



Section/division
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Flight Operations
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Form Number: CA 127-03
Fax Number: **011-545-1000**

CHECKLIST FOR PART 127 OPERATIONS AUDIT

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

NOTES:

INSPECTION AND AUDIT FUNCTIONS

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

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

Inspection and audit checklists have been developed to provide a systematic approach to the inspection of an operator's various specialty areas. The checklists are designed to identify specific items within each specialty area and to make reference to applicable regulatory requirements. 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/inspection 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/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 teams. (See appendix for an agenda).

AUDIT FINDINGS

Audit findings are the foundation of the audit report so it is important that they be completed in accordance with the requirements.

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.

			Not applicable	YES	NO	Note Number
ORGANISATION/MANAGEMENT						
MANAGEMENT PLAN	NAME	Telephone Number				
Chief Executive Officer						
Person responsible Aircraft						
Chief Pilot						
Safety and Security Officer						
Person responsible for Operations						
Person responsible Quality Assurance						
DOCUMENTS						
Air Service Licence:						
<ul style="list-style-type: none"> Kept in a place of safety (CAR recommendation) 						
<ul style="list-style-type: none"> Displayed in public 						
AOC:						
<ul style="list-style-type: none"> Kept in a place of safety (CAR recommendation) 						
<ul style="list-style-type: none"> Displayed in public 						
Operations Manual:						
<ul style="list-style-type: none"> Check it complies with amendment dates as per CAA copy 						
<ul style="list-style-type: none"> Check no hand amendments 						
CATS and CARS:	Check amendment date					
AIP:	Check amendment date					
AIC NOTAMS:	Check amendment date					
BASE FACILITIES						
Telephone: Manned during office hours						
Public Telephone: Applicable to operation						
Reception / Enquiry office: Applicable to operation						
Waiting area: Applicable to operation						
Toilet: Applicable to operation						
Scale:						
Sign Posting:						
First Aid Kits: Check						
Fire fighting equipment: Check position, quantity, check date and condition.						
AIRCRAFT DOCUMENTATION: (CAR 127.04.1)						
Flight Folios:						
Technical Log book (CAR 127.04.1)						
Check: Retained for 90 days						
1.	Operator retains copies for the required period.					
2.	Name of captain					
3.	Signed by Captain/Engineer					

		Not applicable	YES	NO	Note Number
4.	Defects deferred or rectified.				
5.	Fuel uplifts recorded. (CAR 127.04.9)				
6.	Start and end fuel recorded. (CAR 127.04.9)				
CHECK DOCUMENTS IN THE AIRCRAFT (CAR 91.03.1)(CAR 127.04.1)					
Certificate of Registration: Check for all aircraft					
Certificate of Airworthiness: Check for all aircraft					
Certificate of Safety: Check validation (Release to Service)					
Radio station licence: Check validation					
Certificate of insurance					
Copy of AOC & OPS spec					
OPERATIONS					
Operational Documentation Status of Amendments					
Operations Officers: Check qualified (OPS Manual) (CAR 127.04.2)					
Emergency response plan: Check operations personnel are familiar with plan and have all relevant information. This information should clearly be displayed on the wall.					
Manning Levels & Supervision Check if sufficient trained for flight following and supervision (CAR 127.07.22)					
Non-Scheduled Helicopter Applications: Check if approved by CAA. (CAR 91.07.4)					
CREW PLANNING					
Check Operators Roster system:					
Operations Manual (CAR 127.04.2)					
Flight and Duty: (CAR 127.04.5)					
1.	Check Operator complies with Operations Manual requirement.				
2.	Check the sign on /off System.				
3.	Check that operator retains records for required period (CAR 127.04.11)				
DAYS OFF:					
Check if Operator is complying with 1 day off in 7 days and 2 days off in 14. (CAR 127.02.13-SA-CATS-OPS-127.02.9)					
Freelance Crews:					
Check the Operators system of ensuring that freelance crews are within flight and duty limits. (CAR127.02.13-SA-CATS-OPS-127.02.9)					
PILOT TRAINING RECORDS					
Pilot Licence: (CAR 127.02.8-CAR 91.03.1)					
1.	Check the operator and check the pilot licences (Full and Part time) Recommendation				
2.	Check the Operator retains copies of all CAR 127.04.7 , pilots both full time and freelance.				
3.	Check each file contains records of all ratings, medical certificates, CRM, Dangerous goods CAR 127.04.7 Certificates				
Conversion Training: (CAR 127.03.3 & SA-CATS-OPS 127.03.3)					
1.	Check the Operator retains copies of all type conversion training.				

		Not applicable	YES	NO	Note Number
2.	Check the Operator has records of type conversion of already rated hiring. (CAR 127.04.7)				
PILOT RATING (CAR 127.04.7)					
Check all ratings applicable to both Pilot and the Operator					
Recurrent Training:					
Check the Operator has on file the records of All (full and part time) proficiency checks. (CAR 127.03.4 & CAR 127.04.7)					
Simulator Training:					
Check Operator has copies of all simulator training and that simulator is certified (if applicable) (CAR 127.04.7)					
PILOT TRAINING RECORD CONTRACTS					
Command:					
Check captains meet requirements of the operations Manual. (CAR 127.04.2 and SA-CATS-OPS 127.04.2)					
Operations Manual					
Line Checks:					
Check that each pilot has undergone a line/route check in previous 6 months (CAR 127.03.4 and SA-CATS-OPS 127.03.7)					
FLIGHT DOCUMENTATION					
Operational Flight Plans (CAR 127.07.24-SA-CATS-OPS 127.04.2 (2.1.9))					
1.	Check operator's method of producing operational flight plan.				
2.	Check this complies with the Operations Manual (if applicable).				
Fuel Calculation:					
Check the fuel calculation is in compliance with CARS, CATS and operations manual (CAR 91.07.12; SA-CATS-OPS 127.07.10; SA-CATS-OPS 127.04.2)					
Alternates:					
1.	Check the choice of alternate is suitable to the operation. (CAR 127.07.7)				
2.	Check the alternate is available at the Proposed times of operation. (CAR 91.07.8)				
MINIMUM EQUIPMENT LIST: (CAR 127.05.1)					
Check against MMEL					
Fuel Checks (CAR 127.07.10 and SA-CATS-OPS 127.04.2)					
1.	Check the method of refuelling.				
2.	Check the start/finish fuel is logged and that the finish fuel would have been sufficient to divert to alternate. (CAR 91.03.6)				
3.	Check refuelling pumps for filters and serviceability.				
SAFETY AND SECURITY					
Safety Plan: (CAR 127.04.2(1))					
Check with Safety Officer that Safety Plan is adhered to.					
Incident/Hazard Reports: Operations Manual (SA-CATS-OPS 127.04.2)					
1.	Check operator's method for the crew to report Incidents and Hazards.				
2.	Check method of following up and report back to crew adopted by operator.				
3.	Check that operator reports these to CAA.				

	Not applicable	YES	NO	Note Number
Emergency Response:				
Check the method of responding to emergencies. Understanding of all responsible staff of the plan and how they would deal with survivors/next of kin etc. (SA-CATS-OPS 127.04.2)(SMS)				
Check all load sheets are kept for required period and signed by Loadmaster/Captain. (CAR 127.04.1&8)				
Mass and Balance Control (CAR 127.07.16 & 91.07.11)				
Passenger information.				
Copies of tickets.				
Passenger manifests (CAR 127.04.1)				
Check condition and documents of:				
Life Jackets				
Life Rafts				
Flotation Gear				
Underslung Equipment				
Hoist Equipment				
Search light				

LIST OF AIRCRAFT												
NUMBER	REG. MARKS	TYPE	OWNER	AMO	CERT A UW	PERFORM CLASS	LEASE AGREEMENT	NUMBER OF SEATS	3RD PARTY	AMOUNT MILLION	CHECKED AIRCRAFT DOCUMENTS	CHECKED OPERATIONS MANUAL

DEBRIEF		
Operator Representatives		
Team		
Operations		
Training		
Administration		
Documentation		
Recommendations		
SIGNATURE OF INSPECTOR	NAME IN BLOCK LETTERS	DATE
I was de-briefed on the inspection/audit, have read and accept*/do not accept* the findings and observations of the flight operations inspector/s and have received a copy of the report. <i>*Delete which is not applicable</i>		
SIGNATURE OF OPERATOR'S REPRESENTATIVE	NAME IN BLOCK LETTERS	DATE

CONCLUSIONS: FINDINGS AND OBSERVATIONS

LEVEL 1 FINDINGS

(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 FINDINGS

(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 FINDINGS

(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.)

ATTENDANCE REGISTER

ATTENDANCE REGISTER		
PURPOSE OF MEETING	BRIEFING	
DATE		
CHAIRPERSON / PRESENTER		
ATTENDEE INITIALS & SURNAME	SECTION	SIGNATURE

ATTENDANCE REGISTER		
PURPOSE OF MEETING	DE-BRIEFING	
DATE		
CHAIRPERSON / PRESENTER		
ATTENDEE INITIALS & SURNAME	SECTION	SIGNATURE

APPENDIX A

1. Entry meeting agenda
2. Thank the operator for their attendance, co-operation and use of their facilities.
3. Introduce the team.
4. Explain the purpose of the inspection/audit.
5. Emphasise confidentiality of the inspection/audit.
6. Define the objective and scope of the audit: to establish the correct implementation of procedures set out in the ops manual and other relevant regulations. Point out, however, that international best practice and good common sense cannot always be covered by legislation and the checklist may, therefore, in the interests of flight safety, contain a few items of this nature.
7. Explain the methodology and that there will be times when it is not possible or necessary to review or examine 100% of a company's operation. This is when sampling principles apply.
8. Explain non-compliance and the associated gradings.
9. State when team and team/operator liaison meetings will take place.
10. Confirm logistical arrangements e.g. available office space, time for meals, etc.
11. Verify that all operator staff members are aware of the audit/inspection taking place.
12. Explain the purpose of the closing meeting and confirm the detail and time if possible.
13. Allow time for the operator to ask questions.
14. Allocate inspectors to various departments if need be.