

CONDUCTING BASE INSPECTIONS

GUIDANCE MATERIAL FOR INSPECTORS

CA AOC-012

SOUTH AFRICAN



CIVIL AVIATION AUTHORITY

AIR OPERATOR CERTIFICATION

Subject: CONDUCTING BASE INSPECTIONS

Date: 18 September 2015

APPLICABILITY:

Regulatory References:
SA CAR Part 121.06.4
SA CAR Part 121.06.5

PURPOSE.

The purpose of this document is to give direction and guidance to CAA operations inspectors for conducting base inspections.

CONDUCTING BASE INSPECTIONS

I. GENERAL.

The following Civil Aviation Regulations have relevancy regarding base inspections:

121.06.4 (1) An operating certificate shall be valid for such period as may be determined by the Commissioner: Provided that such period shall not exceed a period of 12 months from the date of issuing thereof.

(2) If the holder of an operating certificate applies at least 30 days prior to the expiry thereof for a renewal of the operating certificate the operating certificate shall, notwithstanding the provisions of subregulation (1), remain in force until notified by the Commissioner of the result of the application for its renewal.

Safety inspections and audits

121.06.5 (1) An applicant for the issuing of an operating certificate shall permit an authorised officer, inspector or authorised person to carry out such safety inspections and audits which may be necessary to verify the validity of an application made in terms of Regulation 121.06.2.

(2) The holder of an operating certificate shall permit an authorised officer, inspector or authorised person to carry out such safety inspections and audits which may be necessary to determine compliance with the appropriate requirements prescribed in this part.

II. DEFINITION.

A base inspection is an important function that provides the CAA with a comprehensive review of all of an operator's activities.

III. LOCATION OF INSPECTION.

A base inspection is usually conducted at the operator's main base of operations or place of business. In some cases, operators may elect to retain selected records at different locations, such as at an office

located in a residence, at an office building, or in portable files. The locations may differ as widely as the operators' activities differ.

IV. INSPECTION PREPARATION.

- A. Prior to conducting a base inspection, the inspector should review and become familiar with:
1. General correspondence with the operator.
 2. Any applicable manuals.
 3. ISO OP001 Flight Operations
 4. Previous base and station inspections

V. NOTIFICATION OF INSPECTION.

The inspector should notify the operator to arrange a time when the appropriate personnel and aircraft will be available for the inspection.

VI. OPERATOR BRIEFING

1. Entry meeting agenda
2. Introduce the team.
3. Explain the purpose of the inspection/audit.
4. Emphasise confidentiality of the inspection/audit.
5. 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.
6. 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.
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.

VII. CONDUCT OF INSPECTION.

The strategy used by an inspector for accomplishing a base inspection depends on the size and complexity of the operator. Because operators conduct business in a variety of ways, it is not necessary to identify each item that must be examined during a base inspection. The various inspection checklists will aid the inspector in accomplishing a base inspection and can be used to record the results. During initial certification, evaluation of some items cannot be conducted until the demonstration flights. To complete a base inspection, inspectors should examine, as a minimum, the items that follow.

It is not the intention of the CAA to intimidate operators with a large group of inspectors during base inspections. In the case of small to medium sized operators one flight operations and one airworthiness inspector should suffice. For more complex and specialised operators a combination of the following inspectors may be required:

1. Cabin Safety
2. Dangerous Goods/Cargo
3. Avmed
4. Security

A. OpSpecs.

The inspector should review the operator's OpSpecs to ensure the type of operation proposed is reflected in the base inspection.

B. Operations Manual.

If the operator has either partial or full manuals that provide guidance for flight or ground personnel, the inspector should complete an inspection of the manuals, as applicable.

1. The inspector should determine whether or not manual procedures are being followed by interviewing operator personnel or by observing employees in the performance of their duties.
2. The inspector must ensure that the CAA and operator manuals correlate regarding amendments and that all amendments have been approved.

C. AREAS OF FOCUS

The following points are contained in detail in checklists 121.18(a), (b), (c) and (d). Organisational Structure Management Structure Documentation and records management Flight Safety management

1. Quality Assurance
2. Emergency Management
3. Flight Operations (Operational Control)
4. AOC
5. Opspecs
6. Operations Manuals
7. Operations Facilities
8. Dispatch/Flight Following
9. Leasing
10. MEL
11. Routes and areas of operation
12. Aircraft Documentation
13. Special Authorisations
14. Policies and Procedures
15. Performance
16. AWOPS
17. Training and standards
18. Cabin safety
19. Dangerous goods
20. Safety and Security

D. Records.

The inspector should conduct the following records inspections (To ensure operator has an adequate system for tracking and storing):

1. Trip records
2. Flight and duty time records
3. Training records
4. Operations records

E. Aircraft.

If practical, the inspector should examine, during a base inspection, the aircraft used by the operator. In addition to inspecting the aircraft to determine whether or not it is in airworthy condition, the inspector should examine the following items for compliance:

1. Airworthiness and registration certificates
2. Aeroplane limitations and required placards
3. Approved aircraft flight manual (AFM) or AOM carried on board
4. Empty weight and centre of gravity (CG) calculations
5. Instruments and equipment
6. The approved minimum equipment list (MEL) and its use as authorised by the OpSpecs.(if applicable)
7. Aircraft records available for inspection

F. Operational Information.

The inspector should inspect the operator's proposed method of control of flight operations (if for initial certification) and continuous reliable operational control (annual base inspection).

G. Facilities.

The inspector should inspect the various physical elements to ensure the facilities support the proposed flight operations.

NOTE: Some operators may elect to retain aircraft maintenance records at the location where maintenance is performed; this location may differ from the operator's main base of operations.

VIII. DEBRIEFING.

The inspector should plan to debrief the operator as part of the base inspection. Quite often the operator may have participated directly in the inspection and may have the capability to make corrections quickly. The following debriefing points apply:

- The debriefing should include both acceptable and unacceptable areas.
- The inspector must be clear when indicating any areas that the operator must correct before further operations can be conducted.
- The inspector should advise the operator that a formal letter containing a listing of the non-compliances (if any) will be sent to the operator and made part of the operators file.
- The inspector should schedule any required follow-up inspections.

IX. NOTIFICATION OF NON-COMPLIANCES

When non-compliances are discovered, inspectors should:


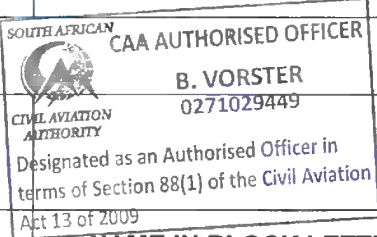
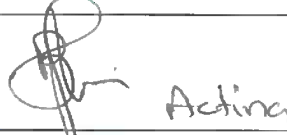
- Inform the operator in writing of the non-compliances.
- Cite the unacceptable procedure, policy, instruction or method and explain how it is inconsistent with the appropriate regulation.
- During the AOC initial certification process, inform the operator that certification approval cannot be granted until the non-compliances are resolved.
- Schedule a follow-up inspection.
- Inform the operator that the re-inspection is at the operators cost.
- At the conclusion of the follow-up inspection, debrief the operator.

X. TYPES OF NON-COMPLIANCES

- Severe non-compliance: (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)
- Major non-compliance: (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)
- Non-compliance: (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.)

XI. AOC ISSUANCE

The procedure detailed in ISO OP001 must be followed by the inspector for final AOC issuance.

REVIEWED & VALIDATED BY:		
	PULE RAMOLEFI	2015 -09- 15
SIGNATURE OF SENIOR MANAGER: FOD	NAME IN BLOCK LETTERS	DATE
APPROVED BY:		
 Acting	B. VORSTER 0271029449	2015 -09- 16
SIGNATURE OF EXECUTIVE MANAGER: ASO	NAME IN BLOCK LETTERS	DATE

END