



Section/division **FLIGHT OPERATIONS PART 101**

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Form Number: CA 101-29

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PART 101 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 Maintenance			(And as per ASLC)
LICENSE DETAILS			
Licence(s) Number(s)			
Class of Air Service			
Type of Air Service			
Category of Aircraft			
Date of Audit			
RPAS Operating Certificate Expiry Date			
PREVIOUS AIRWORTHINESS FINDINGS			
LEVEL 1			
LEVEL 2			
LEVEL 3			

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 AMP RMT Class 3.

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 refer to applicable regulatory requirements. Where an Operator fails to comply with these requirements, they will be in non-compliance and will be required to undertake corrective action.

AUDIT PLANNING

The following should be considered when scheduling an audit:

- Agree with Flight Operator Inspector for date to conduct the audit.
- The allocation of time for pre-audit activities.
- Team member travel requirements.
- The compiling of the relevant Airworthiness required documentation.
- The contents of the Operator's maintenance record, and file should be studied for background knowledge and to detect any shortcomings and anomalies.

PRE-AUDIT MEETING

Attend the 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.

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

Attend the closing meeting 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.
CAR 101.04.5	STRUCTURE				
	POST HOLDER RPA FUNCTIONS /DUTIES: Are they still in the nominated posts? (<i>Complete post holders names</i>)				
	Qualifications				
	Licences				
	Responsible Person: Aircraft:				
	Have the post holder-accepted their duties and responsibilities and are the functions defined?				
	<ul style="list-style-type: none"> Operational feedback? 				
	<ul style="list-style-type: none"> Changes in regulatory policy or CAA legislation? 				
	<ul style="list-style-type: none"> Status of corrective and preventive actions? 				
	<ul style="list-style-type: none"> Follow – up actions from previous reviews? 				
	ROC and Operations Specifications				
RPAS Operating Certificate and Operations Specifications available for presentation?					
Regulatory Ref.	REQUIREMENTS	N/A	Satisfactory	Not satisfactory	Note No.
CAR 101.04.5	PUBLICATIONS				
	Hard copy or electronically available				
	CAR & CATS				
CATS 101.04.5	QUALITY MANAGEMENT SYSTEM				
	Is there a quality management system in place?				
	Is there a formal policy statement from the Accountable Manager/CEO?				
	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?				
	Are aircraft record audited in accordance with the audit schedule?				
	Are flight documentation records kept up to date and audited in accordance with the audit schedule?				
	Are personnel records kept up to date and audited in accordance with the audit schedule				
Does the checklist cover the RMT functions					

CAR 101.06.01	MAINTENANCE				
	Is there an Approved Maintenance-Programme for each RPAS Operated				
	Valid RLA				
	Valid C OF R				
	Radio Licences <ul style="list-style-type: none"> • Ground radio Station Licences 				
	Insurance (refer to table)				
	Weight and balance <ul style="list-style-type: none"> • Wight certificate • Calibration certificate of devices used 				
	Does the Approved Maintenance Programme meet the requirements for the Class of RPAS				
	Is maintenance carried out in accordance with the Approved Maintenance Programme <ul style="list-style-type: none"> • Effectivity of the Programme • Is the AMP reviewed periodically? • Are aircraft records kept up to date? 				
CAR 101.06.3	RMT for Class 3 and above RLA's?				
	RMT Licence/s valid?				
	RMT Logbook/s kept up to date?				
Regulatory Ref.	REQUIREMENTS	N/A	Satisfactory	Not satisfactory	Note No.
CARS 101.05.22	FLIGHT FOLIO				
	Defects being recorded, Defects resolved.				
	Battery or Fuel logs.				
	Release to Service of RPAS.				
Are RPAS Flight Folios maintained in accordance with CAR & CATS requirements.					
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/AMP 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?				
Are aircraft records kept up to date?					

	Registration	Make & Model	CLASS of RPAS	Aircraft category (A4, H1, H2)	Valid 3rd Party liability (Y/N)	3 rd Party Insured amount	Insurance Expiry date	Certificate of registration	RPAS Letter of Approval (Date of expiry)
1.	ZT-								
2.	ZT-								
3.	ZT-								
4.	ZT-								
5.	ZT-								
6.	ZT-								
7.	ZT-								
8.	ZT-								
9.	ZT-								
10.	ZT-								
11.	ZT-								
12.	ZT-								
13.	ZT-								
14.	ZT-								
15.	ZT-								
16.	ZT-								
17.	ZT-								
18.	ZT-								
19.	ZT-								
20.	ZT-								

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 affected within an agreed timeframe.)

DEBRIEF TO OPERATOR REPRESENTATIVES FROM AIRWORTHINESS INSPECTOR		
RECOMMENDATIONS MADE BY THE AIRWORTHINESS INSPECTOR TO THE OPERATOR'S REPRESENTATIVES		
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. <i>*Delete which is not applicable</i>		
SIGNATURE OF OPERATOR'S REPRESENTATIVE	NAME IN BLOCK LETTERS	DATE