one aircraft appropriate to the course curriculum? Avionics courses must include a comprehensive avionics package.	TCM	❑ OK ❑ FDG ❑ NA
A-2	Is this aircraft of a type approved for civil operation and complete in all respects?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Can this aircraft be used in all aspects of training, including ground runs?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 423.08(3)(d)(i)(c)	References	Result
A-4	Does the training organisation have a variety of training aids suitable for the completion of practical projects as part of the curriculum?	TCM	❑ OK ❑ FDG ❑ NA
A-5	Are the training aids sufficiently diverse to show the various methods of aircraft construction, assembly inspection and operation?	TCM	❑ OK ❑ FDG ❑ NA
A-6	Are there enough training aid units so that no more than four students will have to work on any one unit at a time?	TCM	❑ OK ❑ FDG ❑ NA
A-7	Does the basic training organisation have training aids for the more complicated aircraft systems, if its primary aircraft covers only simple systems?	TCM	❑ OK ❑ FDG ❑ NA
A-8	Does the organisation use an aircraft with a valid C of A for training purposes?	TCM	❑ OK ❑ FDG ❑ NA
A-9	Does the organisation have policies and procedures in place to ensure the airworthiness condition of the aircraft prior to flight?	TCM	❑ OK ❑ FDG ❑ NA
A-10	Are these policies and procedures adequate? Are they complied with prior to flight?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.2.3 Facilities (General Aircraft and Avionics)

	CAR 423.08(3)(d)(i)(D)	References	Result
A-1*	Does the basic training organisation have policies and procedures in place to ensure that the shop facilities simulate an actual working environment?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 423.08(3)(d)(i)(D)	References	Result
A-2*	Does the facility have an aircraft store? Is it arranged to ensure proper separation of the store from the workplace?	TCM	❑ OK ❑ FDG ❑ NA
A-3*	Does the organisation have a system of control for calibrated tools, instruments and equipment? This may be simulated to some extent, but proper calibration is required for all items in a run-up condition.	TCM	❑ OK ❑ FDG ❑ NA
A-4	Does the facility have a storage space for flammable materials? Does this area have proper ventilation, a sealed electrical system and spill retention?	TCM	❑ OK ❑ FDG ❑ NA
A-5*	Does the facility have a hangar? Is it sufficiently large to contain the aircraft and equipment and to permit disassembly, inspection, maintenance and reassembly?	TCM	❑ OK ❑ FDG ❑ NA
A-6	Does the facility have a sheet metal section? Is the area sufficiently large to contain the equipment required to make and repair sheet metal?	TCM	❑ OK ❑ FDG ❑ NA
*	This applies to both general aircraft and avionics courses.		
A-7	Does the facility have a woodworking section? Is the area sufficiently large to contain the equipment required to make and repair wood and fabric?	TCM	❑ OK ❑ FDG ❑ NA
A-8	Does the facility have a paint section? Is the area sufficiently large to contain the equipment required to carry out doping and spray painting?	TCM	❑ OK ❑ FDG ❑ NA
A-9	Does the facility have a cleaning/degreasing area? Is this a separate space equipped with a washtank and degreasing equipment?	TCM	❑ OK ❑ FDG ❑ NA
A-10*	Does the facility have an engine run-up area? Is it separate from the work area? Is it in the form of a test cell or tie-down area? Is the safety of the students assured?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 423.08(3)(d)(i)(D)	References	Result
A-11*	Does the facility have two segregated battery sections? Are they separated from other work areas? Do these areas have proper ventilation, sealed electrical systems and safety systems? Are they equipped to inspect, maintain and charge both nickel-cadmium (nicad) and lead acid batteries?	TCM	❑ OK ❑ FDG ❑ NA
*	This applies to both general aircraft and avionics courses.		
A-12	Does the aircraft maintenance facility have the following equipment and component sections: - avionics; - electrical; - powerplants (reciprocating and turbine); - fuels; - pneumatic and vacuum; - instruments: magnetic, gyro and pitot-static; - hydraulics; - powertrains (helicopter); and - propellers? Are these sections provided with adequate equipment and special tools to disassemble, repair, service, inspect, test and reassemble these components?	TCM	❑ OK ❑ FDG ❑ NA
A-13	Does the facility for avionics maintenance facility have the following equipment and component sections: - avionics; - electrical; - powerplants; - pneumatics; - instruments: magnetic, gyro and pitot-static; - hydraulics; - flight controls; and - auto-pilots?	TCM	❑ OK ❑ FDG ❑ NA
*	This applies to both general aircraft and avionics courses.		

CAR 423.08(3)(d)(i)(D)	References	Result

Items Certified - Completed by: _____

3.7.2.4 Reference Material

	CAR 423.08(3)(d)(i)(E)	References	Result
A-1	Does the basic training organisation have procedures in place to ensure that the following are available and kept up to date with amendments: - the aviation regulations; - the airworthiness standards; - the licensing standards; - the appropriate ADs; - type certificates and supplementary type certificates for primary training aircraft; - a complete set of manuals for primary training aircraft; and - one copy of each textbook required for the course of study?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Does the organisation have policies and procedures in place for manuals that will not be maintained in an amended status?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Are these manuals identified so as to ensure that the reader is aware of their status?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.7.2.5 Class Size

	CAR 423.08(3)(d)(i)(F)	References	Result
A-1	Does the basic training organisation have policies and procedures regarding class size?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 423.08(3)(d)(i)(F)	References	Result
A-2	Do classes contain more than 25 students? If so, is the organisation able to justify the class size by ensuring that there are sufficient instructors, space and equipment?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisation have sufficient instructors or qualified supervisors to ensure both the quality of work and the safety of the students during practical tasks?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Is the supervisor-student ratio appropriate for the task being accomplished? The guideline of a 1:6 ratio may be used as an average.	TCM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.7.2.6 Advisory Committee

	CAR 423.08(3)(a)(i)	References	Result
A-1	Does the training organisation have a TCM?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Is there a diverse industry representation on the committee?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Does the TCM describe the committee's duties and responsibilities?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Does the advisory committee's mandate ensure that the course curriculum is current from an industry standpoint?	TCM	❑ OK ❑ FDG ❑ NA
A-5	Does the advisory committee's mandate encompass supporting the curriculum, e.g. through training aids, specialised equipment, instructors and professional development?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 423.08(3)(a)(i)	References	Result
A-6	Are minutes taken at advisory committee meetings?	TCM	❑ OK ❑ FDG ❑ NA
A-7	Are the minutes retained for a minimum of five weeks?	TCM	❑ OK ❑ FDG ❑ NA
A-8	Are the decisions reached at the committee meetings forwarded to other parties involved.	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.3 Type Training Requirements

3.7.3.1 Prerequisites and Curriculum

	CAR 23.08(3)(d)(iii)(A)(B)	References	Result
A-1	Does the type training organisation have procedures for student admission?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Do these procedures ensure that the student has the required background knowledge to assimilate the course content?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Does the course content cover the complete aircraft type, including engines, propellers, and so on?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Is there a requirement for a separate engine/propeller course required?	TCM	❑ OK ❑ FDG ❑ NA
A-5	Is the course approval annotated to reflect the separate engine/propeller course requirement?	TCM	❑ OK ❑ FDG ❑ NA
A-6	Do graduates either complete a separate engine/propeller course or hold a rating on another aircraft having a similar engine/propeller?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 23.08(3)(d)(iii)(A)(B)	References	Result
A-7	Are course lengths based on the complexity of the type, i.e. aircraft type between 70 and 240 or engine type between 35 and 70?	TCM	❑ OK ❑ FDG ❑ NA
A-8	Does the type course meet the following allotment of hours based on complexity, i.e.: - Dehavilland DH8: 90-120; - Gulfstream G11: 120-160; - Boeing 727: 160-200; - Airbus 320: 200-240; - Bell BH206: 70-90; or - Bell BH212: 90-120?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.3.2 Equipment

	CAR 423.08(3)(d)(iii)(C)	References	Result
A-1	Does the type training organisation have a system for ensuring a minimum of 5 per cent hands-on training?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Does the organisation offer any combination of the following equipment: - simulator or procedures trainer; - aircraft; or - training aid mock-ups?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Does this equipment ensure that: - students can locate and identify aircraft components; and - students are able to troubleshoot, inspect and carry out functional tests of all live aircraft systems from a cockpit perspective?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.7.3.3 Facilities

	CAR 423.08(3)(d)(iii)(D)	References	Result
A-1	Does the type training organisation have facilities appropriate to the course content?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Are simulators located in a separate area and equipped for maintenance training?	TCM	❑ OK ❑ FDG ❑ NA
A-3	Do hangar facilities provide sufficient space for an aircraft?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Are hangar shops equipped for: - the disassembly, inspection, maintenance, overhaul, adjustment and assembly of aircraft; or - the location, inspection, troubleshooting and performance of functional tests on various areas of an aircraft?	TCM	❑ OK ❑ FDG ❑ NA
A-5	Are training aids and mock-ups located in a sufficiently large space for display, inspection and operation?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.3.4 Reference Material

	CAR 423.08(3)(d)(iii)(E)	References	Result
A-1	Does the type training organisation have a student training manual?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Does each student receive a copy of the manual?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 423.08(3)(d)(iii)(E)	References	Result
A-3	Does the organisation have procedures for ensuring that the following materials are available and kept up to date with amendments: - maintenance; - overhaul; - structural; - parts; - bulletins; and - airworthiness directives?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.7.3.5 Class Size

	CAR 423.08(3)(d)(iii)(F)	References	Result
A-1	Does the type training organisation have policies and procedures regarding class size?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Do classes contain more than 15 students? If so, is the organisation able to justify the class size by ensuring that there are sufficient instruments, space and equipment?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.7.3.6 Advisory Committee

	CAR 423.08(3)(c)(i)	References	Result
A-1	Does the type training organisation have policies and procedures for explaining changes to the course in detail?	TCM	❑ OK ❑ FDG ❑ NA
A-2	Does the organisation use its quality control committee as an advisory committee?	TCM	❑ OK ❑ FDG ❑ NA

	CAR 423.08(3)(c)(i)	References	Result
A-3	Does the advisory committee address training issues, is the training quality manager a member of the committee, and does this committee retain the minutes of each meeting?	TCM	❑ OK ❑ FDG ❑ NA
A-4	Are all areas of the course addressed by the advisory committee, including curriculum content, equipment and facilities?	TCM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8 Manufacturing Processes

3.8.1 Quality Program Manual (QPM)

	CAR to be developed	References	Result
A-1	Does the QPM describe the organisation, its size, its nature and the scope of its work?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Does the QPM contain a statement of the manual's purpose, including the system of amendments and distribution controls?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisational chart describe the duties and responsibilities attaching to each position?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Does the QPM identify the director of quality assurance, the quality manager and the chief inspector?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Do these individuals meet requirements?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Does the QPM describe the quality assurance system?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Does the QPM describe the system used to record the performance of work?	QPM	❑ OK ❑ FDG ❑ NA

	CAR to be developed	References	Result
A-8	Does the QPM identify the standards observed in the performance of work?	QPM	❑ OK ❑ FDG ❑ NA
A-9	Does the QPM describe the procedures used to perform the work?	QPM	❑ OK ❑ FDG ❑ NA
A-10	Does the QPM describe the method used to ensure that authorised personnel sign a release certification?	QPM	❑ OK ❑ FDG ❑ NA
A-11	Does the QPM describe the facilities and equipment?	QPM	❑ OK ❑ FDG ❑ NA
A-12	Does the QPM distribution list include all required personnel, i.e. directors, chiefs, foremen, those at sub-bases, Civil Aviation and so on?	QPM	❑ OK ❑ FDG ❑ NA
A-13	Do all QPM holders keep their copies up to date with approved amendments?	QPM	❑ OK ❑ FDG ❑ NA
A-14	Does the QPM contain a copy of the Civil Aviation Certificate of Approval and List of Limitations, and do these require revision?	QPM	❑ OK ❑ FDG ❑ NA
A-15	Does the company exceed the limitations on its approval?	QPM	❑ OK ❑ FDG ❑ NA
A-16	Does the manual contain any information inconsistent with Civil Aviation regulations?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.8.2 Bonding Process

		References	Result
A-1	Does the manufacturer have approved process specifications and inspection procedures?	QPM	❑ OK ❑ FDG ❑ NA

		References	Result
A-2	Are these procedures available to the personnel employed in the bonding of aircraft parts and assemblies?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.2.1 Material Qualification

		References	Result
A-1	Are the materials used in accordance with the process specification requirements?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are the material certifications current?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are the materials traceable through batch number identification?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are materials subject to prescribed shelf-life conditions?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are shelf-life materials past their expiration date re-tested and recertified?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.2.2 Storage

		References	Result
A-1	Are materials stored as prescribed in the manufacturers' bonding process specifications?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are temperature, humidity and cleanliness controlled?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are shelf-life materials past their expiration date removed from stores and quarantined?	QPM	❑ OK ❑ FDG ❑ NA

		References	Result

Items Certified – Completed by: _____

3.8.2.3 Mixing of Adhesives

		References	Result
A-1	Are detailed mixing procedures available to the operators?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Is the mixing contained in accordance with the process specifications?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.2.4 Job Cards

		References	Result
A-1	Do the job cards specify bonding details for parts and assemblies?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Do the job cards record part, batch and serial numbers, test specimens, and operations and inspection acceptance?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Do the job cards detail the cleaning operations and materials to be used?	QPM	❑ OK ❑ FDG ❑ NA
			❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.2.5 Cleaning

		References	Result
A-1	Are parts vapour-degreased or hand-cleaned?	QPM	❑ OK ❑ FDG ❑ NA

		References	Result
A-2	Are parts cleaned using alkaline cleaning methods?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are parts etched in a solution of sodium dichromate and sulphuric acid and rinsed in demineralized water?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Is care taken to prevent acid entrapment in corners or hidden areas during cleaning?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Do all cleaning operations comply with the process specifications?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.2.6 Handling

		References	Result
A-1	Are clean, dry, lint-free, white cotton gloves always worn by personnel when handling clean parts?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Is the elapsed time between cleaning, the application of adhesive primer, and curing controlled in accordance with the process specifications?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are parts stored in a clean, controlled atmosphere?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are parts wrapped in clean craft paper?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are the temperature and humidity controlled in storage areas?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Is the handling of clean parts controlled in accordance with the requirements of the process specification requirements?	QPM	❑ OK ❑ FDG ❑ NA

		References	Result

Items Certified – Completed by: _____

3.8.2.7 Surface Treatment Prior to Bonding

		References	Result
A-1	Are the adhesive primers applied immediately after cleaning?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Is the thickness of the prime coat controlled?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.2.8 Application of Adhesives

		References	Result
A-1	Are only approved adhesives used?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are the adhesives tested by the manufacturers' test laboratory prior to use?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are adhesives' batch numbers recorded at the time of application?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Does the application of adhesives conform to the process specifications?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.2.9 Loading of Parts into Fixtures

		References	Result
A-1	Are the fixtures inspected for cleanliness and freedom from foreign matter before parts are loaded?	QPM	❑ OK ❑ FDG ❑ NA

		References	Result
A-2	Are the fixtures approved for production runs?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Is an inspection conducted for fitting and clamping in accordance with the process specifications?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.2.10 Certification and Control of Hot Presses, Autoclaves and Jigs

		References	Result
A-1	Have the hot presses, autoclaves and jigs been approved?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are temperature uniformity surveys conducted and the results recorded?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are the clamping devices maintained in good condition?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are the temperature recorders calibrated?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are the timing devices calibrated?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Does the equipment comply with the process specification requirements?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.2.11 Curing

		References	Result
A-1	Are the temperature, pressure, time in and time out recorded during curing?	QPM	❑ OK ❑ FDG ❑ NA

		References	Result
A-2	Are the test specimens positioned and cured with the production run?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are the inspection results for test specimens recorded?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are the test specimens traceable to a specific production run?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.2.12 Inspection of Bonded Parts

		References	Result
A-1	Are the laboratory results of test specimens verified for acceptability?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are all items inspected for conformance to the drawing and process specifications?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Which non-destructive testing method is used during the final inspection?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Is final acceptance based on documentary evidence of previous inspection acceptance, in addition to satisfactory results of test coupons and a final visual/non-destructive inspection?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Do all bonding operations and equipment and comply with the requirements of the manufacturing bonding process?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.3 Cadmium Plating

		References	Result
A-1	Are specifications and procedures available	QPM	❑ OK ❑ FDG ❑ NA

		References	Result
	to the operators and are they used?		
A-2	Are parts vapour-degreased?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are steel parts pickled in hydrochloric acid to remove surface rust and oxidisation?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are copper parts bright-dipped in sulphuric acid?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Is adequate rinsing carried out throughout the finishing process?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Are baking ovens subject to temperature uniformity checks?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Is the finished product visually inspected for evidence of defective plating?	QPM	❑ OK ❑ FDG ❑ NA
A-8	Are the following tests carried out using approved methods and calibrated instruments: - plating-thickness testing; - adhesion testing; - solution control analysis; and - the salt-spray test?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.4 Chemical Milling of Aluminum Alloys

		References	Result
A-1	Are specifications and procedures available to the operator and are they used?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are the temperature and etch rate of the chemical mill solution analysed and recorded?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Is there sufficient agitation of the solution to process the parts properly?	QPM	❑ OK ❑ FDG ❑ NA

		References	Result
A-4	Are parts in preparation for milling suitably racked to minimise gas entrapment?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are viscosity checks of the masking solution carried out and recorded?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Do the operators observe cleanliness and good housekeeping practices throughout the process?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Are chemically milled parts properly protected from damage?	QPM	❑ OK ❑ FDG ❑ NA
A-8	Are the internal surfaces of the tubes inspected for a powdery appearance of the coating?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.5 Chemical Conversion Coatings for Aluminum Alodine: Brush Spraying and Immersion

		References	Result
A-1	Are specifications and procedures available and are they used?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are parts vapour-degreased prior to alodine application?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are parts rinsed with deionized water?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Is the solution concentrate analysed periodically?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Is the immersion time monitored?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Are parts visually inspected for a complete coverage of coating?	QPM	❑ OK ❑ FDG ❑ NA

		References	Result

Items Certified – Completed by: _____

3.8.6 Chromic/Sulphuric Acid Anodizing of Aluminum

		References	Result
A-1	Is excess oil or grease removed by vapour degreasing or is an alternative approved method being used?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are parts supported in aluminum alloy or titanium racks in such a way so as to facilitate drainage and prevent solution entrapment?	QPM	❑ OK ❑ FDG ❑ NA
NOTE:	Racked parts must be tightly clamped and spaced far enough apart to prevent "shading."		
A-3	Is the anodising current controlled correctly?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Is post-anodic treatment adequately controlled?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are quality control inspections of the equipment conducted regularly?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Are solutions analysed periodically?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Are analysis records kept on file?	QPM	❑ OK ❑ FDG ❑ NA
A-8	Are solutions adequately controlled to prevent contamination?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.7 Copper Plating

		References	Result
A-1	Are specifications and procedures available to the operators and are they used?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Is a copper cyanide bath used for depositing metal?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Is copper plating applied directly to the basic metal or following the copper strike?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are parts examined for plating adherence, crystalline appearance, porosity, blisters and pits?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are tanks clean and in good working condition?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Are calibration decals affixed to the equipment? Are they current?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Is embrittlement relief of plated parts performed when parts are not subsequently heat-treated or brazed?	QPM	❑ OK ❑ FDG ❑ NA
A-8	Are areas of parts not requiring plating masked off?	QPM	❑ OK ❑ FDG ❑ NA
A-9	Are parts rinsed in clean, cold water?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.8 Dichromate Treatment of Magnesium Alloys

		References	Result
A-1	Are specifications and procedures available to the operators and are they in use?	QPM	❑ OK ❑ FDG ❑ NA

		References	Result
A-2	Are machining or forming operations completed prior to the dichromate treatment?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Is the solution concentration analysed?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are analysis records available?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are the temperature gauges calibrated?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Are calibration decals current?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Is the method used to remove surface contamination acceptable?	QPM	❑ OK ❑ FDG ❑ NA
A-8	Are parts rinsed thoroughly following the dichromate treatment?	QPM	❑ OK ❑ FDG ❑ NA
A-9	Are parts dried thoroughly following rinsing?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.9 Heat Treatment of Aluminum Alloys (Air Furnace)

		References	Result
A-1	Does the manufacturer have qualified personnel to inspect and control the heat-treatment process?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are process instructions available to the operators and inspectors?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are temperature uniformity surveys carried out? Are results of surveys recorded and kept on file?	QPM	❑ OK ❑ FDG ❑ NA

		References	Result
A-4	Is pyrometric testing and calibration of equipment carried out?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are parts cleaned before any heating operation? Are parts racked to allow circulation?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Are parts quenched as rapidly as possible? Is water agitated during quenching?	QPM	❑ OK ❑ FDG ❑ NA
A-7	How is the refrigeration temperature controlled for the storage of heat-treated parts?	QPM	❑ OK ❑ FDG ❑ NA
A-8	Is batch number or work order number, time in and time out, and date recorded on temperature instrument charts?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.10 Heat Treatment of Aluminum Alloys (Salt Bath)

	Items	References	Result
A-1	Does the manufacturer have personnel qualified to inspect and control the heat-treatment process?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are process instructions available to the operators and inspectors?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are temperature uniformity surveys conducted? Are the survey results recorded and kept on file?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Is material identified before processing?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are parts cleaned prior to heat treatment?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Are parts quenched as rapidly as possible?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Is the surface of the salt bath clean?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-8	Are salt-bath analyses conducted? Are records available?	QPM	❑ OK ❑ FDG ❑ NA
A-9	Are instrument certification decals current?	QPM	❑ OK ❑ FDG ❑ NA
A-10	Is the batch number or work order number recorded on the temperature instrument chart?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.11 Heat Treatment of Steel

	Items	References	Result
A-1	Does the manufacturer have personnel qualified to inspect and control the heat-treatment process?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are process instructions available to the operators and inspectors?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are temperature uniformity surveys conducted? Are the survey results recorded and kept on file?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are the batch numbers or work order numbers entered on the temperature recording charts?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are pyrometric testing and calibration of equipment carried out? Are certificates available?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Is the following data recorded for each furnace load: - the part and batch number; - the time in, time out and date; and - the quantity?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Are laboratory test specimens included with the furnace load when required?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-8	Are parts hardness tested after heat-treatment?	QPM	❑ OK ❑ FDG ❑ NA
A-9	Are mechanical or metallurgical tests performed?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.12 Sulphuric Acid/Sodium Dichromate Etch

	Items	References	Result
A-1	Are specifications and processing procedures available to the operator and are they in use?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are parts adequately cleaned prior to the sulphuric acid/sodium dichromate etching?	QPM	❑ OK ❑ FDG ❑ NA
A-3	At what temperature are the baths maintained?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Is deionized water used to spray-rinse parts?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are records of the etch solution analysis kept on file?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.13 Vapour Degreasing Specification Materials

	Items	References	Result
A-1	Which of the following materials are used: - trichloroethylene; - tetrachloroethylene (perchloroethylene); - 1, 1, 1, trichloroethane; - sodium carbonate, or	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
	- other?		
A-2	Are there any restrictions on the types of material that can be degreased?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are parts placed in baskets to ensure adequate draining?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Is the vapour degreaser tank covered when not in use?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Is the temperature of the degreaser boiling chamber maintained within the proper range?	QPM	❑ OK ❑ FDG ❑ NA
A-6	If the operating temperature exceeds the recommended temperature range, what action is taken?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.14 Aluminum Brazing (Dip Brazing)

	Items	References	Result
A-1	Are operators qualified/certified?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Is the temperature-recording equipment calibrated?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are circulating air ovens used to preheat parts? Are the ovens temperature-controlled?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are all parts brazed according to an approved schedule?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are test pieces available? Do test pieces undergo NDT?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Are approved cleaning procedures adhered to?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-7	Are all brazed joints usually inspected? Are fillets of a uniform radius?	QPM	❑ OK ❑ FDG ❑ NA
A-8	Are parts checked for distortion?	QPM	❑ OK ❑ FDG ❑ NA
A-9	Are parts checked for porosity and cracks open to the surface?	QPM	❑ OK ❑ FDG ❑ NA
A-10	Do parts undergo NDT for internal defects?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.15 Fusion Welding

	Items	References	Result
A-1	Are welders qualified/certified?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are the surfaces of all parts to be joined free from foreign matter (oil, grease, paint, dirt, scale, electroplating or other contaminants)?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are the interior walls of all tubing thoroughly cleaned of filings, chips and other foreign matter?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are welded joints free from slag, flux, and so on?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are fusion-welded parts visually inspected for: - convexity, concavity and size beads; - undercutting, overlapping and excessive penetration; - cracks, porosity and inclusions; and - other metallic discontinuities?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-6	Are radiographic, magnetic-particle, fluorescent-penetrant and/or pressure-test inspections carried out in accordance with the relevant schedule?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.16 Metallic Arc Welding

	Items	References	Result
A-1	Are welders qualified/certified?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are the electrode manufacturer's recommendations or drawing requirements observed with regard to current, polarity, and so on?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Is the type of electrode used suitable for the material being welded?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are pre-heat and post-heat requirements adhered to?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are electrodes identified and properly stored?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.17 Tungsten Inert Gas (TIG) Shielded-Arc Welding

	Items	References	Result
A-1	Are welders qualified/certified?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Are the various types of metals to be welded cleaned in compliance with the process standards applicable to each type?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Is the time lapse between cleaning and welding minimised?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-4	Are welding rods identified and properly stored?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Is the post-heat furnace temperature controlled?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Are titanium parts inspected to ensure that they are free from oxide, scale, oil, grease or other contaminants prior to welding?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Are titanium parts visually inspected for discoloration (which is acceptable when welded surfaces are silver to light straw-yellow in colour)?	QPM	❑ OK ❑ FDG ❑ NA
A-8	Are titanium parts welded in the open air or in a vacuum chamber?	QPM	❑ OK ❑ FDG ❑ NA
A-9	Are titanium test coupons used for contamination checks of the inert atmosphere in the welding chamber?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.18 Certification/Qualification of NDT Personnel

	Items	References	Result
A-1	Are the operators qualified/certified to the appropriate standard: - MIL-STD-410; - CGSB; - 48-GP-7M (radiography); - 48-GP-7M (ultrasonics); - 48-GP-8M (magnetic particles); - 48-GP-9M (liquid penetrant); and - 48-GP-13M (eddy current)?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-2	Are the records of NDT personnel available and up to date? Do the records contain information regarding their: - physical examination; - training; - work experience; and - level of certification/qualification?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Is the proficiency of certified/qualified personnel verified?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.19 Eddy Current Inspection

	Items	References	Result
A-1	According to what standard are eddy current inspections conducted?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Is the eddy current equipment calibrated for each inspection of specified test pieces?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are approved techniques and/or technical instructions followed?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are test pieces and eddy current probes properly identified with respect to techniques or inspection guidelines?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are parts/components properly cleaned prior to the eddy current testing?	QPM	❑ OK ❑ FDG ❑ NA
A-6	What type of equipment is used and for what purpose?	OBS	❑ OK ❑ FDG ❑ NA
A-7	Is the eddy current equipment used for product acceptance calibrated to the reference standard or equipment manufacturer's specification by an approved calibration laboratory?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.20 Liquid Penetrant Inspection

	Items	References	Result
A-1	According to what standard are liquid penetrant inspections carried out: - MIL-1-6866; - 48-GP-12M; or - other?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Does the pre-cleaning process adequately prepare the surface for the application of the penetrant?	OBS	❑ OK ❑ FDG ❑ NA
A-3	Are the drying ovens thermostatically controlled at the specified temperature?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are penetrant agents applied at the recommended temperature?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are precautions taken to prevent the overdrying and overheating of parts?	OBS	❑ OK ❑ FDG ❑ NA
A-6	Do inspectors observe "darkroom conditioning time" before conducting the inspection?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Is the inspection conducted at the proper stage in the manufacturing process?	QPM	❑ OK ❑ FDG ❑ NA
A-8	Do the materials used in the inspection process meet the approved specifications?	QPM	❑ OK ❑ FDG ❑ NA
A-9	Are the materials used in accordance with the manufacturer's recommendations?	QPM	❑ OK ❑ FDG ❑ NA
A-10	What quality assurance tests are used to verify the condition of the penetrant?	QPM	❑ OK ❑ FDG ❑ NA
A-11	Are records available for the following tests: - sensitivity of process; and - fluorescent brightness?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-12	Is penetrant dwell time controlled in accordance with the manufacturer's recommendations?	QPM	❑ OK ❑ FDG ❑ NA
A-13	Are penetrant tanks and materials protected from contamination?	QPM	❑ OK ❑ FDG ❑ NA
A-14	Are parts dried prior to the application of dry or wet developers?	QPM	❑ OK ❑ FDG ❑ NA
A-15	Is the dark inspection booth adequate for its intended use?	QPM	❑ OK ❑ FDG ❑ NA
A-16	Are parts properly cleaned following the inspection process?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.8.21 Magnetic Particle Inspection

	Items	References	Result
A-1	According to what standard is the magnetic particle inspection carried out: - MIL-1-6868; - 48-GP-11M; or - other?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Is the inspection conducted at the proper stage in the manufacturing process?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are specifications and procedures available to the operators and are they used?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Do the inspection techniques provide for the detection of all discontinuities?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Is the magnetising unit capable of producing its rated magnetising current? If not, is it placarded to indicate its specific limitations?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-6	Is adequate equipment available for cleaning parts prior to and following the inspection?	QPM	❑ OK ❑ FDG ❑ NA
A-7	What quality assurance tests are specified for controlling the process?	QPM	❑ OK ❑ FDG ❑ NA
A-8	Is the following equipment available and is it used to control the process: - a calibrated field indicator; - a calibrated light meter; - a centrifuge tube; - a suitable dark booth, when required; - a calibrated ammeter gauge; and - a black light?	QPM	❑ OK ❑ FDG ❑ NA
A-9	Are records of the following tests available: - magnetic substance concentration (concentration and viscosity); - black light intensity; and - effectiveness of equipment and process?	QPM	❑ OK ❑ FDG ❑ NA
A-10	Do inspectors observe "darkroom conditioning" time before conducting the inspection?	QPM	❑ OK ❑ FDG ❑ NA
A-11	Are parts demagnetised after inspection and prior to cleaning? How is demagnetisation carried out?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.8.22 Radiographic Inspection

	Items	References	Result
A-1	According to what standard is radiographic inspection being performed? Is it MIL-STD-A53?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-2	Are the applicable radiographic standards specifications and inspection techniques available to inspectors?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Do inspection techniques specify the adequate coverage of parts?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are current calibration curves available for each x-ray-generating device?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are appropriate penetrameters or image quality indicators available and in use?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Are radioactive sources in use?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Are the regulations governing the use of radioactive sources (i.e. the Atomic Energy Control Act) available to operators and inspectors?	QPM	❑ OK ❑ FDG ❑ NA
A-8	Is appropriate source and radiation-handling and radiation-shielding equipment available and in good condition?	QPM	❑ OK ❑ FDG ❑ NA
A-9	Are densitometers used?	QPM	❑ OK ❑ FDG ❑ NA
A-10	Do radiographs contain the following information: - the date of exposure; - the aircraft or part identification or serial number; - the inspection technique number; and - the film location and exposure identification?	QPM	❑ OK ❑ FDG ❑ NA
A-11	Are appropriately certified film interpretation reports available for each inspection?	QPM	❑ OK ❑ FDG ❑ NA
A-12	Are appropriate facilities and equipment available for film interpretation?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-13	Is film handled, processed and stored in accordance with the manufacturer's recommendations?	QPM	❑ OK ❑ FDG ❑ NA
A-14	Are personnel qualified and their records up to date?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.8.23 Ultrasonic Inspection

	Items	References	Result
A-1	According to what standard is ultrasonic inspection being performed? Is it MIL-STD-1875 or 2154?	QPM	❑ OK ❑ FDG ❑ NA
A-2	How is the ultrasonic test equipment calibrated for each inspection conducted on: - a test piece; or - a calibration standard?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are a current distance-amplitude curve (DAC) and a linearity chart available?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are all parameters checked in accordance with the technical manual or inspection technique instructions before the inspection begins?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Are test pieces properly identified and used at each inspection?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Are parts/components properly cleaned prior to ultrasonic testing?	QPM	❑ OK ❑ FDG ❑ NA
A-7	Is the equipment used for product acceptance calibrated to the reference standard or the equipment manufacturer's specification by an accredited calibration laboratory?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-8	Are adequate quantities of transducers available and maintained in good condition?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.24 Non-Conforming Material Review Board (MRB)

	Items	References	Result
A-1	Does the Material Review Board (MRB) include representatives from the quality control/assurance and engineering departments?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Does the company have a current list of approved MRB members?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are rejected parts/materials tagged, identified and quarantined?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are parts/materials considered scrap properly identified and/or disposed of?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Do MRB records include the part number, quantity, effectivity date, corrective action taken, description of defects and proper signature?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Do parts requiring reworking comply with the engineering disposition? Are these parts re-inspected and recertified?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.25 Special Processes

	Items	References	Result
A-1	What type of special process does the company use?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-2	Are all processes performed covered by appropriate and approved specifications?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Do the process specifications used establish realistic acceptance criteria that are classified so as to ensure that all articles and products processed and accepted conform to the approved design data?	QPM	❑ OK ❑ FDG ❑ NA
A-4	Are process specifications readily available and used by inspection personnel?	QPM	❑ OK ❑ FDG ❑ NA
A-5	Who approves the operators and equipment? According to what specifications are the operators approved? What type of training is available?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.8.26 Sub-Contractor and Supplier Control

	Items	References	Result
A-1	How does the company ensure that the sub-contractor - has established a system for controlling conformance through evaluation and/or surveillance, and - continues to maintain a quality control system that will ensure conformance to the approved design data?	QPM	❑ OK ❑ FDG ❑ NA
A-2	Does the company supply information Civil Aviation regarding all delegations of authority to its suppliers in such matters as MRB design changes?	QPM	❑ OK ❑ FDG ❑ NA
A-3	How does the company ensure that all material review action and design changes to supplied articles, including those of a proprietary nature, are approved by the prime contractors?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-4	Does the company realise that, as the prime contractor, it is responsible for all work carried out by its sub-contractors and for the final certification of the product?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.8.27 Tool and Gauge Control

	Items	References	Result
A-1	How does the company ensure that the equipment used for inspections can determine conformance of the characteristic it is intended to evaluate?	QPM	❑ OK ❑ FDG ❑ NA
A-2	What procedure does the company use for protecting, maintaining and updating jig and fixture control as required to assure conformance to the approved design data?	QPM	❑ OK ❑ FDG ❑ NA
A-3	Are calibration records traceable to the National Bureau of Standards?	QPM	❑ OK ❑ FDG ❑ NA
A-4	What system does the company use to ensure inspection acceptance and the periodic re-inspection of all inspection equipment and jigs?	QPM	❑ OK ❑ FDG ❑ NA
A-5	How does the company control inaccurate inspection tools, gauges, instruments, jigs, and so on to ensure their identification and removal from use until repair, reworking or calibration has been accomplished?	QPM	❑ OK ❑ FDG ❑ NA
A-6	Does the company have adequate records of all equipment used for inspection purposes? Do these records contain the nomenclature, serial number, location, details of all repairs or reworking performed, and date of the next inspection?	QPM	❑ OK ❑ FDG ❑ NA

	Items	References	Result
A-7	If any precision tools and measuring equipment are used for inspection acceptance, are they periodically calibrated and recorded?	QPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.9 Distributors

3.9.1 Production Control System Manual (PCSM)

	This section is to be developed	References	Result
A-1	Does the PCSM describe the organisation, its size, its nature and the scope of its work?	PCSM	❑ OK ❑ FDG ❑ NA
A-2	Does the distributor follow the PCSM as described in the manual?	PCSM	❑ OK ❑ FDG ❑ NA
A-3	Are individuals responsible for product control functioning as described in the duties and responsibilities section of the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-4	Does the product control department identify, evaluate and take action regarding product control problems?	PCSM	❑ OK ❑ FDG ❑ NA
A-5	Do all areas of the distributor's organisation listed in the PCSM have an up-to-date copy of the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-6	Are amendments received and circulated and information disseminated as described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-7	Are forms, tags and stamps used by the distributor as described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA

	This section is to be developed	References	Result
A-8	Are only approved amendments incorporated into the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.9.2 Receiving Inspections

	CARS Chapters to be Established	References	Result
A-1	Does the organisation follow the policies and procedures for receiving inspections as described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for receiving inspections knowledgeable about the procedures described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-3	Does the receiving inspector ensure that parts, material and components are properly identified, with traceability back to the originator?	PCSM	❑ OK ❑ FDG ❑ NA
A-4	Does the organisation guarantee through receiving that bogus parts are not accepted?	PCSM	❑ OK ❑ FDG ❑ NA
A-5	Are aeronautical products that have not been inspected and certified safeguarded or isolated?	PCSM	❑ OK ❑ FDG ❑ NA
A-6	Are aeronautical products quarantined if they have been damaged or suspected of damage or lack proper certification?	PCSM	❑ OK ❑ FDG ❑ NA
A-7	Are shelf-life items controlled as described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-8	Are packaging and handling practices in use as described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA

	CARS Chapters to be Established	References	Result
A-9	Do purchase orders used by the distributor indicate the type of certification required?	PCSM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.9.3 Control of Parts/Material

	CARS Chapters to be Established	References	Result
A-1	Does the organisation follow the policies and procedures for the control of parts/material as described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for the control of parts/material knowledgeable about the procedures described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-3	Does the system provide traceability back to the original certification?	PCSM	❑ OK ❑ FDG ❑ NA
A-4	Does the company's system ensure that there are no unserviceable, unidentified or untagged parts in bonded stores?	PCSM	❑ OK ❑ FDG ❑ NA
A-5	Does the segregated, locked quarantine store contain unserviceable parts, components, material and equipment?	PCSM	❑ OK ❑ FDG ❑ NA
A-6	Are these items properly identified and held in temporary transit status?	PCSM	❑ OK ❑ FDG ❑ NA
A-7	Are material batches numbered as described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-8	Does the company redistribute parts in accordance with its letter of approval?	PCSM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.9.4 Technical Records

	CARs Chapters to be Established	References	Result
A-1	Does the distributor control documents (e.g. purchase orders, release notes, inspection records, serviceable/ unserviceable tags, C of A for Export) as described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-2	If computerised data records are used, do they ensure the traceability of the certification of aeronautical products?	PCSM	❑ OK ❑ FDG ❑ NA
A-3	Is the individual responsible for technical records aware of his or her responsibilities?	PCSM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.9.5 Recertification of Components

	CARs to be Established	References	Result
A-1	Are aeronautical products properly certified or recertified as described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-2	Are only authorised signatories, corresponding to the Civil Aviation listing, used by the distributor?	PCSM	❑ OK ❑ FDG ❑ NA
A-3	Are C of A for Export forms completed, stamped and distributed as described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-4	Is the airworthiness inspection representative using the approved stamp?	PCSM	❑ OK ❑ FDG ❑ NA
A-5	Is the AIRS stamp properly maintained and controlled?	PCSM	❑ OK ❑ FDG ❑ NA
A-6	Is the AIRS identification card valid and up to date?	PCSM	❑ OK ❑ FDG ❑ NA

	CARs to be Established	References	Result
A-7	Are airworthiness certifications attached to products and verified prior to packaging and shipping?	PCSM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.9.6 Storage Facilities

	CARs to be Established	References	Result
A-1	Are aeronautical products stored in an organised manner?	PCSM	❑ OK ❑ FDG ❑ NA
A-2	Is access to bonded stores restricted and controlled as defined in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-3	Are shelf-life items in the stores area past their expiration date?	PCSM	❑ OK ❑ FDG ❑ NA
A-4	Does the distributor follow the procedures described in the PCSM for the control of shelf-life items?	PCSM	❑ OK ❑ FDG ❑ NA
A-5	Are aeronautical products isolated from non-aeronautical products?	PCSM	❑ OK ❑ FDG ❑ NA
A-6	Is raw material stock (sheet, bars and extrusions) identified and stored as described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-7	Are customer-returned or unserviceable parts quarantined?	PCSM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.9.7 Facilities

	CARs to be Established	References	Result
A-1	Does the organisation provide suitably heated and lighted facilities for the work to	PCSM	❑ OK ❑ FDG ❑ NA

	CARs to be Established	References	Result
	be accomplished?		
A-2	Are these facilities accurately described in the PCSM?	PCSM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisation have the equipment needed to accomplish the work?	PCSM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.10 Airworthiness Engineering Organization

3.10.1 Engineering Procedures Manual/Design Approval Procedures (EPM/DAPM)

	AM 505.107/407	References	Result
A-1	Does the EPM/DAPM describe the organisation, its size, its nature and the scope of its work?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-2	Does the EPM/DAPM contain a statement of the manual's purpose, including the system of amendments and distribution controls?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisational chart describe the duties and responsibilities attaching to each position?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-4	Does the EPM/DAPM identify the director of engineering?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-5	Does this individual meet requirements?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-6	Does the EPM/DAPM identify the standards observed in the performance of work?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-7	Does the EPM/DAPM describe the procedures used to perform the work?	EPM/DAPM	❑ OK ❑ FDG ❑ NA

	AM 505.107/407	References	Result
A-8	Does the distribution list include all required personnel?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-9	Do all EPM/DAPM holders keep their copies up to date with approved amendments?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-10	Does the EPM/DAPM contain a copy of the Civil Aviation List of Limitations?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-11	Has the organisation exceeded the limitations on its approval?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-12	Does the manual contain any information inconsistent with Civil Aviation regulations?	EPM/DAPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.10.2 Technical Publications/Library

	AM 505	References	Result
A-1	Does the organisation follow the policies and procedures for technical publications as described in the EPM/DAPM?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for keeping publications current aware of his or her responsibilities?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-3	Does the company have technical and regulatory manuals available for the scope of work performed?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-4	Are the manuals current, i.e. are the amendments up to date?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-5	Are the applicable portions of manuals available to personnel as outlined in the EPM/DAPM?	EPM/DAPM	❑ OK ❑ FDG ❑ NA

	AM 505	References	Result

Items Certified - Completed by: _____

3.10.3 Personnel

	AM 505.109/.409	References	Result
A-1	Does the organisation follow the policies and procedures for personnel as described in the EPM/DAPM?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-2	Does the EPM/DAPM list all personnel with their qualifications of authority?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-3	Is the list up to date and accurate?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-4	Is there evidence of unqualified personnel exercising engineering authority?	EPM/DAPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.10.4 Records

	AM 505.121/.421	References	Result
A-1	Does the organisation control records as described in the EPM/DAPM?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for keeping records current aware of his or her responsibilities?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-3	Are established procedures followed to record and control a technical data file for each aeronautical product, including drawings, photographs, specifications, instructions and reports necessary for the approval of the design?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-4	Are the procedures or methods used effective?	EPM/DAPM	❑ OK ❑ FDG ❑ NA

	AM 505.121/.421	References	Result
A-5	Are the procedures used to transmit engineering information as described in the EPM/DAPM?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-6	Does the organisation have an effective system for identifying all products that have been altered?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-7	Does the organisation retain all data files or have written approval from for the disposal of such files?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-8	Are engineering records acceptable in terms of completeness and final certification?	EPM/DAPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.10.5 Quality Audits

		References	Result
A-1	Does the quality assurance system ensure compliance with regulations and conformance to standards?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-2	Does the quality manager have sole control over the quality assurance system?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-3	Does the quality assurance program of surveillance or internal audit provide a check of the system's own effectiveness?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-4	Do the quality assurance system procedures ensure that critical engineering tasks are performed correctly?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-5	Does the internal audit program include all aspects of engineering?	EPM/DAPM	❑ OK ❑ FDG ❑ NA
A-6	Does the quality assurance department maintain audit records? Are the recommendations acted upon?	EPM/DAPM	❑ OK ❑ FDG ❑ NA

		References	Result

Items Certified - Completed by: _____

3.10.6 Data Review

	AM 505 Subchapter	References	Result
A-1	Is compliance with the design standards of Airworthiness maintained?	AM Chapters 522, 523, 525, 527, 529, 531, 533 and 535, equivalent chapters of foreign regulatory publications, and the Engineering and Inspection Manual	❑ OK ❑ FDG ❑ NA
A-2	Is the documentation sufficient to clearly define the work accomplished?		❑ OK ❑ FDG ❑ NA
A-3	If a modification or repair affects the aircraft maintenance/inspection program, Supplemental Structural Inspection Document or other comparable documents, are appropriate amendments to the inspection program approval (IPA) document implemented?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.11 Design Approval Organizations (DAOs)

The checklists that reflect the scope or functions conducted from s. 3.10 - Airworthiness Engineering Organisations (AEOs) should be used.

3.12 Delegated Authorities

3.12.1 Airworthiness Inspection Representative (AIR)

	AM 505 Subchapter	Reference	Result
A-1	Does the organisation's control manual describe the duties and responsibilities of AIR positions?	CM	❑ OK ❑ FDG ❑ NA
A-2	Are the AIRs familiar with their duties and responsibilities?	CM	❑ OK ❑ FDG ❑ NA
A-3	Do these individuals have access to all relevant areas to perform their duties?	CM	❑ OK ❑ FDG ❑ NA
A-4	Are records of inspections and non-conformities retained by AIRs?	CM	❑ OK ❑ FDG ❑ NA
A-5	Is there a system in place for the reporting of non-conformities?	CM	❑ OK ❑ FDG ❑ NA
A-6	Is the AIR exceeding delegation of authority?	CM	❑ OK ❑ FDG ❑ NA
A-7	Are the AIRs receiving appropriate training to remain current with their duties?	CM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.12.2 Design Approval Representatives (DARs)

This section is under review and development.

3.13 Avionics (Approved Maintenance Organizations and Manufacturers)

3.13.1 Maintenance Policy Manual (MPM)

	CAR 573.10	References	Result
A-1	Does the MPM describe the organisation, its size, its nature and the scope of its work?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Does the MPM contain a statement of the manual's purpose, including the system of amendments and distribution controls?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisational chart describe the duties and responsibilities attaching to each position?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Does the MPM identify the director of maintenance, the quality manager and the production manager?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Do these individuals meet requirements?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Does the MPM contain a description of the quality assurance system?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Does the MPM describe the system used to record the performance of work?	MPM	❑ OK ❑ FDG ❑ NA
A-8	Does the MPM identify the standards observed in the performance of work?	MPM	❑ OK ❑ FDG ❑ NA
A-9	Does the MPM describe the procedures used to perform the work?	MPM	❑ OK ❑ FDG ❑ NA
A-10	Does the MPM describe the method used to ensure that authorised personnel sign a maintenance release?	MPM	❑ OK ❑ FDG ❑ NA
A-11	Does the MPM describe the training program?	MPM	❑ OK ❑ FDG ❑ NA

	CAR 573.10	References	Result
A-12	Does the MPM describe the maintenance facilities, equipment and level of work performed at each base?	MPM	❑ OK ❑ FDG ❑ NA
A-13	Does the distribution list include all required personnel, i.e. the directors, managers, chiefs, foremen, those at sub-bases, and so on?	MPM	❑ OK ❑ FDG ❑ NA
A-14	Do all MPM holders keep their copies up to date with Civil Aviation-approved amendments?	MPM	❑ OK ❑ FDG ❑ NA
A-15	Does the MPM contain a copy of the Civil Aviation Certificate of Approval and List of Limitations and do these require revision?	MPM	❑ OK ❑ FDG ❑ NA
A-16	Has the company exceeded the limitations on its approval?	MPM	❑ OK ❑ FDG ❑ NA
A-17	Does the manual contain any information inconsistent with Civil Aviation regulations?	MPM	❑ OK ❑ FDG ❑ NA
A-18	Does the MPM contain a list of all manuals held by the company?	MPM	❑ OK ❑ FDG ❑ NA
A-19	Does the MPM contain procedures for controlling spare parts and material?	MPM	❑ OK ❑ FDG ❑ NA
A-20	Does the manual contain procedures for ADs and SDRs?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.13.2 Engineering - Design, Development and Review

	AM 505.107 & .407	References	Result
A-1	Is there a DAR, an AEO and a DAO?	MPM	❑ OK ❑ FDG ❑ NA

	AM 505.107 & .407	References	Result
A-2	Does the company comply with policy, procedures and records requirements?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Is there an adequate level of control for drawing revisions?	MPM	❑ OK ❑ FDG ❑ NA
A-4	What is the system for the control, distribution and records of drawing and engineering changes orders (ECOs)?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Does the company comply with the approved specifications and regulatory requirements?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.13.3 Personnel

	CAR 573.07	References	Result
A-1	Does the organisation follow the policies and procedures for personnel as detailed in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Does the MPM list all personnel with signing authority with the scope of work for which they have approval and their qualifications?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Is the list up to date and accurate?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Does the quality assurance department maintain up-to-date files on each individual, including qualifications and training?		❑ OK ❑ FDG ❑ NA
A-5	Is there evidence of unqualified personnel certifying aircraft or aeronautical products?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Is there a stamp system in use? Obtain a description of its control.	MPM	❑ OK ❑ FDG ❑ NA

CAR 573.07	References	Result

Items Certified – Completed by: _____

3.13.4 Technical Data Control

	AM 505.121 & .421	References	Result
A-1	Does the company follow the policies and procedures for data control as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-2	What type of technical data is in use: - STA; - limited supplemental type approval (LSTA); - STC; or - specified data?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Are drawings approved by Civil Aviation or the DAR or using specified data prior to installation in aircraft?	MPM	❑ OK ❑ FDG ❑ NA
A-4	How many copies of drawings are made (control of official copies)?	MPM	❑ OK ❑ FDG ❑ NA
A-5	What is done with drawings after installation?	MPM	❑ OK ❑ FDG ❑ NA
A-6	How are master drawings filed: - by registration; or - by number?	MPM	❑ OK ❑ FDG ❑ NA
A-7	How is the updating of drawings controlled?	MPM	❑ OK ❑ FDG ❑ NA
A-8	Are references (manuals and specifications) for design well-defined?	MPM	❑ OK ❑ FDG ❑ NA

	AM 505.121 & .421	References	Result
A-9	Are working copies of manuals revised along with the masters?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.13.5 Control of Parts/Material

	CAR 571.07&08	References	Result
A-1	Are MPM procedures on this subject followed? Is there a purchasing department? If not, from whom do purchase orders originate? Does the company request a certificate of conformance or a release certificate from an approved distributor?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Are certification requirements written on purchase orders?	MPM	❑ OK ❑ FDG ❑ NA
A-3	What records are maintained?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Are purchase orders attached to the "Received" voucher?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.13.6 Receiving Inspections

	To be developed (CAR 563)	References	Result
A-1	Does the organisation follow the policies and procedures for receiving inspection as detailed as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for receiving inspections knowledgeable about the procedures described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA

	To be developed (CAR 563)	References	Result
A-3	Does the receiving inspector report directly to the Manager of Quality Assurance as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Does the receiving inspector ensure that parts, material and components are properly identified, with traceability back to the originator?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Does the organisation guarantee through receiving that bogus parts are not accepted? If there are bogus parts, are they quarantined?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Does the receiving inspector ensure compliance with airworthiness directives regarding parts, material and components?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Are copies of purchase orders available to receiving?	MPM	❑ OK ❑ FDG ❑ NA
A-8	What form of batch number is used?	MPM	❑ OK ❑ FDG ❑ NA
A-9	Is there a locked quarantine area for items awaiting certification, release notes, and so on?	MPM	❑ OK ❑ FDG ❑ NA
A-10	Is there control of non-conforming products?	MPM	❑ OK ❑ FDG ❑ NA
A-11	Is the handling of parts performed according to specifications such as the electrostatic sensitive device (ESD)?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.13.7 Sub-Contracting and Supplier Control

	CAR 573.11	References	Result
A-1	Does the company contract out work to another facility? If so, does it monitor the	MPM	❑ OK ❑ FDG ❑ NA

	CAR 573.11	References	Result
	other facility to ensure compliance with its requirements? Are audit reports in files available? Is this company approved by Civil Aviation?		
A-2	Is the company aware that, as the prime contractor, it is responsible for the certification of parts manufactured for it?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Is there a list of contracts?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by:

3.13.8 Testing

		References	Result
A-1	Does the company comply with testing procedures described in the MPM and by the manufacturer of the product?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Who is responsible for testing? Does this individual report to the quality assurance manager?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Does the test equipment available comply with the manufacturer's recommendations? If not, is there an alternate procedure?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Is test equipment verified for proper calibration prior to the start of a final test?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Are personnel familiar with the company's and the manufacturer's test procedures?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Is there a description of the procedures for in-process and special process control?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Are test results recorded on the test sheet?	MPM	❑ OK ❑ FDG ❑ NA

		References	Result
A-8	What type of check sheet is used?	MPM	❑ OK ❑ FDG ❑ NA
A-9	Is there a description of automated test equipment (ATE) procedures, if applicable?	MPM	❑ OK ❑ FDG ❑ NA
A-10	Is there a description of mobile testing procedures, if applicable?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.13.9 Sample Units for Conformance

	CAR 571	References	Result
A-1	Verify the maintenance release/ manufacturer release certificate.	MPM	❑ OK ❑ FDG ❑ NA
A-2	Does the unit conform to the type approval, appliance type approval and technical standard order (TSO)?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Are manuals or procedures for repairs, modifications and testing available?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Are work and test completion records available?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Is the replacement of parts recorded and performed in accordance with the approved design? Are the parts recommended by the equipment manufacturer or are they bogus parts, e.g. ECG?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Observe the final testing of the product (optional).	MPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.13.10 Sample Aircraft for Conformance (if applicable)

		References	Result
A-1	Review Certificates of Airworthiness.		❑ OK ❑ FDG ❑ NA
A-2	Does the aircraft conform to the applicable type certificate or type approval?		❑ OK ❑ FDG ❑ NA
A-3	Does the aircraft have an up-to-date weight and balance sheet on board? Is there a weight and balance sheet for each aircraft configuration (wheel, float)?		❑ OK ❑ FDG ❑ NA
A-4	Are the required manuals on board, such as: - the flight manual and supplements; - the journey log book; - the refuelling manual; and - the approved MEL?		❑ OK ❑ FDG ❑ NA
A-5	Are all applicable aircraft markings, placards (including instrument markings) and emergency equipment markings in place for: - the emergency exits and instructions(internal and external); - toilets and "no smoking" indicators; - the fuel quantity and type; - the weight limitation for overhead bins/cargo compartments - passenger /cargo door operating instructions; - ELT locations; and - life rafts, life jackets and oxygen?		❑ OK ❑ FDG ❑ NA

		References	Result
A-6	Does the aircraft contain the necessary emergency equipment in a serviceable condition: - fire bottles (extinguishers); - oxygen equipment; - first-aid kits; - a fire axe; - life rafts/life jackets; - flashlights; - emergency lights; and - a strip for landing for emergency exits?		❑ OK ❑ FDG ❑ NA
A-7	Does the aircraft have the following equipment in a serviceable condition: - a flight data recorder; - a cockpit voice recorder; - an altitude alerting system; - an emergency locator transmitter; - a ground proximity warning system; - an additional horizon indicator; - a radar transponder; and - pitot-static/altimeter checks?		❑ OK ❑ FDG ❑ NA
A-8	Does the organisation maintain aircraft to the approved maintenance program described in the MPM?		❑ OK ❑ FDG ❑ NA
Verify the condition of the following:			
A-9	**The Fuselage External**: compartments, batteries, doors, exits, panels, fairings, antennas, beacons, placards and pitot-static;		❑ OK ❑ FDG ❑ NA
A-10	**The Fuselage Internal**: passenger compartment, seats, tracks, safety belts, safety equipment, windows, doors, seals, exits, placards, floors and upholstery;		❑ OK ❑ FDG ❑ NA

		References	Result
A-11	**The Cockpit**: instruments, range marks, placards, windshield, seats, rails, belts, safety equipment, oxygen system, lights, cabin heater, floors, circuit breakers, fuses, radios, structures and documentation;		❑ OK ❑ FDG ❑ NA
A-12	**The Engine, Piston**: cowlings, fairings, baffles, doors, access panels, firewall, intake exhaust, accessories, wiring, controls, mounts, structure, boots, placards, drains, leaks and propellers;		❑ OK ❑ FDG ❑ NA
A-13	**The Engine, Turbine**: cowlings, pylons, fairings, bleed air ducts, firewall, mounts, structure, thrust reversers, bypass ducts, nacelles, gag seals, insulation, heat shields, nozzles, intake guide vanes, compressor blades, exhaust turbine blades and placards; and		❑ OK ❑ FDG ❑ NA
A-14	**The Cargo Compartments**: fire/smoke integrity, compartment liners, ceiling, side walls, unapproved repairs, damaged tie downs, lights, seals, locks, security of bulkheads, panels, placards and fasteners.		❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.13.11 Storage/Quarantine

		References	Result
A-1	Does the organisation follow the policies and procedures for the control of parts/material as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for the control of parts/material knowledgeable about the procedures described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Does the system provide traceability back to the original certification?	MPM	❑ OK ❑ FDG ❑ NA

		References	Result
A-4	Does the company's system ensure that there are no unserviceable, unidentified or untagged parts in bonded stores?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Does the segregated, locked quarantine store contain unserviceable parts, components, material and equipment?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Are these items properly identified and held in temporary transit status?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Are scrap items mutilated as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-8	Are material batches numbered as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-9	Does the company redistribute parts and, if so, is this done in accordance with its letter of approval?	MPM	❑ OK ❑ FDG ❑ NA
A-10	Are shelf-life items controlled as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-11	Are flammable fluids and materials stored in fireproof cabinets in a separate area?	MPM	❑ OK ❑ FDG ❑ NA
A-12	Is the condition of the stores acceptable with regard to housekeeping (humidity control, dust, smoke)?	MPM	❑ OK ❑ FDG ❑ NA
A-13	Does the arrangement of shelves, bins, and so on ensure that the contents are protected?	MPM	❑ OK ❑ FDG ❑ NA
A-14	Is storage for ESD components and parts adequate?	MPM	❑ OK ❑ FDG ❑ NA
A-15	Is there a procedure for recertifying used parts before they are reused?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.13.12 Inspection Records

	CAR 571.03 & 605.93	References	Result
A-1	Does the company have a system for filing all records, test reports, drawings, release certificates, and so on?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Who controls record filing? Does this person report to QA?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Does the filing system provide an efficient method for accessing required documents?	MPM	❑ OK ❑ FDG ❑ NA
A-4	For how long are inspection records retained (the time should be a minimum of two years)?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Are there records to maintain the traceability of parts/materials?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Is all relevant documentation available to Civil Aviation inspectors upon request?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Perform sampling of records. Are records duly filled in (giving the data, signature, date and aircraft registration)?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.13.13 Workshop - General

	CAR 573.08	References	Result
A-1	Is hangar, workshop and office space available? Is the space sufficient for the purposes outlined in the scope of approval?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Does the workshop contain sufficient benches and electrical outlets?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Are metal and woodworking tools hydro-mechanical and is the equipment segregated from the electronic service area?	MPM	❑ OK ❑ FDG ❑ NA

	CAR 573.08	References	Result
A-4	Is there adequate segregation of non-A/C activities?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Are unserviceable parts identified/ segregated?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Is there adequate storage space for flammable/toxic substances?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Are high-pressure bottles secured?	MPM	❑ OK ❑ FDG ❑ NA
A-8	Are dispensers and servicing cans identified?	MPM	❑ OK ❑ FDG ❑ NA
A-9	Are shelf-life items identified and controlled?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.13.14 Battery Shop Lead/Acid CAA EEL/1-1

		References	Result
A-1	Are both battery shops segregated?		❑ OK ❑ FDG ❑ NA
A-2	Is there potential for contamination (of tools, protective clothing, ventilation, the tester)?		❑ OK ❑ FDG ❑ NA
A-3	Is the cleaning station segregated?		❑ OK ❑ FDG ❑ NA
A-4	Are there spark-proof electrical fittings?		❑ OK ❑ FDG ❑ NA
A-5	Does the door open outwards?		❑ OK ❑ FDG ❑ NA

		References	Result
A-6	Is protective clothing used?		❑ OK ❑ FDG ❑ NA
A-7	Is there bicarbonate for neutralizing?		❑ OK ❑ FDG ❑ NA
A-8	Is the battery charger calibrated?		❑ OK ❑ FDG ❑ NA
A-9	Describe the ventilation system.		❑ OK ❑ FDG ❑ NA
A-10	Is there an emergency station, including a fire extinguisher?		❑ OK ❑ FDG ❑ NA
A-11	Describe the lighting.		❑ OK ❑ FDG ❑ NA
A-12	Is there proper certification, including records?		❑ OK ❑ FDG ❑ NA
A-13	Describe the general shop appearance.		❑ OK ❑ FDG ❑ NA
A-14	Are the proper tools (such as a gravity tester and distilled water) available?		❑ OK ❑ FDG ❑ NA
A-15	Is there a panic button?		❑ OK ❑ FDG ❑ NA
A-16	Is the maximum room temperature (27° C/81° F) observed?		❑ OK ❑ FDG ❑ NA
A-17	Is there a go/no-go connector tester?		❑ OK ❑ FDG ❑ NA
A-18	Is there proper segregation in the shop and store?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.13.15 Battery Shop Nicad CAA EEL/1-3

		References	Result
A-1	Are both battery shops segregated?		❑ OK ❑ FDG ❑ NA
A-2	Is there potential for contamination (of tools, protective clothing, ventilation, the tester)?		❑ OK ❑ FDG ❑ NA
A-3	Is the cleaning station segregated?		❑ OK ❑ FDG ❑ NA
A-4	Are there spark-proof electrical fittings?		❑ OK ❑ FDG ❑ NA
A-5	Does the door open outwards?		❑ OK ❑ FDG ❑ NA
A-6	Is protective clothing used?		❑ OK ❑ FDG ❑ NA
A-7	Is there boric/acetic acid, lemon juice or vinegar for neutralising?		❑ OK ❑ FDG ❑ NA
A-8	Is the battery charger calibrated?		❑ OK ❑ FDG ❑ NA
A-9	Is the torque wrench calibrated?		❑ OK ❑ FDG ❑ NA
A-10	Are there cleaning facilities (i.e. a sink and running water) and cleaning tools?		❑ OK ❑ FDG ❑ NA
A-11	Describe the ventilation system.		❑ OK ❑ FDG ❑ NA
A-12	Is there an emergency station, with a bottle of distilled water, a shower and a fire extinguisher available?		❑ OK ❑ FDG ❑ NA

		References	Result
A-13	Are the proper tools (a shorting clip, cell puller, vent cap remover, temp switch tester and multi-meter) available?		❑ OK ❑ FDG ❑ NA
A-14	Is there a vent cap tester?		❑ OK ❑ FDG ❑ NA
A-15	Is there proper segregation in the store and shop?		❑ OK ❑ FDG ❑ NA
A-16	Is there proper certification, including records?		❑ OK ❑ FDG ❑ NA
A-17	Is there cannibalism (of scrap cells and parts)?		❑ OK ❑ FDG ❑ NA
A-18	Is the lighting adequate?		❑ OK ❑ FDG ❑ NA
A-19	Describe the general appearance (with regard to cleanliness) of the shop.		❑ OK ❑ FDG ❑ NA
A-20	Is there a panic button?		❑ OK ❑ FDG ❑ NA
A-21	Is the maximum room temperature (21° C/70° F) observed?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed: _____

3.13.16 Shipping

		References	Result
A-1	Is there a shipper? If not, who is in charge of packing and shipping?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Prior to shipping, are customers' requirements checked against the parts being shipped (e.g. the part number, quantity and packaging)?	MPM	❑ OK ❑ FDG ❑ NA

		References	Result
A-3	Are shipments inspected by a company-approved inspector for completeness, finish, damage, evidence of final inspection and proof of airworthiness certification?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Does the handling of ESD parts conform to the manufacturer's recommendations?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

3.13.17 Technical Publication/Library

	CAR s573.08(7)	References	Result
A-1	Does the organisation follow the policies and procedures for technical publications as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for keeping publications current aware of his or her responsibilities?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Does the company have technical and regulatory manuals available for the scope of work performed, such as: - the aviation regulations and applicable standards; - type approvals; - type certificates; - supplemental type approvals; - supplemental type certificates; - AC 43-13-1A and 2A; - foreign ADs; - the manufacturer's maintenance, parts and overhaul manuals, service bulletins and service letters; and - the maintenance control manual?	MPM	❑ OK ❑ FDG ❑ NA

	CAR s573.08(7)	References	Result
A-4	Are the above manuals current, i.e. are the amendments up to date?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Are the applicable portions of manuals available to personnel (i.e. those in shops and sub-bases, management, and contractors) as outlined in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Are test equipment manufacturers' manuals maintained? Are they filed in an orderly manner and available for reference by technicians?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Verify that aircraft maintenance or overhaul manuals are available for the types of aircraft serviced by the company.	MPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.13.18 Software Quality Assurance (SQA) (if applicable)

	CAR 571.02&03	References	Result
A-1	Does the company have an SQA policy manual?	MPM	❑ OK ❑ FDG ❑ NA
A-2	How is SQA controlled?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Who is responsible for SQA?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Are media protected against viruses?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Are copies certified and write-protected, and the number of bytes used written on the diskette?	MPM	❑ OK ❑ FDG ❑ NA
A-6	For the elaborated system, refer to s. 4.15 - Software Quality Assurance Program.	MPM	❑ OK ❑ FDG ❑ NA

	CAR 571.02&03	References	Result

Items Certified - Completed by: _____

3.13.19 Electrostatic Sensitive Device (ESD)

	CAR 571.02&03	References	Result
A-1	Is there a company procedure regarding precautions to be taken in handling ESD parts, or is reference made to the product manufacturer's procedures?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Is there a grounded conductive work station? Does it have a clean surface?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Is there a conductive wrist strap (470 km or 1 MW series resistor) to protect the operator?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Are tools at the ESD workstation electrically grounded?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Is the iron solder used at the ESD workstation of type zero voltage potential at the tip?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Are ESD conductive caps, bags and containers available?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Are ESD parts stored in the proper environment and segregated?	MPM	❑ OK ❑ FDG ❑ NA
A-8	Is an ionised air blower required? If so, is one available?	MPM	❑ OK ❑ FDG ❑ NA
A-9	Is static generator material (non-conductive material) inside two feet of the ESD workstation?	MPM	❑ OK ❑ FDG ❑ NA

	CAR 571.02&03	References	Result
A-10	Is there a wrist strap and grounding of the workstation tester?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.13.20 Testing and Measuring Equipment/Special Tools

	CAR 573.08	References	Result
A-1	Does the organisation follow the policies and procedures for the control of testing and measuring equipment as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Is the individual responsible for this control knowledgeable about the procedures described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Does the system provide traceability for all calibrated equipment?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Is calibration of test equipment shown on the decal indicating the due date and authorised signature?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Does the company ensure that all testing and measuring equipment is controlled and that calibration is up to date?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Are crimping tools verified? Are they the proper type?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Which method (e.g. go/no-go and/or pull test) is used? Are these verifications recorded?	MPM	❑ OK ❑ FDG ❑ NA
A-8	Are crimping tools adequate for the lug of MIL-T-7928?	AC.43.12.1A	❑ OK ❑ FDG ❑ NA
A-9	Is in-house calibration confirmed on the test result sheets (which provide the data, tolerances, standards used, date and signature)?	MPM	❑ OK ❑ FDG ❑ NA

	CAR 573.08	References	Result
A-10	Is the test equipment manufacturer's manual available for in-house calibration or are there approved procedures?	MPM	❑ OK ❑ FDG ❑ NA
A-11	Are calibration certificates traceable to national standards (those of the National Institute of Standards and Technology (NIST))?	MPM	❑ OK ❑ FDG ❑ NA
A-12	Does the company perform test equipment calibrations for outdoors?	MPM	❑ OK ❑ FDG ❑ NA
A-13	Do the test equipment standards in use meet the requirements for accuracy, data deviation, and proper calibration to the national standard?	MPM	❑ OK ❑ FDG ❑ NA
A-14	Does the MPM equipment list reflect what is available in the shop?	MPM	❑ OK ❑ FDG ❑ NA
A-15	Are calibration intervals observed?	MPM	❑ OK ❑ FDG ❑ NA
A-16	Is calibration controlled using history cards or a computerised system?	MPM	❑ OK ❑ FDG ❑ NA
A-17	Is there sufficient manufacturer's equipment or special tools available to perform the operator's proposed work? (Check the manufacturer's manuals for a list of the special tools or equipment required.)	MPM	❑ OK ❑ FDG ❑ NA

Item Certified – Completed _____

3.13.21 Mandatory Reporting of Defects

	CAR 573.12 & 591	References	Result
A-1	Does the MPM reflect the system presently in use by the operator?	MPM	❑ OK ❑ FDG ❑ NA

	CAR 573.12 & 591	References	Result
A-2	Does the operator submit SDRs as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Does the operator's data collection system for defects, malfunctions and failures reflect the procedures described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Are personnel knowledgeable about the procedures?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Is the person responsible for reporting SDRs to Civil Aviation familiar with the reporting procedures?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Are the reports forwarded within the timeframes established in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Is there evidence that some SDRs are not being forwarded?	MPM	❑ OK ❑ FDG ❑ NA
A-8	Are SDR records maintained as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-9	Are the proper forms used for reportable occurrences?	MPM	❑ OK ❑ FDG ❑ NA
A-10	Is there evidence that reports of difficulties or occurrences are being duplicated?	MPM	❑ OK ❑ FDG ❑ NA
A-11	Are all data sources feeding the SDR functioning as described in the MCPM?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.13.22 Technical Training Standards

	CAR 573.06	References	Result
A-1	Does the organisation conduct approved aircraft type courses? If so, use the Approved Training Organisation checklist,	MPM	❑ OK ❑ FDG ❑ NA

	CAR 573.06	References	Result
	s. 4.8.		
A-2	Does the organisation follow the recurrent training program as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Is the person responsible for the program knowledgeable about his or her duties and responsibilities?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Do new employees receive training on company policy and procedures?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Do the files trace training records to the individuals' present duties and responsibilities?	MPM	❑ OK ❑ FDG ❑ NA
A-6	Are maintenance personnel assigned to training courses as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Are training courses without Civil Aviation approval controlled to ensure their quality?	MPM	❑ OK ❑ FDG ❑ NA
A-8	Are line station personnel being trained?	MPM	❑ OK ❑ FDG ❑ NA
A-9	Is the training program for specialists (i.e. shop personnel, those in NDT and the foreman) followed as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-10	Is maintenance training that is contracted out being monitored and recorded?	MPM	❑ OK ❑ FDG ❑ NA
A-11	Is there an accurate and current record-keeping system tracking all training as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA

	CAR 573.06	References	Result
A-12	Do the records reflect: - the type of training; - the location; - the length of training; - a recurrent training program; - examination control; - the certificates issued; and - the failure rate?	MPM	❑ OK ❑ FDG ❑ NA
A-13	Are course syllabi available for all training courses offered or contracted for by the company?	MPM	❑ OK ❑ FDG ❑ NA
A-14	Are all training materials and manuals clearly marked "for training purposes only"?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed: _____

3.13.23 Company Quality Audits

	CAR 573.09	References	Result
A-1	Does the quality assurance system ensure compliance with regulations and conformance to standards?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Does the quality manager have sole control over the quality assurance system?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Does the organisation ensure that quality assurance takes precedence for personnel with responsibilities in both the quality system and other functional areas?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Are personnel responsible solely to the quality manager when performing their functions?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Does the quality assurance program of surveillance or internal audit provide a check of the system's own effectiveness?	MPM	❑ OK ❑ FDG ❑ NA

	CAR 573.09	References	Result
A-6	Does the quality assurance system procedures ensure that critical maintenance tasks are performed correctly?	MPM	❑ OK ❑ FDG ❑ NA
A-7	Does the internal audit program include sub-bases and sub-contractors?	MPM	❑ OK ❑ FDG ❑ NA
A-8	Does the quality assurance department maintain audit records? Are the recommendations acted upon?	MPM	❑ OK ❑ FDG ❑ NA
A-9	Does the quality assurance system provide corrective action plans where needed?	MPM	❑ OK ❑ FDG ❑ NA
A-10	Are audit results documented and brought to the attention of the personnel having responsibility in the area audited?	MPM	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

3.13.24 Airworthiness Directives/Service Bulletin Compliance

	CAR 593	References	Result
A-1	Is information processed (administration, routing, analysis, recommendations and decision follow-up) as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-2	Are airworthiness/reliability aspects taken into account?	MPM	❑ OK ❑ FDG ❑ NA
A-3	Are service bulletin procedures for justification and authorisation followed as outlined in the MPM?	MPM	❑ OK ❑ FDG ❑ NA
A-4	Do workcards reflect the airworthiness directive requirements adequately and completely?	MPM	❑ OK ❑ FDG ❑ NA
A-5	Are accomplishments recorded and/or followed up as described in the MPM?	MPM	❑ OK ❑ FDG ❑ NA

CAR 593	References	Result

Items Certified - Completed by: _____

Part 3

Operations Audit Policy and Procedures

Chapter 1 Program Application

1.1 Purpose

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

This chapter will provide operations inspectors with the appropriate tools to complete audits and inspections effectively and efficiently.

1.2 Applicability

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

1.3 Areas of Inspection

1.3.1 Air Operators

(1) There are 19 functional audit areas in which an air operator may be assessed:

(a) previous audits ..... (OP-1);
(b) operator certificates and operations specifications ..... (OP-2);
(c) company manuals ..... (OP-3);
(d) the publications library ..... (OP-4);
(e) management personnel and operations co-ordination ..... (OP-5);
(f) the company check pilot program ..... (OP-6);
(g) the flight crew training program ..... (OP-7);
(h) the flight crew training records ..... (OP-8);
(i) the Operational Control System ..... (OP-9);
(j) flight documentation ..... (OP-10);
(k) aircraft inspection ..... (OP-11);
(l) aircraft documentation ..... (OP-12);

(m) the Minimum Equipment List .....(OP-13);
(n) cabin safety.....(OP-14);
(o) flight attendant training programs.....(OP-15);
(p) flight attendant training records .....(OP-16);
(q) dangerous goods.....(OP-17);
(r) flight inspection and route check .....(OP-18);
(s) aircraft performance operating limitations .....(OP-19); and
(t) flight safety program.....(OP-20).

(2) 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.

1.3.3 Flight Training Units

Flight training units are assessed with reference to the Flight Training Inspection Report (OP-22).

NOTE: It is anticipated that OP-21 and OP-22 will be replaced by updated OP-1 to OP-20 checklists in the next MRA amendment.

1.4 Cabin Safety or Dangerous Goods

(1) During their audit activities, Operations audit team members must constantly be on the alert for any condition that may affect cabin safety or the safe carriage of dangerous goods.

(2) When requested to do so by the CA, team members will support cabin safety or dangerous goods audit functions during routine or enroute flight duties.

(3) Violations in these areas will be documented on an Audit Finding Form and reported to the audit manager.

Chapter 2 Operations Audit Checklists

2.1 Purpose

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

2.2 Applicability

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

(a) be used in the inspection of a process, procedure or program;

(b) be amended to reflect the current revision of the applicable regulation or standard;

(c) be fully completed;

(d) be signed and dated by the team member responsible for that functional area;

(e) assist the team member in initiating and systematically completing the inspection of that functional area; and provide the flexibility to support specific situations during the inspection of the functional area.

2.3.1 OP-1 Previous Audit

	Item	Reference	Result
P-1	What was the date and purpose of the previous audit?		❑ OK ❑ FDG ❑ NA
P-2	What were the number of Audit Findings and conclusions from the previous audit?		❑ OK ❑ FDG ❑ NA
P-3	Are there any outstanding Audit Findings from the previous audit and has audit follow-up been completed?		❑ OK ❑ FDG ❑ NA
P-4	Are there indications of high turnover of managerial staff?		❑ OK ❑ FDG ❑ NA
P-5	Are there indications of high turnover of staff, flight crew or maintenance?		❑ OK ❑ FDG ❑ NA
P-6	Have there been any changes in the company's scope, size, aircraft, type of service since the previous audit?		❑ OK ❑ FDG ❑ NA
P-7	Have there been any additional Operations Specifications authorised since the previous audit?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.2 OP-2 Air Operator Certificate and Operations Specifications

	Item	Reference	Result
P-1	Has a current copy of the Air Operator Certificate and all Operations Specifications been		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
	obtained?		
P-2	What type of Air Operator Certificate does the company hold, i.e., domestic, international?		❑ OK ❑ FDG ❑ NA
P-3	Where are the carrier's main base, sub-bases and schedule points? Do these meet the applicable standards?		❑ OK ❑ FDG ❑ NA
P-4	What types of aircraft are authorised pursuant to the Air Operator Certificate?		❑ OK ❑ FDG ❑ NA
P-5	What type of Operations Specifications are authorised?		❑ OK ❑ FDG ❑ NA
A-1	Is the carrier providing the type of commercial air service as stated on the Air Operator Certificate?		❑ OK ❑ FDG ❑ NA
A-2	What changes in facilities or equipment have occurred at the main or sub-base since the previous audit?		❑ OK ❑ FDG ❑ NA
A-3	How are revisions to the Air Operator Certificate and Operations Specifications initiated by the carrier?		❑ OK ❑ FDG ❑ NA
A-4	Who is responsible for maintaining these documents?	Company Operations Manual	❑ OK ❑ FDG ❑ NA
A-5	Is there a current copy of the Air Operator Certificate and Operations Specifications in the Company Operations Manual?		❑ OK ❑ FDG ❑ NA
A-6	Does the company have proof of liability insurance (if required)?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.3 OP-3 Company Manuals

	Item	Reference	Result
P-1	Does the Company Operations Manual provide guidance to personnel for use in the execution of their duties?		❑ OK ❑ FDG ❑ NA
P-2	Is the Company Operations Manual consistent with the Air Operator Certificate and Operations Specifications?		❑ OK ❑ FDG ❑ NA
P-3	Does the Company Operations Manual include all items required by the applicable regulations.		❑ OK ❑ FDG ❑ NA
A-1	Is a copy of the appropriate part of the Company Operations Manual carried on each aircraft?		❑ OK ❑ FDG ❑ NA
A-2	Do applicable crew members and ground operations personnel have current copies of the Company Operations Manual?		❑ OK ❑ FDG ❑ NA
A-3	Does the Operations Manual contain adequate procedures to be followed when threats are received against the company or aircraft?		❑ OK ❑ FDG ❑ NA
A-4	Are crew member responsibilities and chain of command adequately described in the Operations Manual?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.4 OP-4 Publications Library

	Item	Reference	Result
A-1	Does the company maintain a library of publications required for its operations?		❑ OK ❑ FDG ❑ NA
A-2	Does the Company Operations Manual detail which publications are to be maintained in the library?		❑ OK ❑ FDG ❑ NA
A-3	Does the library include as a minimum the following approved current publications: 1. Aviation Regulations 2. Standards 3. AIP 4. Company Operations Manual 5. Flight Supplement 6. IAP Charts 7. Enroute Charts 8. Aircraft Flight Manuals 9. Aircraft Operating Manuals 10. Standard Operating Procedures		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.5 OP-5 Management Personnel and Operations Co-ordination

	Item	Reference	Result
P-1	Do management personnel meet the requirements of the applicable regulations?		❑ OK ❑ FDG ❑ NA
A-1	Is the Operations Manager carrying out his/her duties in accordance with the applicable regulations?		❑ OK ❑ FDG ❑ NA
A-2	Is the Chief Pilot carrying out his/her duties in accordance with the applicable regulations?		❑ OK ❑ FDG ❑ NA
A-3	Does the organisation reflect that shown in the Company Operations Manual?		❑ OK ❑ FDG ❑ NA
A-4	Does the system for dissemination of general operational information to crew members function as described in the Company Operations Manual?		❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

2.3.6 OP-6 Company Check Pilot Program

	Item	Reference	Result
P-1	Who are the CCPs and for which aircraft types and authorities have they been approved?		❑ OK ❑ FDG ❑ NA
P-2	How many PPCs have been conducted by the CCPs?		❑ OK ❑ FDG ❑ NA
P-3	Have the PPCs been conducted in accordance with the CCP manual?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
P-4	Have the CCPs been monitored by a Civil Aviation inspector within the past 12 months?		❑ OK ❑ FDG ❑ NA
P-5	Has the company been notifying Civil Aviation on a monthly basis prior to conducting the checks?		❑ OK ❑ FDG ❑ NA
A-1	Has the CCP maintained his or her qualification to conduct PPCs?		❑ OK ❑ FDG ❑ NA
A-2	If the CCP is not qualified, has he or she conducted any PPCs with an invalid authority?		❑ OK ❑ FDG ❑ NA
A-3	Does a review of training records indicate that the CCP has exceeded his or her terms of reference?		❑ OK ❑ FDG ❑ NA
A-4	Review Pilot Check Reports and ensure that PPCs are conducted in accordance with reference.		❑ OK ❑ FDG ❑ NA
A-5	Does the company forward PPC/IFT forms to Civil Aviation?		❑ OK ❑ FDG ❑ NA
A-6	Does the company forward copies of the planned check rides for the following month?		❑ OK ❑ FDG ❑ NA
A-7	Does the carrier have a system in place to monitor CCP rides which have been completed and when monitor CCP rides are due?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.7 OP-7 Flight Crew Training Program

	Item	Reference	Result
A-1	Review the company indoctrination training program.		❑ OK ❑ FDG ❑ NA
A-2	Review the line indoctrination training program.		❑ OK ❑ FDG ❑ NA
A-3	Review the upgrade training program.		❑ OK ❑ FDG ❑ NA
A-4	Review the initial and annual aircraft type training program.		❑ OK ❑ FDG ❑ NA
A-5	Review the initial and annual aircraft servicing and round handling training program.		❑ OK ❑ FDG ❑ NA
A-6	Review the initial and annual emergency procedures training program.		❑ OK ❑ FDG ❑ NA
A-7	Review the initial and annual surface contamination training program.		❑ OK ❑ FDG ❑ NA
A-8	Review the crew resource management training program.		❑ OK ❑ FDG ❑ NA
A-9	Review the air operator's procedures for the carriage of persons other than flight crew members during Aerial Work operations.		❑ OK ❑ FDG ❑ NA
A-10	Review the air operator's apron and cabin safety procedures for operations without a flight attendant.		❑ OK ❑ FDG ❑ NA
A-11	Review the high altitude training program.		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-12	Review the Minimum Equipment List Training Program.		❑ OK ❑ FDG ❑ NA
A-13	Is training which is provided on a contract basis in accordance with the applicable standard?		❑ OK ❑ FDG ❑ NA
A-14	Is a synthetic training device used for training or checking?		❑ OK ❑ FDG ❑ NA
A-15	Has the synthetic training device been approved by Civil Aviation?		❑ OK ❑ FDG ❑ NA
A-16	Has the synthetic training device program been approved in accordance with the applicable regulations?		❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

2.3.8 OP-8 Flight Crew Training Records

	Item	Reference	Result
A-1	Do the records for each crew member include the required data?		❑ OK ❑ FDG ❑ NA
A-2	Has the applicable initial and annual aircraft type training been completed for each crew member?		❑ OK ❑ FDG ❑ NA
A-3	Has the applicable initial and recurrent aircraft servicing and ground handling training been completed for each flight crew member?		❑ OK ❑ FDG ❑ NA
A-4	Has the applicable initial and recurrent emergency procedures training been completed for each crew member?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-5	Has the applicable initial and recurrent aircraft surface contamination training been completed for each crew member?		❑ OK ❑ FDG ❑ NA
A-6	Has the applicable company/aviation indoctrination training been completed for each crew member?		❑ OK ❑ FDG ❑ NA
A-7	Has the applicable line indoctrination training been completed for each crew member?		❑ OK ❑ FDG ❑ NA
A-8	Has the applicable upgrade training been completed for appropriate crew members?		❑ OK ❑ FDG ❑ NA
A-9	Has initial and recurrent Crew Resource Management training been completed for each crew member?		❑ OK ❑ FDG ❑ NA
A-10	Have flight training times recorded in the training records been confirmed by random sample in aircraft journey logs?		❑ OK ❑ FDG ❑ NA
A-11	Have flight training times in aircraft journey logs been confirmed by random sample of airport traffic sheets?		❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

2.3.9 OP-9 Operational Control System

	Item	Reference	Result
A-1	Is the air operator's operational control system accurately described		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
	in its company operations manual?		
A-2	Has the air operator outlined in its operations manual the responsibilities and authority of its operational control personnel?		❑ OK ❑ FDG ❑ NA
A-3	Does the air operator have in its operations manual the training syllabus?		❑ OK ❑ FDG ❑ NA
A-4	Are company aircraft being dispatched as outlined in the company operations manual?		❑ OK ❑ FDG ❑ NA
A-5	Is the company's operational control system as required by the applicable standard adequate for the operation?		❑ OK ❑ FDG ❑ NA
A-6	How does the company meet the communication requirements as outlined in the applicable regulations for its operation?		❑ OK ❑ FDG ❑ NA
A-7	How is information passed to an aircraft in flight and can the air operator meeting the requirement set out for the applicable regulations?		❑ OK ❑ FDG ❑ NA
A-8	Does the air operator provide the minimum operational flight plan requirements?		❑ OK ❑ FDG ❑ NA
A-9	Does the air operators flight release system provide a procedure for verification, acceptance and disagreement resolution of the operational flight plan?		❑ OK ❑ FDG ❑ NA
A-10	How are Met, NOTAMS, made available for flight planning?		❑ OK ❑ FDG ❑ NA

Flight Watch System Air Operators

	Item	Reference	Result
A-11	Does the air operator have on file indications that each Flight Dispatcher has successfully completed the examinations.		❑ OK ❑ FDG ❑ NA
A-12	Does the air operator have records on file for each Flight Dispatchers exercising operational control?		❑ OK ❑ FDG ❑ NA
A-13	Does the air operator have on file documentation that the check dispatcher has been approved?		❑ OK ❑ FDG ❑ NA
A-14	Does the air operator have written approval for the Flight dispatcher training syllabus?		❑ OK ❑ FDG ❑ NA
A-15	Does the air operator's training courses consist of instruction in at least those subjects listed in the standard?		❑ OK ❑ FDG ❑ NA
A-16	Does the air operators operations manual specify the period of on-job training required for each Flight Dispatcher and has this training been completed?		❑ OK ❑ FDG ❑ NA
A-17	Does the air operator provide cockpit familiarisation training and has this been recorded in the appropriate file?		❑ OK ❑ FDG ❑ NA
A-18	Does the air operator have a check dispatcher?		❑ OK ❑ FDG ❑ NA
A-19	Does the air operator have an approved recurrent training program in accordance with the applicable standard?		❑ OK ❑ FDG ❑ NA
A-20	Does the air operator have a requalification program as outlined in the applicable standard and are records available for any Flight		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
	Dispatchers in this category?		
A-21	Has the air operator provided training and maintained records of any new sector training within the operational control system?		❑ OK ❑ FDG ❑ NA
A-22	Has the air operator provided training and records for any new equipment transition training?		❑ OK ❑ FDG ❑ NA
A-23	Do all Flight Dispatcher's have valid Radio telephone Operators Restricted Certification?		❑ OK ❑ FDG ❑ NA
A-24	Do all the certified Flight Dispatchers meet the minimum age requirement?		❑ OK ❑ FDG ❑ NA
A-25	Does the Flight Dispatcher maintain current information on the progress of flights?		❑ OK ❑ FDG ❑ NA
A-26	Does the flight watch continue until the completion of the flight?		❑ OK ❑ FDG ❑ NA
A-27	Are in-flight reports directed to the flight dispatcher performing flight watch?		❑ OK ❑ FDG ❑ NA
A-28	Is there adequate personnel available to maintain flight watch during the air operators flight schedule?		❑ OK ❑ FDG ❑ NA
Flight Following System for Air Operators			
A-29	Are the standards of training and qualifications for the individual described in the operations manual?		❑ OK ❑ FDG ❑ NA
A-30	Is the person qualified to respond to the requests from the pilot-in-command of an aircraft?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-31	Does the flight follower distribute meteorological and operational information without analysis or interpretation?		❑ OK ❑ FDG ❑ NA
A-32	Is the flight following system adequate for all hours during which aircraft are flown?		❑ OK ❑ FDG ❑ NA
A-33	Has the flight follower received training in the subjects outlined in the standards?		❑ OK ❑ FDG ❑ NA
A-34	Does the flight follower monitor the air operators flights from commencement to termination and any intermediate stops?		❑ OK ❑ FDG ❑ NA
A-35	Is there a procedure for the pilot-in-command to pass messages concerning landings and departures to the flight follower?		❑ OK ❑ FDG ❑ NA
A-36	Does the air operator's dispatch release system follow the procedures as outlined in the standard?		❑ OK ❑ FDG ❑ NA
A-37	If aircraft are operated in sparsely settled areas are two-way communications available at all times?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.10 OP-10 Flight Documentation

	Item	Reference	Result
A-1	Does the operational flight plan meet the requirements of the applicable reference?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-2	Do the fuel slips, journey logs and weight & balance forms all agree with respect to fuel weights?		❑ OK ❑ FDG ❑ NA
A-3	Do the load manifests and journey logs agree with respect to cargo loads?		❑ OK ❑ FDG ❑ NA
A-4	Does the Weight & Balance system meet the requirements of the applicable reference		❑ OK ❑ FDG ❑ NA
A-5	Are operational flight plans retained in accordance with the applicable reference?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.11 OP-11 Aircraft Inspection

	Item	Reference	Result
A-1	Are there adequate restraints available to ensure that any cargo or equipment carried is secured and does not shift in flight?		❑ OK ❑ FDG ❑ NA
A-2	Is cargo loaded so as to not block or restrict the exit of passengers in an emergency?		❑ OK ❑ FDG ❑ NA
A-3	Does each aircraft have an approved safety feature card on board for each passenger?		❑ OK ❑ FDG ❑ NA
A-4	Does each aircraft have operational and emergency equipment which meets the requirements of the applicable reference?		❑ OK ❑ FDG ❑ NA
A-5	Have the requirements for emergency exits and floor proximity emergency escape path lighting systems been met?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-6	Have carry-on baggage requirements been met?		❑ OK ❑ FDG ❑ NA
A-7	Does each aircraft have required seatbelts?		❑ OK ❑ FDG ❑ NA
A-8	Does each aircraft have required shoulder harnesses for flight attendant seats?		❑ OK ❑ FDG ❑ NA
A-9	Are aircraft markings and placards in accordance with the Aircraft Flight Manual?		❑ OK ❑ FDG ❑ NA
A-10	Have aircraft inspections been completed using the appropriate forms?	AA 4.2	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.12 OP-12 Aircraft Documentation

	Item	Reference	Result
P-1	What aircraft types is the company authorised to operate?		❑ OK ❑ FDG ❑ NA
P-2	Has the company been authorised to operate aircraft with operational restrictions?		❑ OK ❑ FDG ❑ NA
P-3	Does the company have authority to operate foreign registered aircraft?		❑ OK ❑ FDG ❑ NA
A-1	Are flight crew reporting aircraft defects in accordance with approved procedures?		❑ OK ❑ FDG ❑ NA
A-2	Do foreign registered aircraft which are operated under a valid lease agreement meet the requirements of the reference?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-3	Is a valid certificate of registration, flight authority and radio licence on board the aircraft?		❑ OK ❑ FDG ❑ NA
A-4	Are aircraft configurations and equipment in accordance with the Aircraft Flight Manual?		❑ OK ❑ FDG ❑ NA
A-5	Is there a current Aircraft Flight Manual in each aircraft?		❑ OK ❑ FDG ❑ NA
A-6	Are journey log entries made in accordance with the reference?		❑ OK ❑ FDG ❑ NA
A-7	Is there a current aircraft library on board each aircraft?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.13 OP-13 Minimum Equipment List

	Item	Reference	Result
P-1	Does the company utilise an approved MEL for each aircraft?		❑ OK ❑ FDG ❑ NA
A-1	Does the company dispatch aircraft in accordance with approved procedures?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.14 OP-14 Cabin Safety

	Item	Reference	Result

Pre-Audit

General Review

	Item	Reference	Result
P-1	List any outstanding Cabin Safety Audit Findings respecting the previous audit.		❑ OK ❑ FDG ❑ NA
P-2	List any recurring incidents or concerns noted after reviewing the company Operations file.		❑ OK ❑ FDG ❑ NA
P-3	Indicate under which regulatory requirement the air operator conducts its operation.		❑ OK ❑ FDG ❑ NA
P-4	Indicate which Operations Specifications have been issued and are still authorised that relate to cabin safety.		❑ OK ❑ FDG ❑ NA
P-5	Provide information concerning any additional Operations Specifications authorised since the previous audit that relate to cabin safety.		❑ OK ❑ FDG ❑ NA
P-6	Describe any changes to the air operator's scope, size/type aircraft used, type of operation since the last audit.		❑ OK ❑ FDG ❑ NA
P-7	Indicate the aircraft types operated by the air operator.		❑ OK ❑ FDG ❑ NA
P-8	Indicate where the air operator's main, sub and training bases are located.		❑ OK ❑ FDG ❑ NA
P-9	Provide examples of any indication that there is a high turnover of flight attendant managerial positions and/or flight attendants.		❑ OK ❑ FDG ❑ NA

Inspection Review

	Item	Reference	Result
P-10	How many pre-flight inspections were conducted since the previous audit? Of these inspections, how many recurring problems were revealed and specify nature of findings?		❑ OK ❑ FDG ❑ NA
P-11	How many in-flight inspections were conducted since the previous audit? Of these inspections, how many recurring problems were revealed and specify nature of findings?		❑ OK ❑ FDG ❑ NA
P-12	Have the inspections shown operations to be in accordance with company procedures and regulatory requirements?		❑ OK ❑ FDG ❑ NA
P-13	Do flight attendants carry competency cards?		❑ OK ❑ FDG ❑ NA

Flight Attendant Manual Review

P-14	Indicate whether or not the Flight Attendant Manual content is in accordance with the regulatory requirements.		❑ OK ❑ FDG ❑ NA
P-15	Indicate the approval date and the latest revision number.		❑ OK ❑ FDG ❑ NA
P-16	Describe the air operator's procedure to ensure flight attendant's manual are up to date and indicate how often they are checked by the company?		❑ OK ❑ FDG ❑ NA
P-17	Indicate whether or not the Flight Attendant Manual is procedurally consistent with the Operations Manual and other company manuals? (Such as the Manufacturer's Aircraft Manuals, the Standard Operating Procedures Manual?, etc.)		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
P-18	Is the flight attendant training program consistent with the Flight Attendant Manual and other company manuals? (i.e., Operations Manual, Manufacturer's Aircraft Manuals and the air operator's operation)?		❑ OK ❑ FDG ❑ NA
P-19	Are flight crew and flight attendant emergency procedures and signals compatible? Is similar terminology used?		❑ OK ❑ FDG ❑ NA
P-20	Is the air operator's organisation reflective of the information contained in the Flight Attendant Manual?		❑ OK ❑ FDG ❑ NA
P-21	Does the air operator assign duties to each crew member to adequately meet any emergency that may reasonably be anticipated?		❑ OK ❑ FDG ❑ NA
Safety Features Card			
P-22	Is the safety features card for each aircraft type and model in accordance with the regulatory requirements. List aircraft type, model and approval dates.		❑ OK ❑ FDG ❑ NA
Carry-On Baggage Program			
P-23	Is the air operator's carry-on baggage control program approved in accordance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA
Equipment			
P-24	Describe the system for reporting unserviceable items or cabin snags and the rectification system.		❑ OK ❑ FDG ❑ NA
Flight Attendant Stations			

	Item	Reference	Result
P-25	Are the flight attendant stations approved in accordance with regulatory requirements?		❑ OK ❑ FDG ❑ NA

Audit (On Site) Inflight Inspection

General

A-1	Does the air operator provide a confirmed passenger seat for the Cabin Safety Inspector performing an in-flight inspection?		❑ OK ❑ FDG ❑ NA

Apron Safety

A-2	Is the company's procedure to escort passengers safely to and from the aircraft in compliance of the regulatory requirements?		❑ OK ❑ FDG ❑ NA
A-3	Is fuelling with passengers on board carried out in accordance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA

Flight Attendants

A-4	Are the correct number of flight attendants carried in accordance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA
A-5	If more than one (1) flight attendant is carried, did the air operator designate an in-charge flight attendant?		❑ OK ❑ FDG ❑ NA
A-6	If competency cards are carried, are the flight attendants in possession of their card? Are they qualified?		❑ OK ❑ FDG ❑ NA
A-7	Does each flight attendant have their Flight Attendant Manual available in flight and is it up to date?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
Crew Briefing			
A-8	Do the flight attendants receive a pre-flight briefing from the pilot in command?		❑ OK ❑ FDG ❑ NA
A-9	If more than one flight attendant is carried, does the in-charge provide a pre-flight briefing to the other flight attendant(s)?		❑ OK ❑ FDG ❑ NA
Passenger Briefings			
A-10	Are the safety briefings prior to take-off, after take-off, prior to landing and for in-flight turbulence completed in accordance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA
A-11	Are all safety briefings provided in the appropriate languages?		❑ OK ❑ FDG ❑ NA
A-12	Are passengers with special needs given individual briefings?		❑ OK ❑ FDG ❑ NA
A-13	Are passengers seated at window exits provided with the standard briefing?		❑ OK ❑ FDG ❑ NA
A-14	Is the safety features card for that aircraft type and model available at each passenger seat?		❑ OK ❑ FDG ❑ NA
A-15	Is the information contained on the safety features card reflective of the aeroplane/rotorcraft and equipment carried?		❑ OK ❑ FDG ❑ NA
Carry-On Baggage			
A-16	Is there at least one carry-on baggage control point outside the aircraft?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-17	Does a crew member verify that all carry-on baggage is stowed prior to closure of the passenger entry door?		❑ OK ❑ FDG ❑ NA
A-18	Is carry-on baggage stowed so that it does not block access to the safety equipment, exits and aisles?		❑ OK ❑ FDG ❑ NA
A-19	Is carry-on baggage stowed so that no passenger's view to the "seat belt" and "no smoking" signs is obscured?		❑ OK ❑ FDG ❑ NA
A-20	Is carry-on baggage placed so as to prevent it from shifting during take-off, landing and in-flight turbulence?		❑ OK ❑ FDG ❑ NA
A-21	Is carry-on baggage securely stowed for movement on the surface, take-off, landing, during turbulence and when considered necessary by the pilot in command?		❑ OK ❑ FDG ❑ NA
A-22	Is the procedure for the acceptance of carry-on baggage for stand-by passengers and/or connecting flight passengers in accordance with the Operations Manual and Flight Attendant Manual?		❑ OK ❑ FDG ❑ NA
A-23	Is the procedure for handling unusual or fragile items in accordance with the Operations Manual and Flight Attendant Manual?		❑ OK ❑ FDG ❑ NA
Cabin Checks			
A-24	Are passengers seated and secured in accordance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA
A-25	Are seats and chair tables in the upright position for movement on the surface, take-off and when deemed necessary by the pilot-in-command?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-26	Are seat belts fastened in accordance to the regulatory requirements?		❑ OK ❑ FDG ❑ NA
A-27	Are child restraint systems used in accordance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA
A-28	Are seats that are located next to an emergency exit and seats not on the main deck of an aircraft occupied by passengers whose presence does not affect the safety of the passengers or crew members in an emergency?		❑ OK ❑ FDG ❑ NA
A-29	Are passenger service carts stowed in accordance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA
A-30	Is all equipment on board stowed in accordance with the regulatory requirements? (i.e. galleys, overhead bins, etc.)		❑ OK ❑ FDG ❑ NA
A-31	Are all video monitors that are suspended from the ceiling in an aisle stowed for take-off and landing?		❑ OK ❑ FDG ❑ NA
Electronic Devices			
A-32	Is the use of electronic devices in accordance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA
Alcohol/Drugs			
A-33	Are boarding procedures followed according to the regulatory requirements for a person whose faculties are impaired by alcohol or drugs?		❑ OK ❑ FDG ❑ NA
A-34	Is the use of alcohol on board in accordance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
Flight Attendant Stations			
A-35	If the flight attendant jumpseat is occupied by a person other than a flight attendant, is it in compliance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA
Smoking			
A-36	Are smoking procedures followed in accordance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA
Turbulence Procedures			
A-37	If turbulence exceeds light turbulence, does the pilot-in-command direct the flight attendants according to regulatory requirements?		❑ OK ❑ FDG ❑ NA
A-38	If the in-charge considers it necessary, due to turbulence, to fasten seat belts, take jumpseats and discontinue service, do they follow the procedures as per regulatory requirements?		❑ OK ❑ FDG ❑ NA

Audit (On Site) Aircraft Inspection

Equipment

A-30	Is each aircraft type equipped with the appropriate equipment as required by regulatory requirements and as applicable to the air operator's operations?		❑ OK ❑ FDG ❑ NA
A-40	Does the aircraft have all required emergency equipment on board and is it installed and secured, sealed as necessary, correct amounts, serviceable, accessible and placarded as necessary?		❑ OK ❑ FDG ❑ NA

Exits/Doors

	Item	Reference	Result
A-41	Are all exits serviceable, accessible and correctly placarded with operating instructions and exit locator signs?	Per aircraft certification requirements	❑ OK ❑ FDG ❑ NA
A-42	Does each door that provides access to a passenger emergency exit have a placard stating that the door must be open for take-off and landing?		❑ OK ❑ FDG ❑ NA
A-43	Is there a means for the crew, in an emergency, to unlock each lavatory door?		❑ OK ❑ FDG ❑ NA
A-44	Is there a removable ashtray installed on or near the outside of the door to each lavatory or in some other location that is readily visible to the users of each lavatory from outside the lavatory?		❑ OK ❑ FDG ❑ NA
Placards			
A-45	Is there a "no smoking" symbol or wording in the appropriate language that is readily visible above the door handle on both sides of each lavatory door?		❑ OK ❑ FDG ❑ NA
A-46	Is there a readily visible symbol or wording in appropriate language adjacent to the opening of each garbage receptacle indicating that cigarette disposal is prohibited?		❑ OK ❑ FDG ❑ NA
A-47	Is there a placard indicating the location of emergency equipment as per regulatory requirements?	Per aircraft certification requirements	❑ OK ❑ FDG ❑ NA
A-48	Are there placards indicating the weight restrictions on overhead bins and closets as per regulatory requirements?	Per aircraft certification requirements	❑ OK ❑ FDG ❑ NA
Unserviceable Equipment			

	Item	Reference	Result
A-49	Upon review of the log (snag) books, are procedures followed according to the regulatory requirements and company procedures?		❑ OK ❑ FDG ❑ NA

Audit (On Site) Base Inspection

Random Spot Checks

A-50	Check the Flight Attendant Manuals held by other departments to verify if they are kept up-to-date? (i.e. Flight Operations, Base offices, etc.)	N/A	❑ OK ❑ FDG ❑ NA
A-51	If the air operator has a library with necessary publications, are these documents up to date?	N/A	❑ OK ❑ FDG ❑ NA
A-52	Check to see if key management personnel have access to up-to-date copies of the regulatory requirements and FAM?	N/A	❑ OK ❑ FDG ❑ NA
A-53	Check the flight attendant mail room to determine if Flight Attendant Manual amendments and safety bulletins are picked up in a timely manner?	N/A	❑ OK ❑ FDG ❑ NA
A-54	Check random flight attendant reports to ensure safety issues are dealt with accordingly and record discrepancies.	N/A	❑ OK ❑ FDG ❑ NA
A-55	Check random flight attendant injury reports to determine if there are safety related trends and record discrepancies.	N/A	❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-56	Check reservations system randomly to ensure that information relating to safety corresponds with the information contained in the Flight Attendant Manual.	N/A	❑ OK ❑ FDG ❑ NA
A-57	Check random journey/cabin log books that have been closed to ensure repairs are snagged and corrected accordingly. Record discrepancies.	N/A	❑ OK ❑ FDG ❑ NA

Audit (On Site) Interviews And Miscellaneous

A-58	How are routine and safety measures given to the flight attendants, i.e., bulletins? Is the method effective? Is the method universal?		❑ OK ❑ FDG ❑ NA
A-59	Does the flight attendant manager's qualifications meet the regulatory requirements?		❑ OK ❑ FDG ❑ NA
A-60	Are key management personnel familiar with pertinent sections of the regulatory requirements?	N/A	❑ OK ❑ FDG ❑ NA
A-61	Are flight attendant management and training personnel job descriptions accurate and applicable to the current position?	N/A	❑ OK ❑ FDG ❑ NA
A-62	Is the air operator's organisation chart current?	N/A	❑ OK ❑ FDG ❑ NA
A-63	What is the usual means of communication between departmental management positions?	N/A	❑ OK ❑ FDG ❑ NA
A-64	What are the signs that the channels of communication are effective and positive?	N/A	❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-65	How many flight attendants does the air operator have? (Include total and total number at each base).	N/A	❑ OK ❑ FDG ❑ NA
A-66	Are there adequate numbers of flight attendant supervisors, in-charges for this operation?	N/A	❑ OK ❑ FDG ❑ NA
A-67	Do aircraft journey logs confirm that minimum crew requirements have been met?		❑ OK ❑ FDG ❑ NA
A-68	Have excessive duty times been recorded? If so, provide applicable information and duty day.	N/A	❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.15 OP-15 Flight Attendant Training Program

	Item	Reference	Result
P-1	Does the air operator plan to conduct flight attendant training during the three months prior to the audit? If yes, will it be inspected?	N/A	❑ OK ❑ FDG ❑ NA
P-2	Have recent training inspections shown adherence to approved training programs?	N/A	❑ OK ❑ FDG ❑ NA
P-3	When were the following syllabus and training programs initially approved (date)? – Initial Training – Annual Training – Requalification Training – CRM Training		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
P-4	What is the most recent approval revision number for? – Initial Training – Annual Training – Requalification Training – CRM Training		❑ OK ❑ FDG ❑ NA
P-5	Is the training program still applicable to the air operator's aircraft and type of operation?		❑ OK ❑ FDG ❑ NA
P-6	Are all required items included in approved training programs as per the regulatory requirements?		❑ OK ❑ FDG ❑ NA
P-7	Is required training provided by a training organisation or consultant other than an employee of the air carrier? If yes, state who is providing the training. If yes, state approval date and who is providing the training.		❑ OK ❑ FDG ❑ NA
P-8	What are the recurring findings from training courses inspected since the previous audit?		❑ OK ❑ FDG ❑ NA
P-9	Are the flight attendant instructors' qualifications in accordance with regulatory requirements?		❑ OK ❑ FDG ❑ NA
P-10	Is the training program in accordance with the training manual and regulatory requirements?		❑ OK ❑ FDG ❑ NA
A-1	Describe the flight attendant training facilities.		❑ OK ❑ FDG ❑ NA
A-2	Are instructor qualifications maintained and recorded (record of training)?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-3	Are emergency evacuation trainers used (doors, tailcone, etc.)? If yes, are they in accordance with the regulatory requirements?		❑ OK ❑ FDG ❑ NA
A-4	Is there adequate portable emergency equipment available for training purposes?		❑ OK ❑ FDG ❑ NA
A-5	Is equipment for training representative of the equipment onboard the air operator's aircraft?		❑ OK ❑ FDG ❑ NA
A-6	Are the following training aids accurate and pertinent: – Video – Slides/Tape – Aircraft Diagrams – Transparencies – Handouts – Other?		❑ OK ❑ FDG ❑ NA

Items Certified – Completed by: _____

2.3.16 OP-16 Flight Attendant Training Records

	Item	Reference	Result
A.1	Are flight attendant records maintained as per regulatory requirements?		❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A.2	Does the training show the following: 1. Name of flight attendant; 2. Types of aircraft the flight attendant is qualified on 3. The date of training and whether or not the flight attendant passed or failed: 4. Initial Training 5. Annual Training 6. Differences Training 7. Requalification Training 8. First Aid Training 9. In-Charge Training 10. Dangerous Goods Training		❑ OK ❑ FDG ❑ NA
A.3	Are the training records retained for at least three years?		❑ OK ❑ FDG ❑ NA
A.4	Does the training file contain a copy of the most recent written exam for each aircraft type on which the flight attendant is qualified?		❑ OK ❑ FDG ❑ NA
A.5	Is there a central records system? If yes, are pertinent training records maintained at base?		❑ OK ❑ FDG ❑ NA
A.6	Check random training records to ensure proper maintenance and record discrepancies.		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.17 OP-17 Dangerous Goods

	Item	Reference	Result
P-1	Identify any outstanding Audit	N/A	❑ OK ❑ FDG ❑

	Item	Reference	Result
	Findings respecting the last audit.		NA
P-2	Determine the current type of operator service and identify any changes since the last audit.	N/A	❑ OK ❑ FDG ❑ NA
P-3	Review prior company records to establish compliance history.	N/A	❑ OK ❑ FDG ❑ NA
P-4	Review dangerous occurrence reports, where applicable.	N/A	❑ OK ❑ FDG ❑ NA
P-5	Determine if the company currently has any permits and if they received additional permits since the last audit.	N/A	❑ OK ❑ FDG ❑ NA
P-6	Review manual and determine if there has been any amendments to the dangerous goods section of the company operations manual.	ICAO 5;4.1	❑ OK ❑ FDG ❑ NA
P-7	Determine if the company has an approved dangerous goods training program.	ICAO 6;1.2	❑ OK ❑ FDG ❑ NA
P-8	Determine if the training program reflects all regulatory or operational amendments.	ICAO 6;1.1	❑ OK ❑ FDG ❑ NA
A-1	Determine if the Operations Manual is available to company personnel as required.	ICAO 5;4.2	❑ OK ❑ FDG ❑ NA
A-2	Determine if the company's acceptance procedures are in compliance with the regulations.	ICAO 5;1	❑ OK ❑ FDG ❑ NA
A-3	Determine if the airway bill procedures are in compliance with the appropriate regulations.	ICAO 4;4.2	❑ OK ❑ FDG ❑ NA
A-4	Determine if the Shipper's Declaration completion procedures are in compliance with the appropriate regulations.	ICAO 4;4.1	❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-5	Determine if the Pilot Notification System procedures are in compliance with the appropriate regulations.	ICAO 5;4.1	❑ OK ❑ FDG ❑ NA
A-6	Determine if exemptions, if any, to the use of airway bill, Shipper's Declarations and Pilot Notification documents are properly applied.		❑ OK ❑ FDG ❑ NA
A-7	Determine if a reporting system exists to identify undeclared or misdeclared dangerous goods.	ICAO 5;4.5	❑ OK ❑ FDG ❑ NA
A-8	Determine if shipping documents are retained for two years.		❑ OK ❑ FDG ❑ NA
A-9	Verify the company has the proper dangerous occurrence procedures in place.	ICAO 5;4.6	❑ OK ❑ FDG ❑ NA
A-10	Verify the company's storage and loading procedures are in compliance with the regulations.	ICAO 5;2	❑ OK ❑ FDG ❑ NA
A-11	Determine that ticketing/ cargo personnel (including agents) are complying with the regulations.	ICAO 5;3	❑ OK ❑ FDG ❑ NA
A-12	Determine that pilots have been supplied with appropriate information regarding emergency response and dangerous occurrence reporting.	ICAO 5;4.8	❑ OK ❑ FDG ❑ NA
A-13	Determine that the company is in compliance with the requirements for provision of information.	ICAO 5;4.7 ICAO 9;2.1.1	❑ OK ❑ FDG ❑ NA
A-14	Determine that passenger check-in procedures are in compliance with the regulation.	ICAO 9;2.2	❑ OK ❑ FDG ❑ NA
A-15	Determine that copies of the applicable regulations are available.	Operators Manual	❑ OK ❑ FDG ❑ NA

	Item	Reference	Result
A-16	Determine the capability of the carrier to replace lost or stolen safety marks.	ICAO 5;2.6	❑ OK ❑ FDG ❑ NA
A-17	Determine if untrained personnel, who are handling, offering for transport and transporting, are appropriately supervised.		❑ OK ❑ FDG ❑ NA
A-18	Does the company's dangerous goods training program match the approved program?	ICAO 6;1.2	❑ OK ❑ FDG ❑ NA
A-19	Verify that all employees, who handle, offer for transport and transport, are trained.		❑ OK ❑ FDG ❑ NA
A-20	Verify that trained employees are able to produce certificates of training upon request.		❑ OK ❑ FDG ❑ NA
A-21	Determine that the certificates of training contain the required information.		❑ OK ❑ FDG ❑ NA
A-22	Determine that the company has a record of training for trained employees on file.		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.18 OP-18 Flight Inspection and Route Check

	Item	Reference	Result
A.1	Have in-flight inspections or route checks been completed using the appropriate forms?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.19 OP-19 Aircraft Performance Operating Limitations

	Item	Reference	Result
A.1	Does the carrier utilise aircraft performance operating limitations for airports from which they operate?		❑ OK ❑ FDG ❑ NA
A.2	Do the aircraft performance operating limitations conform to the appropriate Aircraft Flight Manual?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

2.3.20 OP-20 Air Operator Flight Safety Program

		Reference	Result
Flight Safety Program Elements			
A-1	Does the person responsible for running the flight safety program have extensive operational experience (normally achieved as a flight deck crew member or equivalent experience in aviation management); and training.		❑ OK ❑ FDG ❑ NA
A-2	Is a detailed description of the flight safety program incorporated into the appropriate company manuals?		❑ OK ❑ FDG ❑ NA
A-3	Does the person responsible for the flight safety program have direct access to the operations manager?		❑ OK ❑ FDG ❑ NA
A-4	Does the reporting system provide for a timely and free flow of flight safety related information?		❑ OK ❑ FDG ❑ NA

		Reference	Result
A-5	Are surveys conducted?		❑ OK ❑ FDG ❑ NA
A-6	Are flight safety improvement suggestions solicited and processed?		❑ OK ❑ FDG ❑ NA
A-7	Has a safety awareness program been developed and maintained?		❑ OK ❑ FDG ❑ NA
A-8	Are industry flight safety concerns (which may have an impact on the operation) monitored?		❑ OK ❑ FDG ❑ NA
A-10	Is a close relationship with the appropriate aircraft manufacturers maintained?		❑ OK ❑ FDG ❑ NA
A-12	Is a close relationship with industry safety associations maintained?		❑ OK ❑ FDG ❑ NA
A-13	Are incidents/accidents investigated and are recommendations to preclude a recurrence reported?		❑ OK ❑ FDG ❑ NA
A-14	Has a flight safety database been developed to monitor and analyse trends?		❑ OK ❑ FDG ❑ NA
A-15	Are responses to flight safety initiatives monitored and are the results measured?		❑ OK ❑ FDG ❑ NA
Incident Management			
A-16	Has an incident reporting system been developed and is it maintained?		❑ OK ❑ FDG ❑ NA

		Reference	Result
A-17	Does it provide a process of reporting incidents; investigation of incidents; the means to advise management; and information feedback to employees?		❑ OK ❑ FDG ❑ NA
Flight Safety Committee			
A-18	Has a Flight Safety Committee been established to identify safety concerns and deficiencies and to make recommendations for corrective measures to senior management?		❑ OK ❑ FDG ❑ NA
A-19	Are members from all operating departments represented?		❑ OK ❑ FDG ❑ NA
A-20	Does the committee meet at least twice a year?		❑ OK ❑ FDG ❑ NA
A-21	Do meeting minutes provide a record of agenda items, discussions and corrective actions taken, where applicable?		❑ OK ❑ FDG ❑ NA
Emergency Response Planning			
A-22	Has an Emergency Response Plan been developed and is it maintained?		❑ OK ❑ FDG ❑ NA

		Reference	Result
A-23	Does it include the following elements: 1. air operator policy; 2. air operator mobilisation and agency notification; 3. passenger and crew welfare; 4. casualty and next-of-kin co-ordination; 5. accident investigation on behalf of the air operator; 6. air operator team's response to the accident site 7. preservation of evidence 8. emergency response training?		❑ OK ❑ FDG ❑ NA

Items Certified - Completed by: _____

Appendices

1. National Audit Program Inventory
2. Checklist for Small Operations Audit
3. Sample Audit Plan for Acme Aero Limited
4. Sample Notice of Appointment - Audit Manager
5. Sample Notice of Appointment - Team Leader
6. Sample Notice of Appointment - Team Member
7. Sample Letter of Audit Notice to Company
8. Sample Entry Meeting Notes
9. Sample Sizes
10. Reference Material Matrix
11. Company Manuals and Publications (Operations)
12. Company Manuals and Publications (Airworthiness)
13. Company Check Pilot Audit Summary
14. Training Records
15. Journey Log - Load Sheet Analysis
16. Aircraft Inspection Report
17. Flight Inspection
18. Aircraft Inspection Form - Cabin Safety
19. Cabin Safety Inspections
20. Ramp Check
21. Audit Information Report Summary
22. Confirmation Request Form
23. Confirmation Request Control Page
24. Non-Conformance Evidence Log
25. Audit Finding Form
26. Sample Exit Meeting Notes
27. Sample Covering Letter for Large Combined Audit
28. Sample Large Combined Audit Report
29. Sample Small Combined Audit Report
30. Audit Report Distribution
31. Corrective Action Plan Tracking Forms
32. Sample Notice of Release from Audit - Team Member
33. Sample Letter to Company - Audit Close-Out
34. Sample Parallel Report

Report Status
État du rapport

☐ Initial
☐ Update - Mise à jour

National Audit Program Inventory

Programme de vérification nationale
Qualification Profile
Profil de qualification

See Instructions on Reverse - Voir les instructions au verso

Region - Région	**Date**	**Name - Nom**
Title - Titre	**Group/Level - Groupe/Niveau**	**Licence Number - Numéro de permis**
Endorsements - Annotations*		
Aircraft Type Experience - Expérience sur type d'aéronef*		
Participation in Previous Audits - Participation dans des vérifications antérieures		
Specialized Training - Formation spécialisée		
Other Related Experience - Autre Expérience connexe*		

Forward completed form to: - Faire parvenir le formulaire rempli à : **AARPF, Ottawa, Canada K1A 0N8**

National Audit Program Qualification Profile

Programme de vérification nationale Profil de qualification

This form is to be completed by inspectors.

Completion Instructions for items marked with an asterisk(*):

Endorsements:

Aircraft type endorsements on the licence.

Aircraft Type Experience:

Experience on an aircraft type that is not endorsed on the licence.

Participation in Previous Audits:

Prior participation and/or experience in regional, national or other types of audits (please specify).

Specialized Training:

Any specialized training relating to air carrier functions.

Other Related Experience:

Any experience that would or could prove valuable during an audit.

Ce formulaire doit être rempli par tous les inspecteurs.

Instructions concernant la façon de remplir les cases marquées d'un astérisque (*).

Annotations :

Annotations de type d'aéronef sur un permis.

Expérience sur type d'aéronef :

Expérience sur type d'aéronef qui n'est pas annotée sur le permis.

Participation dans les vérifications antérieures :

Participation ou expérience dans des vérifications antérieures sur le plan régional, national, ou encore, dans d'autres genres de vérifications. Prière de spécifier.

Formation spécialisée :

Formation spécialisée relative aux fonctions des transporteurs aériens.

Autre expérience connexe :

Toute expérience jugée valable pour effectuer des vérifications.

Checklist for Small Operations Audit

Inspection Identification

Inspector	Region	Operator 5258-5260-
Date of Inspection	Base Inspected	

Air Operator Information

Legal Name		Trade Name	
Address of Main Base		Address of Base Inspected	
Telephone Number	Facsimile	Telephone Number	Facsimile

Air Operator Certificate

5260-	5258-	5015-	Type
Type	Service	Points Abroad ☐ Yes ☐ No	Specialty Type
Special Conditions			

Management Personnel

Chief Executive Officer	Director, Operations
Director, Maintenance	Chief Pilot
Chief, Maintenance	Chief Flight Attendant
Chief Inspector	Safety Officer

Personnel at Base Inspected

Base Manager	Base Engineer			
	Permanent		Seasonal	
	VFR	IFR	VFR	IFR
Pilots				
Engineers				
Mechanics				

Flight Training Crew Program

	Date Approved							
	Initial		Recurrent					
Aircraft Types	Ground	Flight	Ground	Flight	Exam Current	Emergency Procedures	Date Simulator Approved	Line Check Line Indoctrination Approved
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		
					☐ Yes ☐ No	☐ Yes ☐ No		

Note: Complete the audit checklist "Flight Crew Training Records" and "Company Manuals" forms.

Company Check Pilots

			Authority							
Name	Licence	Type	PPC	IFT	Line Check	Line Indoctrination	Date of Last Monitor			No. of Rides over 12 Mos.

*** IFT - Instrument Flight Test**

Publications Library

	Latest Revision			
Company Manual	Regional HQ	Company Library	Flew Crew Copies	Company OPI
Operations Manual				
Flight Attendant Manual				
Training Manual				
Aircraft Flight Manual				

TCSS Publication	Latest Revision No.	Date of Latest Revision			Company Library Copy	Flight Crew Copy
Canadian Aviation Regulations						
CASS (Aerial Work)						
CASS (Air Taxi)						
CASS (Commuter)						
CASS (Airline)						
AIP Canada						
Canada Flight Supplement						
Canada Air Pilot						
Low/High Level Enroute(LO/HE) Charts						
Water Aerodrome Supplement						
Designated Airspace Handbook						

Company Forms	In Accordance with Operations Manual	Not in Accordance with Operations Manual
Operational Flight Plan		
Weight and Balance Report		
Fuel Slips		
Passenger or Cargo Manifest		
Flight Log		
Initial Training Record		
Recurrent Training Record		
Ground Training Record		
Flight Training Record		

Note: All forms used must correspond with the examples given in the appropriate company manual. Ensure that new forms have not been introduced without proper amendment of the manual.

Maps and Charts

Does the Company maintain an inventory of maps and charts appropriate to it operation? ☐ Yes ☐ No

Check samples of the following for accuracy:

Chart	Latest Revision in AIP	Company Version
Canadian Pilotage Chart (CPC)		
VFR Navigation Chart (VNC)		
World Aeronautical Chart (WAC)		
VFR Terminal Area Chart (VTA)		

Operational Control System

Method of Dispatch

☐ Flight Dispatcher ☐ Flight Follower ☐ Contracted Out ☐ Pilot Self-Dispatch

Is the Operational Control System in accordance with the Company Operations Manual? ☐ Yes ☐ No

Communications Facilities

☐ Very High Frequency (VHF) ☐ High Frequency (HF) ☐ Telex ☐ Telephone ☐ Facsimile

Flight Planning Facilities

☐ Weather ☐ NOTAMS ☐ ATC

Flight Dispatchers

Authorized	How	Recurrent Training	Exams Current	Interviewed
			☐ Yes ☐ No	☐ Yes ☐ No
			☐ Yes ☐ No	☐ Yes ☐ No
			☐ Yes ☐ No	☐ Yes ☐ No
			☐ Yes ☐ No	☐ Yes ☐ No

Emergency Equipment

Does the company carry emergency equipment in accordance with CAR 602.61? ☐ Yes ☐ No

Does the company carry emergency equipment in accordance with CAR 602.63? ☐ Yes ☐ No

Equipment Inventory

Type	Inspection Control	Due Date		
Survival Equipment				
Rations				
Life Vests				
ELT				
Marine ELT				

Are emergency equipment lists available to the flight crew? ☐ Yes ☐ No

Sample Audit Plan for Acme Aero Limited

Objective

A routine conformance audit will be conducted on Acme Aero Limited during the period of June 2-20, 1997.

Company - General

Acme Aero Limited is an aviation company formed in 1984. It offers both a scheduled and non-scheduled domestic air service from the main base at MacDonald-Cartier International Airport, with sub-bases in Toronto/Lester B. Pearson International Airport and Montreal International (Dorval).

Acme Aero Limited operates one PA31 and two amphibious DHC-2 aircraft from its main base, one HS-748 from each sub-base, plus one PA31 from the sub-base in Toronto. The DHC-2 aircraft are used to support Call of the Wild Vacations, a subsidiary of Acme Aero Limited which operates three fly-in fishing camps in Quebec. The HS-748s offer a scheduled service between Toronto and Windsor, Ontario and between Montreal and Val D'Or, Quebec. The PA31s operate on a charter basis and are available for med-evac under a standing offer with the Ministry of Health for the Province of Ontario. The operator is transporting certain dangerous goods by air.

Aircraft maintenance is performed in-house at all three bases. There is a full-time staff of six Aircraft Maintenance Engineers, five apprentices and two technicians. The Aircraft Technical Records are kept at the main base in Ottawa.

The company has experienced steady growth and now employs nearly one hundred people. The company is currently in the process of adding two DA20 type aeroplanes which it intends to operate under contract to a major courier company.

Scope and Depth

The scope of the audit will encompass all activities that could affect the safe operation of the company, including, but not limited to:

(a) Airworthiness and related programs,
(b) flight operations and the operational control system,
(c) cabin safety,
(d) training, simulators and flight training devices, and
(e) the transportation of dangerous goods.

The audit will cover the period from October 10, 1996 to the present.

Approach

The audit of Acme Aero Limited will be a combined audit (of both airworthiness and operations functional areas) and will be conducted in accordance with the Manual of Regulatory Audits.

Specialist Assistance/Foreign Travel

Specialist assistance and foreign travel is not required for this audit.

Audit Team

Name	Function/Specialty	Region	Telephone No.
R. Jonson	Covening Authority	Ontario	(416) 952-0001
T. Smith	Audit Manager	Ontario	(416) 952-0002
J. Reynolds	Team Leader, Operations	Ontario	(416) 952-0003
F. Lalonde	Team Leader, Airworthiness	Ontario	(416) 952-0004
K. McLean	Ops Team Member PA31 and DHC-2	Ontario	(416) 952-0005
V. Bruce	Ops Team Member, Cabin Safety	Ontario	(416) 952-0006
M. Michaels	Ops Team Member, HS-748	Ontario	(416) 952-0007
P. Gagnon	Ops Team Member, Dangerous Goods	Ontario	(416) 952-0008
D. Jacobson	Airworthiness Team Member	Ontario	(416) 952-0009
W. Preston	Airworthiness Team Member	Ontario	(416) 952-0010
S. Wallace	Airworthiness Team Member	Ontario	(416) 952-0011

Company Management

Name	Title	Telephone No.
I. Stravinski	President, Acme Aero Limited	(613) 974-2300
B. Mathers	Director, Flight Operations	(613) 974-2301
N. Schaffer	Chief Pilot	(613) 974-2302
C. Roberts	Safety Officer	(613) 974-2303
M. Tellier	Chief, Dispatch	(613) 974-2304
S. Lavallee	Director, Inflight Services	(613) 974-2305
J. Anderson	Director, Maintenance	(613) 974-2306
T. Baynes-Armstrong	Quality Assurance Manager	(613) 974-2307
D. McIntyre	Manager, Dangerous Goods	(613) 974-2308

Airworthiness Audit Plan

Legend

FL	F. Lalonde
DJ	D. Jacobson
WP	W. Preston
SW	S. Wallace

	Pre-Audit - June 2-6, 1997				
	02	03	04	05	06
Travel	All				
Pre-Audit Team Meeting		All	All	All	All

		Physical Audit - June 9-20, 1997									
		09	10	11	12	13	16	17	18	19	20
Administrative		Ongoing									
Entry Meeting		All									
3.5.1	Maintenance Control Manual		FL								
3.5.2	Technical Publications/Library			SW							
3.5.3	Personnel			DJ							
3.5.4	Maintenance Training		DJ								
3.5.5	Technical Records										
3.5.6	Fuelling/Defuelling										
3.5.7	De-Icing Procedures/Equipment										
3.5.8	Service Difficulty Reporting				FL/						
3.5.9	Defect Control (Deferral)				FL/						
3.5.10	Ramp Procedures		SW	WP			FL				
3.5.11	Facilities/General	DJ									
3.5.12	Sample Aircraft for Conformance		SW	WP			FL				
3.5.13	Sub-Bases										
3.5.14	Company Quality Audits	FL									
3.5.15	Airworthiness Control Committee				DJ						
3.5.16	Engineering				DJ						
3.5.17	Receiving Inspections					SW					
3.5.18	Maintenance Schedule	Ongoing									
3.5.19	Reliability/Maintenance Dvlpmt Progs							SW/			
3.5.20	Support/Overhaul Shops						FL				
3.5.21	Control of Parts/Material					SW					
3.5.22	Test/Measuring Equipment	Ongoing									
3.5.23	Maintenance Contracts	Ongoing									
3.5.24	ADs/SBs Bulletin Compliance							DJ/			
3.5.25	Corrosion Control/Aging Aircraft							DJ/			
3.5.26	Non-Destructive Testing								FL		
3.5.27	Weight and Balance Control								FL		
3.5.28	Borrowing/Pooling of Parts						SW				
3.5.29	Certification of Components							SW			
3.5.30	Storage Facilities							SW			
3.5.31	Flight Authority								WP		
3.6.16	Extended Twin Operations (ETOPS)								WP		

3.6.19	Enroute Inspection								**WP**		

Operations Audit Plan

		Pre-Audit - June 2-6, 1997				
		02	03	04	05	06
Travel		**JR, KM, VB, MM**	**PG**			
OP-01	Previous Transport Canada Audit	**KM, VB, MM**		**PG**		
OP-02	Air Operator Certificate and Operations Specifications		**All***			
OP-03	Company Manuals		**All***			
OP-05	Management Personnel and Operations Coordination		**All***			
OP-06	Company Check Pilot Program		**All ***	**All***	**All***	**All***
OP-07	Flight Crew Training Program		**All ***	**All***	**All***	**All***
OP-12	Aircraft Documentation		**All***	**All***	**All***	**All***
OP-13	Minimum Equipment List		**All***	**All***	**All***	**All***
OP-14	Cabin Safety			**VB**	**VB**	**VB**
OP-15	Flight Attendant Training Program			**VB**	**VB**	**VB**
OP-17	Dangerous Goods				**PG**	**PG**

***** All except Cabin Safety and Dangerous Goods (VB and PG).

		Physical Audit - June 9-20, 1997							
		9	10	11	12	13	14-15	16-19	20
OP-02	Air Operator Certificate and Ops Specifications								
OP-03	Company Manuals								
OP-05	Mgmt Personnel and Operations Coordination								
OP-06	Company Check Pilot Program								
OP-07	Flight Crew Training Program		**KM, MM**						
OP-08	Flight Crew Training Records			**KM,**					
OP-09	Operational Control System		**KM, MM**	**KM,**	**A/R**	**A/R**		**A/R**	
OP-10	Flight Documentation		**KM, MM**	**KM,**	**A/R**	**A/R**		**A/R**	
OP-11	Aircraft Inspection					**KM,**			
OP-12	Aircraft Documentation					**KM,**			
OP-13	Minimum Equipment Lists	**KM,**							
OP-14	Cabin Safety	**VB**	**VB**	**VB**	**VB**	**VB**		**VB**	
OP-15	Flight Attendant Training Program	**VB**	**VB**	**VB**	**VB**	**VB**		**VB**	
OP-16	Flight Attendant Training Records	**VB**	**VB**	**VB**	**VB**	**VB**		**VB**	
OP-17	Dangerous Goods	**PG**	**PG**	**PG**	**PG**	**PG**		**PG**	
OP-18	Flight Inspection and Route Check				**KM,**	**KM,**		**KM,**	
OP-19	Aircraft Performance and Operating Limitations				**MM**				
OP-20	Flight Safety Program								
Exit Meeting (OPS and AW Team									**JR/**

Legend: JR - J. Reynolds KM - K. McLean VB - V. Bruce MM - M. Michaels PG - P. Gagnon

Audit Budget Estimates

	Paylist	Non Paylist	Total
Audit Manager	400	3110	3510
Airworthiness	2800	9535	12335
Operations	3600	9885	13485
Contingency	680	2250	2930
Audit Total	7480	24780	32260

Breakdown of Expenses

	Acme Aero Limited Audit Expenses										
	Airworthiness Expenses					Operations Expenses					
	FL	DJ	WP	SW	Total	JR	KM	MM	VB	PG	Total
Travel	250	270	0	290	810	250	0	230	290	0	770
Accommodation	1445	1360	255	1360	4420	1445	255	1360	1360	255	4675
Overtime	400	800	800	800	2800	400	800	800	800	800	3600
Transportation	0	20	20	0	40	0	20	0	0	20	40
Vehicle Rental	575	0	0	1120	1695	575	0	0	1105	0	1680
Comp Allowance	840	790	150	790	2570	840	150	790	790	150	2720
Miscellaneous	0	0	0	0	0	0	0	0	0	0	0
Total Expenses	3510	3240	1225	4360	12335	3510	1225	3180	4345	1225	13485
Total Paylist	400	800	800	800	2800	400	800	800	800	800	3600
Total Non Paylist	3110	2440	425	3560	9535	3110	425	2380	3545	425	9885

Company Information

Personnel

Acme Aero Limited has a total staff of 100 people. The operational breakdown is as follows:

Pilots 22
Flight Attendants 12
AMEs 6
Apprentice AMEs 5
Technical Assistants 2

Bases

Main Base	MacDonald-Cartier International Airport .....(CYOW)
Sub-Base	Lester B. Pearson Airport..... (CYYZ)
Sub-Base	Montreal Airport - Dorval.....(CYUL)
Sub-Base	Forde Lake, WA..... (N123)
Sub-Base	Lovell Cove Airport ..... (N321)

Maintenance Bases

Main Base	MacDonald-Cartier International Airport(CYOW)
Sub-Base	Lester B. Pearson Airport(CYYZ)
Sub-Base	Montreal Airport - Dorval(CYUL)

Company Aircraft

HS74	C-GXNP	CYYZ
HS74	C-FRLM	CYUL
PA31	C-FNGT	CYOW
PA31	C-FTVL	CYYZ
DHC-2	C-GTXR	CYOW
DHC-2	C-CVND	CYOW

Flight Operations Staff

Name	License	Aircraft Type	Base
B. Levenson	A123456	HS74 & PA31	CYOW
F. Smith	A654321	HS74	CYYZ
N. Granger	A345612	HS74	CYYZ
B. Charles	A456123	HS74	CYYZ
K. Williams	A561234	HS74	CYYZ
D. Beck	A612345	HS74	CYYZ
R. Collins	A435612	HS74	CYYZ
J. Orwell	A789012	HS74	CYUL
P. Tanguay	A890123	HS74	CYUL
N. Connaught	A901234	HS74	CYUL
R. Peterson	A908765	HS74	CYUL
J. Altman	A987654	HS74	CYUL
G. Gregory	A776655	PA31	CYOW
B. Beliveau	C123456	PA31	CYOW
W. Copeland	C234561	PA31	CYOW
R. Scott	A665544	PA31	CYYZ
A. Spencer	C223344	PA31	CYYZ
B. Ferguson	C334455	PA31	CYYZ
B. Fortier	C172635	DH2	CYOW
H. Chang	C192837	DH2	CYOW

R. Beverly	C828374	DH2	CYOW
P. Dole	C674914	DH2	CYOW

Maintenance Staff

Name	Position	Base	License/Endorsements
J. Anderson	Director, Maintenance	CYOW	M123123 M2,4,6(HS74)
T. Baynes-Armstrong	Quality Assurance	CYOW	M234567 M2,4
J. Townsend	AME	CYOW	M345678 M2
C. Cochrane	AME	CYYZ	M456677 M2,4,6(HS74)
P. Cameron	AME	CYYZ	M567876 M2,4,6(HS74)
T. Henry	AME	CYUL	M987654 M2,4,6(HS74)
B. Boyd	AME Apprentice	CYOW	N/A
M. Pelletier	AME Apprentice	CYYZ	N/A
S. Jones	AME Apprentice	CYYZ	N/A
F. Cormier	AME Apprentice	CYUL	N/A
A. Lafleur	AME Apprentice	CYUL	N/A
L. Pierce	Store Keeper	CYOW	N/A
B. Cohen	Technical Records	CYOW	N/A

Team Member Information

Communications

Discussions of a "sensitive nature" shall take place at a location that assures confidentiality; this is especially true when discussions take place on Acme Aero Limited's premises. Do not discuss the audit with Acme Aero Limited employees. Refer any company questions to the Audit Manager through the company representative. Contact the appropriate Team Leader or the Audit Manager prior to taking any immediate action such as grounding or detaining aircraft.

Note: The audit manager or team leader will cover this point in greater detail during the pre-audit meeting.

Methodology

Standard audit procedures as per the Manual of Regulatory Audit*s* will be used. In every case, we are trying to determine Acme Aero Limited's level of conformance to regulations and standards.

Where Acme Aero Limited appears not to be performing in accordance with the Aeronautics Act, Canadian Aviation Regulations*,* associated standards such as the Commercial Air Service Standards, Aircraft Equipment and Maintenance Standards and the Airworthiness Manual*,* or an approved Company manual, they are said to be in non-conformance. Where we determine through our review that everything appears to be in order, we complete the functional summary for that area and go on to the next functional area that we are responsible for.

Areas of Non-Conformance

The following steps must be followed:

(a) define the area of possible non-conformance

(b) retain any clearly defined evidence

(c) prepare CRF (if necessary) and present to Team Leader for vetting and discussion

(d) complete the audit finding form (include 3 examples if possible) and attach any evidence that is collected

(e) complete the functional summary for the applicable functional area, and

(f) pass all documentation (audit finding form, CRF, evidence, functional summary) to the appropriate Team Leader.

Parallel Report

Any detection of deficiencies and inconsistencies in TC Civil Aviation's regulatory requirements, policies, procedures and guidelines shall form the basis for a parallel report. These should be brought to the attention of the Audit Manager who will prepare the parallel report.

Sample Notice of Appointment - Audit Manager

Government of Canada / Gouvernement du Canada

Memorandum **Note De Service**

To / À T. Smith
PAX

From / de R. Jonson
Convening Authority

Subject / Objet **Acme Aero Limited Audit - Appointment as Audit Manager**

Security Classification de sécurité Unclassified
Our File - Notre référence PAX 5258-23456-13
Your File - Votre référence
Date May 1, 1997

You have been appointed audit manager for the subject audit-related matters. It is your responsibility to select team leaders and where applicable, team members, who shall report directly to you. Requests for support from other directorates shall be routed through my office to the appropriate director.

The scope of the audit will include all activities that could affect the safe operation of the operator, including, but not limited to:

a) airworthiness and related programs;

b) flight operations and the operational control system;

c) cabin safety;

d) training, simulators and flight training devices; and

e) the transportation of dangerous goods.

Before the audit begins, a responsibility centre number shall be authorized for expenses incurred during the audit. Please provide me with an audit plan (to include travel estimates, accommodation and overtime expenses, the bases to be inspected and other applicable planning strategies) by May 15, 1997.

.../2

I also ask you to prepare a letter for my signature to Acme Aero Limited, informing the company of the proposed audit dates, composition of the team and any special arrangements required, such as office space, briefing rooms, supervisory personnel, interview schedules and parking. At the conclusion of the audit, copies of all travel and overtime claims (including travel advances) and other audit-related expenses shall be forwarded to PAX/A.

The audit report shall be prepared for my approval and signature and forwarded to the company within ten days of the completion of the audit.

R. Jonson
Convening Authority

Sample Notice of Appointment - Team Leader

Government of Canada / Gouvernement du Canada

Memorandum **Note De Service**

To / À F. Lalonde, Airworthiness
J. Reynolds, Operations

From / de T. Smith
Audit Manager

Subject / Objet **Acme Aero Limited Audit - Appointment as Team Leader**

Security Classification de sécurité Unclassified
Our File - Notre référence AARX 5258-23456-13
Your File - Votre référence
Date May 6, 1997

This will confirm your appointment as the Airworthiness and Operations team leader, respectively, for the upcoming audit of Acme Aero Limited.

I will require your audit plan for your assigned area by May 16, 1997. This plan should include the composition of the team, required interviews with key personnel, travel, overtime and a proposed schedule of your activities. In addition, you will be responsible for co-ordinating the necessary accommodations for your team. Arrangements for briefing rooms and all administrative support while at Acme Aero Limited will be my responsibility.

An audit manager/team leader meeting will take place at the Minto Hotel (Room 1201) on June 1, 1997 at 19:00 hrs. This will be an initial strategy meeting for coordinating our audit plan and required resources. Please have a copy of your Airworthiness/Operations audit plan available for this meeting.

Thank you for accepting this additional responsibility as team leader for this audit. I look forward to working with you.

T. Smith

Sample Notice of Appointment - Team Member

Government of Canada / Gouvernement du Canada

Memorandum **Note De Service**

To / À Team Member
Airworthiness or Operations

From / de Team Leader
Airworthiness or Operations

Subject / Objet **Acme Aero Limited Audit - Appointment as Team Member**

Security Classification de sécurité Unclassified
Our File - Notre référence PAX 5258-23456-13
Your File - Votre référence
Date May 7, 1997

This will confirm your appointment as a member of the (Airworthiness or Operations) team for the upcoming audit of Acme Aero Limited.

Attached is a copy of the team organization and terms of reference for this audit, which is scheduled for June 2-20, 1997. The facilities to be inspected will include Acme Aero Limited bases at Ottawa, Montreal, and Toronto, and other line stations at the audit manager's discretion. The audit will be conducted in accordance with the policies and procedures set out in the Manual of Regulatory Audits and I ask that you become thoroughly familiar with them.

A pre-audit team meeting is scheduled for June 2 at 09:00 hrs in Room 1201 of the Minto Hotel. During the audit activity period, you will report directly to me for all audit-related matters, including authorization for travel and overtime. Expenditures, where authorized, will be journal-vouchered to RC 123456.

Thank you for accepting this additional responsibility as a team member for this audit I look forward to working with you.

Team Leader
Airworthiness or Operations

Sample Letter of Audit Notice to Company

Government of Canada **Gouvernement du Canada**

Toronto, Ontario
M5F 7J9

Registered 5258-1-23456

April 28, 1997

Mr. I. Stravinski
President, Acme Aero Limited
MacDonald-Cartier International Airport
Ottawa, Ontario K1P 5L6

Dear Mr. Stravinski:

A comprehensive regulatory audit of Acme Aero Limited is scheduled for the period June 9 - 20, 1997. This audit will include the main facility at MacDonald-Cartier International Airport as well as the two sub-bases at Toronto (Pearson) and Montreal (Dorval) airports.

The objective of this audit is to conduct an analysis of Acme Aero Limited's policies and procedures to ensure that legislative requirements are met and an acceptable level of aviation safety is maintained. Standard audit procedures will be used, including interviews with key personnel, facility inspections and a review of your company's approved programs and manuals. Attached you will find details of our audit plan which includes a list of audit team members and their areas of responsibility.

An entry meeting is scheduled with your management personnel at 10:30 Monday morning, June 9, 1997 at your facilities located at MacDonald-Cartier Airport. The purpose of this meeting is to introduce the audit team to company management, review the audit process and ensure that company personnel are familiar with Transport Canada's audit follow-up process and regulatory responsibilities.

Should you require any further information or clarification, please contact Inspector Terry Smith, the Audit Manager, at (416) 952-0002. An exit meeting is scheduled for 14:00 on Friday, June 20, 1997, at the company's facilities at MacDonald-Cartier Airport.

Yours truly,

R. Jonson
Convening Authority

Sample Entry Meeting Notes

Acknowledgements

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

Purpose

Explain the purpose of the meeting:

1. introduce the audit team members;
2. define the objective and scope of the audit;
3. define the methodology used during the audit; and
4. co-ordinate staff and facilities.

Introductions

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

Objective and Scope

The objective and scope of this audit is:

(a) to conduct an analysis of the policies, standards, procedures and facilities of _____ (company name) to ensure that delegated authorities and Transport Canada's legislative requirements are being met and that maximum effort is made to ensure flight safety; and

(b) to ensure compliance with the Aeronautics Act, CARs, CASS and company operations manual (COM).

Depth

The audit will

(a) encompass, but not be limited to, the functional audit areas identified, as covered by the appropriate audit checklists; and

(b) cover the period from _____ (date) to _____ (date).

Communications

The following communication protocols will be observed:

(a) initial communication in each audit area will be between the auditor for that area and the company official specified by _____ (company) as the contact for that area;

(b) where problems or questions arise, team members will advise me and I will contact _____(company representative); and

(c) if the company has a problem or questions, it is to contact the audit manager, who will meet daily with the team leaders to discuss the day's findings and address any questions.

Methodology

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

(a) interviews with personnel to discuss the areas of responsibility;

(b) the examination of records, such as those for training, CCP and flight documentation;

(c) in-flight inspections;

(d) aircraft inspections; and

(e) the review of manuals and directives.

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

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

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

If questions arise regarding potential or definite non-conformances:

(a) approach the company to determine whether we are interpreting the data correctly (there may occasionally be ambiguities);

(b) direct the company to provide missing data within a specific timeframe;

(c) where it is determined that our perception is correct, or where the company does not respond adequately to our queries within the specified timeframe, these items will be drawn up as audit findings;

(d) where it is determined that our interpretation of the data is correct and that flight safety is being jeopardized, the audit manager will approach the director of flight operations or designate to obtain the authorization to take appropriate action immediately; and

(e) should the need arise, the convening authority will be approached for further guidance on appropriate action.

(f) Queries regarding the audit should be addressed to the audit manager as well;

(g) Two things must be remembered:

a) all activities are to be conducted in a professional manner; this is not a witch hunt; and

b) CASS 722, 723,724 and 725 specify the minimum acceptable standards for an air operator.

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

Tour of Facilities

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

Exit Meeting

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

General

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

Question Period

A question period will follow.

Sample Sizes

Confidence Level of 95%
(Reliability of Sample Size ± 5%)

Population	Sample	Population	Sample
400	153	1 150	203
450	159	1 200	204
500	165	1 250	206
550	170	1 300	207
600	175	1 350	208
650	179	1 400	209
700	182	1 450	210
750	185	1 500	211
800	188	1 550	212
850	191	1 600	213
900	193	1 650	214
950	195	1 700	215
1 000	198	1 750	216
1 050	199	1 800	217
1 100	201	1 850	218

Reference Material Matrix

	Operations	Airworthiness	Licensing	Enforceable	Information
Aeronautics Act	3	3	3	3	
Canadian Aviation Regulations	3	3	3	3	
Commercial Air Service Standards	3	3	3	3	
Aircraft Equipment & Maintenance Standards	3	3	3	3	
Engineering & Inspection Manual		3		3	
Airworthiness Manual	3	3	3	3	
Company Operations Manual*	3	3		3	
Maintenance Control Manual		3	3	3	
Aircraft Flight Manual or Minimum Equipment List	3	3	3	3	
A/C Repair, Overhaul & Maintenance Manuals		3		3	
Aircraft Engine Propeller TA/TC		3		3	
Airworthiness Directives & Service Bulletins		3		3	
Transportation of Dangerous Goods Regulations	3			3	
Regulatory Compliance Procedures Manual	3	3	3		3
Aeronautical Information Publication	3	3	3		3
Manual of Regulatory Audits	3	3	3		3
Certification Manual	3	3			3
Air Carrier Inspector Manual	3	3			3
Company Check Pilot Manual	3				3
Policy Letters, Notices, Staff Instructions	3	3	3		
Maintenance Control Manual Guide		3			3
Applicable Federal Aviation Regulations (FARs)	3	3		3	
Cabin Safety Manual or Technical Directives.	3				3

* (Applicable Sections)

Company Manuals and Publications (Operations)

Publication	Latest Amendment
Company Operations Manual	
Training Manual	
Flight Attendant Manual	
Route Catalogue	
Minimum Equipment Lists	
Aircraft Flight Manual	
Aeronautics Act	
Canadian Aviation Regulations	
Commercial Air Service Standards	
Aircraft Equipment and Maintenance Standards	
LO/HE Charts	
Canada Air Pilot/Instrument Approach Procedure Charts	
AIP Canada	

Company Manuals and Publications (Airworthiness)

Publication	Latest Amendment
Aeronautics Act	
Canadian Aviation Regulations	
Commercial Air Service Standards	
Aircraft Equipment and Maintenance Standards	
Type Approvals	
Type Certificates	
Supplemental Type Approvals	
Supplemental Type Certificates	
Advisory Circular 43-13-1A and 2A	
Foreign Airworthiness Directives	
Manufacturers' Maintenance, Parts and Overhaul Manuals	
Manufacturers' Service Bulletins and Service Letters	
Maintenance Policy Manual	
Maintenance Control Manual	

Company Check Pilot Audit Summary

Name	Type	Aircraft	Last Monitored		

Training Records

Audit Summary Checklist

Company Name			Date		
Name of Pilot		Licence Number	Medical Valid To		
Crew Status	**Aircraft Type**	**PPC Valid To**			**Instrument Valid To**

Ground Training (Dates)

Initial or Recurrent Date			Time	Company Indoctrination			A/C Technical			Emergency Procedures			Servicing and Handling			Surface Contamination			CRM			MEL		

Initial Flight Training				Recurrent Flight Training				
Date			**A/C or Simulator Registration**	**Flight Time**	**Date**			**A/C or Simulator Registration**	**Flight Time**

Line Indoctrination					Line Check					Upgrade Training or CCP Monitoring				
Date			**A/C Registration**	**Flight Time**	**Date**			**A/C Registration**	**CCP/ DOT**	**Date**			**A/C Registration**	**Flight Time**

Training Form Checklist

	Area	Action
A-1	Company Name	This is self-explanatory.
A-2	Date	This is self-explanatory.
A-3	Pilot's Name	Ensure that the name on the licence is the same as that on the training file.
A-4	Licence Number	Copy the licence number and determine whether the licence is endorsed for the aircraft type and applicable for the crew position in accordance with the company operations manual.
A-5	Medical	Obtain a copy of the medical certificate on file and record the "Valid To" date.
A-6	Crew Status	Determine whether the individual in question is the captain or first officer.
A-7	Aircraft Type	List the types of aircraft for which the individual is certified. If he or she is certified on two types, put one at the top of the column and one halfway down so that the other required information will line up with the type
A-8	PPC Valid To	Obtain a copy of the PPC card on file, a copy of the last ride report on file for review, and a copy of the extension, if applicable
A-9	Instrument Valid To	Record this date from a copy of the licence. Obtain and review a copy of the last ride report on file. Obtain a copy of the extension, if applicable. Single-engine aircraft fall into instrument rating group III, while multi-engine aircraft fall into group I.
A-10	Initial or Recurrent	Record whether the training was initial or recurrent.
A-11	Date	Record the date of training. Determine whether the training was certified. Verify that the candidate was not flying on the dates in question.
A-12	Time	Verify that the actual training time was in accordance with that set out in the training manual.
A-13	Company Indoctrination	Record the dates of training. Verify that the candidate was not flying on the dates in question. Determine whether the initial training new hires received on the operations manual, weather, and so on was conducted in accordance with the company operations manual, and whether the required amount of time was spent and the training certified.
A-14	A/C Technical Training	Record the dates of training. Determine whether the training was certified. Note the type of aircraft. Ascertain whether the training was completed

	Area	Action
		annually. Verify that the candidate was not flying on the dates in question. Determine whether aircraft technical exams are kept on file and dated and whether they are marked.
A-15	Emergency Procedures Training (EPT)	Determine whether this training was done annually. Check for certification and exams on file. Ascertain whether procedures such as ditching and evacuation were taught in accordance with the company operations manual and CASS. If the training was conducted above 10 000 ft., determine whether procedures for dealing with a lack of oxygen were taught. Verify that EPT was done for each type of aircraft flown.
A-16	Aircraft Servicing and Handling	Record the dates of training. Ascertain whether the training was certified. Note the type of aircraft and determine whether training was completed yearly. Verify that the candidate was not flying on the dates in question.
A-17	Surface Contamination	Determine whether there is an exam on file and whether the training was certified and done annually.
A-18	CRM Training	Record the dates of training. Determine whether the training was certified. Note the type of aircraft. Ascertain whether the training was completed annually. Verify that the candidate was not flying on the dates in question.
A-19	MEL Training	Determine whether MEL training was provided, whether such training was certified and whether an exam was done.
A-20	Initial Flight Training	Record the dates and aircraft registration and time for cross-checking with the log books. Determine whether the training times were in accordance with the training manual. Verify that the training was not done on revenue flights. Determine whether the training was certified. If the training was performed in a simulator, ascertain whether there is authority for that simulator. Determine whether night training was done during the initial training.
A-21	Recurrent Flight Training	Record the dates and aircraft registration and time for cross-checking with the log books. Verify that the training times were in accordance with the training manual and that the training was not done on revenue flights. Determine whether the training was done every six months or annually, whether the training was certified and, if the training was done in a simulator, whether there was authority for that simulator. If the ride was done by the CCP, verify that he or she did not do the training.

	Area	Action
A-22	Line Indoctrination	Record the dates and aircraft registration and time for cross-checking with the log books. Verify that the training times were in accordance with the training manual. Determine whether there was compensation for landings and whether it was done correctly. Ascertain whether there was a CCP on board and verify that he or she had authority at that time. Verify that line indoctrination was done on each applicable aircraft and whether the line indoctrination was certified.
A-23	Line Check	Determine whether the line check was properly certified for the crew position. If candidate flew in both seats, two line checks are required. Determine whether the line check was done yearly and whether the CCP was valid.
A-24	Captain Upgrade	Determine whether the training was conducted in accordance with the training manual and whether it was certified.
A-25	CCP Monitor	Use the area for captain upgrade. Type A CCPs must be monitored annually. Instrument rides must be done by DOT.

Journey Log - Load Sheet Analysis

Air Operator					File	
Date		Base		Inspector		
Aircraft Type and Registration						
Journey Log Number						
Date (Year-Month-Day)						
Flight Number						
Crew (lb.)						
Passengers (lb.)						
Fuel and Oil (lb.)						
Baggage (lb.)						
Cargo (lb.)						
Operating Empty Weight (lb.)						
Log Book Take-off Weight (lb.)						
Calculated Take-off Weight (lb.)						
Difference of Line 12-11						
Certificated Gross Take-off Weight (lb.)						
Difference of Line 13-12						
Name of Captain						

Note: Complete the form as indicated above. The calculations will reveal whether an aircraft has been operated over gross according to the log book calculations. If the calculations for Line14 give a positive result, then the aircraft gross takeoff weight has not been exceeded. If the result is negative, then the opposite is true.

Inspector's Name and Signature

Date

Aircraft Inspection Report

For Operations/Airworthiness Inspector

1.Operator

Name and Address		
Inspection Location	**Date**	

2.Aircraft Registration and Certification

Aircraft Type	Registration	Registered Owner
Leased From	**Term** From To	

Fuel Capacity (lb.)	**Main or Normal**	**Auxiliary**	**Total**	Airplane Maximum Gross Weight

Airplane Certification	Helicopter Maximum Gross Weight	**Internal**	**External**
☐ VFR ☐ IFR ☐ Night			

Helicopter Certification

☐ VFR ☐ IFR ☐ Night ☐ Category A ☐ Vertical Category A

3.Aircraft Documentation

Certificate of Airworthiness		Category
Certificate of Registration	**Transferred**	Category
Flight Manual	Amendment Number	Supplements (Configuration)
Weight and Balance Configuration	Supplemental Type Certificate	Supplements (Configuration)

Radio Licence Valid To	**Aircraft Last Weight and Balance**	**Pitot-Static Test Date**

4.External Inspection

Airplane Certification

☐ Wheels ☐ Floats ☐ Skis

Helicopter Certification

☐ Wheels ☐ Floats ☐ Skis ☐ Emergency Floatation Equipment

Cargo Hook or Hoist Capacity		

External Lights

☐ Rotating Beam ☐ Strobes ☐ Navigation ☐ Landing ☐ Taxi ☐ Searchlight

5.Cabin

Maximum Number of Passengers	Number of Seats	☐ Flight Attendant Seat/Shoulder Harness ☐ Jumpseat ☐ Seatbelts ☐ Ash Trays
☐ Safety Features Card	☐ Equipment Decals	☐ Cabin Lights ☐ Exit Markings
☐ Exit Lighting	☐ Cabin Intercom	☐ Emergency Exit Markings
☐ Emergency Exit Lighting	☐ Exit/Emergency Exit Opening Instructions	
☐ Carry-on Baggage Restraints	☐ Equipment Restraints	

6.Flight Deck Instrumentation or Equipment

Flight Instruments	PIC	FO	Comments
ASI			
Press Altimeter			
Radar Altimeter			
Turn and Bank			
VSI or IVSI			
DG			
Gyro Compass			
RMI or HSI			
Attitude Indicator			
Flight Director			
☐ Third Gyro Horizon ☐ Power Source	**Aeroplane**	☐ Auto Pilot ☐ FMS	
Helicopter ☐ SAS ☐ AFCS ☐ Stab Aug ☐ Coupled			

Navigation Equipment

☐ Magnetic Compass	Swung	☐ DG	
☐ Power Source	Number	Swung	☐ Radar (Type)

6.Flight Deck Instrumentation or Equipment (Continued)

Navigation Systems - NumberξServiceable

ADF			VOR			ILS			MLS/GPS		
RNAV			VLF or Omega			Loran C			Marker Beacons		

Communication Systems - NumberξServiceable

VHF			HF			FM			Intercom			Transponders		

Other Equipment - NumberξServiceable

OAT			Clocks			Altitude Alert			FDR or CVR		
TCAS			Wipers			☐ Checklists			☐ Jumpseat		

☐ Flight Manual Placards	☐ Operations Manual	☐ Journey Log	☐ MEL	☐ ELT Placards

Anti-Icing or De-Icing Systems - NumberξServiceable

Pitot Heat			Alternate Static Source			Windshield			Engine		
Ice Detector			Propeller or Rotor			Wing or Tail					

7.Emergency Equipment

ELT Land				ELT Sea				Survival Equipment			
Rations				Life jackets				Life Rafts			
Life Raft Capacity Versus Maximum Number of Passengers Carried											
First Aid Kits				Fire Extinguishers				Flashlights			

8.Comments

Inspector's Signature

Date

Flight Inspection

☐ Flight Deck ☐ Cabin	Air Carrier	File Number 5258-

	Date	Flight No.	From	Pilot-In-Command	Aircraft & Identification	Dep	Arr	Flight Time
1.								
2.								
3.								
4.								
5.								

Type of Inspection

☐ Routine ☐ Route ☐ Aircraft ☐ Facilities ☐ Crew ☐ Equipment or Procedures

Inspector's Remarks, Recommendations and Follow-Up Action

- ☐ A. Flight Preparation
- ☐ B. Crew - Flight Deck and Cabin
- ☐ C. Operation of Flight
- ☐ D. Aircraft and Equipment
- ☐ E. Enroute Facilities
- ☐ A. Other Inspection Items not covered on list

Routing Instructions	
1.	
2.	
3.	

The above flights were conducted in a satisfactory manner, except as noted.

Date

Air Carrier Inspector (Print and Sign)

A. Flight Preparation	
1. Weather Briefing	☐
2. Dispatch	☐
a. Personnel Hours of Operation Operational Control	☐
b. Communication and Flight Watch	☐
c. Ground Communication	☐
d. Flight Planning Information	☐
e. NOTAMS	☐
3. Flight Planning	☐
a. Route Analysis	☐
b. Fuel Computations	☐
c. Alternates	☐
d. Weights and Allowances	☐
4. Weight and Balance Control	☐
5. Aircraft Servicing and Ramp Safety	☐
a. Fuelling Procedures	☐
b. Load Security	☐
c. Ground Equipment and Handling	☐
d. Aircraft Parking	☐
6. Pre-Flight Checks	☐
a. Arrival at Aircraft	☐
b. External Checks	☐
c. Cabin and Flight Deck	☐
d. Emergency Drills	☐

B. Crew Flight Deck and Cabin	
1. Reporting for Duty	☐
2. Minimum for Aircraft Type	☐
3. Licences	☐
4. Evidence of Competency	☐
5. Manuals and Equipment	☐
6. Crew Techniques	☐
7. Crew Management and Discipline	☐
8. Flight and Duty Times	☐
9. Rest Facilities	☐
10. Cabin Attendant Form	☐

Inspectors Comments

C. Operation of Flight	
1. Pre-Start Safety	☐
2. Starting Engine	☐
3. After Starting Checks	☐
4. Radio Procedures and ATC Clearance	☐
5. Pre-T/O Checks & Cabin Security	☐
6. Taxiing and Take-Off	☐
7. Departure Sequence	☐
a. Engine Handling	☐
b. ATC Procedures	☐
c. Noise Abatement	☐
d. Lookout	☐
e. After Take-Off Checks	☐
f. Radio Procedures	☐
8. Climb Procedures	☐
9. Cruise	☐
a. Enroute Communications	☐
b. Navigation Accuracy	☐
c. Altitude and Track	☐
d. Seatbelt Sign	☐
e. Management of Flight	☐
1. Power and Speed Control	☐
2. Fuel Management	☐
3. Weather Monitoring	☐
4. Turbulence Procedures	☐
5. Revision of Flight Plan	☐
10. Approach Procedures	☐
a. Organization of Approach	☐
b. Descent	☐
c. Final Facility Approach	☐
1. Preloading Check & Cabin Security	☐
2. Coupled Approaches	☐
3. Category I and III Approaches	☐
d. Landing and Taxiing	☐
11. Shutdown	☐
12. Use of Charts and Check Lists	☐
13. Fod - Fog	☐
14. Flight Logs and Records	☐
15. Snags - Recording and Clearing	☐
16. Weather Reporting	☐

D. Aircraft and Equipment	
1. "No Go" Items	☐
2. C of A and C of R	☐
3. Deferred Snags	☐
4. Maintenance Release	☐
5. Manuals and Log Books	☐
6. Engines - Function	☐
7. Systems - Function	☐
8. Instruments	☐
a. Minimum Required	☐
b. Function	☐
9. Radios - Naval and Communication	☐
a. Minimum Required	☐
b. Function	☐
10. Intercom and Public Address System	☐
11. Radar Transponder, Sextant, Dopler, Loran, Flight/Voice Recorder, Inertial Guidance	☐
12. Emergency	☐
a. Exits - Number, Access and Lighting	☐
b. Fire Extinguishers	☐
1. Number Required	☐
2. Weighed and Checked	☐
c. Fire Axe	☐
d. Oxygen	☐
e. First-Aid Kits	☐
f. Survival Equipment	☐
1. Minimum Required	☐
2. Last Inspected	☐
13. Seatbelts	☐
14. Souls on Board (including No. of Infants)	☐
15. Carry-On Baggage	☐
16. Passenger Cargo Configuration	☐

E. Enroute Facilities	
1. Company Communication & Flight Watch	☐
2. ATC - Coverage and Clearances	☐
3. Tower - Communication and Control	☐
4. Navigation and Approach Aids: VOR/DME-NDB--ILS Markers Radar-Loran C-INS- Omega-GPS-Other	☐
5. Airport - Approaches - Marking - Lighting Runways and Condition - Taxiways - Ramp/PAX Control	☐
6. Refuelling - Procedures and Facilities	☐

F. Other Inspection Items Not Covered	
1. Dangerous Goods	☐
2. Security	☐
3. PAX Briefing or Safety Features Card	☐

Aircraft Inspection Form - Cabin Safety

Air Carrier	Inspection Site	Date

Aircraft Type	Aircraft Registration	☐ Wheels	☐ Skis	☐ Floats	☐ Amphibious	☐ Flying Boat

Configuration

☐ Passenger ☐ Cargo ☐ Combi ☐ Other (Specify) _____

S Satisfactory **U** Unsatisfactory (Comments Required)* **NC** Not Checked **NA** Not Applicable

Aircraft Exterior

1. Exits Outlined		5. ELT Location Placarded	
2. Exit - Opening Instructions		6. Exterior Emergency Lights	
3. Slip-Resistant Route on Wing		7. Propeller Restraint or Fitting	
4. Escape Tape or Rope Fittings			

Aircraft Interior

8. Exit - Opening Instructions		39. First Aid Kits No.: Location:	
9. Exit Signs./Lights		40. Medical Kit/Resuscitator	
10. Floor-Proximity Lights/Emergency Lighting Switch		41. Life Vests - No.: Type:	
11. Exit Accessibility		42. Life Vest Stowage/Location	
12. Number of Passenger Seats		43. Fixed Oxygen System - Outlets	
13. Seat Movement - Forward/Aft/Side		44. Fixed Oxygen System - Mask Location	
14. Seat Recline/Fold-Forward Feature		45. First Aid Oxygen - Fixed/Portable	
15. Table Stowage - Seat Back		46. Portable Oxygen - Mask Location	
16. Table Stowage - Other		47. Portable Oxygen Bottle Location	
17. Ashtrays		48. Portable Oxygen with Full Face Mask	
18. Carry-On Baggage Restraints		49. Smoke Hood	
19. Passenger Seatbelts		50. Smoke Goggles/Fire-Resistant Gloves	
20. Seatbelt Extensions		51. Megaphones - No.	
21. Seatbelt Anchor - Floor or Seat		52. Crash Axe	
22. Shoulder Harness (Passenger)		53. ELT Type	
23. Access to Flight Deck		54. ELT Location	
24. F/A Jumpseat - Location/Type/View of Cabin		55. Lift Raft Type: Location:	
25. F/A Seatbelt - Shoulder Harness		56. Life Rafts - Capacity	
26. F/A Jumpseat - Exit Accessibility		57. Floatation Device	
27. Flashlights		58. Slides - Non-inflatable	
28. PA System		59. Slides - Inflatable	
29. Intercom System		60. Slides/Rafts	
30. Galley Equipment		61. Survival Kits - Content/Location	
31. Galley Switches/Circuit Breakers		62. Other Equipment - Specify:	
32. Galley Restraints/Latches/Weight Placards		63. All Equipment Restraints	
33. Safety Features Cards		64. All Equipment Placarding	
34. Lavatory/Ashtray Placards		65. Cargo/Closet Restraint/Weight Placards	
35. Lavatory Smoke Detector/Extinguisher		66. Overhead Bins - Weight Placards	
36. Fire Extinguishers - No. ____ Type _____		67. Ordinance Signs	
37. Fire Extinguishers - Location		68. Curtain Tiebacks	
38. Extinguisher Extensions/Fire Kits/Smoke Barriers			

Distribut	1.	2.	3.	PSIT

ion				
				Letter Sent? ☐ Yes ☐ No

All items noted as U - Unsatisfactory on the checklist require a comment.

Comments
Recommendations

Cabin Safety Inspections

File No.	Air Carrier	Flight No.	Aircraft	Registration
Airport of Inspection		**Date of Inspection (Y-M-D)**		Route

Delayed by Inspection		**Passenger Load**	**Crew**
☐ Yes	☐ All Passengers	☐ Full ☐ 75% ☐ 50%	Pilot-in-Command
☐ No	☐ Passengers/Freight	Base	Flight Attendant in Charge
Number of Flight Attendants	Qualified		Manuals Up to Date

☐ Pre-Flight Inspection ☐ In-Flight Inspection ☐ Scheduled ☐ Chartered

Checklist

[S] Satisfactory [U] Unsatisfactory [N] Not Checked [N] Not Applicable ☐ Video ☐ Live Demonstration

A. Cabin Inspection	S	U	NC	NA	C. Pre-Take-off	S	U	NC	NA
1. Doors, Chutes, Gauges, Canvas	☐	☐	☐	☐	1. Service During Demonstration/Video	☐	☐	☐	☐
2. Fire Extinguishers	☐	☐	☐	☐	2. Baggage Stowed	☐	☐	☐	☐
3. Portable Oxygen Bottles	☐	☐	☐	☐	3. No Smoking Times and Areas	☐	☐	☐	☐
4. Safety Features Card	☐	☐	☐	☐	4. Seatbelts - How/When to put them on	☐	☐	☐	☐
5. First-Aid Kits	☐	☐	☐	☐	5. Tables	☐	☐	☐	☐
6. Megaphones	☐	☐	☐	☐	6. Chair Backs	☐	☐	☐	☐
7. Life Jackets	☐	☐	☐	☐	7. Safety Features Cards	☐	☐	☐	☐
8. Life Rafts	☐	☐	☐	☐	8. Emergency Exit Location	☐	☐	☐	☐
9. Axe	☐	☐	☐	☐	9. Oxygen Location	☐	☐	☐	☐
10. Smoke Mask/Gloves	☐	☐	☐	☐	10. How to Activate Oxygen	☐	☐	☐	☐
11. Smoke Detectors	☐	☐	☐	☐	11. Place over Mouth and Nose	☐	☐	☐	☐
12. Seatbelt Extensions	☐	☐	☐	☐	12. Use of Head Strap	☐	☐	☐	☐
13. Radio Beacons	☐	☐	☐	☐	13. Use by Children	☐	☐	☐	☐
14. Window Exits	☐	☐	☐	☐	14. Refrain from Smoking	☐	☐	☐	☐
15. FA Station	☐	☐	☐	☐	15. Life Jacket Location	☐	☐	☐	☐
16. Passenger Seat	☐	☐	☐	☐	16. How to put on and adjust Life Jackets	☐	☐	☐	☐
17. No Smoking/Seatbelt Signs	☐	☐	☐	☐	17. When to inflate Life Jackets	☐	☐	☐	☐
18. Closet Placards	☐	☐	☐	☐	18. How to inflate Life Jackets normally	☐	☐	☐	☐
19. Closet Restraints	☐	☐	☐	☐	19. How to inflate Life Jackets orally	☐	☐	☐	☐
20. Magazine Restraints	☐	☐	☐	☐	20. How to activate light	☐	☐	☐	☐
21. Lavatory Placards	☐	☐	☐	☐	21. Visual Checks	☐	☐	☐	☐
22. Galley Equipment	☐	☐	☐	☐	22. Doors Armed	☐	☐	☐	☐
23. Demonstration Equipment	☐	☐	☐	☐	23. Notice of Take-Off	☐	☐	☐	☐
24. Cabin Log Books	☐	☐	☐	☐	24. F/A Seats Taken	☐	☐	☐	☐
25. PA System	☐	☐	☐	☐	25. F/A Silent Review	☐	☐	☐	☐

A. Cabin Inspection	S	U	NC	NA
26. Medical Kits	☐	☐	☐	☐
27. Resuscitators	☐	☐	☐	☐
28. Flashlights	☐	☐	☐	☐
29. Floor - Proximity Light	☐	☐	☐	☐
30. Crew Baggage Stowage	☐	☐	☐	☐
31. Carry-On Baggage Restraint	☐	☐	☐	☐
32. Fire Extinguisher for Washroom	☐	☐	☐	☐
33. Survival Kit	☐	☐	☐	☐
34. Exit Placards and Instructions	☐	☐	☐	☐
35. Emergency Briefing	☐	☐	☐	☐

B. Boarding/Cabin Baggage	S	U	NC	NA
1. F/A at Stations	☐	☐	☐	☐
2. Pre-Boarding Briefing	☐	☐	☐	☐
3. Pre-Boarding Seat Location	☐	☐	☐	☐
4. Service on the Ground	☐	☐	☐	☐
5. Carry-on Baggage	☐	☐	☐	☐
6. PA	☐	☐	☐	☐
7. Ramp Safety	☐	☐	☐	☐
8. Cabin Check	☐	☐	☐	☐
9.	☐	☐	☐	☐

C. Pre-Take-off	S	U	NC	NA
D. In-Flight	S	U	NC	NA
1. Seatbelt Announcement	☐	☐	☐	☐
2. Service with Seatbelt Sign On	☐	☐	☐	☐
3. Seatbelt/Turbulence Announcement	☐	☐	☐	☐
E. Top of Descent	S	U	NC	NA
1. Seatbelt Announcement	☐	☐	☐	☐
2. Service Continued/Stopped	☐	☐	☐	☐
3. Tables	☐	☐	☐	☐
4. Chair Backs	☐	☐	☐	☐
5. Baggage Stowed	☐	☐	☐	☐
6. No Smoking	☐	☐	☐	☐
7. Visual Checks	☐	☐	☐	☐
8. F/A Seats Taken	☐	☐	☐	☐
9. F/A Silent Review	☐	☐	☐	☐
F. After Landing	S	U	NC	NA
1. Announcements to Remain Seated	☐	☐	☐	☐
2. F/A at Stations	☐	☐	☐	☐
3. Did passengers remain seated until a/c stopped?	☐	☐	☐	☐
4. Doors Disarmed	☐	☐	☐	☐
5. F/A at Station During Deplaning	☐	☐	☐	☐

Comments

A1-35	Cabin Inspection
B1-8	Boarding/Cabin Baggage
C1-25	Pre-Takeoff
D1-3	In-Flight
E1-9	Top of Descent
F1-5	After Landing

Recommendations

AES
Book
Letter

Signature of Inspector **Region**

Distribution **1.** **2.** **3.**

Ramp Check

Inspector	Date	Location	AC Type/Flight No.	AC Registration

Company	Registered Owner

Pilot-In-Command	Licence Number	Type Endorsed	Medical Valid	PPC/Instrument

Co-Pilot	Licence Number	Type Endorsed	Medical Valid	PPC/Instrument

Flight Attendant or Purser	Name	Current
☐ Yes ☐ No		☐ Yes ☐ No

Aircraft Documentation

	On Board AC	Amendment Number	Amendment Date	On Board AC	Amendment Number	Amendment Date
Aircraft Flight Manual	☐ Yes ☐ No			☐ Yes ☐ No		
Cabin Attendant Log	☐ Yes ☐ No			☐ Yes ☐ No		
Certificate of Airworthiness	☐ Yes ☐ No			☐ Yes ☐ No		
Certificate of Registration	☐ Yes ☐ No			☐ Yes ☐ No		
Journey Log Book	☐ Yes ☐ No			☐ Yes ☐ No		
Minimum Equipment Lists	☐ Yes ☐ No			☐ Yes ☐ No		
Baggage Check (Tie Downs or Straps, Belts)						
Cabin Check (Seatbelts, Safety Feature Cards, Emergency Exit Signs, Placards and Opening Instructions, Carry-on Baggage Restraints, Galley Restraints, Closet Areas, Cargo Areas, Accessibility from Cabin)						
Emergency Equipment (First-Aid Kits, ELTs, Fire Extinguishers, Oxygen Cylinders, Life Vests, Life Rafts)						
Dangerous Goods	**Carried:** ☐ Yes ☐ No			**Authorized:** ☐ Yes ☐ No		

Notes

Follow-up Required

Inspector's Signature

Date

Audit Information Report Summary

Approved Maintenance Organization

Organization												File
Base												Region

Functions		10	9	8	7	6	5	4	3	2	1	N/A
1. Maintenance Control Manual		■	■									
2. Technical Publications/Library		■	■	■								
3. Personnel		■	■									
4. Maintenance Training Standards		■	■	■								
5. Technical Records		■	■									
6. Fuel/Defuel		■	■	■								
7. De-Icing Procedures/Equipment		■										
8. Service Difficulty Reporting		■	■	■								
9. Defect Control (Deferral/Rectification)		■	■									
10. Ramp Procedures		■	■									
11. Facilities General		■	■	■								
12. Sample Aircraft for Conformance												
13. Sub-Bases												
14. Company Quality Audits		■	■									
15. Airworthiness Control Committee		■	■	■								
16. Engineering		■	■	■								
17. Receiving Inspection		■	■	■	■							
18. Maintenance/Inspection Programs		■	■									
19. Reliability Program		■	■	■								
20. Support/Overhaul Shops		■										
21. Parts/Material Control		■	■									
22. Test/Measuring Equipment		■	■									
23. Maintenance Contracts		■	■	■								
24. ADs/Bulletin Compliance												
25. Corrosion Control/Aging Aircraft												
26. Non-Destructive Testing		■	■									
27. Weight and Balance Control		■	■									
28. Parts Borrowing/Pooling		■	■	■								
29. Other Specialized Work		■	■									
30. Licensing Certification Standards		■	■	■								
31. Certification of Components		■	■	■								
32. Ground Support Equipment		■	■	■								
33. Storage Facilities		■	■	■								
34. Flight Authorities		■										

Remarks

Audit Manager Date Regional Director, Airworthiness Date

Distribution: AARDFR, Ottawa, Ontario

Audit Information Report Summary

Air Carrier

Organization												File
Base												Region

Functions		10	9	8	7	6	5	4	3	2	1	N/A
1. Maintenance Control Manual												
2. Technical Publications												
3. Personnel												
4. Maintenance Training Standards												
5. Technical Records												
6. Fuel/Defuel/Fire Prevention												
7. De-Icing Procedures												
8. Mandatory Defect Reporting												
9. Defect Control (Deferral/Rectification)												
10. Ramp Procedures												
11. Facilities General												
12. Sample Aircraft for Conformance												
13. Sub-Bases												
14. Minimum Equipment Lists												
15. Category II/III Maintenance Programs												
16. Extended Twin Operations												
17. Maintenance Dispatch												
18. Test/Ferry Flight Procedures												
19. Enroute Inspections												

Remarks

Audit Manager _____ Date _____ Regional Director, Airworthiness _____ Date _____

Distribution: AARDFR, Ottawa, Ontario

Audit Information Report Summary

Approved Training Organization

Organization												File
Base												Region
Functions		**10**	**9**	**8**	**7**	**6**	**5**	**4**	**3**	**2**	**1**	**N/A**
1. Training Control Manual		■	■									
2. Quality Control		■										
3. Curriculum		■	■									
4. Record Keeping		■	■	■								
5. Attendance		■	■	■								
6. Examination		■	■									
7. Graduation Certificate		■	■	■	■							
8. Instructors		■	■									
9. Organization Chart		■	■	■	■							
10. Facilities (General)		■	■	■								
11. Prerequisites and Curriculum		■	■	■	■							
12. Equipment		■	■									
13. Facilities (Specific)		■	■	■								
14. Reference Material		■	■	■	■							
15. Class Size		■	■	■	■							
16. Advisory Committee		■	■	■								

Remarks

Audit Manager _____ Date _____ Regional Director, Airworthiness _____ Date _____

Distribution: AARDFR, Ottawa, Ontario

Audit Information Report Summary

Manufacturing

Organization												File
Base												Region

Functions		10	9	8	7	6	5	4	3	2	1	N/A
1. Quality Control Manual		■	■	■								
2. Bonding Process		■										
3. Cadmium Plating		■	■	■								
4. Chemical Milling of Aluminum Alloys		■	■	■								
5. Chem. Conversion Coatings for Alum Alodine		■	■	■								
6. Chronic/Sulphuric Acid Anodizing		■	■	■								
7. Copper Plating		■	■	■	■							
8. Dichromat Treatment		■	■	■								
9. HT: Aluminum Alloys (Air Furnace)		■	■									
10. HT: Aluminum Alloys (Salt Bath)		■	■									
11. Heat-Treatment: Steel		■										
12. Sulphuric Acid/Sodium Dichromat Etch		■	■	■								
13. Vapour Degreasing Specification		■	■	■								
14. Aluminum Brazing		■	■									
15. Fusion Welding		■	■									
16. Metallic Arc Welding		■	■									
17. TIG Shielded Arc Welding		■	■									
18. Certification/Qualification of NDT Personnel		■	■									
19. Eddy Current Inspection		■										
20. Liquid Penetrant Inspection		■										
21. Magnetic Particle Inspection		■										
22. Radiographic Inspection		■										
23. Ultrasonic Inspection		■										
24. NC Material Review Board		■	■	■								
25. Special Processes		■	■									
26. Sub-Contractor and Supplier Control		■	■	■	■							
27. Tool and Gauge Control		■	■	■								

Remarks

Audit Manager _____ Date _____ Regional Director, Airworthiness _____ Date _____

Distribution: AARDFR, Ottawa, Ontario

Audit Information Report Summary

Distributor

Organization											File	
Base											Region	
Functions		**10**	**9**	**8**	**7**	**6**	**5**	**4**	**3**	**2**	**1**	**N/A**
1. Product Control System manual												
2. Receiving Inspection												
3. Parts/Material Control												
4. Technical Records												
5. Recertification of Components												
6. Storage Facilities												
7. Facilities/General												

Remarks

Audit Manager Date Regional Director, Airworthiness Date

Distribution: AARDFR, Ottawa, Ontario

Audit Information Report Summary

Airworthiness Engineering/Design Approval Organization

Organization											File
Base											Region
Functions		**10**	**9**	**8**	**7**	**6**	**5**	**4**	**3**	**2**	**1**	**N/A**
1. Procedures Manual												
2. Technical Publications												
3. Personnel												
4. Records												
5. Quality Audits												

Remarks

Audit Manager Date Regional Director, Airworthiness Date

Distribution: AARDFR, Ottawa, Ontario

Transport Canada **Safety and Security** Transports Canada **Sécurité et sûreté**

Confirmation Request Form

CRF No.	Company Name
Name of Auditor	Area of Audit
Company Representative	Title

Subject Matter

Auditor's Signature _____ Date and Time _____

Company Response Required By: Date and Time

Company Response

Company Representative's Signature _____ Date and Time _____

For Transport Canada Use Only

☐ Company Response Accepted ☐ Company Response Reject Audit Finding: ☐ Yes ☐ No

Auditor's Signature _____ Date and Time _____

Confirmation Request Control Page

Number	Subject	Submitted By	Date Processed			Date Required			Date Returned		

Non-Conformance Evidence Log

Area of Audit	Audit Finding Number

Non-Conformance To

Evidence Obtained

Originals

Certified Copies Provided To	Certified By	Date

Certified Copies

Certified By	Date

Audit Finding Form

Transport Canada Transports Canada
Safety and Security **Sécurité et sûreté**

Company Name	Base Location	5258- File

Area of Audit: **No.**

Non-Conformance With:

Examples

Name and Signature of Auditor	Date

Company Corrective Action: Immediate, Short and/or Long Term

Signature/Title	Date

Transport Canada Response

OPI

Target Completion Date	Date Item Completed	Responsible Manager

Transport Canada Transports Canada
Safety and Security **Sécurité et sûreté**

Audit Finding Form

Page 2

No.

Examples (Continued)

Sample Exit Meeting Notes

Acknowledgements

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

Purpose

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

Audit Findings

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

Post-Audit

1. Explain the next stage of the audit.
2. Inform the attendees that the audit report will be completed in ten working days.
3. State that the company will have thirty working days to respond.
4. Explain that the audit team's role is to make a report, and that we will meet with the Convening authority and Regulatory Compliance for 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

Open

Sample Covering Letter for Large Combined Audit

Government of Canada **Gouvernement du Canada**

Toronto, Ontario
M5F 7J9

Registered 5258-1-23456

July 3, 1997

Mr. I. Stravinski
President, Acme Aero Limited
MacDonald-Cartier International Airport
Ottawa, Ontario K1P 5L6

Dear Mr. Stravinski:

Attached please find two copies of the Audit Report, together with an electronic copy of the Audit Findings. These come as a result of the regulatory audit of Acme Aero Limited which was conducted by Transport Canada (Civil Aviation) during the period June 9-20, 1997.

Audit Findings are related to the Canadian Aviation Regulations, associated standards, the Acme Aero Limited Company Operations and Maintenance Control Manuals, as well as the conditions and approvals found on the Acme Aero Limited Air Operator Certificate. Audit Findings require a written response from you and a follow-up from Transport Canada.

I request that the Audit Finding Forms which comprise part of this report be completed and returned to my office not later that August 18, 1997.

The co-operation extended to the audit team by you and your staff during the audit was appreciated.

Yours truly,

R. Jonson
Convening Authority

Attachments (3)

Sample Large Combined Audit Report

Part IGeneral

Company Overview

Acme Aero Limited is an aviation company which was formed in 1984. It offers both a scheduled and non-scheduled domestic air service from the main base at MacDonald-Cartier International Airport, with sub-bases in Toronto/Lester B. Pearson International Airport and Montreal International (Dorval).

Acme Aero Limited operates one PA31 and two amphibious DHC-2 aircraft from its main base, one HS-748 from each sub-base, plus one PA31 from the sub-base in Toronto.

The DHC-2 aircraft are used to support Call of the Wild Vacations, a subsidiary of Acme Aero Limited which operates three fly-in fishing camps in Quebec. The HS-748s offer a scheduled service between Toronto and Windsor, Ontario and between Montreal and Val D'Or, Quebec. The PA31s operate on a charter basis and are available for med-evac under a standing offer with the Ministry of Health for the Province of Ontario. The operator is transporting certain dangerous goods by air.

Aircraft maintenance is performed in-house at all three bases. There is a full-time staff of six Aircraft Maintenance Engineers, five apprentices and two technicians. The Aircraft Technical Records are kept at the main base in Ottawa.

The company has experienced steady growth and now employs nearly one hundred people. The company is currently in the process of adding two DA20 type aeroplanes which it intends to operate under contract to a major courier company.

Company Management

Name	Title	Telephone No.
I. Stravinski	President, Acme Aero Limited	(613) 974-2300
B. Mathers	Director, Flight Operations	(613) 974-2301
N. Schaffer	Chief Pilot	(613) 974-2302
C. Roberts	Safety Officer	(613) 974-2303
M. Tellier	Chief, Dispatch	(613) 974-2304
S. Lavallee	Director, Inflight Services	(613) 974-2305
J. Anderson	Director, Maintenance	(613) 974-2306
T. Baynes-Armstrong	Quality Assurance Manager	(613) 974-2307
D. McIntyre	Manager, Dangerous Goods	(613) 974-2308

Scope and Depth

The scope of the audit encompassed all activities that could affect the safe operation of the company, including, but not limited to:

(a) Airworthiness and related programs,
(b) flight operations and the operational control system,
(c) cabin safety,
(d) training, simulators and flight training devices, and
(e) the transportation of dangerous goods.

The audit covered the period from October 10, 1996 to June 20, 1997.

Approach

The audit of Acme Aero Limited was a combined audit (of both airworthiness and operations functional areas) and was conducted in accordance with the Manual of Regulatory Audits.

Aviation Enforcement

Audit Findings related to non-conformance with a regulatory requirement may result in Aviation Enforcement action being taken.

Corrective Action Plan

The company is required to submit a corrective action plan to Transport Canada within 30 working days of the receipt of this report. A nil or unsatisfactory response may result in the suspension of the Company Operating Certificate.

Audit Team

Name	Function/Specialty	Region	Telephone No.
R. Jonson	Covening Authority	Ontario	(416) 952-0001
T. Smith	Audit Manager	Ontario	(416) 952-0002
J. Reynolds	Team Leader, Operations	Ontario	(416) 952-0003
F. Lalonde	Team Leader, Airworthiness	Ontario	(416) 952-0004
K. McLean	Ops Team Member PA31 and DHC-2	Ontario	(416) 952-0005
V. Bruce	Ops Team Member, Cabin Safety	Ontario	(416) 952-0006
M. Michaels	Ops Team Member, HS-748	Ontario	(416) 952-0007
P. Gagnon	Ops Team Member, Dangerous Goods	Ontario	(416) 952-0008
D. Jacobson	Airworthiness Team Member	Ontario	(416) 952-0009
W. Preston	Airworthiness Team Member	Ontario	(416) 952-0010
S. Wallace	Airworthiness Team Member	Ontario	(416) 952-0011

Part IIExecutive Summary

Part IIIGeneral

Approved Maintenance Organization

3.5Scope of Approval

The company presently holds an approval for all non-specialized work of the Beech 100 series aircraft but does not have the Technical Library nor the tools required for this approval.

3.5.2Technical Publications/Library

Numerous technical and regulatory publications were either not available or not up to date.

3.5.3Personnel

The Quality Manager failed to carry out his duties as described in the Maintenance Control Manual and as a result a number of technical and regulatory publications were either not available or up to date and the training requirements have not been met.

3.5.4Maintenance Training

The company's training program has not followed the initial training requirements as mentioned in the Maintenance Control Manual. Also, the recurrent training records for some of the employees were missing.

3.5.5Technical Records

The Technical Records Clerk failed to transcribe all the pertinent entries and maintenance events to the appropriate Aircraft Technical Record and, on one occasion, the Conformity Certificate (24-0045) was neglected after the completion of a major repair to one of the company's aircraft.

3.5.9Defect Control (Deferral)

Company personnel are not entering all defects into the Aircraft Journey Log. Further to this, where defects did get entered into the journey log, they occasionally did not get rectified or deferred as per the procedures outlined in the Maintenance Control Manual. As a result, aircraft were flown with defects entered in the Aircraft Journey Log and no rectification being carried out.

3.5.12Sample Aircraft for Conformance

During the period of the audit all six company aircraft were inspected. Of these, four were found not to meet the conditions for the issuance of a Certificate of Airworthiness and the certificates were suspended.

3.5.18Maintenance Schedule

Two of the approved Maintenance schedules did not include inspection forms and/or lifted items.

3.5.21Control of Parts/Materiel

The company was not following the stores and quarantine procedures as specified in the Maintenance Control Manual.

3.5.24Airworthiness Directives/Service Bulletin Compliance

The Director of Maintenance failed to ensure the applicability of ADs on company aircraft. As a result, various ADs were either not carried out at their prescribed times, or improperly complied with.

Part IVOperational Functional Summaries

Operations Functional Areas

OP-2Air Operator Certificate and Operations Specification

The Air Operator Certificate shows a sub-base at Forde Lake (N123). This base was closed in November 1996 without the required notification to Transport Canada being made (reference AF OP-2)

OP-3Company Manuals

Revisions to meet the new regulatory requirements for the Company Operations Manual are generally complete. There are two areas that will need work to bring the manual to an acceptable standard; however, these are the PA31 pre-take-off passenger briefing procedure which is missing directives pertaining to emergency equipment, and the passenger briefing form for the DHC-2, which is missing (reference AF OP-3).

OP-7Flight Crew Training Program

The Flight Crew Training Program meets the required standard yet is not being followed for initial flight crew training wherein three pilots were allowed to complete their initial training without acquiring the required night experience (reference AF OP-7).

Pilot interviews revealed a weakness in knowledge on the location and operation of emergency equipment even though the required Emergency Procedures Training (EPT) was certified as being complete. This observation shall be brought to the attention of the Regional Manager Commercial and Business Aviation with the recommendation that the next EPT training be monitored by the principal operations inspector to ensure that the standard of training is acceptable.

OP-8Flight Crew Training Records

The training records of 22 pilots were reviewed and numerous errors and omissions were noted. Acme Aero was requested to provide documentation indicating that the recurrent technical and surface contamination training for three HS74 flight crew was in fact completed. The company

was unable to do so (reference AF OP-8-1 and OP-8-2). Further to this, company senior management was unaware that training had not been completed and that an extension had been granted by the TC Regional office.

OP-9Operational Control System

The transition to the Type B Operational Control System has been handled very well. Qualified flight dispatch personnel are now in place and are exercising the necessary procedures to meet the required regulatory requirements. The only weakness to the system is the lack of operational facsimile systems in Windsor and Val D'Or. This has led to flight crew departing these locations with Operational Flight Plans that have not been approved by the flight dispatcher (reference AF OP-9).

OP-14Cabin Safety

During the audit, ramp inspections were conducted at Toronto, Windsor, Montreal and Ottawa. With the exception of first aid kits not meeting the required standard for the PA31 and DHC-2 aircraft (reference AF OP-14), all items were found to be satisfactory. Two in-flight inspections were conducted on the HS74; these were satisfactory with all procedures contained in the Flight Attendant Manual being followed.

Appendix AAirworthiness Audit Findings

Appendix BOperations Audit Findings

Sample Small Combined Audit Report

Government of Canada / Gouvernement du Canada

Ottawa, Canada
K1A 0N8

Registered 5258-1-23456

January 31, 1995

Mr. A.C. Matthews
President
ABC Aviation
Hampton, N.B. E1C 8K6

Dear Mr. Matthews:

From January 16-21, 1995, ABC Aviation underwent a Transport Canada audit. The audit examined the company's operations and maintenance facilities to determine the degree of conformance to regulatory standards. The report consists of findings made during the audit. This process is intended to assist the auditee in identifying problem areas, implementing a corrective action plan to address immediate concerns, and modifying existing systems to prevent recurrence of the problems. The audit findings relate to compliance with Transport Canada legislation, delegated authorities and approved and/or accepted company manuals, and require a written reply by the company, which must include immediate, short- and/or long-term corrective action.

The audit examined the following areas [this may include just one specialist area]:

Airworthiness

(list the areas examined); and

Operations

(list the areas examined).

The audit was conducted in accordance with conventional audit practices pursuant to current legislation, in particular the Canadian Aviation Regulations and Commercial Air Service Standards

.../2

The audit revealed compliance in the following areas: (list the satisfactory areas and compliment where warranted).

The audit revealed deficiencies that require corrective action in the following areas: (list the subtitles of the areas and summarize the findings).

The audit revealed regulatory deficiencies that may result in Regulatory Compliance action: (list the areas and summarize the findings).

A copy of all of the audit findings is attached for your review and resolution. You are required to submit a corrective action plan, indicating target completion dates, within 30 working days of your receipt of this report.

Yours truly,

R. Jonson
Convening Authority

Attachment

Audit Report Distribution

National Audits

	Combined Audit	Specialist Audit (Operations)	Specialist Audit (Airworthiness)
CA	1	1	1
DGCA	1	1	1
DAC/DMM	1	N/A	1
DCBA	1	1	N/A
DGA	1	1	1
Auditee	2	2	2

Regional Audits

	Combined Audit	Specialist Audit (Operations)	Specialist Audit (Airworthiness)
CA	1	1	1
RDCA	1	1	1
RMCBA	1	1	N/A
RMA	1	N/A	N/A
RMAE	1	1	1
Auditee	2	1	1

Corrective Action Plan Tracking Forms

Operations

Functional Area		Audit Finding							
		1	2	3	4	5	6	7	8
OP-1	Previous Transport Canada Audits								
OP-2	Air Operator Certificate & Operations Specifications								
OP-3	Company Manuals								
OP-4	Publications Library								
OP-5	Management Personnel & Operations Coordination								
OP-6	Company Check Pilot Program								
OP-7	Flight Crew Training Program								
OP-8	Flight Crew Training Records								
OP-9	Operational Control System								
OP-10	Flight Documentation								
OP-11	Aircraft Inspection								
OP-12	Aircraft Documentation								
OP-13	Minimum Equipment List								
OP-14	Cabin Safety								
OP-15	Flight Attendant Training Program								
OP-16	Flight Attendant Training Records								
OP-17	Dangerous Goods								
OP-18	Flight Inspection and Route Check								
OP-19	Aircraft Performance & Operating Limitations								
OP-20	Flight Safety Program								
CAP Action Completed	Date	Initials							

U - CAP Under Development
A - CAP Approved
C -CAP Complete

Airworthiness

3.5Approved Maintenance Organization

	Functional Area	Audit Finding 1	2	3	4	5	6	7	8
3.5.1	Maintenance Control Manual (or MPM)								
3.5.2	Technical Publications Library								
3.5.3	Personnel								
3.5.4	Maintenance Training Standards								
3.5.5	Technical Records								
3.5.6	Fuelling/Defuelling								
3.5.7	De-Icing Procedures/Equipment								
3.5.8	Service Difficulty Reporting								
3.5.9	Defect Control (Deferral/ Rectification)								
3.5.10	Ramp Procedures								
3.5.11	Facilities General								
3.5.12	Sample Aircraft for Conformance								
3.5.13	Sub-Bases								
3.5.14	Company Quality Audits								
3.5.15	Airworthiness Control Committee								
3.5.16	Engineering								
3.5.17	Receiving Inspections								
3.5.18	Maintenance/Inspection Programs								
3.5.19	Reliability Program								
3.5.20	Support/Overhaul Shops								
3.5.21	Control of Parts/Material								
3.5.22	Testing/Measuring Equipment								
3.5.23	Maintenance Contracts								
3.5.24	ADs/Bulletin Compliance								
3.5.25	Corrosion Control/Aging Aircraft								
3.5.26	Non-Destructive Testing								
3.5.27	Weight and Balance Control								
3.5.28	Borrowing/Pooling of Parts								
3.5.29	Certification of Components								
3.5.30	Storage Facilities								
3.5.31	Flight Authority								
CAP Action Completed	Date	Initials							

U - CAP Under Development
A - CAP Approved
C -CAP Complete

Airworthiness

3.6Air Operator

Functional Area		Audit Finding 1	2	3	4	5	6	7	8
3.6.1.	General								
3.6.2.	MELs/CDLs/Deferred Maintenance Procedures								
3.6.3.	Category II/III Maintenance Program								
3.6.4.	Extended Twin Operations (ETOPS)								
3.6.5.	Maintenance Program								
3.6.6.	Maintenance Test and Ferry Flights								
3.6.7.	Enroute Inspection								
CAP Action Completed	Date	Initials							

3.7Approved Training Organizations

Functional Area		Audit Finding 1	2	3	4	5	6	7	8
3.7.1	Common Requirements								
3.7.2	Basic Training Requirements								
3.7.3	Type Training Requirements								
CAP Action Completed	Date	Initials							

U - CAP Under Development
A - CAP Approved
C -CAP Complete

Airworthiness

3.8Manufacturing Processes

Functional Area		Audit Finding							
		1	2	3	4	5	6	7	8
3.8.1	Quality Program Manual (QPM)								
3.8.2	Bonding Process								
3.8.3	Cadmium Plating								
3.8.4	Chemical Milling of Aluminum Alloys								
3.8.5	Chemical Conversion Coatings for Aluminum Alodine								
3.8.6	Chromic/Sulphuric Acid Anodizing of Aluminum								
3.8.7	Copper Plating								
3.8.8	Dichromate Treatment of Magnesium Alloys								
3.8.9	Heat Treatment of Aluminum Alloys (Air Furnace)								
3.8.10	Heat Treatment of Aluminum Alloys (Salt Bath)								
3.8.11	Heat Treatment of Steel								
3.8.12	Sulphuric Acid/Sodium Dichromate Etch								
3.8.13	Vapour Degreasing Specification Materials								
3.8.14	Aluminum Brazing (Dip Brazing)								
3.8.15	Fusion Welding								
3.8.16	Metallic Arc Welding								
3.8.17	Tungsten Inert Gas (TIG) Shielded-Arc Welding								
3.8.18	Certification/Qualification of NDT Personnel								
3.8.19	Eddy Current Inspection								
3.8.20	Liquid Penetrant Inspection								
3.8.21	Magnetic Particle Inspection								
3.8.22	Radiographic Inspection								
3.8.23	Ultrasonic Inspection								
3.8.24	Non-Conforming Material Review Board (MRB)								
3.8.25	Special Purposes								
3.8.26	Sub-Contractor and Supplier Control								
3.8.27	Tool and Gauge Control								
CAP Action Completed	Date	Initials							

U - CAP Under Development
A - CAP Approved
C -CAP Complete

Airworthiness

3.9Distributors

Functional Area		Audit Finding 1	2	3	4	5	6	7	8
3.9.1	Production Control System Manual (PCSM)								
3.9.2	Receiving Inspection								
3.9.3	Control of Parts/Material								
3.9.4	Technical Records								
3.9.5	Recertification of Components								
3.9.6	Storage Facilities								
3.9.7	Facilities								
CAP Action Completed	Date	Initials							

3.10Airworthiness Engineering Organization

Functional Area		Audit Finding 1	2	3	4	5	6	7	8
3.10.1	Engineering Procedures and Design Approval Manuals								
3.10.2	Technical Publications/Library								
3.10.3	Personnel								
3.10.4	Records								
3.10.5	Quality Audits								
3.10.6	Data Review								
CAP Action Completed	Date	Initials							

U - CAP Under Development
A - CAP Approved
C -CAP Complete

Airworthiness

3.11Design Approval Organizations

See 3.10 Airworthiness Engineering Organization

3.12Delegated Authorities

Functional Area		Audit Finding							
		1	2	3	4	5	6	7	8
3.12.1 Airworthiness Inspection Representative (AIR)									
3.12.2 Design Approval Representatives (DARs)									
CAP Action Completed	Date	Initials							

U - CAP Under Development
A - CAP Approved
C -CAP Complete

Airworthiness

3.13Avionics (AMOs and Manufacturers)

Functional Area		Audit Finding							
		1	2	3	4	5	6	7	8
3.13.1	Maintenance Policy Manual (MPM)								
3.13.2	Engineering - Design, Development and Review								
3.13.3	Personnel								
3.13.4	Technical Data Control								
3.13.5	Control of Parts/Material								
3.13.6	Receiving Inspections								
3.13.7	Sub-Contracting and Supplier Control								
3.13.8	Testing								
3.13.9	Sample Units for Conformance								
3.13.10	Sample Aircraft for Conformance (if applicable)								
3.13.11	Storage/Quarantine								
3.13.12	Inspection Records								
3.13.13	Workshop - General								
3.13.14	Battery Shop Lead/Acid CAA EEL/1-1								
3.13.15	Battery Shop Nicad CAA EEL/1-3								
3.13.16	Shipping								
3.13.17	Technical Publications Library								
3.13.18	Software Quality Assurance (SQA)								
3.13.19	Electrostatic Sensitive Device (ESD)								
3.13.20	Testing and Measuring Equipment/Special Tools								
3.13.21	Mandatory Reporting of Defects								
3.13.22	Technical Training Standards								
3.13.23	Company Quality Audits								
3.13.24	ADs/Service Bulletins Compliance								
CAP Action Completed	Date	Initials							

U - CAP Under Development
A - CAP Approved
C -CAP Complete

Sample Notice of Release from Audit - Team Member

Government of Canada / Gouvernement du Canada

Memorandum **Note De Service**

To / À Team Member
Airworthiness or Operations

From / de T. Smith
Audit Manager

Subject / Objet **Acme Aero Limited Audit - Release from Audit**

Security Classification de sécurité
Unclassified

Our File - Notre référence
AARX 5258-23456-13

Your File - Votre référence

Date
June 25, 1997

I would like to take this opportunity to thank you for your participation in the audit of Acme Aero Limited. Your co-operation and efforts have been greatly appreciated.

Since the physical audit of Acme Aero Limited is now complete, you are released from your responsibilities as an audit team member.

Thank you once again,

T. Smith
Audit Manager

Sample Letter to Company - Audit Close-Out

Government of Canada / Gouvernement du Canada

Ottawa, Canada
K1A 0N8

5258-1-23456

January 28, 1998

Mr. I. Stravinski
President, Acme Aero Limited
MacDonald-Cartier International Airport
Ottawa, Ontario K1P 5L6

Dear Mr. Stravinski:

Attached are the final Transport Canada responses to the audit findings from the combined audit of your company in June 1997. As all corrective action regarding the findings has been taken, the audit is now closed.

I would like to take this opportunity to thank you and your staff for your co-operation during this process.

Yours truly,

R. Jonson
Convening Authority

Attachments (2)

Sample Parallel Report

Part IObservations, Comments, Recommendations

Audit Executive

Due to the heavy workload on Regional inspectors, the audit manager and team leaders were not given sufficient time to prepare for the audit. Much of the preparatory work had to be completed during the pre-audit phase and indeed during the physical audit itself. This resulted in the need to make numerous changes to the audit plan which detracted from the overall professional conduct of the audit.

Recommendation: The audit management team should be given sufficient time to plan for audits well in advance of the actual audit dates.

Administrative Support

No administrative support was available to the audit team during this audit. Much overtime was required by audit team members simply to prepare audit report materials and correspondence with the auditee. These tasks could be handled much more efficiently by administrative support at a considerably lower cost.

Recommendation: All audits should have access to administrative support. Audits of larger organizations and especially combined audits, should have a support person assigned to the audit team during the full audit period.

Part IIExecutive Summary of Parallel Findings

In addition to the points raised in Part I which detracted considerably from the professional conduct of this audit, the Region was found to be functioning contrary to established policy for the certification of an air operator in the areas of OP-2, Operating Certificate and Operations Specifications, OP-3, Company Manuals and AW-3.5, Pre-audit Activities-Certificate of Approval.. Two of the three findings are primarily administrative in nature, however, the OP-3 finding has safety implications and will require immediate corrective action.

OP-2Operating Certificate and Operations Specifications

Acme Aero Limited has been approved for the operation of HS74 aircraft into a number of bases that cannot accommodate this type of aircraft. This approval was granted when the operating certificate was renewed following implementation of the CARs.

OP-3Company Manuals

The company's HS74 Training Manual states that the six month recurrent circling approach requirement in the PPC need only be completed annually. This is contrary to the regulatory requirement for operators who are approved for circling minima below 1000 foot ceiling and three mile ground visibility.

OP-7Flight Crew Training Program

Pilot interviews revealed a weakness in knowledge on the location and operation of emergency equipment even though the required Emergency Procedures Training (EPT) was certified as being complete. It is recommended to the Regional Manager Commercial and Business Aviation that the next EPT training be monitored by the principal operations inspector to ensure that the standard of training is acceptable

AW-3.5Pre-audit Activities-Certificate of Approval

The company was issued the authority for non-specialized maintenance of Beech A-100 series aircraft during the initial stages of AMO approval. The company has not and does not intend to maintain this type of aircraft. Further to this, the authority was granted while the necessary manuals and support equipment were not available as required for such certification.

Part IIIParallel Report Findings

(Attached)

Transport CanadaTransports Canada
Safety and SecuritySécurité et sûreté

Parallel Finding Form

Acme Aero Limited	June 9-20, 1997
Company Name	**Date of Audit**

Area of Audit: OP-2 Operating Certificate and Operations Specifications **No.** OP-2-1

Description of Finding

Acme Aero Limited's Air Operator Certificate No. 23456, Part IV lists bases authorized for use by each aircraft type. These bases do not correctly represent the company operation as a number of bases are not suitable for all aircraft types.

Examples

1. Forde Lake (N123) and Lovell Cove Airport (N321) are not suitable for use by HS74 aeroplanes.
2. Forde Lake (N123) is not suitable for use by PA31 aeroplanes.

M. Michaels	June 27, 1997
Name/Signature of Auditor	**Date**

OPI's Response or Corrective Action Plan

Name/Title/Signature	**Date**

Convening Authority's Response

Name/Title/Signature	Date

Target Completion Date	Date Item Completed	Responsible Manager

Transport Canada / Transports Canada
Safety and Security / Sécurité et sûreté

Parallel Finding Form

Acme Aero Limited	June 9-20, 1997
Company Name	**Date of Audit**

Area of Audit: Pre-Audit Activities - Certificate of Approval **No.** AW-3.5-1

Description of Finding

The Air Operator was given authority for non-specialized maintenance of Beech A-100 series aircraft during the initial stages of the AMO approval.

Examples

The Air Operator does not operate or maintain BE-100 type aircraft. They do not have the equipment or manuals required to maintain this type of aircraft.

W. Preston	June 27, 1997
Name/Signature of Auditor	**Date**

OPI's Response or Corrective Action Plan

Name/Title/Signature	**Date**

Convening Authority's Response

Name/Title/Signature	**Date**

Target Completion Date	Date Item Completed	Responsible Manager

Transport Canada / Transports Canada
Safety and Security / Sécurité et sûreté

Parallel Finding Form

Acme Aero Limited	June 9-20, 1997
Company Name	**Date of Audit**

Area of Audit: OP-3 Company Manuals **No.** OP-3-1

Description of Finding

Acme Aero Limited's HS74 Training Manual, page 12, states that a circling approach will be conducted as part of the annual line check in lieu of the six-month PPC requirement.

Examples

M. Michaels	June 27, 1997
Name/Signature of Auditor	**Date**

OPI's Response or Corrective Action Plan

Name/Title/Signature	**Date**

Convening Authority's Response

Name/Title/Signature	**Date**

Target Completion Date	Date Item Completed	Responsible Manager

Appendices

1. Sample Audit Plan for ABC Airlines
2. Sample Letter of Audit Notice to Company
3. Sample Entry Meeting Notes
4. Sample Sizes
5. Confirmation Request Form
6. Audit Finding Form
7. Sample Exit Meeting Notes
8. Sample Covering Letter for an Audit
9. Sample Audit Report
10. Sample Letter to Company - Audit Close-Out
11. Sample Parallel Report

Sample Audit Plan for ABC Airlines

Objective

A routine conformance audit will be conducted on ABC Airlines during the period of August 17 - 21, 1998.

Company - General

ABC is an aviation company formed in 1958. It offers both a scheduled and non-scheduled domestic and international air service from the main base at _____ International Airport, with sub-bases in _____.

ABC operates two A310, 8 HS748 and one DHC-6 aircraft from its main base, and some HS748 from the sub-base.

Aircraft maintenance is performed in-house at all bases. There is a full-time staff of ..... Aircraft Maintenance Technicians, ... apprentices and ..... technicians. The Aircraft Technical Records are kept at the main base at the ABC hanger.

Scope and Depth

The scope of the audit will encompass all activities that could affect the safe operation of the company, including, but not limited to:

(a) Airworthiness and related programs,
(b) flight operations and the operational control system,
(c) cabin safety,
(d) training and flight training devices, and
(e) the transportation of dangerous goods.

The audit will cover the period from August , 1997 to the present.

Approach

The audit of ABC will be a combined audit (of both airworthiness and operations functional areas) and will be conducted in accordance with standard auditing practices.

Audit Team

Name	Function/Specialty	Telephone No.
S. K. Singh	Covening Authority	123456

A.P. Shah	Audit Manager	444321
Capt. P. Hussin	Team Leader, Operations	490642
U.B. Singh	Team Leader, Airworthiness	990895
Capt. R. Nagpal	Ops Team Member	9876542
Capt. P Smith	Ops Team Member	654642
L.K. Joshi	Ops Team Member	876642
T.M. Dogra	Ops Team Member	490642
G.R. Kapur	Ops Team Member	262416
B.K. Gautam	Airworthiness Team Member	232098
R. Saeed	Airworthiness Team Member	348675
B.R. Kasa	Airworthiness Team Member	548765
Capt. John Doe	Advisor	324219

Company Management

Name	Title	Telephone No.
Mr. R.R. Shrestha	Managing Director	
Capt. S. Rao	Director, Flight Operations	
Capt. V.K. Anwar	Chief Pilot A310	
Capt. S.B. Casey	Chief Pilot DHC-6	
Capt. Y.K. Forkan	Chief Pilot HS-748	
Capt. K. Lama	Safety Officer	
Mr. O.R. Hussain	Manager, Inflight Services	
Mr. M.D. Senaratne	Director, Engineering	
Mr. V.M. Saud	Director, Quality Assurance	

Airworthiness Audit Plan

Legend

SPA
UBS
BKG
RS
BRS

					Pre-Audit - August 13-14, 1998					
					13	**14**				
					Pre-Audit Team Meeting	All	**All**			
					Physical Audit - August 17-21, 1998					
					17	**18**	**19**	**20**	**21**	

Administrative		**Ongoing**
Entry Meeting		All
3.5.1	Maintenance Control Manual	All
3.5.2	Technical Publications/Library	BKG/RS/BRS
3.5.3	Personnel	BKG/RS
3.5.4	Maintenance Training	RS/BRS
3.5.5	Technical Records	BKG/RS
3.5.6	Fuelling/Defuelling	BKG/RS
3.5.7	De-Icing Procedures/Equipment	BKG/RS
3.5.8	Service Difficulty Reporting	BKG/RS/BRS
3.5.9	Defect Control (Deferral)	BKG
3.5.10	Ramp Procedures	RS/BRS
3.5.11	Facilities/General	All
3.5.12	Sample Aircraft for Conformance	BKG/BRS/RS
3.5.13	Sub-Bases	BRS/RS
3.5.14	Company Quality Audits	RS/BRS
3.5.15	Airworthiness Control Committee	All
3.5.16	Engineering	All
3.5.17	Receiving Inspections	RS/BRS
3.5.18	Maintenance Schedule	Ongoing
3.5.19	Reliability/Maintenance Dvlpmt Prgms	RS
3.5.20	Support/Overhaul Shops	BRS
3.5.21	Control of Parts/Material	BKG
3.5.22	Test/Measuring Equipment	Ongoing
3.5.23	Maintenance Contracts	Ongoing
3.5.24	ADs/SBs Bulletin Compliance	All
3.5.25	Corrosion Control/Aging Aircraft	BKG/RS/BRS
3.5.26	Non-Destructive Testing	BKG
3.5.27	Weight and Balance Control	RS
3.5.28	Borrowing/Pooling of Parts	BRS
3.5.29	Certification of Components	BKG/RS/BRS

3.5.30	Storage Facilities	All
3.5.31	Flight Authority	All
3.6.16	Extended Twin Operations (ETOPS)	All
3.6.19	Enroute Inspection	All

Operations Audit Plan

		Pre-Audit - August 13 -14, 1998				
		13	14			
OP-01	Previous Audit					
OP-02	Air Operator Certificate and Operations Specifications		**All***			
OP-03	Company Manuals		**All***			
OP-05	Management Personnel and Operations Coordination		**All***			
OP-06	Company Check Pilot Program		**All ***	**All***	**All***	**All***
OP-07	Flight Crew Training Program		**All ***	**All***	**All***	**All***
OP-12	Aircraft Documentation		**All***	**All***	**All***	**All***
OP-13	Minimum Equipment List		**All***	**All***	**All***	**All***
OP-14	Cabin Safety					
OP-15	Flight Attendant Training Program					
OP-17	Dangerous Goods					

		Physical Audit - August 17-21, 1998							
		17	18	19	20	21			
OP-02	Air Operator Certificate and Ops Specifications	ALL							
OP-03	Company Manuals	ALL							
OP-05	Mgmt Personnel and Operations Coordination	SBS/PPG/TMM							
OP-06	Company Check Pilot Program	RK/PPG							
OP-07	Flight Crew Training Program	RK/PPG							
OP-08	Flight Crew Training Records	RK/PPG							
OP-09	Operational Control System	RK/PPG/MMJ							
OP-10	Flight Documentation	SBS/RK/PPG							
OP-11	Aircraft Inspection	SBS/RK/PPG							
OP-12	Aircraft Documentation	SBS/MMJ							
OP-13	Minimum Equipment Lists	SBS/RK/PPG							
OP-14	Cabin Safety	GRA/RK							
OP-15	Flight Attendant Training Program	SBS/GRA/MMJ							
OP-16	Flight Attendant Training Records	SBS/GRA/MMJ							

		Physical Audit - August 17-21, 1998
OP-17	Dangerous Goods	GRA/PPG/TMM
OP-18	Flight Inspection and Route Check	RK/PPG
OP-19	Aircraft Performance and Operating Limitations	SBS/MMJ/TMM
OP-20	Flight Safety Program	PPG/MMJ
OP-21	Simulator	RK/PPG
Exit Meeting (OPS and AW Team		
SBS/UBS		

Legend: SBS - S.B. Shrestha RK - R. Kansakar PG - P Ghimire GRA - G.R. Acharya
MMJ – M.M. Joshi TMM – T.M. Malla

Company Information

Personnel

ABC Airlines has a total staff of …….. people. The operational breakdown is as follows:

Pilots .....
Flight Attendants .....
AMTs .....
Apprentice AMTs .....
Technical Assistants .....

Bases

Main Base	XYZ International Airport
Sub-Base	QRS

Maintenance Bases

Main Base	XYZ
Sub-Base	QRS

Ramp Inspection

XYZ (International and Domestic)

Company Aircraft

9N-AAV - HS-748
9N-ABB
9N-ABM"
9N-ABO"
9N-ABP"
9N-ABQ"
9N-ABT"
9N-ABU"
9N-ABX"
9N-ACA - B757
9N-ACB - B757
9N-ABK – PC6 (Lease Contract)

Team Member Information

Communications

Discussions of a "sensitive nature" shall take place at a location that assures confidentiality; this is especially true when discussions take place on ABC's premises. Do not discuss the audit with ABC's employees. Refer any company questions to the Audit Manager through the company representative. Contact the appropriate Team Leader or the Audit Manager prior to taking any immediate action such as grounding or detaining aircraft.

Note: The audit manager or team leader will cover this point in greater detail during the pre-audit meeting.

Methodology

Standard audit procedures will be used. In every case, we are trying to determine ABCs level of conformance to regulations and standards.

Where ABC appears not to be performing in accordance with the appropriate regulations, associated standards, directives or approved Company manual, they are said to be in non-conformance. Where we determine through our review that everything appears to be in order, we complete the functional summary for that area and go on to the next functional area that we are responsible for.

Areas of Non-Conformance

The following steps must be followed:

(a) define the area of possible non-conformance

(b) retain any clearly defined evidence

(c) prepare Conformation Request Form(CRF) (if necessary) and present to Team Leader for vetting and discussion

(d) complete the audit finding form (include 3 examples if possible) and attach any evidence that is collected

(e) complete the functional summary for the applicable functional area, and

(f) pass all documentation (audit finding form, CRF, evidence, functional summary) to the appropriate Team Leader.

Sample Letter of Audit Notice to Company

Managing Director,
ABC Airlines

Dear Sir;

A comprehensive regulatory audit of ABC Airlines Corporation is scheduled for the period August 17 - 21 , 1998. This audit will include the main facility at _____ Airport as well as the facilities at _____ airport.

The objective of this audit is to conduct an analysis of ABC's policies and procedures to ensure that legislative requirements are met and an acceptable level of aviation safety is maintained. Standard audit procedures will be used, including interviews with key personnel, facility inspections and a review of your company's approved programs and manuals. Attached you will find details of our audit plan which includes a list of audit team members and their areas of responsibility.

An entry meeting is scheduled with your management personnel at 10:30 Monday morning, August 17, 1998, at your facilities located at _____. The purpose of this meeting is to introduce the audit team to company management, review the audit process and ensure that company personnel are familiar with the Civil Aviation's audit follow-up process and regulatory responsibilities.

Should you require any further information or clarification, please contact _____. An exit meeting is scheduled for 14:00 on Friday, August 21, 1998, at the company's facilities at _____.

You are requested to arrange personnel and to provide necessary documents, records, manuals and information as and when requested by the safety audit team.

Yours truly,

Director General
Department of Civil Aviation

Sample Entry Meeting Notes

Acknowledgements

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

Purpose

Explain the purpose of the meeting:

1. introduce the audit team members;
2. define the objective and scope of the audit;
3. define the methodology used during the audit; and
4. co-ordinate staff and facilities.

Introductions

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

Objective and Scope

The objective and scope of this audit is:

(a) to conduct an analysis of the policies, standards, procedures and facilities of _____ (company name) to ensure that delegated authorities and the Civil Aviation's legislative requirements are being met and that maximum effort is made to ensure flight safety; and

(b) to ensure compliance with the Act, regulations, standards and company operations manual (COM).

Depth

The audit will

(a) encompass, but not be limited to, the functional audit areas identified, as covered by the appropriate audit checklists; and

(b) cover the period from _____ (date) to _____ (date).

Communications

The following communication protocols will be observed:

(a) initial communication in each audit area will be between the auditor for that area and the company official specified by _____ (company) as the contact for that area;

(b) where problems or questions arise, team members will advise me and I will contact _____(company representative); and

(c) if the company has a problem or questions, it is to contact the audit manager, who will meet daily with the team leaders to discuss the day's findings and address any questions.

Methodology

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

(a) interviews with personnel to discuss the areas of responsibility;

(b) the examination of records, such as those for training, CCP and flight documentation;

(c) in-flight inspections;

(d) aircraft inspections; and

(e) the review of manuals and directives.

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

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

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

If questions arise regarding potential or definite non-conformances:

(a) approach the company to determine whether we are interpreting the data correctly (there may occasionally be ambiguities);

(b) direct the company to provide missing data within a specific timeframe;

(c) where it is determined that our perception is correct, or where the company does not respond adequately to our queries within the specified timeframe, these items will be drawn up as audit findings;

(d) where it is determined that our interpretation of the data is correct and that flight safety is being jeopardized, the audit manager will approach the director of flight operations or designate to obtain the authorization to take appropriate action immediately; and

(e) should the need arise, the convening authority will be approached for further guidance on appropriate action.

(f) Queries regarding the audit should be addressed to the audit manager as well;

(g) Two things must be remembered:

a) all activities are to be conducted in a professional manner; and

b) Civil Aviation regulations and standards specify the minimum acceptable standards for an air operator.

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

Tour of Facilities

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

Exit Meeting

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

General

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

Question Period

A question period will follow.

Sample Sizes

Confidence Level of 95%
(Reliability of Sample Size ± 5%)

Population	Sample	Population	Sample
400	153	1 150	203
450	159	1 200	204
500	165	1 250	206
550	170	1 300	207
600	175	1 350	208
650	179	1 400	209
700	182	1 450	210
750	185	1 500	211
800	188	1 550	212
850	191	1 600	213
900	193	1 650	214
950	195	1 700	215
1 000	198	1 750	216
1 050	199	1 800	217
1 100	201	1 850	218

Confirmation Request Form

CRF No.	Company Name
Name of Auditor	Area of Audit
Company Representative	Title

Subject Matter

Auditor's Signature Date and Time

Company Response Required By:	Date and Time

Company Response

Company Representative's Signature Date and Time

For Inspector Use Only

☐ Company Response Accepted ☐ Company Response Reject Audit Finding: ☐ Yes ☐ No

Auditor's Signature | Date and Time

Audit Finding Form

ABC Airlines	XYZ	
Company Name	**Base Location**	**File**

Area of Audit: **No.**

Non-Conformance With:

Examples

Name and Signature of Auditor **Date**

Company Corrective Action: Immediate, Short and/or Long Term

Signature/Title **Date**

Department of Civil Aviation Response

Audit Follow up

Target Completion Date		**Date Item Completed**		**Inspector**

No.

Examples (Continued)

Sample Exit Meeting Notes

Acknowledgements

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

Purpose

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

Audit Findings

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

Post-Audit

1. Explain the next stage of the audit.
2. Inform the attendees that the audit report will be completed in twenty working days.
3. State that the company will have thirty working days to respond.
4. Explain that the audit team's role is to make a report, and that we will meet with the Convening authority concerning any further action.
5. Explain that the company can expect a follow-up after the audit is completed.

Report Format

Review the audit report format in terms of content.

Questions and Comments

Sample Covering Letter for Audit

Managing Director,

ABC Airlines

Subject: Safety Audit

Dear _____

Attached is a copy of the Audit Report, together with a copy of the Audit Findings. These come as a result of the regulatory audit of ABC Airlines which was conducted by the Department of Civil Aviation during the period ____ to _____ , 1998.

Audit Findings are related to the Flight Operations Requirements, associated standards, the Company Operations and Maintenance Control Manuals, as well as the conditions and approvals found in the Air Operator Certificate. Audit Findings require a written response from you and a follow-up from the Department of Civil Aviation.

I request that the Audit Finding Forms, which comprise part of this report, be completed and returned to my office within 30 days.

It is our intention to conduct a Special Purpose Audit in six months time to ensure that all deficiencies noted have been rectified.

The co-operation extended to the audit team by you and your staff during the audit was appreciated.

Yours truly,

DGCA

Sample Audit Report

Part IGeneral

Company Overview

ABC is an aviation company formed in 1958. It offers both a scheduled and non-scheduled domestic and international air service from the main base at XYZ International Airport, with sub-bases in QRS.

ABC operates two A310, 8 HS748 and one PC-6 aircraft from its main base, and some DHC-6 from the sub-base.

Aircraft maintenance is performed in-house at all bases. There is a full-time staff of ??? Aircraft Maintenance Technicians, ?? apprentices and ?? technicians. The Aircraft Technical Records are kept at the main base at the XYZ hanger.

Scope and Depth

The scope of the audit encompassed all activities that could affect the safe operation of the company, including, but not limited to:

(a) Airworthiness and related programs,
(b) flight operations and the operational control system,
(c) cabin safety,
(d) training and flight training devices, and
(e) the transportation of dangerous goods.

The audit will cover the period from August, 1997 to the present.

Approach

The audit of XYZ was a combined audit (of both airworthiness and operations functional areas) and was conducted in accordance with standard auditing practices.

Company Management

Name	Title	Telephone No.
I. Stravinski	Managing Director, ABC Airlines	(613) 974-2300
B. Mathers	Director, Flight Operations	(613) 974-2301
N. Schaffer	Chief Pilot	(613) 974-2302
C. Roberts	Safety Officer	(613) 974-2303
M. Tellier	Chief, Dispatch	(613) 974-2304

S. Lavallee	Director, Inflight Services	(613) 974-2305
J. Anderson	Director, Maintenance	(613) 974-2306
T. Baynes-Armstrong	Quality Assurance Manager	(613) 974-2307
D. McIntyre	Manager, Dangerous Goods	(613) 974-2308

Corrective Action Plan

The company is required to submit a corrective action plan to Civil Aviation within 30 working days of the receipt of this report. A nil or unsatisfactory response may result in the suspension of the Company Operating Certificate.

Audit Team

Name	Function/Specialty	Region	Telephone No.
R. Jonson	Covening Authority	Ontario	(416) 952-0001
T. Smith	Audit Manager	Ontario	(416) 952-0002
J. Reynolds	Team Leader, Operations	Ontario	(416) 952-0003
F. Lalonde	Team Leader, Airworthiness	Ontario	(416) 952-0004
K. McLean	Ops Team Member PA31 and DHC-2	Ontario	(416) 952-0005
V. Bruce	Ops Team Member, Cabin Safety	Ontario	(416) 952-0006
M. Michaels	Ops Team Member, HS-748	Ontario	(416) 952-0007
P. Gagnon	Ops Team Member, Dangerous Goods	Ontario	(416) 952-0008
D. Jacobson	Airworthiness Team Member	Ontario	(416) 952-0009
W. Preston	Airworthiness Team Member	Ontario	(416) 952-0010
S. Wallace	Airworthiness Team Member	Ontario	(416) 952-0011

Part IIExecutive Summary

Part IIIGeneral

Approved Maintenance Organization

3.5Scope of Approval

The company presently holds an approval for all non-specialized work of the Beech 100 series aircraft but does not have the Technical Library nor the tools required for this approval.

3.5.2Technical Publications/Library

Numerous technical and regulatory publications were either not available or not up to date.

3.5.3Personnel

The Quality Manager failed to carry out his duties as described in the Maintenance Control Manual and as a result a number of technical and regulatory publications were either not available or up to date and the training requirements have not been met.

3.5.4Maintenance Training

The company's training program has not followed the initial training requirements as mentioned in the Maintenance Control Manual. Also, the recurrent training records for some of the employees were missing.

3.5.5Technical Records

The Technical Records Clerk failed to transcribe all the pertinent entries and maintenance events to the appropriate Aircraft Technical Record and, on one occasion, the Conformity Certificate (24-0045) was neglected after the completion of a major repair to one of the company's aircraft.

3.5.9Defect Control (Deferral)

Company personnel are not entering all defects into the Aircraft Journey Log. Further to this, where defects did get entered into the journey log, they occasionally did not get rectified or deferred as per the procedures outlined in the Maintenance Control Manual. As a result, aircraft were flown with defects entered in the Aircraft Journey Log and no rectification being carried out.

3.5.12Sample Aircraft for Conformance

During the period of the audit all six company aircraft were inspected. Of these, four were found not to meet the conditions for the issuance of a Certificate of Airworthiness and the certificates were suspended.

3.5.18Maintenance Schedule

Two of the approved Maintenance schedules did not include inspection forms and/or lifted items.

3.5.21Control of Parts/Materiel

The company was not following the stores and quarantine procedures as specified in the Maintenance Control Manual.

3.5.24Airworthiness Directives/Service Bulletin Compliance

The Director of Maintenance failed to ensure the applicability of ADs on company aircraft. As a result, various ADs were either not carried out at their prescribed times, or improperly complied with.

Part IVOperational Functional Summaries

Operations Functional Areas

OP-2Air Operator Certificate and Operations Specification

The Air Operator Certificate shows a sub-base at Forde Lake (N123). This base was closed in November 1996 without the required notification to Civil Aviation being made (reference AF OP-2)

OP-3Company Manuals

Revisions to meet the new regulatory requirements for the Company Operations Manual are generally complete. There are two areas that will need work to bring the manual to an acceptable standard; however, these are the B200 pre-take-off passenger briefing procedure which is missing directives pertaining to emergency equipment, and the passenger briefing form for the PC-6, which is missing (reference AF OP-3).

OP-7Flight Crew Training Program

The Flight Crew Training Program meets the required standard yet is not being followed for initial flight crew training wherein three pilots were allowed to complete their initial training without acquiring the required night experience (reference AF OP-7).

Pilot interviews revealed a weakness in knowledge on the location and operation of emergency equipment even though the required Emergency Procedures Training (EPT) was certified as being complete. This observation shall be brought to the attention of the local office with the recommendation that the next EPT training be monitored by the principal operations inspector to ensure that the standard of training is acceptable.

OP-8Flight Crew Training Records

The training records of 22 pilots were reviewed and numerous errors and omissions were noted. Acme Aero was requested to provide documentation indicating that the recurrent technical and surface contamination training for three HS748 flight crew was in fact completed. The company was unable to do so (reference AF OP-8-1 and OP-8-2). Further to this, company senior

management was unaware that training had not been completed and that an extension had been granted by Civil Aviation.

OP-9Operational Control System

The transition to the Type B Operational Control System has been handled very well. Qualified flight dispatch personnel are now in place and are exercising the necessary procedures to meet the required regulatory requirements. The only weakness to the system is the lack of operational facsimile systems in XYZ and QRS. This has led to flight crew departing these locations with Operational Flight Plans that have not been approved by the flight dispatcher (reference AF OP-9).

OP-14Cabin Safety

During the audit, ramp inspections were conducted at XYZ and QRS. With the exception of first aid kits not meeting the required standard for the PA31 and DHC-2 aircraft (reference AF OP-14), all items were found to be satisfactory. Two in-flight inspections were conducted on the HS748; these were satisfactory with all procedures contained in the Flight Attendant Manual being followed.

Appendix AAirworthiness Audit Findings

Appendix BOperations Audit Findings

Sample Letter to Company - Audit Close-Out

September 28, 1998

Mr. I. Lama
Managing Director, ABC Airline

Dear Mr. Lama:

Attached are the final Civil Aviation responses to the audit findings from the combined audit of your company in April 1998. As all corrective action regarding the findings has been taken, the audit is now closed.

I would like to take this opportunity to thank you and your staff for your co-operation during this process.

Yours truly,

A. K. Shah
Civil Aviation

Attachments (2)

Sample Parallel Report

Part IObservations, Comments, Recommendations

Audit Executive

Due to the heavy workload inspectors, the audit manager and team leaders were not given sufficient time to prepare for the audit. Much of the preparatory work had to be completed during the pre-audit phase and indeed during the physical audit itself. This resulted in the need to make numerous changes to the audit plan which detracted from the overall professional conduct of the audit.

Recommendation: The audit management team should be given sufficient time to plan for audits well in advance of the actual audit dates.

Administrative Support

No administrative support was available to the audit team during this audit. Much overtime was required by audit team members simply to prepare audit report materials and correspondence with the auditee. These tasks could be handled much more efficiently by administrative support at a considerably lower cost.

Recommendation: All audits should have access to administrative support. Audits of larger organizations and especially combined audits, should have a support person assigned to the audit team during the full audit period.

Part IIExecutive Summary of Parallel Findings

In addition to the points raised in Part I which detracted considerably from the professional conduct of this audit, the local office was found to be functioning contrary to established policy for the certification of an air operator in the areas of OP-2, Operating Certificate and Operations Specifications, OP-3, Company Manuals and AW-3.5, Pre-audit Activities-Certificate of Approval.. Two of the three findings are primarily administrative in nature, however, the OP-3 finding has safety implications and will require immediate corrective action.

OP-2Operating Certificate and Operations Specifications

ABC Airlines has been approved for the operation of HS748 aircraft into a number of bases that cannot accommodate this type of aircraft. This approval was granted when the operating certificate was renewed following implementation of the revised regulations.

OP-3Company Manuals

The company's HS748 Training Manual states that the six month recurrent circling approach requirement in the PPC need only be completed annually. This is contrary to the regulatory requirement for operators who are approved for circling minima below 1000 foot ceiling and three mile ground visibility.

OP-7Flight Crew Training Program

Pilot interviews revealed a weakness in knowledge on the location and operation of emergency equipment even though the required Emergency Procedures Training (EPT) was certified as being complete. It is recommended to the local office that the next EPT training be monitored by the principal operations inspector to ensure that the standard of training is acceptable

AW-3.5Pre-audit Activities-Certificate of Approval

The company was issued the authority for non-specialized maintenance of Beech A-100 series aircraft during the initial stages of AMO approval. The company has not and does not intend to maintain this type of aircraft. Further to this, the authority was granted while the necessary manuals and support equipment were not available as required for such certification.

Part IIIParallel Report Findings

(Attached)

ABC Airlines	June 9-20, 1997
Company Name	**Date of Audit**

Area of Audit: OP-2 Operating Certificate and Operations Specifications **No.** OP-2-1

Description of Finding

ABC Airline's Air Operator Certificate No. 23456, Part IV lists bases authorized for use by each aircraft type. These bases do not correctly represent the company operation as a number of bases are not suitable for all aircraft types.

Examples

1. Forde Lake (N123) and Lovell Cove Airport (N321) are not suitable for use by HS748 aeroplanes.
2. Forde Lake (N123) is not suitable for use by PA31 aeroplanes.

M. Michaels	June 27, 1997
Name/Signature of Auditor	**Date**

OPI's Response or Corrective Action Plan

Name/Title/Signature	**Date**

Convening Authority's Response

Name/Title/Signature	**Date**

Target Completion Date	Date Item Completed	Responsible Manager

ABC Airline	June 9-20, 1997
Company Name	**Date of Audit**

Area of Audit: Pre-Audit Activities - Certificate of Approval **No.** AW-3.5-1

Description of Finding

The Air Operator was given authority for non-specialized maintenance of Beech A-100 series aircraft during the initial stages of the AMO approval.

Examples

The Air Operator does not operate or maintain BE-100 type aircraft. They do not have the equipment or manuals required to maintain this type of aircraft.

W. Preston	June 27, 1997
Name/Signature of Auditor	**Date**

OPI's Response or Corrective Action Plan

Name/Title/Signature	**Date**

Convening Authority's Response

Name/Title/Signature	**Date**

Target Completion Date	Date Item Completed	Responsible Manager

ABC Airline	June 9-20, 1997
Company Name	**Date of Audit**

Area of Audit: OP-3 Company Manuals **No.** OP-3-1

Description of Finding

ABC Airline's HS748 Training Manual, page 12, states that a circling approach will be conducted as part of the annual line check in lieu of the six-month PPC requirement.

Examples

M. Michaels	June 27, 1997
Name/Signature of Auditor	**Date**

OPI's Response or Corrective Action Plan

Name/Title/Signature	**Date**

Convening Authority's Response

Name/Title/Signature	**Date**

Target Completion Date	Date Item Completed	Responsible Manager