



## ANNUAL AUDIT CHECKLIST PART 135

<b>OPERATOR</b>										<b>TRACKING SHEET : PART 135 - CHARTER</b>											
<b>DATE</b>	Y	Y	Y	Y	M	M	D	D	<b>AOC NUMBER</b>												
<b>AUDIT TEAM:</b>																					
<b>FLIGHT OPERATIONS REVIEW BOARD COMMENTS</b>																					
<b>SIGNATURE OF REVIEW BOARD MEMBER</b>				<b>NAME IN BLOCK LETTERS</b>				<b>DATE</b>													
<b>SIGNATURE OF REVIEW BOARD MEMBER</b>				<b>NAME IN BLOCK LETTERS</b>				<b>DATE</b>													
<b>SIGNATURE OF REVIEW BOARD CHAIRPERSON</b>				<b>NAME IN BLOCK LETTERS</b>				<b>DATE</b>													
<b>COMMENTS BY MANAGER PART 135</b>																					
<b>SIGNATURE OF MANAGER: PART 135, FOD</b>				<b>NAME IN BLOCK LETTERS</b>				<b>DATE</b>													
<b>ADMIN SUPPORT</b>																					
<b>DATE OF ISSUE OF AIR OPERATION CERTIFICATE:</b>								Y	Y	Y	Y	M	M	D	D						
<b>SIGNATURE OF FOD ADMIN OFFICER</b>				<b>NAME IN BLOCK LETTERS</b>				<b>DATE</b>													

**NOTES:**

**INSPECTION AND AUDIT FUNCTIONS**

CAA inspection and audit functions confirm for CAA that an Operator is operating in compliance with regulatory requirements and Operations Manual (OM). The OM 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

**OPERATIONS AUDIT CHECKLIST PART 135 (OFFICE USE)**

**Note: These details for inspector to complete before and to confirm being still valid during the audit.**

Operator			
File Number		Operations Number	
Physical Address			
Postal Address			
			Postal Code
Telephone Number		Fax Number	
Cell Phone Number		E-Mail Address	
Base Of Operations			(and as per ASLC)

Licence Number, Class (e.g. N123d, I, II, III, N1, N2, S1, G1, G2, etc.) as per ASLC.

Date Application Received	
Confirmation of payment and date	
Air Operation Certificate Expiry Date	

**PREVIOUS FINDINGS**

<b>SEVERE</b>	
<b>MAJOR</b>	
<b>NON -COMPLIANCE</b>	

**NOTES FOR THIS INSPECTION**


Regulatory Ref.	REQUIREMENTS	NOT APPLICABLE	YES	NO	NOTE NO.					
	<b>ORGANIZATION / MANAGEMENT</b>									
CATS 135.04.2.1.2 Operations Manual	Is the Operations Manual (OM) up to date with the latest regulations and technical standards?									
	OM amendment number and date as per CAA copy?									
	No hand amendments?									
	Is the OM available in dispatch / flight operations room for consultation and planning?									
	Does Operator keep un-approved annexes and appendixes up to date?									
	Are controlled copies of OM current with master copy?									
	<b>NOMINATED POST HOLDERS: Are they current?</b>									
	- Accountable Manager / CEO:									
	- Air Service Safety Officer:									
	- Responsible Person Flight Operations:									
	- Responsible Person Aircraft:									
	Are their Responsibilities and Functions Defined and Formalised?									
	Signed acceptance of 4 post holder duties?									
	Does management continually monitor and improve the company safety and quality <b>policy</b> ? (Minutes, company memos)									
	Do they ensure that safety and quality objectives are understood and maintained by all personnel?									
	Are periodic management safety and quality <b>meetings</b> and reviews conducted and documented?									
	Are safety and quality concerns, decisions and information distributed by management throughout all relevant personnel and structures of the Operator?									
	<b>Do inputs to the management review include:</b>									
	- 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?										
Waiting area with facilities applicable to operation?										
Available scale for determining mass of passenger's, luggage and cargo?										
Air Service Licence available for presentation?										
Air Operators Certificate available for presentation?										
CAR 91.02.7	<b>PUBLICATIONS 91.02.7</b> Hard copy or electronically available									
	CAR' & CATS volume	D	D	M	M	Y	Y			
	AIP's	D	D	M	M	Y	Y			
	Notams, AIC'c, AIP's	D	D	M	M	Y	Y			
	Jeppesen/Airad: If specified in OM	D	D	M	M	Y	Y			
	Flight planning software if specified in OM	D	D	M	M	Y	Y			
Do operations personnel and crew have access to operator's electronic publications if in use?										
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Regulatory reference	REQUIREMENTS	NOT APPLICABLE	YES	NO	NOTE NO.
CAT135.04.2 2.1.3	<b>SAFETY MANAGEMENT SYTEM</b>				
	Is the safety policy reviewed bi-annually?				
	Does the Air Service Safety Officer have SMS as part of the ASSO qualification?				
	Is there an Emergency Response Plan (ERP) with clear indication of responsibilities of indicated personnel during transition from normal to emergency to normal operations?				
	Is the ERP co-ordinated with local, remote base and all applicable airports' emergency facilities?				
	Are ERP contact details regularly updated (with QA audit)?				
	Is the database of hazards and incidents regularly updated and analysed?				
	Are risk management and mitigation applied for each hazard and risk reported as per 2.1.3 (ii) (bB)?				
	Are new employees given SMS training as part of induction training?				
	Do the minutes of safety meetings reflect adequate attention to SMS principles and reported hazards?				
Do the top 20 hazards identified by the operator get reported to the Director of CAA annually?					
CAT135.04.2 2.1.4	<b>QUALITY ASSURANCE</b>				
	Is there an appointed Quality Assurance (QA) manager? (employee or contractor)				
	Does the QA manager ensure QA policy is complied with in the QA program?				
	Are their procedures in place ensuring QA gets applied in normal operations between consecutive QA audits?				
	Do the QA audit forms address the complete scope of quality aspects in an annual cycle?				
	Is aircraft airworthiness aspects part of the QA program?				
	Does corrective action get followed through to completion?				
	Do the minutes of safety meetings reflect adequate attention to QA execution, findings and corrective action?				
	Are new employees given QA training as part of induction training?				
If QA is outsourced, does the operator monitor the QA program is adhered to by the QA entity?					
CAR 135.07	<b>OPERATIONS</b>				
	How is flight authorisation ensured between crew and Operator so as to agree compliance with OM?				
	Is there a flight following system in place?				
	24 Hour manning levels for continuous flight following?				
	Is there correlation between admin staff and operations department regarding feasibility of flight requests?				
	Are air crew allowed adequate access to Operator's facilities and resources for sufficient flight planning?				
	Are air crew monitored for use of current flight planning aids i.e. publications, manuals, computer software, charts?				
	Are crews adequately briefed and supplied with sufficient information for conducting flights to the Operators' requirements?				
	Are passengers under guidance when boarding & disembarking from flights?				
	Is current aircraft maintenance status available in operations department?				

Regulatory reference	REQUIREMENTS	NOT APPLICABLE	YES	NO	NOTE NO.
CATS135.02.5.7.3	<b>Crew Planning: CARS 135.02.5</b>				
	Is there a crew roster system in place?				
	Is flight crew currency status available and up to date?				
	Does flight & duty time get monitored, including restriction of other duties and access to freelance crew records?				
	Are required days off monitored and allowed? (1 day off after 7, 2 days off <i>within</i> fourteen)				
	Are adequate rest facilities provided during split duty flights?				
	Are operations personnel at hand before departures to adequately brief crew on flight details?				
CAR 91.03.1 CATS 91.03.1	<b>Documentation: Flight Folios (CATS91.03.5)</b>				
	All aspects recorded as per CATS91.03.5?				
	Signed by captain?				
	Are recorded defects communicated to operations and maintenance personnel before a next flight?				
	Defects recorded and signed off if rectified?				
	If not required as per MEL, are they deferred?				
	Defects same in office and aircraft copies?				
	<b>Flight planning and documentation:</b>				
	Operational Flight Plan; details as per CATS 135.04.5				
	Fuel required calculation as per 135.07.9 & 10				
	Alternates considered for take-off, en-route and destination and planned for?				
	Are performance and operating limitations taken into account as per 135.07.1, 135.07.5, 135.07.6?				
	In flight fuel recalculation, fuel checks done and available fuel left adequate for alternate? CAR 135.07.10				
	Is take-off fuel recorded to enable en-route monitoring?				
	Is fuel consumption monitored? (In flight and flight returns)				
	Are actual fuel consumption figures considered during pre-flight fuel calculations?				
	Are re-fuelling procedures monitored by the Operator?				
	<b>Load and trim sheet (L&amp;T): CATS 135.04.9 signed by captain?</b>				
	Compare aircraft weight on load & trim sheet same as per aircraft weight & balance doc?				
	Compare fuel load as per fuel request and flight folio?				
	Passenger / cargo manifest compare with load & trim sheet?				
	Standard passenger and crew weights used as per OM?				
Is passenger service items and supplies included in L&T sheet?					
Passenger tickets displaying Licence no. and DG information?					
92.00.28	Are flight returns of aircraft from away bases regularly forwarded to main base of operations?				
135.04.1	Operational flight plan, load & trim sheet, passenger/cargo manifest, relevant part of flight folio, special load notification and general declaration kept for 90 days?				

<b>AIRCRAFT DOCUMENTATION (PAGE 8)</b>
<b>CHECK AIRCRAFT RECORDS SPREADSHEET FOR ALL REQUIREMENTS</b>
<b>AIR CREW RECORD AND TRAINING (PAGE 9)</b>
<b>CHECK FLIGHT CREW RECORDS SPREADSHEET FOR ADDITIONAL REQUIREMENTS</b>

Regulatory reference	REQUIREMENTS	NOT APPLICABLE	YES	NO	NOTE NO.	
	<b>FLIGHT CREW TRAINING RECORDS</b>					
<b>135.03</b>	Do flight crew receive operator's induction training before conducting flights?					
	Are SMS and QA requirements part of inductions training?					
	Conversion training: CAR135.03.1/2 Check Operator retains copies of type conversion training if done by operator?					
	Are 12 monthly Operator's recurrent training and checking done as per 135.03.7 and as specified in the OM?					
	Are 6 monthly Operators Proficiency Checks (OPC) done as per CAR135.03.7 and OM (checklist)?					
	Are Instrument Rating renewals done by a CAA approved DFE?					
	If recurrent training and checking is done in conjunction with an IR renewal, does the training and checking get recorded separately?					
	Is safety and emergency procedure training included in recurrent training and OPC check forms?					
	Are the OM, CAR and AIC/AIP etc. currency included in the recurrent training and checking and OPC's?					
	Does Operator have records of simulator training and simulator certification where applicable?					
	Do all flight crew meet minimum experience requirements as per Operations Manual? 135.02.1					
	Is CRM and DG training done by accredited ATO's?					
	Are the copies of documents kept in Operator training files of flight crew currently utilised up to date?					
Are records of flight crew no longer utilised kept for the required period?						
	<b>POLICIES AND PROCEDURES</b>					
<b>135.04.2</b>	Does the Operator ensure that Operations policies and procedures are appropriately and consistently applied?					
	Is there a policy regarding procedure violations should flight crew and other personnel consistently not comply with procedures?					
	Are take off minima procedures applied? (See also Low Visibility Procedures (LVP's)					
	Is there a policy regarding the use and suitability of alternates for T/O and Destination?					
	<b>135.05</b>	Do the Operators monitor compliance with AWOPS, ETOPS, ACAS, RVSM etc.?				
		<b>135.08</b>	Are there sufficient procedures and practises in place to ensure safe visual and instrument approaches?			
	Are there non-precision approach procedures?					
	Are all significant aircraft performance factors such as wt, alt, temp, r/way gradient and contamination considered?					
	Does the Operator ensure that en-route, multi engine aircraft are still able to continue and remain above safe altitudes and minimum levels should engine failure occur? (Vmcse)					

AIRCRAFT ON AOC											DATE OF EXPIRY			
	Registration	Type	Owner	AMO	Aircraft category	Lease Agree	No of Seats	3rd Party liability	Insured Amount R1m/seat	Cert. of registration	Radio License	Release to Service	Cert. of Airworthiness	Weight and Balance
1	ZS-													
2	ZS-													
3	ZS-													
4	ZS-													
5	ZS-													
6	ZS-													
7	ZS-													
8	ZS-													
9	ZS-													
10	ZS-													
11	ZS-													
12	ZS-													
13	ZS-													
14	ZS-													
15	ZS-													
16	ZS-													
17	ZS-													
18	ZS-													
19	ZS-													
20	ZS-													
Category A1		Any aircraft, excluding a helicopter, with a maximum certificated mass exceeding 20 000 kilograms												
Category A2		Any aircraft, excluding a helicopter, with a maximum certificated mass exceeding 5 700 kilograms but not exceeding 20 000 kilograms												
Category A3		Any aircraft, excluding a helicopter, with a maximum certificated mass exceeding 2 700 kilograms but not exceeding 5 700 kilograms												
Category A4		Any aircraft, excluding a helicopter, with a maximum certificated mass of 2 700 kilograms or less												



PILOT RECORDS:				DATE OF EXPIRY				
	NAME	CPL or ATPL	License Number	Medical	Instrument Rating	Proficiency check	Dangerous Goods	CRM
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								
21								
22								
23								







DEBRIEF TO OPERATOR REPRESENTATIVES FROM AUDIT MANAGER		
Operator Representatives		
CAA Audit Team		

COMMENTS MADE BY THE AUDIT MANAGER TO THE OPERATOR'S REPRESENTATIVES		
Operations		
Training		
Administration		
Documentation		
Recommendations		
<b>SIGNATURE OF FOD INSPECTOR</b>	<b>NAME IN BLOCK LETTERS</b>	<b>DATE</b>
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>		
<b>SIGNATURE OF OPERATOR'S REPRESENTATIVE</b>	<b>NAME IN BLOCK LETTERS</b>	<b>DATE</b>



## 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.