



CIVIL AVIATION SAFETY AND SECURITY OVERSIGHT AGENCY

CHECKLIST

CAA: CL-OPS003
June 2017

APPROVAL OF QUALITY SYSTEM/MANUAL CHECKLIST

Name of Operator:
Date of Evaluation:
Type of Operation:
Inspector(s): /
Assessment Code: S=Satisfactory; U = Unsatisfactory; N/C= Not Checked; N/A= Not Applicable

Item	Assessment			
	S	U	N/C	N/A
AMINSTRATION				
1 Bound in a secure form (not loose)?				
2 Exterior of binder clearly indicates manual content?				
3 CAA approval page				
4 Table of contents?				
5 Revision Instructions adequate?				
6 List of effective pages provided and correct?				
7 Distribution List				
8 Abbreviations and Acronyms				
9 Definitions				
10. Company commitment				
GENERAL ORGANIZATION				
11 Forward				
12. Brief History of the Company				
13. Company resources (human resources and fleet composition)				
14. Company organizational structure				
QUALITY MANAGEMENT SYSTEM				
15. Purpose; Statement that quality system should enable the operator to monitor compliance with;				
a. Relevant sections of the CARs?				
b. Operations, Maintenance Control Manual?				
c. Any other standards established by the AOC holder or CAA?				

16. Quality Policy and Strategy				
a. Formal policy statement from Accountable Manager?				
b. Explain what the system is intended to achieve?				
c. Does Accountable Manager have overall responsibility for the Quality System?				

Item	Assessment			
	S	U	N/C	N/A
17. Quality Assurance Programme Ensures that all operations and maintenance is conducted in accordance with all applicable requirements, standards and procedures.				
a. Quality Assurance Organizational Structure; structured according to the size and complexity of the operation				
b. Quality Manager/s (Operations and/or Maintenance)				
- Commitment to apply uniform quality system - Responsibilities as per CARs				
18. Quality Auditors				
a. Have relevant training or operational experience?				
b. Responsibilities clearly defined?				
c. Full time auditor or Part time auditor?				
d. Internal or External?				
19. Auditor's Independence				
a. No day-to-day involvement in the area to be audited				
b. Procedures developed to ensure auditor selected has no involvement with the activities to be audited?				
c. Authorised internal auditors; Persons within company authorised to conduct quality inspections and audits, identify and record findings and concerns, initiate recommended solutions to concerns or findings, verify the implementation of solutions and report directly to the Quality Manager identified?				
20. Audit Scope; Are the following areas as a minimum included in the scope of the operator's audits:				
a. Organization				
b. Plans and company objectives				
c. Operational Procedures				
d. Training				
e. Flight Safety				
f. Mass, balance and aircraft loading				
g. Instruments and safety equipment				
h. Manuals, logs and records				
i. Flight and duty time limitations, rest requirements and scheduling				
j. Aircraft maintenance/operations interface				
k. Maintenance programmes and continued airworthiness				
l. Flight crew				

m. Dangerous goods				
21. Quality Inspections; Ensures through observation that established operational procedures and requirements are followed during the accomplishment of events and that the standards are met				

Item	Assessment			
	S	U	N/C	N/A
22. Audits				
a. Procedure for explaining the scope of the audit?				
b. Procedure for planning and preparation				
c. Audit timetable				
d. Audit Team				
e. Process for gathering and recording evidence				
f. Process for analysis of the evidence?				
g. Audit report				
23. Audit Scheduling				
a. Defined audit schedule?				
b. Periodic review cycle?				
c. Allow for unscheduled audits?				
d. Allow for follow-up audits?				
e. All aspects of operation reviewed in 12- month period				
24. Monitoring and Corrective Action				
a. Procedure established to monitor regulatory compliance on a continuing basis (scope)?				
b. Is non-compliance communicated to the relevant manager?				
c. Is non-compliance recorded?				
d. Are corrective actions developed in response to findings (issues)?				
e. Corrective actions monitored to verify completion and to verify effectiveness?				
25. Corrective Action Following each quality inspection/audit, is:				
a. Immediate need for corrective action established?				
b. Origin of the finding established?				
c. Type of corrective action determined (findings analysis & classification)?				
d. Corrective action schedule established (time limit definition)?				
e. .Individual/department responsible for implementing corrective action identified?				
f. Does the Quality Manager verify that the responsible manager takes corrective action?				
g. Monitoring the implementation and completion of corrective action?				
h. Providing management with an independent assessment of corrective action implementation and completion?				
i. Evaluating the effectiveness of corrective action through follow-up?				
j. Procedure for when corrective action not completed within				

stated time limit?				
26. Document Control Procedures Are procedures developed to ensure documents are:				
a. Authorized?				
b. Adequate?				
c. Security classified?				
d. In standardized form?				
e. Revised and amended when required?				
f. Appropriately distributed?				
g. Stored?				
h. Periodically reviewed?				
i. Appropriately disposed?				

Item	Assessment			
	S	U	N/C	N/A
27 Management Evaluation				
a. Process for identification of trends?				
b. Prevention of non-conformities?				
c. Does the Accountable Manager determine frequency, format and structure of management evaluation activities?				
d. Management Evaluation Report				
28. Quality System Training For those responsible for managing the quality system, does training cover:				
a. An introduction to the quality system concept?				
b. Quality management?				
c. Concept of quality assurance?				
d. Quality manuals?				
e. Audit techniques?				
f. Reporting and recording?				
g. The way the quality system will function in the company?				
For those not responsible for managing the quality system, does training cover:				
A briefing on the way the quality system will function in the company				
29. Quality Systems Records; Process established for retaining the following records for 5 years				
a. Audit schedules?				
b. Quality inspection and audit reports?				
c. Responses to findings?				
d. Corrective action reports?				
e. Follow-up and closure reports?				
f. Management evaluation reports?				
QUALITY SYSTEMS FOR SMALL/VERY SMALL OPERATORS				
a. Employ a quality manager				
b. Does AOC holder tailor its quality system to suit the size and complexity				

