|  |
| --- |
| Part A - Privileges of the organisation |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the address listed on the ATO certificate still up to date? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is all training that has been conducted listed on the ATO certificate? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| If applicable, are all FSTDs used listed on the certificate for the respective training? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the list of instructors up to date and has it been sent to the competent authority? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the list of aircraft up to date and has it been sent to the competent authority? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| If applicable, do all agreements for additional use of privately owned aircraft exist and have they been sent to the competent authority? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| If applicable, does a written agreement exist for all contracted activities and has it been sent to the competent authority? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| … | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |
| --- |
| Part B - Manuals, logs and records |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is safety-related documentation and publications available? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the ATO documentation adequate and updated? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Can staff easily access the management system, safety policy and ATO documentation when needed? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Do the records cover all the training activities and management system processes? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Are the records in compliance with the minimum record keeping periods (random checks)? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Are the student and instructor files complete and up to date (random checks)? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Are the records easily accessible and protected from unauthorized access, damage, alteration and theft? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| If applicable, are all available OSDs present and up to date? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| … | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |
| --- |
| Part C - Training standards |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the training practice (theoretical knowledge instruction and flying training) in compliance with the ATO documentation and if there are changes, are they implemented in the documentation? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Were the flight instruction standardization actions performed according to the ATO documentation and if there are changes, are they implemented in the documentation? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Do all equipment and tools other than aircraft and FSTDs meet the criteria defined in the training manual (TM)? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Do the facilities meet the criteria defined in the training manual (TM)? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Do the training aircraft and FSTDs meet the criteria defined in the training manual (TM)? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Has the qualification of all new personnel (or personnel with new functions) been appropriately assessed? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Have the staff involved in any safety management-related processes and tasks been properly trained? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Have the staff been trained, as necessary, to cover changes in regulations, in competent authority publications, in the management system documentation and in associated procedures? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Are all personnel aware of safety management policies, processes and tasks? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the staff aware of the safety policy? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Are all staff aware of the ERP (random checks)? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Have all reporters received feedback? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the risk-assessment checklist used, in particular when significant changes occur (regulations, personnel, training aircraft, training courses, etc.)? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Are the risks assessed and the risk mitigation actions followed-up and recorded? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Are all risk mitigation actions initiated since the last internal audit effective? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| … | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |
| --- |
| Part D - Management system procedures and manuals |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the internal audit process implemented and functional? (Perform sample inspection of audit plan, audit checklist and report) | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the audit questionnaire kept up to date? (Perform sample inspection) | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Do auditors have the required independence, which means no day-to-day involvement in the area of the audited process/product? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Have any changes not requiring prior approval been managed according to the OMM? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| If there were changes to EU regulations, are the training course syllabi and material in compliance with the applicable requirements, as last amended (including changes to learning objectives)? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Are the current accountable manager and other nominated persons correctly stated in the documentation? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Does the organigram accurately indicate lines of responsibility and accountability throughout the organization (organigram)? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| In case if the number of personnel has decreased or the activity has increased, does the organisation remain in compliance with the applicable requirements? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Does the contracted or purchased service conform to the applicable requirements and have any new providers been assessed prior to the establishment of any contract? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Has safety-critical information derived from occurrence reporting and the hazard identification been timely communicated to all staff concerned? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the ERP up to date and readily available? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| In case the ERP has been activated, was it effective? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| How many reports have been received since the last internal audit and is the internal reporting and external occurrence reporting properly performed? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Are the safety reports analysed, including a root-cause analysis, and are corrective and preventive actions taken? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the risk-assessment checklist updated on an ongoing basis? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is the risk-assessment checklist made available to staff? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Is any risk that has been found acceptable duly justified? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| Do the assumptions made for the risk assessment remain valid? | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ☺ | ☹ | Finding, recommendation, comments, suggestion: | | Root-cause, corrective-/preventive action: | | Verification Date: | |
| … | |
| Sign ACM: | |
| Responsible: | Due Date: | Closing Date: | Sign: | Report Closed | 👍 |

1. All level 1 findings in the sense of ARA.GEN.350 should be immediately notified to the competent authority and all necessary actions immediately taken. The level 1 findings include:  
   (1) failure to give the competent authority access to the organisation’s facilities as defined in ORA.GEN.140 during normal operating hours and after two written requests;  
   (2) obtaining or maintaining the validity of the organisation certificate by falsification of submitted documentary evidence;  
   (3) evidence of malpractice or fraudulent use of the organisation certificate; and  
   (4) the lack of an accountable manager.