PART 101 FLIGHT OPS INITIAL/ANNUAL AUDIT CHECKLIST

OPERATIONS AUDIT CHECKLIST PART 101 (OFFICE USE)

Note: Inspector to complete these details before the audit and confirm all information is still valid during the audit.

Operator	
File Number	
Physical Address	
	Postal Code
Telephone Number	
E-Mail Address	
Base of Operations	(and as per ASLC)

LICENSE DETAILS

Licence(s) Number(s):	
Class of Air Service:	
Type of Air Service:	
Category of Aircraft:	

Date of Audit	
Date Application Received	
Confirmation of payment and date	
RPAS Operating Certificate Expiry Date	

PREVIOUS FINDINGS

LEVEL 1	
LEVEL 2	
LEVEL 3	

NOTES FOR THIS INSPECTION

NOTES:

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

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

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

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

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

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

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

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

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

Regulatory Ref.	REQUIREMENTS	N/A	Satisfactory	Not satisfactory	Note No.
	ORGANIZATION / MANAGEMENT				
CAR 101.04.5	Is the RPAS Operations Manual (ROM) up to date with the latest regulations and does it conform with the latest technical guidance material?				
	ROM amendment number and date as per CAA copy?				
	No hand amendments?				
	Is the ROM available at the operating sites				
	Are controlled copies of ROM current with master copy?				
CAR 101.04.5	**POST HOLDERS:** Are they still in the nominated posts? (*Complete post holders names*)				
	- Accountable Manager:				
	- Safety Manger:				
	- RP: Flight Operations:				
	- RP: Aircraft:				
	- Quality Manager:				
	- Security Manager:				
	Are post holder's responsibilities and functions defined and formalised?				
	Have all 6 post holders accepted their duties?				
	Do inputs to the management review include:				
	- - Results of audits?				
	- - Safety and quality issues/outcomes?				
	- - Operational feedback?				
	- - Changes in regulatory policy or CAA legislation?				
	- - Status of corrective and preventive actions?				
	- - Follow – up actions from previous reviews?				
CAR 101.04.01	**Air Service Licence**				
	- Available for presentation				
	- Correct type and category for the operations conducted				
	ROC and Operations Specifications				
	RPAS Operating Certificate and Operations Specifications available for presentation?				
CAR 101.04.5	**PUBLICATIONS** Hard copy or electronically available				
	CARS & CATS				
	AIP's /AIC's				
	NOTAMS				

Regulatory reference	REQUIREMENTS	N/A	Satisfactory	Not satisfactory	Note No.
CAR 101.04.7	**SAFETY MANAGEMENT SYSTEM**				
	Has the operator established an SMS?				
	Is there a process for hazard identification and risk mitigation				
	Are Risk Assessments conducted for all operations				
	Is there a process to develop and implement remedial action necessary to maintain an acceptable level of safety (closing loop)?				
	Is there provision for continuous assessment of the effectiveness of safety management activities?				
	Does the operator make use of Hazard, Incident and Accident Reporting forms?				
	Is the database of hazards and incidents regularly updated and analysed, is there enough data for the SMS to function?				
	Sample hazard, incident and accident reports to ensure action has been taken. Also review assessment of the effectiveness of the action taken				
	Emergency Response Plan:				
	Is there an Emergency Response Plan (ERP) with clear indication of responsibilities of indicated personnel during transition from normal to emergency to normal operations? (Base ERP)				
	Is the ERP co-ordinated with local, remote base and all applicable airport and/or operating site emergency facilities? (Field ERP)				
	Are ERP contact details regularly checked/updated (eg: with QA audit)?				
	SMS/ERP Training:				
	Are new employees given SMS and ERP training as part of induction training?				
	Safety Meetings:				
	Are safety meetings held frequently and according to the safety objectives, if applicable				
	Do the minutes of safety meetings reflect adequate attention to SMS principles and reported hazards?				
CAR 101.04.6	**Record Keeping:**				
	Are SMS records kept up to date and audited in accordance with the audit schedule?				
	Do SMS records sufficiently reflect SMS activities?				

Regulatory Ref	REQUIREMENTS		N/A	Satisfactory	Not Satisfactory	Note No.
	QUALITY MANAGEMENT SYSTEM					
	Is there a quality management system in place?					
	Is there a formal policy statement from the Accountable Manager/CEO?					
	Is there an audit schedule? has it been signed and agreed upon between the Accountable Manager and the Quality Manager?					
	Are checklists used and are they used in accordance with the audit schedule?					
CATS 101.04.5	Is there a feedback and control system to ensure that corrective and preventative actions are carried out and evaluated for effectiveness? (Finding Forms and Corrective Action Requests Forms)					
	Do records sufficiently reflect QMS activities?					
	Are new employees given QA training as part of induction training?					
	Is the quality system formalised and controlled?					
	Does the quality system enable the operator to monitor compliance with:					
	a	Relevant sections of the CATS and CARS?				
	b	Operations manual				
	c	Any other standards established by the ROC holder				
	ROC APPROVALS – ROM SOPS					
CAR 101.04.4(2)	**E-VLOS APPROVAL**					
	Observer training included in the ROM					
	Satisfactory procedures documented in ROM					
CAR 101.05.1	**INCLEMENT WEATHER OPERATIONS APPROVAL**					
	Satisfactory procedures documented in ROM					
CAR 101.05.2	**TAKE OFF or LANDING ON PUBLIC ROADS APPROVAL**					
	Satisfactory procedures documented in ROM					
CARS/CATS 101.05.3	**CONTROLLED AIRSPACE**					
	Satisfactory procedures documented in ROM					
	ATSU Letter of Procedure Template					
CAR 101.05.4	**RELEASING AN OBJECT or SUBSTANCE**					
	Satisfactory procedures documented in ROM					
	Additional permissions if applicable					
CAR 101.05.5	**DANGEROUS GOODS**					
	Satisfactory procedures documented in ROM					
CAR 101.05.10	**OPERATIONS ABOVE 400FT AGL**					
	Satisfactory Procedure in ROM					
CAR 101.05.10	**OPERATIONS WITHIN 10KM OF AN AERODROME**					
	Satisfactory procedures documented in ROM					
	OPERATIONS WITHIN RESTRICTED/PROHIBITED AIRSPACE					
	Satisfactory procedures documented in ROM					
	ADJACENT TO/ABOVE NUCLEAR POWER PLANT, PRISON, POLICE STATION, CRIME SCENE, COURT OF LAW, NATIONAL KEY POINT OR STRATEGIC INSTALLATION					
	Satisfactory procedures documented in ROM					
CAR 101.05.11	**B-VLOS OPERATIONS**					
	Satisfactory procedures documented in ROM					

Regulatory Ref.	REQUIREMENTS	N/A	Satisfactory	Not satisfactory	Note No.
	ROC OPS SPEC APPROVALS				
CAR 101.05.12	**NIGHT OPERATIONS**				
	Satisfactory Procedure in documented in ROM ☐ Limited to R-VLOS operations only OR ☐ VLOS/E-VLOS/B-VLOS night operations				
CAR 101.05.13	**OPERATIONS IN THE VICINITY OF PEOPLE (overhead or within 50m lateral distance)**				
	Satisfactory procedures documented in ROM				
CAR 101.05.14	**OPERATIONS IN THE VICINITY OF PROPERTY, STRUCTURES or BUILDINGS (within 50m lateral distance)**				
	Satisfactory Procedure in ROM				
CAR 101.05.15	**OPERATIONS IN THE VICINITY OF PUBLIC ROADS (over, along or within 50m)**				
	Satisfactory procedures documented in ROM				
CAR 101.04.8	**SECURITY**				
	Is RPAS storage secure? Protecting RPAS from unlawful interference?				
	Is the RPAS stored and prepared for flight in a manner that prevents and detects tampering and ensures the integrity of the system				
	Are security roles and responsibilities defined and carried out as per the ROM, Part 4: Safety and Security?				
	Have the personnel involved in the handling of the RPAS conducted a suitable AvSec course				
	Does the operator conduct background checks on all employees? (employment history etc.)				
	Does the operator conduct criminal record checks on all employees?				
CARS 101.04.6	**RECORD KEEPING**				
	Is there a system of record-keeping that allows adequate storage as well as reliable traceability of all activities				
	Is the format of the records sufficiently specified in the ROC holder's operations manual?				
	Are personnel records kept up to date and audited in accordance with the audit schedule				
	Are flight documentation records kept up to date and audited in accordance with the audit schedule?				

RECORDS: REMOTE PILOT & PERSONNEL INLVOLVED IN THE DEPLOYMENT, HANDLING AND STORAGE OF RPAS

	NAME	(A), (MR) or (H)	License Number (or position, for example: "observer")	VLOS, B-VLOS	Induction training (including SMS and QMS)	Background check completed	DATE OF EXPIRY		
							Criminal record check (every 24 months)	Aviation Security Awareness training	Medical
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									
12									
13									
14									
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17									
18									
19									
20									

NOTE NUMBER	NOTES

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

Number	OBSERVATIONS
CA 101-08	

Number	OPERATOR'S CORRECTIVE ACTION PLAN

DEBRIEF TO OPERATOR REPERSENTATIVES FROM AUDIT MANAGER		
COMMENTS MADE BY THE AUDIT MANAGER TO THE OPERATOR'S REPRESENTATIVES		
Operations		
Training		
Administration		
Documentation		
Recommendations		
SIGNATURE OF FOD INSPECTOR	**NAME IN BLOCK LETTERS**	**DATE**
I was de-briefed on the inspection/audit, have read and accept*/do not accept* the findings and observations of the flight operations inspector/s and have received a copy of the report. *Delete which is not applicable*		
SIGNATURE OF OPERATOR'S REPRESENTATIVE	**NAME IN BLOCK LETTERS**	**DATE**

ATTENDANCE REGISTER

CAA & OPERATOR REPRESENTATIVES

PURPOSE OF MEETING				
CHAIRPERSON / PRESENTER		**DATE:**		
ATTENDEE INITIALS & SURNAME	**SECTION**		**SIGNATURE**	

APPENDIX A

Entry meeting agenda

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

2   Introduce the team.

3   Allow Operator senior representative to introduce their representatives.

4.   Explain the purpose of the inspection/audit.

5.   Emphasise confidentiality of the inspection/audit.

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

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

8.   Explain non-compliance and the associated gradings.

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

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

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

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

13.   Allow time for the operator to ask questions.

14.   Allocate inspectors to various departments if need be.

Closing meeting agenda

1. Thank Operator for hospitality as required

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

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

4. Explain to Operator that Audit Report will be sent

5. Operator to sign Audit Checklist and Findings as required