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|---|
| CHECKLIST FOR CABIN SAFETY AUDIT & INSPECTION (PART 121) |
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|---------------------------|--|-------------------|--|
| Name of operator | | | |
| Physical address | | | |
| | | Postal code | |
| Postal address | | | |
| | | Postal code | |
| Telephone number | | Fax number | |
| Cell phone number | | E-mail address | |
| Audit team | | | |
| | | | |
| Base of operations | | | |
| Date application received | | Operations number | |
| Date of last audit | | | |
| Date of this audit | | | |

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.

| CAR Ref | REQUIREMENTS | Not Applicable | Yes | No | Note Number |
|------------------------|---|----------------|-----|----|-------------|
| | GENERAL | | | | |
| | What was the purpose of the previous audit? | | | | |
| | Was there an audit follow-up required and was it completed? | | | | |
| | Are there any outstanding audit findings? | | | | |
| | Have they been attended to? | | | | |
| | Have there been any changes in the Operator's Post Holders, scope, size, aircraft and type of service since the previous audit? | | | | |
| | What are the implications? | | | | |
| | INSPECTION PROCESS | | | | |
| | Where questions do not have definitive "YES" or "NO" or "N/A" answers, the operator is to provide the inspector with satisfactory evidence of compliance | | | | |
| | ORGANIZATIONAL STRUCTURE | | | | |
| CATS 121.04.2.2.1.2 | Nominated Post Holders: | | | | |
| | Manager: Cabin Crew | | | | |
| | Manager: Cabin Crew Training | | | | |
| | Are their responsibilities and functions defined and formalised? | | | | |
| | MANAGEMENT | | | | |
| | Is there a formal management system in place? | | | | |
| | Is there a description and organogram? | | | | |
| | Are the following persons reflected on the organogram? | | | | |
| | • Cabin Crew | | | | |
| | • Manager: cabin crew | | | | |
| | • Manager: cabin crew training | | | | |
| | Are they contained in the Ops manual? | | | | |
| | Has senior management ensured that duties, responsibilities and authorities are defined, documented and communicated within the organisation? | | | | |
| | In the case of Quality Assurance and Safety Management, is there a clear delineation of functional tasks and lines of reporting established and functioning? | | | | |
| | Is effective succession, delegation or deputation of these responsibilities and others, which are critical to the operation, made when the principle office holders are absent? | | | | |
| | Does senior management formally and actively commit to the development and implementation of a company safety and quality policy as a top priority? | | | | |
| | Are safety and quality objectives included in the description of duties and responsibilities of senior management? | | | | |

| CAR Ref | REQUIREMENTS | Not Applicable | Yes | No | Note Number |
|------------------------|---|-------------------|-----|----|----------------|
| | DOCUMENTATION & RECORDS MANAGEMENT | | | | |
| | Does the Management system documentation include operations and Training manuals required by CAA? | | | | |
| | The organisation shall maintain the validity of its documentation ensuring they are reviewed, amended and updated as required. Documents shall also remain legible, readily identifiable and retrievable. Is this process controlled to ensure the above takes place? | | | | |
| | How? | | | | |
| 121.04.2/ AIC 30.14 | FLIGHT SAFETY MANAGEMENT | | | | |
| | Is there a Safety management system? | | | | |
| | Is the Safety Manager independent from line and operational management activities and reporting directly to the CEO/Accountable manager? | | | | |
| | Confirm | | | | |
| | Is there a control/feedback system enabling Safety and Quality related concerns to be addressed to Senior management and to ensure corrective and preventive actions are carried out as necessary? | | | | |
| | What form does it take? e.g. Are minutes/records of Safety and other related meetings kept specifying persons responsible, action required, action taken, return dates and feedback to Senior management, etc? | | | | |
| | Are these minutes distributed to the appropriate persons? | | | | |
| | How is this process controlled? | | | | |
| | Is there periodic dissemination of flight safety related info for the continuing education of personnel? | | | | |
| | How is this done? | | | | |
| | Is there a method to effectively utilise confidential human-factors reporting and feedback for flight- and cabin crew? | | | | |
| | What form does it take? | | | | |
| | NOTES: | | | | |
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| CAR Ref | REQUIREMENTS | Not Applicable | Yes | No | Note Number |
|---|---|----------------|-----|----|-------------|
| CATS 121.04.2& AIC 18.28. OPS MANUAL | QUALITY ASSURANCE AND AUDIT | | | | |
| | ORGANIZATIONAL STRUCTURE | | | | |
| | Is there a Quality Assurance system and associated policy statement? | | | | |
| | Is the Quality Manager independent from line and operational management activities (preferably not one of the nominated post holders but could be the CEO if he/she is not one of the nominated post holders as well) and reporting directly to the CEO/Accountable manager? | | | | |
| | Confirm | | | | |
| | Is there a control/feedback system enabling Quality and Safety related concerns to be addressed to Senior management and to ensure corrective and preventive actions are carried out as necessary? | | | | |
| | What form does it take? e.g. Are minutes/records of Quality and other related meetings kept specifying persons responsible, action required, action taken, return dates and feedback to Senior management, etc? | | | | |
| | Are these minutes distributed to the appropriate persons? | | | | |
| | How is this process controlled? | | | | |
| | QUALITY AUDITS (QA'S) | | | | |
| | The purpose of QA's is to confirm that Operator policies, structures, facilities, resources and procedures remain relevant to the Operator's operation; to ensure conformance with regulatory and management system requirements; and identify potentially unsatisfactory practices or procedures before they cause an accident or incident. | | | | |
| | Are audit reports submitted to the CEO/Accountable manager and other relevant managers at the completion of each audit? | | | | |
| | How is this ensured/controlled? | | | | |
| | Are cabin safety audits conducted? | | | | |
| | Confirm – peruse audit reports, and corrective action taken | | | | |
| | Frequency of cabin safety audits? | | | | |
| | EXTERNAL AUDITING | | | | |
| | If external auditing is catered for, is there organisational control within the Operators management organisation/system? | | | | |
| | Provide details of external auditing. | | | | |
| | Are the results documented? | | | | |
| | Is the report distributed to all the applicable managers? | | | | |
| | How is this controlled and ensured? | | | | |
| | Is there a method of control to ensure that the required corrective and preventive action takes place? | | | | |
| Where is this documented? | | | | | |

| CAR Ref | REQUIREMENTS | Not Applicable | Yes | No | Note Number |
|-------------------------------|--|-------------------|-----|----|----------------|
| CAR 121.01.5 – 121.01.9 | LEASE AGREEMENTS/CONTRACTS | | | | |
| | Does the operator have any current lease agreements/contracts | | | | |
| | Are cabin crew affected by these lease agreements? | | | | |
| | If yes, how so? | | | | |
| | REPORTING | | | | |
| | The Reporting System detailed below is aimed at keeping management and other functions informed about the performance in the Fit Ops fields. Reports should consist of the following: | | | | |
| | Is there a cabin crew reporting system in place? | | | | |
| | Are these reports distributed to concerned dept's/managers? | | | | |
| | Is there a formal feedback process and are actions taken without delay to eliminate detected non-compliances and ensure corrective and preventive actions are carried out? | | | | |
| | How is this recorded and controlled? | | | | |
| | FLIGHT OPERATIONS | | | | |
| | The operator shall ensure that all aircraft are operated in compliance with the operations/cabin crew member manual and other applicable regulatory/restrictive documents and procedures | | | | |
| | OPERATIONAL ASPECTS | | | | |
| | ORGANISATION/MANAGEMENT | | | | |
| | Is there an adequate organisation, method of control and supervision of cabin crew? | | | | |
| | How is this ensured? | | | | |
| | Are there sufficient qualified personnel to maintain safe flight operations? | | | | |
| | Confirm | | | | |
| | Is the Flight Operations Management System reviewed at regular planned intervals? | | | | |
| | NOTES: | | | | |
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| CAR Ref | REQUIREMENTS | Not Applicable | Yes | No | Note Number | |
|--|---|---|-----|----|-------------|--|
| ICAO Annex 6 | OPERATIONS SPECIFICATIONS | | | | | |
| | Are Operations Specifications documented? | | | | | |
| | Are they authorised by CAA? | | | | | |
| 121.04.2 VOL 3 | OPERATIONS MANUAL | | | | | |
| | Does the operations manual make reference to the cabin crew manual and visa versa | | | | | |
| | Are cabin crew manuals compiled internally or outsourced? | | | | | |
| | If outsourced, to whom? | | | | | |
| | Is the Ops Manual/cabin crew member manual CAA approved, amended and does it reflect current policy and procedures? | | | | | |
| | Does the cabin crew manual contain all the modules as stipulated in the manual standards? | | | | | |
| | Do cabin crew have unobstructed access to the cabin crew manual while onboard the aircraft? | | | | | |
| | Are cabin crew members issued a personal copy of the cabin crew member manual? | | | | | |
| | Is there a documented process for the distribution of the manual? | | | | | |
| | Is there a documented process for the revision of the manual? | | | | | |
| | Do cabin crew and other relevant managers and departments have a copy of the cabin crew manual? | | | | | |
| | Are flights carried out in accordance with the policies and procedures contained in the Ops manual? | | | | | |
| | How is this compliance ensured and controlled? | | | | | |
| | Are crew kept current on the contents of the Ops manual? (E.g., Periodic open book quizzes). | | | | | |
| | How? | | | | | |
| | Does the operations manual contain a CAA approved training programme? | | | | | |
| | CAR 121.07.3 – 121.07.4 | OPERATIONAL CONTROL AND SUPERVISION | | | | |
| | | Are there regular, documented flight operations meetings and reviews? | | | | |
| Is cabin safety included in these meetings and reviews? | | | | | | |
| Are minutes kept and is there a control/feedback system enabling concerns to be addressed to Senior management and to ensure corrective and preventive actions are carried out as necessary? | | | | | | |
| What form does it take? | | | | | | |
| Is there a process for establishing operational policies and procedures? | | | | | | |
| Where? | | | | | | |
| Are operations personnel receiving safety/operational information in a timely manner | | | | | | |

| CAR Ref | REQUIREMENTS | Not Applicable | Yes | No | Note Number |
|----------|---|----------------|-----|----|-------------|
| | What is the process? | | | | |
| | BUILDING AND BASE FACILITIES | | | | |
| | Are office facilities adequate? | | | | |
| | Are there adequate passenger handling facilities/equipment? | | | | |
| | Is there an Operations library? | | | | |
| | Are there crew-briefing facilities? | | | | |
| | Are there crew- and staff rest rooms? | | | | |
| | LINE OPERATIONS | | | | |
| | The operator's line operations shall be conducted in a safe and reliable manner supported by well documented general, normal, abnormal and emergency procedures | | | | |
| | Does the Operator ensure that each flight is appropriately manned? | | | | |
| | How? | | | | |
| | Does the operator ensure that the required comprehensive flight briefings are carried out? | | | | |
| | How? | | | | |
| 91.01.7 | Does the operator have a policy for admission to the flight deck? | | | | |
| 91.07.3 | Does the operator have a policy for refuelling / defuelling with passengers onboard | | | | |
| | Are in-flight proficiency checks conducted? | | | | |
| | By whom, and how often? | | | | |
| 91.07.20 | PASSENGER BRIEFINGS | | | | |
| | Does the operator's safety briefing card contain all the required information? | | | | |
| | Does the operator make use of an audio-visual presentation? | | | | |
| | If yes, has this been approved by the CAA? | | | | |
| 91 | AIRCRAFT EQUIPMENT | | | | |
| | Is sufficient O2 carried for flights above 10 000ft? | | | | |
| | Does the Operator ensure that there is one, easily accessible, life jacket/flotation device for each person on board? (>50nm from shore; over water, beyond gliding distance where on take off or landing ditching is likely) | | | | |
| | Does the operator carry the required number of first aid kits? (0 – 99 =1; 100 – 199 =2 etc) | | | | |
| | Does the operator carry the required number of PBE's? 1 per required cabin crew member, 15 min | | | | |
| | Does the operator carry the required number of hand held fire extinguishers? | | | | |
| | Does the operator carry the required number of life rafts and survival equipment? (If applicable) | | | | |

| CAR Ref | REQUIREMENTS | Not Applicable | Yes | No | Note Number |
|--|--|-------------------|-----|----|----------------|
| | GENERAL | | | | |
| | How does the operator ensure that crewmembers required to wear corrective lenses carry a spare set? | | | | |
| | Does the operator have a policy on: Alcohol use and testing? | | | | |
| | Drug use and testing? | | | | |
| | Is there a policy regarding the deliberate violation of procedures? | | | | |
| CAR 121.04.1 CATS 91.03.5 Operations Manual CATS 121.04.2 | DOCUMENTATION | | | | |
| | Operational documentation shall be in good condition, readily identifiable, complete, clear, and legible and user friendly. | | | | |
| | How does the Operator ensure and control this? | | | | |
| 121.02.10 (Part 2 and CATS) | CAR/CATS | | | | |
| | Are the CARS/CATS updated and complete? | | | | |
| | FLIGHT AND DUTY | | | | |
| | Has the Operator established flight- and duty time limitations? | | | | |
| | Where? | | | | |
| | How is it monitored / controlled? | | | | |
| | Are records kept? | | | | |
| | Verify records | | | | |
| | Is other commercial flying tracked and accounted for? | | | | |
| | Does the cabin crew member sign a declaration declaring that he/she will not be exceeding their limits by undertaking this flight? | | | | |
| | If there is a requirement to exceed these limits, is the crewmembers' permission obtained and is CAA informed/approval requested? | | | | |
| | NOTES: | | | | |
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| CAR Ref | REQUIREMENTS | Not Applicable | Yes | No | Note Number | |
|---|--|-------------------|-----|----|----------------|--|
| CATS 121.4.2 PART 1 Par. 2.1.11 | TRAINING AND STANDARDS | | | | | |
| | Is formal training catered for and where is it documented? | | | | | |
| | Is the training program and its requirements, together with syllabi/ curriculum outlined in the Ops manual? | | | | | |
| | Is training conducted in-house or outsourced? | | | | | |
| | If outsourced, to which ATO? | | | | | |
| | Is there a formal contract in place with this ATO? | | | | | |
| | Confirm | | | | | |
| | Are there satisfactory training facilities? | | | | | |
| | Confirm | | | | | |
| | Are training manuals updated to reflect current procedures? | | | | | |
| | How is this process controlled? | | | | | |
| | Does the Operator provide initial and recurrent training programs, which ensure that all cabin crewmembers are adequately trained? | | | | | |
| | Where is this documented? | | | | | |
| | Does the Operator provide a SCCM training program for new SCCM's? | | | | | |
| | Is currency and recency controlled if the cabin crew are operating on more than one type? | | | | | |
| | How? | | | | | |
| | Does the training program include joint-crew SEP training? | | | | | |
| | Is the syllabus CAA approved? | | | | | |
| | Is pilot SEPT signed out by a cabin crew DE? | | | | | |
| | Is there a refresher program for cabin crew whose recency has lapsed? | | | | | |
| | Confirm | | | | | |
| | Is there a system in place to ensure that crew are current in all aspects of Part 121 training requirements? | | | | | |
| | How is this monitored/controlled? | | | | | |
| | NOTES: | | | | | |
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| CAR Ref | REQUIREMENTS | Not Applicable | Yes | No | Note Number |
|---------------------------------------|--|----------------|-----|----|-------------|
| | TRAINING/QUALIFICATION RECORDS | | | | |
| | Does the Operator maintain accurate records of all training qualifications for cabin crew? (Including copies of licences, medicals and all relevant records and reports) | | | | |
| | Confirm documentation | | | | |
| | Are the records monitored for due dates, etc? | | | | |
| | How/by whom? | | | | |
| Recom- mendation | CRM | | | | |
| | Are all cabin-crewmembers trained in CRM? | | | | |
| | Is there initial and recurrent training by specially trained facilitators? | | | | |
| | <ul style="list-style-type: none"> • Recurrent training every 12 months • Course completed over 4 year period | | | | |
| CAR Part 92 | DANGEROUS GOODS | | | | |
| | Is the Operator authorised to carry Dangerous Goods in accordance with Part 92? | | | | |
| | Are flight-crew members trained in the required aspects of Dangerous Goods? | | | | |
| | Is there initial and recurrent training? | | | | |
| | Recurrent training every 24 months: Are the crew notified when Dangerous Goods are carried? | | | | |
| CATS- FCL-64 And CATS 121 | PRACTICAL TRAINING / DRILLS | | | | |
| | Are initial/recurrent/type rating practical drills conducted on the actual aircraft that the cabin crew member will be operating on? | | | | |
| | Confirm documentation | | | | |
| CAR 121.03.11 | Are familiarisation flights completed by each cabin crew member, following type / differences training? | | | | |
| | Confirm proof thereof | | | | |
| CATS- FCL-64 | Are flight deck observation flights completed by each cabin crew member during initial training? | | | | |
| | Confirm proof thereof | | | | |
| CATS- OPS-121 | Are pilot incapacitation drills completed by each cabin crew member annually? | | | | |
| | Confirm proof thereof | | | | |
| | FLIGHT SIMULATORS- (If applicable) | | | | |
| | Does the operator utilise cabin simulators as part of Cabin crew training | | | | |
| | Is the simulator representative of the aircraft type the cabin crew operate on? | | | | |
| | Are simulators CAA approved? | | | | |
| | Is there recurrent certification by CAA? | | | | |
| | NOTES: | | | | |
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| CAR Ref | REQUIREMENTS | Not Applicable | Yes | No | Note Number |
|--------------------|--|----------------|-----|----|-------------|
| INT BEST PRAC-TICE | FLIGHT CREW HIRING | | | | |
| | Is there an established process whereby all cabin crew candidates are appropriately screened and satisfy the minimum aviation experience requirements? | | | | |
| | Is it documented? | | | | |
| | Where? | | | | |
| | Is there a screening process for SCCM upgrade candidates? | | | | |
| | Where is this documented? | | | | |
| NASP | SAFETY AND SECURITY | | | | |
| | Does the Operator provide adequate security training for all crewmembers? | | | | |
| | Does the operator conduct security checks of the aircraft before the first flight of the day? | | | | |
| | Does the operator have a security checklist? | | | | |
| | Does the accountable flight deck / cabin crew member sign the checklist? | | | | |
| | NOTES: | | | | |
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DEBRIEF

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|---|------------------------------|--|-------------|---------------------|
| Operator Representatives | | | | |
| | | | | |
| Team | | | | |
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| Operations | | | | |
| | | | | |
| Training | | | | |
| | | | | |
| Administration | | | | |
| | | | | |
| Documentation | | | | |
| | | | | |
| Recommendations | | | | |
| | | | | |
| Action Plan required: | YES | | NO | |
| | | | | Required by: |
| | | | | |
| 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

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)

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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)

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MINOR 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.)

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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.