DOD MODEL PROGRAM
FOR
AIR CARRIER FLIGHT OPERATIONS

402 SCOTT DRIVE, UNIT 3A1
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INTRODUCTION

The Department of Defense (DOD) Commercial Airlift Division is mandated by public law and DOD directive to continuously monitor and oversee commercial air carriers doing business for the DOD. The survey and analysis office accomplishes this responsibility through on-site surveys and tabletop performance evaluations. The benchmark used during these evaluations is the DOD Commercial Air Transportation Quality and Safety Requirements. The DOD has compiled characteristics of air carrier programs that stand out as models for the industry. Each model represents a specific requirement that the DOD measures during evaluations.

Here we describe what we believe is a model or ideal flight operations program. The DOD does not mandate such a program, since not every carrier needs the level of detail presented. The program does represent a compilation of the most effective efforts we have seen.

An effective Flight Operations program contains several elements:

A. Operations management involvement

B. Administrative support

C. Flight manuals

D. Record keeping

E. Audit program

A. OPERATIONS MANAGEMENT INVOLVEMENT

Operations managers have documented, clearly defined policies and procedures, and are supportive of operations personnel.

1. The General Operations Manual (GOM) outlines duties and responsibilities of management personnel and line crewmembers.

2. Mid-level managers support the company programs outlined in the GOM.

3. All levels of management are accessible to all crewmembers and responsive to their inputs.

   a. Supervisors for each crew position and type of equipment are identified.

   b. Various communications such as hot lines, e-mail, read files, newsletters, websites, etc., are used to ensure operations personnel stay informed.

4. Management reviews crew pairings with an awareness of crew capabilities balanced against mission demands and risks.

5. Positive support for crewmembers exists on issues of safety and judgment. Crewmembers feel no undue pressure to take chances and understand that safety risks are the top priority when making decisions.

B. ADMINISTRATIVE SUPPORT

Administrative support is adequate to perform data entry, complete paperwork, and generate the reports necessary to accurately monitor the status of the crew force; such as qualification, currency, and manning.

1. Support requirements are clearly defined and understood by administration personnel.

2. Personnel creating the reports are knowledgeable of the subject and are able to recognize problems that require management intervention.

3. Communication between management, administration, and crewmembers is timely, and ensures all issues are rectified prior to flight.

a. Management receives reports in time to correct problems prior to flight.

b. A process is in place to advise key personnel of changes in a crewmember's status prior to their next flight.

C. FLIGHT MANUALS

Flight manuals describe company policies and procedures in a comprehensive, easy-to-read fashion.

1. Safety is clearly defined as top priority.

2. Subject material covers all areas of operations and appropriate areas of the safety program.

3. Manuals define duties and responsibilities for all crew positions.

4. Revisions are disseminated quickly and a reliable process ensures crewmembers have the most current manuals available.

D. RECORD KEEPING

Record keeping program ensures that flight records and personnel files are accurate and current.

1. Accuracy and completeness of crew records is a top priority.

2. Complete records are maintained in an easy-to-read, standardized format.

3. Data stored electronically is immediately available, accessible, and easy to review by any user.

4. An automated record system incorporates a process that ensures data entered into the system is correct.

E. AUDIT PROGRAM

An in-house audit process is in place to review flight operations on a regular basis.

1. All flight operations activities are reviewed and evaluated by qualified and trained personnel.

2. Previous audits are available to verify that findings have been corrected.

3. Audits are conducted in a thorough and unbiased manner.

4. Findings are documented and presented to operations management; root causes are analyzed and addressed; corrective actions are decided upon, implemented, and followed up by operations management for adequacy.

SUMMARY

The DOD believes flight operations programs built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

Air carriers desiring copies of DOD model programs should access the DOD Commercial Airlift Division public website at http://www.amc.af.mil/library/businesscustomers.asp or contact our office at Scott AFB IL, (618) 229-4801.

DOD MODEL PROGRAM
FOR
AIR CARRIER IN-FLIGHT PERFORMANCE
AND STANDARDIZATION PROGRAM

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INTRODUCTION

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Here we describe what we believe is a model or ideal flight operations program. The DOD does not mandate such a program, since not every carrier needs the level of detail presented. The program does represent a compilation of the most effective efforts we have seen.

The model flight standards program contains the following elements:

A. Management involvement

B. Checkride criteria

C. Check airman procedures

A. MANAGEMENT INVOLVEMENT

Management is involved in the standardization and feedback process.

1. Carriers with numerous check airmen have a separate flight standards division.

2. The flight standardization program encompasses trend analysis and feedback, and the training department adjusts the training program to respond to adverse trends.

3. Provisions exist for crewmember suggestions, and a feedback system is in place.

4. Aircrew performance data for all positions (including flight attendants) is collected and monitored to enhance continuous improvements.

5. Carriers hold periodic check airmen/instructor meetings with open forum discussions.

6. Aircrew feedback, performance indicators, and check airmen/instructor observations are analyzed to identify systemic problems and ensure comprehensive fixes are implemented.

7. Management disseminates information to aircrews concerning trends or special interest items.

8. Company has an established, effective aircrew-maintenance interface. Pilots are free from undue "mission comes first" pressures.

B. CHECKRIDE CRITERIA

Company has published checkride performance criteria.

1. Aircrews demonstrate proficiency in accordance with published company and CFR standards.

2. Carrier has published check airmen procedures available to all airmen, which contain acceptable performance criteria for specific maneuvers.

3. Checkride includes the evaluation of crew coordination techniques and knowledge of company procedures.

4. Crews demonstrate crew discipline, knowledge of aviation rules, use of standardized procedures, adherence to checklists, and emphasize safety and security.

5. Substandard performance is documented and tracked, including documentation of additional training accomplished during evaluations.

C. CHECK AIRMAN PROCEDURES

Company has established procedures to select check airmen from the most qualified candidates.

1. Procedures for selection and upgrade to check airmen are based on airmanship, experience, and attitude of the pilot.

2. Pilots are not selected as check airmen solely because of their management position or seniority.

3. Every check airman completes a formal training program, which is documented in their pilot record.

SUMMARY

The DOD believes programs built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

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DOD MODEL PROGRAM
FOR
AIR CARRIER INTERNAL AUDIT EVALUATION PROGRAM

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INTRODUCTION

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Here we describe what we believe is a model or ideal internal audit program. FAA Advisory Circular 120-59A can also be referenced to enhance program development. Internal audits assist managers in identifying problem areas and becoming proactive in implementing corrective actions. The DOD does not mandate this precise program, since not every carrier needs the level of detail presented. This model program is broken into two components.

A. Overview of an internal audit program

B. Components of an internal audit program

A. OVERVIEW

1. A company-wide internal audit program is implemented to provide formal, continuous self evaluations of an air carrier's operations, safety, and maintenance activities. This effort encompasses all stations, domiciles, line stations, and maintenance bases. The program focus is to ensure that the carrier operates in accordance with regulatory, customer,

and company requirements. Internal audit programs are frequently separate from the other management functions. Separation can be achieved for example, by establishing a separate safety, internal audit, or quality assurance/control department.

2. Scope of an internal audit program. A scheduled, continuous internal audit program evaluates the effectiveness of all programs, and in some cases, influences process improvements. The program identifies deficiencies, seeks out root causes, implements corrective actions, and verifies corrective action effectiveness. Areas to be considered for inclusion in the internal audit program include:

MAINTENANCE

Aircraft Inspections	Maintenance Program/Reliability
Facilities	Vendor Files
Aircraft Records	Aircraft Appearance
Unscheduled Maintenance	Stores Operation
Fuels Program	Maintenance Control/Planning
Maintenance Training	Manuals
Maintenance Staff Functions	Equipment Calibration
Quality Assurance/Control	Deferred Maintenance

OPERATIONS

Ops Specifications	Aircrew Training
Internal Evaluation Program	Safety Program
Captain Upgrade	Manuals
Aircrew/Dispatch	HAZMAT Procedures
Records	Hiring Procedures
Scheduling	Charter Procedures
Flight Planning/Dispatch	Ground Operations/Cargo Handling
Flight Control	Security

B. COMPONENTS OF AN INTERNAL AUDIT PROGRAM

1. The internal audit program is outlined in the company's maintenance manual, operations manual, or a stand-alone document. The program definition includes:

a. An organizational diagram depicting management involvement in the program.

b. Duties and responsibilities of personnel involved.

c. Policies and procedures for implementation, performance, and modification of the internal audit program.

d. Areas to be audited, audit objectives, and required frequencies.

e. Follow-up procedures.

f. Procedures to be used to provide ongoing, continual oversight of areas.

g. Format for audit reports (reporting procedures) and responses to findings.

h. Definitions of any unique terms.

i. Auditor qualification requirements.

j. Document control.

k. Proactive real-time data analyzed for risk-based programs.

2. Senior managers are involved in reviewing program effectiveness.

a. Management involvement includes oversight of overall program effectiveness, review of audits and responses, and periodic scheduled meetings to analyze results.

b. Management participation should be at a level above those with direct supervision of the audited functions. Management level should include the decision authority to make changes based on audit results.

3. Skilled, knowledgeable, and trained auditors/inspectors are available in adequate numbers. Appointment and training of auditors is documented.

4. Formal schedule outlines of all areas to be audited, audit due dates, and any required follow-up activities. Audits and reviews of time-sensitive areas should be conducted on a continual basis, rather than a one-time annual schedule.

5. System exists to plan audits, track audit accomplishment, monitor discrepancies, and highlight necessary follow-up actions. Process should identify audits or responses that are overdue. In addition, it should ensure audits are not closed until all findings are answered in an acceptable manner.

6. Focused audit checklists are used to inspect all areas on a recurring basis.

7. Findings are documented and forwarded to functional areas for corrective action. Findings should be tracked by the internal audit program manager to ensure discrepancy resolution.

8. Formal procedures ensure that the root cause of all discrepancies is identified and corrected to prevent recurrence. Corrective actions that only address surface or superficial fixes should be rejected. Corrective action plans and timelines should be developed when deficiencies can not be resolved quickly. Follow-up audits are used to verify elimination of deep-rooted problems and ensure corrective action plans are effective.

9. Files are maintained. They include the most recently completed report, the previous audit report, audit checklist with findings identified, and documentation of discrepancy resolution. Concise audit summaries can be used for trend analysis of discrepancies.

10. A formal system is used by management to analyze audit results and identify areas that fall short of company expectations.

a. Periodic reports are provided to appropriate senior management personnel.

b. Action plans are developed to raise performance to meet goals.

While carrier audit programs will differ based on scope and size of the company, every carrier should have some method of continuous self-assessment.

SUMMARY

The DOD believes an IAP built around the above characteristics will benefit the air carrier in several ways. The program should improve safety, enhance air carrier image, enhance regulatory compliance, and promote air carrier efficiency.

Air carriers desiring copies of DOD model programs should access the DOD Commercial Airlift Division public website at http://www.amc.af.mil/Home/AMC-Commercial-Services/ or contact our office at Scott AFB IL, (618) 229-4801.

DOD MODEL PROGRAM
FOR
MAINTENANCE FACILITIES AND CAPABILITIES

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INTRODUCTION

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Here we describe what we believe is a model program for maintenance facilities. Such a program is not mandated by DOD, but represents a compilation of the most effective facility programs we have seen.

Model maintenance facility programs addressed in this document include:

A. Repair station

B. Main bases

C. Facilities

D. Sub-bases (operational)

E. Ramps

F. Stores

G. Shelf-life

Many topics such as training, safety, housekeeping, and audit requirements are addressed only in the facilities portion of this document; however, apply to all other areas listed.

A. REPAIR STATION

Maintaining special authorization by an outside organization recognized by the industry is preferred; i.e., CASE, manufacturer's service center, etc.

B. MAIN BASES

Main bases usually refer to the places where the majority of maintenance is conducted.

1. Hangar facilities are capable of housing company aircraft for conducting level of maintenance required.

2. Experienced and qualified management staff available.

3. There are adequate numbers of qualified, licensed technicians, repairmen, and supporting infrastructures to perform required repairs. There is also enough on-site supervision to adequately monitor unlicensed personnel.

4. There is a comprehensive, proactive, and formal training program through factory schools, instructor led, self-study, and on-the-job instruction to ensure that all personnel are familiar with the most current repair methods and procedures.

5. A system is in place to ensure that training records are regularly reviewed by management, and documentation is current. Management develops and monitors forecasts for recurrent training tasks.

6. Adequate numbers of trained and authorized mechanics are available to all shifts to perform tasks, and a formal initial/recurrent training program is in place to ensure personnel remain current.

7. All special tools and equipment are calibrated and tracked, certificate of calibration is maintained, and calibration status can be verified prior to use.

8. Support equipment is serviceable.

C. FACILITIES

1. All facilities and stations are audited periodically to ensure they comply with company policies, procedures, and OSHA or equivalent standards. Audits and their findings are documented with negative results analyzed to determine the root cause of any discrepancies. Follow up is accomplished to ensure corrective actions taken prevent recurrence.

2. Facilities are clean, climate controlled, well lit, and of adequate size to perform required repairs. Current company/technical data is available and actively monitored for current revision.

3. Avionics rooms are environmentally controlled, preferably with a positive flow ventilation system to prevent contamination.

4. Personal protective equipment is readily available and serviceable.

5. All personnel practice sound industrial safety practices; e.g., keeping their work areas clean, are familiar with fire exits, know location of and maintain open access to fire extinguishers, emergency eye washes/showers, etc.

6. Fire extinguishers are boldly identified and have at least annual inspections accomplished by a qualified inspector.

7. Eyewash stations and showers are strategically located and easily accessible. Monthly operations of pressurized eyewash stations are performed to ensure proper operation and freedom from debris.

8. Good housekeeping is paramount to safety. Fuel/oil drips and spills are cleaned, aircraft panels placed on racks and tagged, and maintenance stands are in good repair.

D. SUB-BASES (OPERATIONAL)

1. Sub-bases are provided with necessary resources, both personnel and equipment.

2. Adequate company and technical reference materials are available and a person is designated to ensure revisions are kept current.

3. Calibrated tools and equipment are available and proactively monitored for calibration status.

4. Licensed mechanics are fully qualified on all types of company aircraft that frequent the station.

E. RAMPS

1. Ramp areas are clean, well lit, and secure.

2. There is ample emergency equipment readily available and serviceable.

3. Support equipment is in good repair and a system is in place to ensure serviceability.

4. Flammable storage lockers are available, inventoried, kept clean, and used for combustible materials only.

5. Partially used oils and solvents are either properly discarded or stored in sealed containers and properly identified.

F. STORES

1. Process is in place to ensure adequate inventory to support aircraft maintenance needs.

2. Stores areas are secured with limited access.

3. A secured quarantine area for parts in unknown status is available, and shipping and receiving areas are segregated.

4. Parts being shipped are properly prepared, serviceability readily identifiable, and containers adequately labeled for HAZMAT, if appropriate.

5. Receiving inspection personnel are adequately trained (initial and recurrent), including unapproved parts recognition and HAZMAT handling. They also have access to the company-approved vendor list.

6. Parts available for issue are inspected, have proper documentation (serviceable tags, traceability information, and shelf-life tag, if required), and are properly protected.

7. Scrap part procedures are published and followed to ensure unserviceable/life limited parts cannot be reintroduced into the industry.

8. Process in place to ensure segregation of aircraft products from non-aircraft products.

G. SHELF-LIFE

1. The shelf-life program is well monitored by stores and quality assurance personnel.

2. A proactive method is in place to track shelf-life items to ensure that they are properly rotated, re-inspected, retested, or removed from service, as required.

3. Expiration dates for all shelf-life items are easily identified.

SUMMARY

The DOD believes maintenance facility programs built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

Air carriers desiring copies of DOD model programs should access the DOD Commercial Airlift Division public website at http://www.amc.af.mil/Home/AMC-Commercial-Services/ or contact our office at Scott AFB IL, (618) 229-4801.

DOD MODEL PROGRAM
FOR
MAINTENANCE INSPECTION

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INTRODUCTION

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Here we describe what we believe is a model or ideal maintenance inspection program. Such a program is not mandated by DOD, but represents a compilation of the most effective maintenance inspection efforts we have seen.

An effective maintenance inspection function contains the following elements:

A. Maintenance production vs. inspection

B. Inspection personnel

C. Required inspection items (RII)

D. Inspection oversight

E. Initial/recurrent training

F. Timely inspections

G. Inspection Sign Offs

A. MAINTENANCE PRODUCTION VS. INSPECTION

Establish lines of authority which clearly separate maintenance production from inspection functions.

1. Maintenance production and inspection function lines of authority merge only at senior management levels. These levels are readily apparent in the company's maintenance manuals.

2. Personnel are under the control of an independent inspection unit whenever conducting an inspection (both full-time and designated/delegated inspectors).

3. Clear procedures for countermanding decisions of inspections are formally established. Only more senior inspection unit personnel or specifically designated senior management are authorized to overrule the decision of a line inspector.

4. Inspection personnel are not involved in performing the work that they inspect.

B. INSPECTION PERSONNEL

The company selects only the most experienced and highly qualified personnel as inspectors.

1. Procedures are established to ensure selection of highly qualified inspectors.

2. Company maintains an updated list of all inspection personnel. This listing includes all current company and contract inspectors, their authorizations, limitations, and supervisory personnel authorized to countermand decisions.

C. REQUIRED INSPECTION ITEMS (RII)

The company clearly identifies required inspection items (RII), and procedures for their accomplishment.

1. All maintenance personnel are aware of, and have access to, listings of those activities that require an RII signoff.

2. Formal procedures are established for the handling of all RIIs. Buy-back procedures are formally established for rejected items.

D. INSPECTION OVERSIGHT

The carrier has a policy for inspection oversight of all contract maintenance vendors.

1. Procedures include responsibilities for:

    a. Inspection oversight of carrier representatives at contract facilities.

    b. Qualification and authorization of vendor employees (if contract employees will conduct any inspections).

2. Contract vendor inspector process is an extension of the carrier's own inspection/maintenance program.

E. INITIAL/RECURRENT TRAINING

Formal training is provided and documented for all inspection personnel.

1. Initial and recurrent training program covers all full-time, designated/delegated, and receiving inspectors.

2. Program applies to all carrier and contract vendor inspectors. Training is provided to contractors by carrier employees or designated trained vendor personnel.

3. Training is conducted according to a written lesson plan, syllabus, or on-the-job training (OJT).

a. Classes, computer based training, videos, or workbooks are acceptable methods, which may be augmented by OJT.

b. Recurrent training is conducted at a set frequency (annual, biennial, etc.).

4. Major changes or revisions to RII program are disseminated to all RII authorized personnel and training provided if required.

F. TIMELY INSPECTIONS

Management ensures all inspections are conducted at required frequencies, with minimal use of escalation authority. All inspection actions are thoroughly documented.

1. Inspections are not delayed for marketing purposes.

2. All maintenance actions are recorded in inspection packages. Packages are reviewed for completion prior to aircraft returning to service and inclusion into aircraft records archives.

G. INSPECTION SIGN OFFS

Management has processes and procedures in place that ensure aircraft are not returned to service without verifying all inspections have been properly signed off.

1. All inspection packages are audited by personnel to ensure all inspections have been completed and that the inspections were done by individuals qualified to conduct those inspections.

2. If inspection personnel are issued stamps to conduct sign offs, there is a documented stamp control process to ensure that any lost or stolen stamps are immediately reported and these processes stipulate what steps are taken once a stamp has been reported lost or stolen

SUMMARY

The DOD believes an inspection program built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

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DOD MODEL PROGRAM
FOR
AIR CARRIER MAINTENANCE MANAGEMENT

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INTRODUCTION

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Here we describe what we believe is a model or ideal maintenance management program within an air carrier maintenance complex. Such a program is not mandated by DOD, but represents a compilation of the most effective management efforts we have seen.

Effective Maintenance Management includes the following elements:

A. Safety Emphasis

B. Organizational Structure

C. Internal Audit Program

D. Communications

A. SAFETY EMPHASIS

Safety is the number one priority.

1. Passenger and employee safety is paramount.

2. A policy is evident that ensures aircraft maintenance is properly accomplished with safety in mind, in spite of scheduling or potential of lost revenue, due to mission cancellation, delay, and/or competitive image or other pressures.

3. No "launch-the-fleet" attitude.

   a. Shortcuts, or "pencil-whipping" (falsified documentation) are not tolerated.

   b. Personnel are given adequate time to properly accomplish maintenance.

   c. Nonconformance with established maintenance practices is not tolerated.

   d. Maintenance status of all aircraft is properly communicated at shift changes.

4. Quality is stressed at every level.

B. ORGANIZATIONAL STRUCTURE

Company policies and organizational structure are clearly defined in company manuals.

1. Manuals include position, duties, responsibilities, and definitive lines of authority.

2. Experience levels of managers and key personnel exceed the minimum experience requirements of 14 Code of Federal Regulations (CFRs).

   a. Managers are fully aware of and involved in daily operations, and safety implications are considered when making decisions.

   b. Management ensures adequate numbers of qualified maintenance personnel.

3. Proactive management ensures infrastructure satisfies current needs as well as adjusts easily to changes in routing, aircraft types, and air

carrier growth or downsizing. Maintenance support positions (such as training, quality assurance, and records) are not automatically eliminated or reduced when business is slow.

4. Clear separation exists between production and quality assurance activities with clear counterman policies and procedures.

C. INTERNAL AUDIT PROGRAM

Senior managers openly support quality maintenance programs, to include active involvement with the internal audit program. A focal point manages the internal audit program. Audits are conducted and management ensures all discrepancies are corrected.

D. COMMUNICATIONS

Efficient communications exist between management, the work force, and functional areas.

1. Changes in company policies or procedures are effectively communicated to all personnel in a timely manner.

2. Employee concerns or problems are quickly identified to management.

3. Management fosters an environment of teamwork and continuous improvement with the focus on safety.

SUMMARY

The DOD believes maintenance management programs built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

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DOD MODEL PROGRAM
FOR
MAINTENANCE MANUALS

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Here we describe what we believe is a model or ideal maintenance manuals program within an air carrier maintenance complex. Such a program is not mandated by DOD, but represents a compilation of the most effective management efforts we have seen.

An effective maintenance manuals program contains the following elements:

A. Procedures and policies.

B. Manual revision and distribution procedures.

C. Availability.

A. PROCEDURES AND POLICIES

Company maintenance manuals comprehensively detail maintenance procedures and policies. Manuals:

1. Define terms/acronyms that are unique to the company's operation.

2. Describe the format and proper use of all maintenance forms.

3. Provide detailed procedures for utilizing contract maintenance vendors.

4. Define the programs covering inspection, maintenance, preventive maintenance, and alterations. It ensures:

a. All maintenance performed is in accordance with the certificate holder's manual and approved maintenance program.

b. All aircraft returned/released to service are airworthy and properly maintained.

5. Describe duties and responsibilities of key positions in all functional areas.

6. Provide an organizational chart that illustrates:

a. Lines of authority.

b. Maintenance organization and support structure.

c. Separation of maintenance production and inspection organizations.

7. Detail the company's maintenance training program, including:

a. Description of how and when maintenance personnel will be trained (including indoctrination).

b. Process for documentation of all training (formal, on-the-job, and recurrent).

c. Methods and frequencies of all recurrent training.

8. Define procedures for reporting and correcting aircraft discrepancies, ensuring:

a. The recording of all mechanical irregularities in the aircraft maintenance log.

b. Accurate documentation of all routine/non-routine maintenance actions taken, including verification that:

(1) Work was performed IAW manual requirements.

(2) All items requiring inspection were inspected.

(3) No known condition exists that would make the aircraft non-airworthy.

9. Specify procedures ensuring only proper parts and materials are used, including:

a. Receiving inspection.

b. Shelf-life.

c. Preservation of parts.

d. Parts identification system.

e. Disposition of failed/life-limited parts.

f. Quarantine procedures for parts where serviceability is in question.

10. Provide procedures outlining internal and vendor audit requirements, and a method for monitoring fleet performance.

11. Identify maintenance actions requiring test flights and test flight preparation procedures.

12. Detail procedures for conducting ferry flights, to include the required coordination process, management approving authority, and aircraft preparation procedures.

13. List procedures to report the occurrence/detection of each failure, malfunction or defect of mechanical reliability (reliability reports), flight interruptions, unscheduled change of aircraft en route, or unscheduled stops/diversions caused by mechanical difficulties (Mechanical Interruption Summary Report).

14. Specifically address aircraft ground handling procedures such as:

a. Parking aircraft in high winds.

b. Short and long-term storage.

c. Seasonal operation.

d. Towing.

e. Emergency procedures.

f. Run-up/taxi personnel authorizations.

15. Establish policies for specialized programs, such as:

a. Category II/III landing systems.

b. Extended Range Operation with Two-Engine Aircraft (ETOPs).

c. Reduced Vertical Separation Minimums (RVSM).

B. MANUAL REVISION AND DISTRIBUTION PROCEDURES

Manual revision and distribution procedures are well defined, and provide a positive method of tracking revision status; ensuring only current manuals are available for use.

1. Distribution procedures are sufficient to ensure that all manual holders receive updates and temporary revisions in a timely manner.

2. Manuals are easy to revise, have the date of the last revision on each page, have a method to readily identify changed portions (e.g., revision bar), and include a list of effective pages covering all revisions.

3. A revision tracking system provides a means for publications personnel and management to verify all manual holders have received required revisions. This can be accomplished by return receipts, email, automation, etc.

C. AVAILABILITY

Sufficient number of company manuals and technical reference materials are available for use by all company and contract maintenance personnel.

1. Adequate numbers of manuals are provided for use by mechanics.

2. When applicable, computers and reader/printers are serviceable and conveniently located to provide maintenance personnel with technical information.

3. Temporary revision files are complete, in good condition, and are conveniently located near printer/readers.

4. Procedures are in place to control printed pages of on-line manuals.

SUMMARY

The DOD believes maintenance manual programs built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

Air carriers desiring copies of DOD model programs should access the DOD Commercial Airlift Division public website at http://www.amc.af.mil/Home/AMC-Commercial-Services/ or contact our office at Scott AFB IL, (618) 229-4801.

DOD MODEL PROGRAM
FOR
AIR CARRIER MAINTENANCE PERSONNEL

402 SCOTT DRIVE, UNIT 3A1
SCOTT AFB IL 62225-5302

(618) 229-4801, DSN: 779-4801, FAX: (618) 256-5937

INTRODUCTION

The Department of Defense (DOD) Commercial Airlift Division is mandated by public law and DOD directive to continuously monitor and oversee commercial air carriers doing business for the DOD. The DOD Commercial Airlift Division accomplishes this responsibility through on-site surveys and tabletop performance evaluations. The benchmark used during these evaluations is the DOD Commercial Air Transportation Quality and Safety Requirements. The DOD has compiled characteristics of air carrier programs that stand out as models for the industry. Each model represents a specific requirement that the DOD measures during evaluations.

Here we describe what we believe is a model or ideal maintenance personnel program. Such a program is not mandated by DOD, but represents a compilation of the most effective personnel programs we have seen.

An effective maintenance personnel program contains the following elements:

A. Effective new-hire screening

B. Adequate manning

C. A drug/alcohol-free work force

D. Effective training procedures

E. Continuing education and training programs

A. EFFECTIVE NEW-HIRE SCREENING

There are effective procedures in place to ensure only reliable, properly certificated mechanics are hired.

1. Extensive background checks of all prospective new-hires are conducted.

2. Verification by the FAA of each mechanics airframe and power plant license is completed for all new-hires, returning employees, and contract maintenance vendors. Verification should contain confirmation of validity and currency of license as well as specific information regarding violations.

B. ADEQUATE MANNING

There are adequate number of trained certificated personnel and a proper continuum mix in the maintenance work force to support maintenance activities at en route and hub locations.

1. Each shift has enough qualified mechanics with aircraft-specific training to complete all maintenance actions and required inspections.

2. Each shift has a proper mix of maintenance experience levels, and duty time is monitored.

3. Appropriate supervisor-to-mechanic ratio.

C. A DRUG/ALCOHOL-FREE WORK FORCE

The maintenance work force is free from drug and alcohol abuse. Drug and alcohol screening and education programs are in place, tested, documented, and FAA approved.

D. EFFECTIVE TRAINING PROCEDURES

Personnel in training status or otherwise not qualified, do not accomplish maintenance without direct supervision.

E. CONTINUING EDUCATION AND TRAINING PROGRAMS

Continuing education, as well as progressive technical training, is provided. All personnel are given the opportunities through training to advance.

SUMMARY

The DOD believes personnel programs built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

Air carriers desiring copies of DOD model programs should access the DOD Commercial Airlift Division public website at http://www.amc.af.mil/Home/AMC-Commercial-Services/ or contact our office at Scott AFB IL, (618) 229-4801.

DOD MODEL PROGRAM
FOR
MAINTENANCE TRAINING

402 SCOTT DRIVE, UNIT 3A1
SCOTT AFB IL 62225-5302

(618) 229-4801, DSN: 779-4801, FAX: (618) 256-5937

INTRODUCTION

The Department of Defense (DOD) Commercial Airlift Division is mandated by public law and DOD directive to continuously monitor and oversee commercial air carriers doing business for the DOD. The DOD Commercial Airlift Division accomplishes this responsibility through on-site surveys and tabletop performance evaluations. The benchmark used during these evaluations is the DOD Commercial Air Transportation Quality and Safety Requirements. The DOD has compiled characteristics of air carrier programs that stand out as models for the industry. Each model represents a specific requirement that the DOD measures during evaluations.

Here we describe what we believe is a model or ideal maintenance training program. Such a program is not mandated by DOD, but represents a compilation of the most effective efforts we have seen.

An effective maintenance training program contains the following elements:

A. Training requirements

B. Documentation

C. Facilities

D. Instructors

A. TRAINING REQUIREMENTS

1. Initial and recurrent requirements are described in company manuals and provide for continuing education and progressive experience.

2. Ideally, initial training is accomplished prior to the employee beginning the duties they were hired to perform and includes:

a. Indoctrination training to ensure a thorough understanding of company manuals, policies, procedures, and forms.

b. Technical training (factory, classroom, or on-the-job training) includes aircraft familiarization, systems, or other training requirements applicable to the individual's position. Credit may be given for documented prior experience, if it is evaluated by an appropriate company representative.

3. Each person with special qualifications is appropriately certificated, properly trained, qualified, and authorized by the company to perform these functions. Special qualifications include:

a. Airworthiness release.

b. Engine run-up (power and idle run, if applicable).

c. Aircraft taxi.

d. Inspection authority.

e. Required inspection items (RIIs), full-time and designated.

f. Receiving inspectors, full-time and designated.

g. Nondestructive testing (NDT).

h. Extended Range Operation with Two-Engine Aircraft (ETOPs).

i. Reduced Vertical Separation Minimums (RVSM).

j. CAT II & III landing systems.

k. De-ice/Winter operations.

l. Towing.

4. Contract maintenance vendor training for vendor personnel on company policies, procedures, and special qualifications.

5. Ideally, recurrent training is accomplished at least annually and requirements would include:

a. Training to familiarize employees with changes in company policies, maintenance or inspection techniques, and new equipment.

b. System familiarization refresher to include deficiencies in training discovered through continuing analysis and surveillance or reliability programs.

c. Training for special qualifications to include: airworthiness release, engine run-up, aircraft taxi, IA (Inspector Authorization), full-time or designated RII, full-time and designated receiving inspectors, NDT, ETOPs, RVSM, CAT II & III landing, de-ice, and any other special qualification authority.

6. Both initial and recurrent training will have time limits regarding when an employee is expected to complete each portion of training. A scheduling method will be employed that ensures all required initial and recurrent training are accomplished on time or an individuals authorizations are removed until required training is completed. A training forecast is available to all employees.

B. DOCUMENTATION

1. Documentation is maintained for each mechanic in the form of a standardized training folder or automated product that shows a continuous and chronological account of training received and experience gained. Records include:

a. A training summary: Normally the first item in the record, to easily determine the individual's experience level, training requirements, and expiration of recurrent training or special qualifications.

b. Diplomas or class attendance rosters from factory schools or company classroom training sessions.

c. OJT documentation, whether conducted formally or informally.

d. Documentation of special authorizations, such as airworthiness releases, engine-run, aircraft taxi, receiving inspections, RII, NDT, ETOPs, RVSM, CAT II & III landing, de-ice, etc.

2. Training for essential/contract vendor is identified, completed, and documented.

3. If credit is given for prior experience, there is documented evidence that an appropriate manager has evaluated that experience.

4. All training must be documented and records kept current. Proper documentation not only indicates the individual's training status, but allows maintenance managers to properly forecast training needs.

C. FACILITIES

1. Facilities should be clean, comfortable, and conducive to learning.

2. Training aids such as mock-ups, simulators, computer-based training, and actual components are used to enhance training.

D. INSTRUCTORS

1. Full-time certified instructors are ideal.

2. Instructors are qualified to teach special qualifications, such as engine-run, RII, NDT, etc., and are specifically identified.

3. Instructors used for essential contract vendor training are identified.

4. Instructors are thoroughly familiar with subject materials.

5. Instructor qualifications are documented.

6. Training is provided to instructors on the latest technology and training techniques.

SUMMARY

The DOD believes maintenance training programs built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

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DOD MODEL PROGRAM
FOR
OPERATIONAL CONTROL

402 SCOTT DRIVE, UNIT 3A1
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(618) 229-4801, DSN: 779-4801, FAX: (618) 256-5937

INTRODUCTION

The Department of Defense (DOD) Commercial Airlift Division is mandated by public law and DOD directive to continuously monitor and oversee commercial air carriers doing business for the DOD. The survey and analysis office accomplishes this responsibility through on-site surveys and tabletop performance evaluations. The benchmark used during these evaluations is the DOD Commercial Air Transportation Quality and Safety Requirements. The DOD has compiled characteristics of air carrier programs that stand out as models for the industry. Each model represents a specific requirement that the DOD measures during evaluations.

Here we describe what we believe is a model or ideal program for operational control. Such a program is not mandated by the DOD, but represents a compilation of the most effective operational control programs we have seen.

A model operational control program includes three key elements:

A. Operational control/mission planning

B. Operations and maintenance interface

C. Accident/incident reporting procedures

A. OPERATIONAL CONTROL/MISSION PLANNING

The following are key processes for an operational control program.

1. Knowledgeable personnel are on duty to provide operations and maintenance expertise anytime a mission is in progress.

2. Air carriers publish a current list of management personnel responsible for operational control. Management provides the capability for aircrews to have access to real-time weather, flight planning, and aircraft performance data.

3. Communication procedures between the company and aircrews performing operational missions are clearly defined in the operations manual and are available to crewmembers while on duty. Crewmembers have the capability to notify the company independent of ATC or landline services (e.g., ARINC radio, ACARS, SATCOM, or cellular phone).

4. Air carriers hire licensed dispatchers and require initial and recurrent dispatcher training IAW CFR Part 121. Licensed and trained dispatchers are on duty anytime a mission is in progress.

5. A model flight following program encompasses an FAA flight plan combined with a proactive method of determining the aircraft's location and status, independent of the air traffic control system.

B. OPERATIONS AND MAINTENANCE INTERFACE

Interface of operations and maintenance control functions is critical.

1. The end goal of this interface is to ensure immediate dissemination of the latest mission data.

    a. Ideally, maintenance and operations personnel are collocated.

    b. If not collocated, capability exists for immediate sharing of information between departments.

C. ACCIDENT/INCIDENT REPORTING PROCEDURES

Company provides the capability and publishes the procedures for the timely response and reporting of accidents/incidents.

1. Flight crews can communicate with the company at any time in-flight or on the ground to relay aircraft data critical to the safe completion of the mission.

2. Managers, dispatchers, and flight followers are aware of the company's published DOD-specific accident/incident notification procedures.

3. Company evaluates any incident and determines the crew's capability to continue.

4. Commensurate with size and scope of operations, a comprehensive disaster response plan, and where applicable, family support plan must be in place and exercised on a regular basis.

SUMMARY

The DOD believes operational control programs built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

Air carriers desiring copies of DOD model programs should access the DOD Commercial Airlift Division public website at http://www.amc.af.mil/library/businesscustomers.asp or contact our office at Scott AFB IL, (618) 229-4801.

DOD MODEL PROGRAM
FOR
AIR CARRIER OPERATIONS MANAGEMENT

402 SCOTT DRIVE, UNIT 3A1
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INTRODUCTION

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Here we describe what we believe is a model or ideal management program. Such a program is not mandated by the DOD, but represents a compilation of the most effective management efforts we have seen.

Effective Operations Management includes the following elements:

A. Management Qualifications

B. Management of Safety Program

C. Organizational Structure/Culture

D. Internal Audit Program

A. MANAGEMENT QUALIFICATIONS

Managers and key personnel experience levels exceed the minimum experience requirements of Federal Aviation Regulations (FARs).

1. Managers have experience and in-depth knowledge and understanding of the areas they manage.

2. Managers have attended formal training in airline safety and risk management programs.

3. Turnover of key personnel is infrequent.

4. Management personnel have an adequate support staff commensurate with the size of the company and number of employees.

B. MANAGEMENT OF SAFETY PROGRAM

The company has clearly defined safety as the number one priority.

1. A formal safety program has been established.

2. Management actively encourages safety awareness through:

    a. Attendance in safety meetings.

    b. Formal discussion during initial and recurrent training programs.

3. Management ensures all personnel are aware of and fully understand company safety policy and program.

C. ORGANIZATIONAL STRUCTURE/CULTURE

Company culture promotes effective communication throughout the organization. Policies and organizational structure are clearly defined in company manuals.

1. Manuals include concise job descriptions and definitive lines of authority.

2. Proactive management ensures aircraft, facilities, and infrastructure satisfies current needs and provides for structured company growth.

D. INTERNAL AUDIT PROGRAM

Senior managers openly support an internal audit program by appointing a focal point to manage the audit program.

1. This program encompasses, as a minimum, all areas of flight operations, safety, and maintenance.

    a. Audits are conducted by qualified company personnel or a contracted agency.

    b. Program uses FAA Advisory Circular 120-59A to enhance program development.

    c. Program manager informs company personnel of audit criteria.

    d. Audits are performed on a recurring basis.

2. Company maintains documentation to support audit results and performs follow-up inspections on findings.

    a. The focal point provides senior management with a written report of audit findings.

    b. Historic audit reports are used to detect repeat findings and trends.

    c. Senior management ensures root causes of deficiencies are identified, documented, and eliminated.

    d. Focal point performs and documents a follow-up audit to verify corrective actions.

SUMMARY

The DOD believes management programs built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

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Air Carrier Survey Preparation Checklist

For Operations

February 2015

Introduction

This checklist was developed to assist the air carrier in preparing for the operations portion of the Department of Defense (DOD) on-site survey. It is virtually identical to the checklist used by the DOD evaluator. The majority of questions are worded so that a YES answer indicates a process that meets requirements, and a NO answer may indicate a potential shortfall of requirements. Where appropriate, be prepared to show documentation supporting the response. Questions where the Yes/No blocks are shaded are generally informational in nature. Items followed by a  symbol identify common areas for findings. All requirements listed are derived from Public Law 99-661, DOD Instruction 4500.53, 32 CFR 861, and the additional contractual standards for Part 135 operators. This checklist is merely a tool to assist the air carriers, and DOD evaluators, in measuring compliance with these quality and safety requirements and is in no way intended to replace these source documents.

Note: The term "Civil Aviation Agency (CAA)" is used to identify a government entity providing federal oversight of an air carrier's operation. The Federal Aviation Administration (FAA) is the CAA for the United States. The generic term CAA will be used in this checklist since 32 CFR 861 requirements are applicable to all air carriers doing business with the DOD, international as well as domestic.

If there are any questions or comments **please do not hesitate to contact HQ AMC/A3B.**

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SUMMARY OF SIGNIFICANT CHANGES - All changes in RED print

- New Entrant and Aeromedical Transport: Updated USTRANSCOM/SG guidance on approved aeromedical accreditation organizations.
- Internal Audit Program: Clarified guidance, to include risk-based/risk-adjusted Safety Management Systems (SMS).
- Aircrew Scheduling: Clarified DOD Additional Standards for Part 135 operations
- Accident Reporting for DOD-Approved Carriers. New as of 3 May 2016.

1. COMPANY OVERVIEW (Most Senior Manager Available)

32 CFR 861.4 (e)(2). Management has clearly defined safety as the number one company priority, and safety is never sacrificed to satisfy passenger concern, convenience, or cost. Policies, procedures, and goals that enhance the CAA's minimum operations and maintenance standards have been established and implemented. A cooperative response to CAA inspections, critiques, or comments is demonstrated. Proper support infrastructure, including facilities, equipment, parts, and qualified personnel is provided at the certificate holder's primary facility and en route stations. Personnel with aviation credentials and experience fill key management positions. An internal quality audit program or other method capable of identifying in-house deficiencies and measuring the company's compliance with their stated policies and standards has been implemented. Audit results are analyzed in order to determine the cause, not just the symptom, of any deficiency. The result of sound fiscal policy is evident throughout the company. Foreign code-sharing air carrier partners are audited at least every 2 years using DOD-approved criteria and any findings resolved. Comprehensive disaster response plans and, where applicable, family support plans, must be in place and exercised on a regular basis.

a. What are the pertinent aspects of your company's history and current operations?

-- History of expansions / downsizing

-- Mergers, acquisitions, fleet equipment

-- Code shares, DBAs

-- Major markets

-- Charter agencies

b. What type of operations does your company specialize in?

-- Scheduled, charter, sling loads, agricultural, wet-lease, etc.

c. Number of employees _____

d. What level of oversight is provided by / to your major partners?

e. Any recent or upcoming significant operational events?

f. Any significant future plans?

2. OPERATIONS MANAGEMENT (Senior Ops Manager)

	Yes	No	N/A
a. How does operations management emphasize safety as a top priority?			
1. Is your safety philosophy published and accessible to line crewmembers?			
-- Where?			
2. Do you interact regularly with the company's safety focal point?			
3. Do you have regular interaction with your functional managers?			
-- Regular Meetings?			
-- Improvement Teams?			
-- Informal interactions?			
-- Any union involvement?			
b. How would you assess your relationship with the FAA?			

c. Does your company operate into FAA or DOD designated special airfields?			
-- Has your company identified special routes or airfields other than those designated by the FAA or DOD?			
d. Does your company operate any missions it considers higher risk than standard?			
-- Have these been identified in operations manuals?			
-- Is there oversight of scheduling for theses increased risk flights?			
-- Are there other policies or procedures designed to mitigate these risks?			
e. How does your day-to-day risk level compare to other companies of similar size?			
f. How does your day-to-day risk level compare to the DOD missions you operate?			

COMPANY INFRASTRUCTURE	**Yes**	**No**	**N/A**
a. Does infrastructure appear to adequately support company operations?			
-- DOD operations?			
-- Is support infrastructure keeping pace with growth?			
--- Safety			
--- Facilities			
--- Personnel			
--- Training Curriculum			
--- Standardization			
b. Is managerial experience appropriate for the position?			
-- Are managers full time employees of the company?			
c. Is the organizational structure suitable for the company?			
-- Clear lines of authority?			
d. Are managerial responsibilities clear and germane?			
-- Where documented?			
e. Is there frequent turnover of key management personnel?			
-- If yes, explain.			

INTERNAL AUDIT PROGRAM

NOTE: Common abbreviations used throughout this section are IAP (Internal Audit Program) or IEP (Internal Evaluation Program). These terms are used interchangeably.

32 CFR 861.4 (e)(2). An internal quality audit program or other method capable of identifying in-house deficiencies and measuring the company's compliance with their stated policies and standards has been implemented. Audit results are analyzed in order to determine the cause, not just the symptom, of any deficiency. Foreign code-sharing air carrier partners are audited at least every 2 years using DOD-approved criteria and any findings resolved. **32 CFR 861.4 (e)(7).** Oversight of commuter or foreign air carriers in code-sharing agreements: Air carriers awarded a route … that includes … a commuter or foreign air carrier with which it has a code-sharing arrangement, must have a formal procedure in place to periodically review and assess the code-sharing air carrier's safety, operations, and maintenance programs. The extent of such reviews and assessments must be consistent with, and related to, the code-sharing air carrier's safety history. These procedures must also provide for actual inspections of the foreign code-sharing air carrier if the above reviews and assessments indicate questionable safety practices.

	Yes	No	N/A
a. Is there an internal audit program (IAP/IEP) or other method that measures your company's compliance with policies and standards and identifies in-house deficiencies to senior management?			
1. Briefly describe your internal audit program (IAP/IEP) and identify the key components. (Please provide supporting documentation where applicable.)			
-- Is this program documented? If yes, where?			
-- How are Auditors selected / screened?			
-- Is there a Training program/process for auditors? What training do they receive?			
-- Are Audits scheduled? (audits of all areas of operations should be continual reviews not just spot checks)			
--- semi-annual annual other _____			
--- For Safety Management Systems (SMS):			
---- What is risk-based system used to develop audit schedule?			
---- What is risk-adjusted system to monitor audit schedule?			
-- Is there a Checklist for the audit? / Do auditors use a Checklist?			
-- How are Discrepancies tracked?			
-- Is there any Root cause analysis? (i.e., Does the company deal with the problem, or just the symptom(s)?)			
-- Is there any Trend analysis conducted?			
-- Are the files kept Current?			
-- Is there Senior management coordination? (reports, e-mail, meeting minutes)			
2. Does IAP/IEP scope ensure a comprehensive look at company operations?			
b. Do external audits (e.g., FAA, DOD, contract, IOSA) corroborate IAP/IEP effectiveness?			

Internal Audit Program (con't)	Yes	No	N/A
c. Do you perform audits of your code share partners?			
-- Domestic			
-- Foreign			
1. Can you give me a brief description of the code-share audit program to include:			
--- Frequency of audits			
--- Determination of standards			
--- Identification of discrepancies			
--- Resolution of issues			

3. SAFETY PROGRAM

32 CFR 861.4 (e)(3)(i). Established policies that promote flight safety. These policies are infused among all aircrew and operational personnel who translate the policies into practice. New or revised safety-related data are promptly disseminated to affected personnel who understand that deviation from any established safety policy is unacceptable. An audit system that detects unsafe practices is in place and a feedback structure informs management of safety policy results including possible safety problems. Management ensures that corrective actions resolve every unsafe condition.

a. Director of Safety (or equivalent):			
-- How many years of aviation experience do you have? (military / civilian) _____			
-- Have you received any formal safety training?			
-- Who do you report to?	**Yes**	**No**	**N/A**
b. Who is the company's flight safety focal point? 			
-- How many years of aviation experience do you have? (military / civilian) _____			
-- Has the flight safety focal point received formal training? (industry experience?)			
-- Who does this person report to?			
c. Can you give me an overview of the company's flight safety program?			
-- Is the program documented in a manual?			
d. Does your company's flight safety culture include:			
-- CEO or other senior management involvement			
-- Published flight safety policies			
-- Safety initiatives			
-- Involvement in industry safety councils			
-- Does the flight safety focal point interact with aircrew?			
-- Does the flight safety focal point interact with other functional managers?			
--- Ops / MX / Standardization meetings			
--- Company Safety Councils			
--- Informally			

Safety (con't)	Yes	No	N/A
e. Are the safety programs and policies accessible to all aircrew?			
-- How? (operations manual, safety manual, etc.)			
-- Is it discussed in training? (initial / recurrent)			
--- If yes, is it a formal syllabus block?			
--- Who teaches the block? (instructor/management personnel)			
-- Does the safety information include company policies and two-way communication methods?			
-- Does aircrew use of safety feedback systems indicate good awareness?			
--- Documentation? (safety feedback reports, etc.)			
f. Are there processes for disseminating safety information to the crews?			
---- Meetings ---- Read File ---- Manuals			
---- Displays ---- Bulletins ---- Web page			
---- E Mail ---- Training Syllabus ---- Other			
1. Does the process ensure aircrews receive safety information in a timely manner?			
2. Are relevant accident and incident reports provided to aircrews?			
g. Is there a safety audit process to detect and resolve safety hazards? (This process often captures safety data from sources independent of the IEP)			
1. Does management solicit aircrew feedback to identify hazards?			
---- Hazard Reports ---- Safety Hotline ---- Fax			
---- Irregularity Reports ---- E-mail ---- Other			
2. Are other performance factors analyzed to detect hazards?			
---- Flight Operational Quality Assurance (FOQA)			
---- Line Operations Safety Audit (LOSA)			
---- Aviation Safety Action Program (ASAP)			
---- Fatigue Risk Management Program (FRMP)(For Part 121: CFR 117.7 / Ops Spec A318)			
---- Other			
3. Are reported or identified hazards tracked?			
-- How?			
-- Is trend analysis accomplished?			
-- Is there documentation?			
4. Is a resolution process in place for reported or identified hazards?			
5. Is senior management involved in the hazard reporting process?			
h. Is the safety office involved in increased risk management operations?			
-- How? -- Examples?			
i. Define safety's role in the Emergency Response Action Plan			
j. What action does the company take following accidents and incidents?			
-- Examples?			

4. FLIGHT OPERATIONS

32 CFR 861.4 (e)(3)(ii). Established flight operations policies and procedures are up-to-date, reflect the current scope of operations, and are clearly defined to aviation department employees. These adhered-to procedures are further supported by a flow of current, management-generated safety and operational communications. Managers are in touch with mission requirements, supervise crew selection, and ensure the risk associated with all flight operations is reduced to the lowest acceptable level. Flight crews are free from undue management pressure and are comfortable with exercising their professional judgment during flight activities, even if such actions do not support the flight schedule. Effective lines of communication permit feedback from line crews to operations managers.

	Yes	No	N/A
a. General infrastructure information			
-- Basic route structure:			
-- Flights / day _____			
-- Types and numbers of aircraft			
-- Hubs / Domiciles			
b. Pilot force:			
-- Total # of pilots _____			
Position How many Avg Total Hours Ratings			
Captains			
F/O			
Other (S/O, F/E)			
c. Does a union represent the pilots? If yes, who?			
-- When is the contract amendable?			
-- Any labor relation tensions/issues/concerns?			
d. What is the average flying time (per pilot)?			
-- Per month _____			
-- Guaranteed _____			
e. How would you describe your pilot turnover rate? (low, average, high)			
-- Is there an identifiable / primary reason for this rate of turnover?			
f. Are there processes for disseminating ops information to the crews? 			
---- Meetings ---- Read File ---- Training Syllabus			
---- Displays ---- Bulletins ---- Dispatch Release			
---- E Mail ---- Web page ---- Other			
---- ACARS ---- Manuals			
g. Among these, is there a published policy that identifies safety as the top priority?			

Flight Ops (con't)	Yes	No	N/A
h. Are there processes for receiving feedback from crews?			
---- Hazard/Irregularity Reports ---- E-Mail ---- ACARS			
---- Hot line ---- Web Page ---- Other			
---- Duty Officer ---- Regular Meetings			
i. How do management personnel interface with line personnel?			
j. Is the carrier involved in increased risk operations?			
-- Are experience levels higher for these crews?			
-- Are there formal procedures for assigning crews to these missions?			
k. Does your company move cargo?			
1. Are cargo operations performed by company personnel?			
--- If NO, then who?			
--- How do you ensure cargo is prepared and loaded properly?			
--- Do you audit cargo operations?			
2. What are the aircrew responsibilities?			
--- Are these responsibilities defined?			
l. HAZMAT:			
-- Is the company an approved HAZMAT carrier? (Ops Spec A055)			
-- If yes, what type(s)?			
-- Where are 90-day file documents (Notice to PIC) kept? [49 CFR 175.33(c)(2)]			
m. Do company operations comply with applicable additional DOD contractual standards for helicopters, single engine / single pilot, floatplane, and Part 135 charter operations?			

5. FLIGHT CREW HIRING (PILOT)

32 CFR 861.4 (e)(3)(iii). Established procedures ensure that applicants are carefully screened, including a review of the individual's health and suitability to perform flight crew duties. Consideration is given to the applicant's total aviation background, appropriate experience, and the individual's potential to perform safely. Freedom from alcohol abuse and illegal drugs is required. If new-hire cockpit crewmembers do not meet industry standards for experience and qualification, then increased training and management attention to properly qualify these personnel are required.

	Yes	No	N/A
a. Is there an established screening process for new hires?			
-- Interview: Ops Management / HR -- Simulator check			
-- Testing: Technical / psychological -- Alcohol / Drug screening			
-- Background checks: Aviation / criminal -- Other			
b. What are the minimum requirements for new-hires?			
-- Are there other preferred qualifications or experience in addition to minimum requirements?			
c. Does company have any agreements or contractual requirements to hire from flight training schools?			
-- If so, who?			

Flight Crew Hiring (con't)	Yes	No	N/A
d. What is the new hire failure rate? _____			
-- What is the new hire failure process?			
e. Number of pilots hired in past 12-months? _____			
-- Is there an identifiable reason?			
--- Retirements?			
--- Company expansion?			
--- Pilot's moving to other airlines?			
f. Projected number of new-hires over next 12-months			

6. CAPTAIN UPGRADE TRAINING

32 CFR 861.4 (e)(3)(v). A selection and training process that considers proven experience, decision making, crew resource management, and response to unusual situations including stress and pressure, is required. Also important is emphasis on captain responsibility and authority.

	Yes	No	N/A
a. Is there a screening process for captain upgrade candidates?			
-- Seniority / contractual -- Min hours _____			
-- Check airmen recommendation -- Training records check			
-- Minimum flight experience requirements? -- Operations management selection			
-- Other			
1. Are there minimum flight experience requirements?			
b. What is the pass / fail rate for captain upgrade candidates? _____			
-- Any procedures for upgrade failures?			
c. Are principles of CRM taught in captain upgrade training? (CFR 121.404, 121.419 / 135.330)			
d. Are principles of captain's responsibility and authority taught in captain upgrade training?			

7. AIRCREW PERFORMANCE (Ref. 32 CFR 861 - "IN-FLIGHT PERFORMANCE")

32 CFR 861.4 (e)(3)(vii). In-flight performance. Aircrews, including flight attendants and flight medical personnel, are fit for flight duties and trained to handle normal, abnormal, and emergency situations. They demonstrate crew discipline and a knowledge of aviation rules; use company-developed standardized procedures; adhere to checklists; and emphasize safety, including security considerations, throughout all preflight, in-flight, and postflight operations. Qualified company personnel evaluate aircrews and analyze results; known performance deficiencies are eliminated. Evaluations ensure aircrews demonstrate aircraft proficiency in accordance with company established standards. Flight crews are able to determine an aircraft's maintenance condition prior to flight and use standardized methods to accurately report aircraft deficiencies to the maintenance activity.

	Yes	No	N/A
a. Does the company have a flight standards department?			
NOTE: Questions b.-d. are also under "Flight Training" section of the checklist, dependant on company's set-up.			
b. Is there a screening process for standardization/check airmen upgrade candidates?			
-- Min hours_____ --Training records check			
-- Check airmen recommendation -- Operations management selection			
-- Other			

Aircrew Performance (In-Flight Performnace) (con't)	Yes	No	N/A
c. To which department are check airmen assigned?			
d. How many check airmen are employed? (*is this # adequate for company size?*) -- Check Airmen? _____ -- Aircrew Program Designees (APDs)? _____			
e. How does the company identify and resolve performance trends?			
-- Are there interactions between the training department and check airmen?			
-- Are there meetings with other operations departments?			
f. Is aircrew performance analyzed as part of the internal audit process?			

GENERAL OPERATIONS MANUAL (GOM)

32 CFR 861.4 (e)(3)(ii). Established flight operations policies and procedures are up-to-date, reflect the current scope of operations, and are clearly defined to aviation department employees. These adhered-to procedures are further supported by a flow of current, management-generated safety and operational communications.

	Yes	No	N/A
a. Does the GOM clearly spell out operational and safety policies?			
-- If not, how are safety policies formally relayed to aircrew?			
b. Are the types of approved operations identified? (B50 in the Ops Specs)			
-- Circle appropriate areas: 135: Single-Pilot / Commuter / On-Demand // 121: Domestic / Flag / Supplemental			
c. Are HAZMAT notification, recognition, and acceptance procedures in the GOM? (Required by CFR Subpart G 121.135(b)(25) / or FAR Subpart A 135.23(p))			
d. Is company's operations manual revised to keep current with operations changes?			
1. What process is used to disseminate operations manual revisions?			
2. Is there a process to validate currency of issued manuals?			
-- Revision / receipt follow-up procedures? (paper / electronic)			
-- Pubs / manuals checks (typically with annual proficiency check)?			
-- Other?			
-- Documentation validating process?			
3. Is there a process for disseminating time sensitive changes to ops manuals?			
---- Bulletins ---- Dispatch Release ---- Read File ---- Other			

AIRCREW RECORDS

32 CFR 861.4 (e)(3)(ii). Personnel records are maintained and reflect such data as experience, qualifications, and medical status.

32 CFR 861.4 (e)(3)(iv). Training received is documented, and that documentation is maintained in a current status.

	Yes	No	N/A
a. What type process is used to manage pilot records, paper or electronic? (Ops Spec A025)			
-- Are records organized with a standardized format?			
-- Is there a backup process? (paper / electronic)			
-- If electronic, how often is data backed up?			
-- Where are backups stored?			

Aircrew Records (con't)			Yes	No	N/A
b. What are the data entry procedures:					
-- Is there a process to ensure entered data is accurate?					
c. Are records maintenance procedures documented?					
-- If records administrator wins lottery and leaves the company, can someone step in and do the job with the documented procedures?					
d. How are due dates tracked, verified, input, and passed to scheduling?					
e. Are there audits associated with the records process?					
-- If so, what is the process and how often is it accomplished?					
f. For Part 135 operators, are you tracking instrument checks? (135.63(vi), 135.297)					
-- Note: 61.57 does not suffice					
g. Use the following as a guideline when checking items in pilot records.					
---- Medical certificate	61.23	61.23			
---- Airmen certificate	121.437	135.243			
---- Initial, transition, captain upgrade	121.419/424	135.343/345/347			
---- HAZMAT training (init / recurrent)	121.1003-1007	135.503-507			
---- Differences training	121.418	135.345/347			
---- Emergency training	121.417	135.331			
---- Initial operating experience	121.434	135.244			
NOTE: 9 or less on demand (other than turbojet) doesn't require IOE					
---- Proficiency Check	121.441	135.293(b)			
---- Instrument check	--	135.297			
---- Line check	121.440	135.299			
---- Recurrent training	121.427	135.343/351			
---- Pilot recent experience	121.439	135.247			
---- Instructor/check airmen upgrade	121.411-414	135.339			
---- Instructor/check airmen currency (24 mon)	121.414(a)(2)/App H	135.339(a)(2)			
---- DOD SIC 135.293 checkride requirements		DOD Additional Stds			
---- 1 Precision Approach					
---- 1 Non-precision Approach					
---- 1 Missed Approach					

8. AIRCREW TRAINING (PILOT)

32 CFR 861.4 (e)(3)(iv). Training, including recurrent training, which develops and refines skills designed to eliminate mishaps and improve safety, is essential to a quality operation. Crew coordination training that facilitates full cockpit crew training and full crew interaction, using standardized procedures and including the principles of Crew Resource Management (CRM), is required. Programs involving the use of simulators or other devices that can provide realistic training scenarios are desired. Captain and first officer training objectives cultivate similar levels of proficiency. Appropriate emergency procedures training (e.g., evacuation procedures) is provided to flight deck and flight attendant personnel as a total crew whenever possible; such training focuses on cockpit and cabin crews functioning as a coordinated team during emergencies. Crew training--be it pilot, engineer, or flight attendant--is appropriate to the level of risk and circumstances anticipated for the trainee. Training programs have the flexibility to incorporate and resolve recurring problem areas associated with day-to-day flight operations. Aeromedical crews must also be trained in handling the specific needs of the categories of patients normally accepted for transportation on the equipment to be used. Trainers are highly skilled in both subject matter and training techniques. Training received is documented, and that documentation is maintained in a current status.

	Yes	No	N/A
a. Training manual review:			
-- Are all simulators / FTDs listed?			
-- Is contractor training listed? (Ops Spec A031)			
-- Is security training listed?			
-- How often is the manual updated?			
-- Does training account for special authorizations in operations specifications (e.g., circling (Ops Spec C075), CAT II / III (Ops Spec C059/C060), PAR / ASR, etc.)			
b. Is any training accomplished using contractor facilities or instructors? (Ops Spec A031)			
-- Is contractor training listed in the training manual?			
--- *Does amount of contract training warrant visit to contractor facilities?*			
-- Any company oversight of contractor operations?			
c. Where is your Ground training accomplished and whose instructors are used?			
Aircraft / Location / Instructors (company or contract)			
d. Where is your Simulator training accomplished and whose instructors are used?			
Aircraft / Location / Instructors (company or contract)			
e. Is there line oriented flight training (LOFT)? (Req'd by 121.409 and 121 appendix H)			
f. Is any training accomplished in actual aircraft?			
Aircraft / Location / Instructors (company or contract)			
g. Does crew coordination training include principles of CRM? (initial / recurrent)(CFR 121.404, 121.419, 121.427 / 135.330)			
-- Are other personnel present? (flight attendants/dispatchers/LMs)			
-- If not, is there cross specialty training such as a F/A instructor teaching a pilot's CRM course or vise versa?			

Aircrew Training (con't)	Yes	No	N/A
h. Is pilot and flight attendant joint emergency drill training accomplished?			
i. Do aircrew receive training on cargo inspection / loading procedures?			
j. Part 121 Operators: Is your company in the advanced qualification program (AQP)? (Ops Spec A034)			
-- If so, what phase?			
k. Do you have a FAA special airport qualification training program? (CFR 121.445) -- (PIC or SIC must have takeoff and landing at that airport within 12 months OR must review FAA-approved pictorial within 30 days prior to flight (Jeppesen and/or NGA). FAA special airport list at http://fsims.faa.gov/PublicationForm.aspx under Operations Safety System (OPSS) Guidance			
l. Are you aware of the DOD requirements for DOD certified airfields?			
-- (PIC or SIC must have takeoff and landing at that airport within 12 months OR must review FAA-approved pictorial within 30 days prior to flight (Jeppesen and/or NGA). DOD certification airport list available from HQ AMC/A3AS Airfield Suitability Help Desk at 618-229-3112			
m. Do you conduct HAZMAT training? (Ops Spec A055)			
-- Initial / Recurrent?			
-- What is scope of training?			
n. Is there a screening process for instructor upgrade candidates?			
-- Min hours_____ -- Training records check			
-- Check airmen recommendation -- Ops management review			
-- Other			
o. What is the breakdown of instructors? (Are these numbers adequate?)			
Ground _____ Sim _____ Flight _____			
NOTE: Questions p.-r. are also under "Aircrew Performance" section of the checklist, dependant on company's set-up.			
p. Is there a screening process for check airmen upgrade candidates?			
-- Min hours_____ --Training records check			
-- Check airmen recommendation -- Operations management selection			
-- Other			
q. To which department are check airmen assigned?			
r. How many check airmen are employed? (*is this # adequate for company size?*) -- Check Airmen? _____ -- Aircrew Program Designees (APDs)? _____			
s. Are there regular meetings to discuss training/evaluation issues? -- Are identified evaluation trends incorporated into the training program?			
t. How do you verify the following requirements? (See Part 121, Appendix H or 135.339(a)(2))			
-- Instructors and check airmen are observed every 24-months by FAA / check airmen / APD?			
-- Sim only instructors fly 2 segments as a required crewmember in type annually OR complete a line observation program? (Part 121, Appendix H)			
-- Sim instructors / check airmen receive 4-hours of annual tng on advanced simulation training program? (Part 121, Appendix H)			

Aircrew Training (con't)	Yes	No	N/A
u. Are training sessions periodically audited?			
v. Are there audits associated with the training records process?			
-- If so, what is the process and how often is it accomplished?			
w. Part 135 operators: Do you ensure SIC competency check satisfies the DOD additional standards?			
-- Current 14 CFR 135.293 competency check to include as a minimum one precision approach, one nonprecision approach, and one missed approach.			

9. FLIGHT ATTENDANTS / LOADMASTERS	Yes	No	N/A
a. Are crewmembers organized under the operations department?			
-- If not, what functional area?			
-- Do they interface with ops mgt/safety?			
b. Total number? _____			
c. Domiciles?			
d. Average experience in years? _____			
e. What is the average flying time per month (per flight attendant/loadmaster)? _____			
-- Guaranteed time? _____			
f. Are F/As/LMs represented by a union? If so, who?			
-- When is the contract amendable?			
-- Any management / labor relation tensions?			
g. What is the turnover rate? (low, average, high)			
-- Is there an identifiable / primary reason for this rate of turnover?			
h. How are flight and duty time requirements tracked?			
i. Are there processes for disseminating ops information to your crews?			
---- Meetings ---- Read File ---- Training Syllabus			
---- Displays ---- Bulletins ---- Dispatch Release			
---- E Mail ---- Manuals ---- Other			
---- ACARS ---- Web page			
j. Are there processes for receiving feedback from crews?			
---- Hazard/Irregularity Reports ---- E-Mail ---- Web page			
---- Regular Meetings ---- Hot line ---- Other			
---- Duty Officer ---- ACARS			

FLIGHT ATTENDANT / LOADMASTER HIRING	Yes	No	N/A
a. What is the screening process for new hires?			
-- Interview Process?			
-- Background checks?			
-- Other?			
b. What are the minimum requirements for new-hires?			
-- Are there other preferred qualifications or experience in addition to minimum requirements?			
c. Number hired in past 12-months? _____			
d. Projected number of new-hires over next 12-months? _____			

FLIGHT ATTENDANT / LOADMASTER TRAINING	Yes	No	N/A
a. Does the training manual adequately cover training materials?			
-- Frequently updated?			
b. Where is your ground training accomplished and whose instructors are used?			
Training Device Location Instructors (company or contract)			
c. Number of instructors/evaluators?			
---- Instructors_____			
---- Evaluators_____			
d. Does crew coordination training include principles of CRM? (initial/recurrent))(CFR 121.404, 121.421, 121.427 / 135.330)(Recommended but not required for LMs)			
-- Are other personnel present? (pilots/dispatchers/LMs) 			
-- If not, is there cross specialty training such as a pilot instructor teaching a F/A CRM course or vise versa?			
e. Is crewmember and pilot joint emergency drill training accomplished? 			
f. Part 121 Operators: Is your company in the advanced qualification program (AQP)? (Ops Spec A034)			
-- If so, what phase?			

FLIGHT ATTENDANT / LOADMASTER OPERATIONS MANUAL	Yes	No	N/A
a. What process is used to disseminate revisions to manuals?			
b. Is there a process to validate currency of issued manuals?			
-- Revision / receipt follow-up procedures (paper / electronic)			
-- Pubs / manuals checks (typically with annual training)			
-- Other			
c. Is there a process for disseminating time sensitive changes to the ops manual?			
---- Bulletins ---- Dispatch Release			
---- Read File ---- Other			

FLIGHT ATTENDANT / LOADMASTER SCHEDULING			
32 CFR 861.4 (e)(3)(vi). A closely monitored system that evaluates operational risks, experience levels of crewmembers, and ensures the proper pairing of aircrews on all flights is required. The scheduling system involves an established flight duty time program for aircrews, including flight attendants, carefully managed so as to ensure proper crew rest and considers quality-of-life factors. Attention is given to the stress on aircrews during strikes, mergers, or periods of labor-management difficulties.	**Yes**	**No**	**N/A**
a. Explain general procedures for how attendants/loadmasters are placed on the flying schedule			
-- Are the scheduling procedures automated in any way?			
-- If yes, is there an adequate backup system?			
b. On average, how many hours is a crewmember scheduled for each month?			
c. Are flight and duty time records organized and in-depth enough to show compliance with the FARs/14 CFR?			
-- Recurrent training?			
-- Duty time limits?			
d. Are there audits associated with the training records process?			
-- If so, what is the process and how often is it accomplished?			

FLIGHT ATTENDANT / LOADMASTER RECORDS	Yes	No	N/A
a. What type process, paper or electronic? (Ops Spec A025)			
b. If paper, are records organized with a standardized format?			
c. If automated, is there a backup system?			
-- Backup power?			
-- Backup paper process?			
-- How often is data backed up?			
-- Where are backups stored? (should be off-site)			
d. Are records maintenance procedures documented?			
-- If records administrator wins lottery and leaves the company, can someone step in and do the job with the documented procedures?			

Flight Attendant / Loadmaster Records (con't)	Yes	No	N/A
e. How are due dates tracked, verified, input, and coordinated with scheduling to ensure only current crewmembers are put on the schedule?			
f. If required, is HAZMAT training documented in the training records? (Ops Spec A055)			
g. Are there audits associated with the records process?			
---- If so, what is the process and how often is it accomplished?			

10. AIRCREW SCHEDULING (FLIGHT CREW) POC:

32 CFR 861.4 (e)(3)(vi). A closely monitored system that evaluates operational risks, experience levels of crewmembers, and ensures the proper pairing of aircrews on all flights is required. New captains are scheduled with highly experienced first officers, and new or low-time first officers are scheduled with experienced captains. Except for aircraft new to the company, captains and first officers assigned to DOD charter passenger missions possess at least 250 hours combined experience in the type aircraft being operated. The scheduling system involves an established flight duty time program for aircrews, …, carefully managed so as to ensure proper crew rest and considers quality-of-life factors. Attention is given to the stress on aircrews during strikes, mergers, or periods of labor-management difficulties.

	Yes	No	N/A
a. Explain general procedures of how pilots are placed on the flying schedule.			
-- Are the scheduling procedures automated in any way?			
-- If yes, is there an adequate backup system?			
b. Are flight/duty times and currency requirements audited?			
-- Automated audits? (illegality reports, look back reports, etc.)			
-- Company audits? (IEP or other office)?			
-- Self audits?			
c. On average, how many hours is the crewmember scheduled for each month?			
d. Are there procedures to prevent scheduling non-current or unqualified pilots?			
-- Flight and duty time limits			
-- Management logging office time as duty time 			
-- Recurrent training, medicals, and check rides			
-- 250 hours combined minimum for captain and F/O on DOD pax charters 			
-- Special airport and route qualifications			
-- Aircrew qualifications for DOD certified airfields			
14 CFR Part 121			
-- Either the Capt or F/O must have 75 hrs in type (121.438(b))			
-- Consolidation of experience (100 hrs in 120 days) (121.434(g))			
-- 3 T/Os and Lndgs in past 90 days for both pilots (121.439(a)) 			
-- FE has 50 hrs in type for preceding 6 calendar months (121.453)			
14 CFR Part 135			
-- PIC must have 3 T/Os and Lndgs in past 90 days (135.247)			
-- PIC must have 3 T/Os and Lndgs at night in past 90 days (135.247) 			
DOD Additional Standards for Part 135 Operations			
-- PIC 1500 total/100 last 12 /10 TOs and L + 50 in type (also, see DOD Part 135 addnl req's)			
-- SIC prec / nonprec / missed approach eval + currency (also, see DOD Part 135 addnl req's)			
e. Does the company factor crew experience when scheduling missions? (**Other than** the rule for 75 hours)			

Aircrew Scheduling (con't)	Yes	No	N/A
f. Is other commercial flying tracked and accounted for in-flight and duty limits?			
g. Do flight and duty-time records show compliance with the FARs/14 CFR?			
h. Are there adequate security procedures for the crew records?			
-- Paper files locked?			
-- Computer files password protected?			
i. Are there audits associated with the scheduling process?			
-- If so, what is the process and how often is it accomplished?			
j. Part 135: Does company ensure additional DOD standards are met?			

11. OPERATIONAL CONTROL

DISPATCHERS / FLIGHT FOLLOWERS

32 CFR 861.4 (e)(3)(viii). Effective mission control includes communications with aircrews and the capability to respond to irregularities or difficulties. Clear written procedures for mission preparation and flight following aircraft and aircrews are provided. There is access to weather, flight planning, and aircraft maintenance data. There are personnel available who are knowledgeable in aircraft performance and mission requirements and that can correctly respond to emergency situations. There is close interface between operations and maintenance, ensuring a mutual awareness of aircraft operational and maintenance status. Procedures to notify DOD in case of an accident or serious incident have been established. Flight crews involved in such accidents or incidents report the situation to company personnel who, in turn, have procedures to evaluate the flight crew's capability to continue the mission. Aircraft involved in accidents or incidents are inspected in accordance with Civil Aviation Regulations and a determination made as to whether or not the aircraft is safe for continued operations.

	Yes	No	N/A
a. How many? _____			
-- What is their average experience in years? _____			
-- What is the turnover rate? (low, average, high)			
-- Is there an identifiable reason for this rate of turnover?			
b. What are the minimum requirements for new-hires?			
-- Are there other preferred qualifications or experience in addition to minimum requirements?			
c. What is the duty Schedule? hrs per day _____; days on _____; days off _____			
d. Describe shift manning:			
-- Is there adequate management oversight?			
e. Are dispatchers unionized? If yes, who?			
-- When is the contract amendable?			
-- Are there any labor tensions / concerns?			
f. Can you show documentation of the following requirements? (Domestic / Flag only - 121.463)			
-- Dispatcher license			
-- Competency check			
-- Operations familiarization			
g. Does training include principles of Dispatcher / Crew Resource Management (DRM/CRM)?			
-- Initial? / Recurrent? (CFR 121.404, 121.422, 121.427)			

h. Describe how the operations control center is organized.			
-- 24 hour ops?			
-- Co-located with Scheduling?			
-- Co-located with maintenance?			
-- Operations representative?			
-- Customer service representative?			
-- Other			

FLIGHT PLANNING	Yes	No	N/A
a. How does the company perform airfield analysis? (Ops Spec A009)			
b. What is the source of aircraft performance data?			
c. How does the crew determine it is safe to takeoff? (What is the pre-departure process?)			
d. Who calculates weight and balance? (Dispatcher, Ramp Agent, Crew?)			
-- Are actual weights used for DOD passenger charters?			
-- Is this procedure documented?			
e. Is the actual flight plan automated or manual?			
-- Who performs the flight/fuel planning?			
-- Who files the flight plan?			
f. What is the primary source of weather information? (Ops Spec A010)			
-- Is there a back-up source?			
g. What is the primary source of NOTAM information?			
-- Is there a back-up source?			

MISSION MONITORING	Yes	No	N/A
a. How is mission monitoring accomplished? -- Flight Explorer -- ACARS -- Computer tracking -- HF -- Phone call (cell or satellite) -- GPS satellite tracking/flight following (may also include cell or text messages) -- Other			
b. Is the company effectively flight following each mission?			
-- Coverage: From: _____ To: _____ or 24 hours; Days per week: _____			
c. If mission monitoring is automated, is there an adequate backup procedure?			
d. How do aircrew, mx, and dispatchers interface to ensure information flow between aircrew, mx, and dispatchers? (e.g., dispatchers receive/forward timely MEL info)			
e. Does company have current DOD accident/incident notification procedures?			

LOAD MANIFESTS	Yes	No	N/A
a. Is it an automated or manual system?			
b. Who completes the load manifest?			
c. Do load manifests contain the required information?			
1. 14 CFR 121.693			
-- Aircraft weight			
-- Maximum allowable T/O weight			
-- CG in limits			
-- Load manifest signed			
2. 14 CFR 135.63(c) (or DOD additional standards for part 135 operators)			
-- Number of pax			
-- Total weight of loaded Aircraft			
-- Max allowable T/O weight			
-- CG in limits			
-- Registration or flt #			
-- Origin and destination			
-- Crewmembers' names and positions			
d. Is there a 90-day file of the HAZMAT Notification to the PIC, in accordance with 49 CFR 175.33(c)?			
-- Where?			
e. Does the company maintain the required records and reports?			
<u>Domestic and Flag</u>			
Load manifests, dispatch release, flight plan, weather (3 months) (121.687/693/695) Communication records (30 days) (121.711)			
<u>Supplemental</u>			
Load manifest, flight release, flight plan, weather, airworthiness release, pilot route certification (3 months) (121.689/693/697)			
<u>Part 135</u>			
Load manifests (30 days) (135.63(c))			

12. DOD CHARTER PROCEDURES

32 CFR 861.4 (e)(3)(ix). Detailed procedures addressing military charter requirements are expected. The level of risk associated with DOD charter missions does not exceed the risks inherent in the carrier's non-DOD daily flight operations. Complete route planning and airport analyses are accomplished, and actual passenger and cargo weights are used in computing aircraft weight and balance.

	Yes	No	N/A
a. How often does the company perform charters?			
b. Does the company perform or plan to perform DOD charters?			
c. If the company performs DOD charters, is the level of risk different than your non-DOD daily operations?			
d. What are your procedures to verify DOD requirements:			
-- Part 121 Operators: PIC and SIC assigned to charter passenger missions possess at least 250 hours combined experience in the type aircraft being operated 			
-- Part 135 Operators: PIC and SIC must have at least 250 hours combined experience in their respective positions in the type aircraft being operated.			
-- Actual weights are used for passengers, cargo, and carry-on baggage 			
-- Are these procedures published?			
e. Is management involved in the DOD charter planning process?			
-- How?			
f. Are there procedures for route planning, airport analysis, and risk assessment?			
g. Does company have access to the Airfield Suitability and Restrictions Report (ASRR)? (For DOD missions only)			
-- Call AMC Airfield Help Desk at 618-229-3112 for information on specific airfields.			
h. CRAF Only: Does company have access to DOD FLIP (Flight Information Publications) (instrument approach plates)?			
-- Call AMC/A3BC CRAF Branch at 618-229-1751 for FLIP account assistance.			
i. CRAF Only: Does your company possess an operational secure fax/phone?			
j. CRAF Only: Does crew ratio meet the contract requirements?			
1. Is there a 4:1 crew to aircraft ratio for international contracts?			
2. Does this crew ratio exclude Guard/Reserve personnel and foreign nationals?			

13. SECURITY

32 CFR 861.4 (e)(5). Company personnel receive training in security responsibilities and practice applicable procedures during ground and in-flight operations. Compliance with provisions of the appropriate standard security program, established by the Transportation Security Administration or foreign equivalent, is required for all DOD missions.

	Yes	No	N/A
a. Does the company provide its own security at any of its operating locations?			
b. Number of security coordinators:			
-- Ground Security Coordinators (GSCs): _____			
-- Inflight Security Coordinators (ISCs): _____			
-- Number of instructors? _____			
c. Briefly describe the security training program:			
-- GSC training program (initial / annual):			
-- ISCs trained in anti-hijacking / anti-terrorism?			
d. Is there a procedure to identify GSCs overdue recurrent training? (required annually)			
e. Briefly describe the GSC training records process:			
f. Are there audits associated with the GSC records process?			
-- If so, what is the process and how often is it accomplished?			
g. Is the security program exercised? (i.e., table-top exercises, simulated events)			
h. Would a visitor sense an appropriate level of security awareness?			
-- At the company?			
-- At the ramp?			

14. CONTRACT REQUIREMENTS

32 CFR 861.4 (e)(6). Air carriers satisfy DOD equipment and other requirements as specified in DOD agreements (Air Mobility Command contracts or Military Air Transportation Agreements).

	Yes	No	N/A
a. Does DOD revenue exceed 40% of company revenues?			
b. Do company operations comply with contract requirements?			
c. Part 135: Does company ensure additional DOD standards are met?			

15. AEROMEDICAL TRANSPORT

32 CFR 861.4 (e)(8). The degree of oversight is as determined by the CARB or higher authority. When an inspection is conducted, DOD medical personnel may also participate to assess the ability to provide the patient care and any specialty care required by DOD. **The CARB's review will be limited solely to issues related to flight safety.** Portable Electronic Devices (PEDs) used in the provision of medical services or treatment on board aircraft are tested for non-interference with aircraft systems and the results documented to show compliance with 14 CFR 91.21 or other applicable CAA regulations. If there are no CAA regulations, actual use/in-flight testing of the same or similar model PED prior to use with DOD patients is the minimum requirement.

	Yes	No	N/A
NOTE: Per letter from USTRANSCOM/SG dated 11 Mar 2014, accreditation from Commission on Accreditation of Medical Transport Systems (CAMTS) or National Accreditation Alliance of Medical Transport Applications (NAAMTA) meets Civil Air Ambulance (CAA) requirements.			
a. What is the date of the Commission on Accreditation of Medical Transport Systems (CAMTS) approval? *See: www.camts.org*			
b. What is the date of the National Accreditation Alliance of Medical Transport Applications (NAAMTA) approval? *See: www.naamta.com*			
c. Are there any flight safety issues related to the aeromedical transport operations?			
d. Is carrier approved by FAA/CAA for air ambulance or aeromedical operations? (Fixed wing (Ops Spec A024) / Helicopter (Ops Spec A021))			

ACCIDENT REPORTING FOR DOD-APPROVED CARRIERS

(Current as of: 3 May 2016)

1. All Certificate Operations

When a DOD-approved air carrier is involved in an **accident** (see note), **whether on a DOD mission or not**, the carrier will notify HQ AMC/A3B, Scott AFB IL at (618) 229-4801 or 4343. Accident information should be provided within the next business day by the most expeditious means available. Fatal or otherwise serious accident information is forwarded to the Commercial Airlift Review Board (CARB) for review IAW public law. The following information is requested for all accident reports:

a. Carrier and mission number.

b. Aircraft type and number.

c. Date and time of the accident.

d. Last point of departure and point of intended landing of the aircraft.

e. Nature of the accident and the extent of damage to the aircraft so far as is known.

f. Total number of souls (crewmembers & passengers) on board.

g. Number of injured and fatalities aboard the aircraft.

h. Condition of baggage or government-owned material, if any, on board.

Note: Accidents and incidents are defined in 49 CFR, Part 830. Incidents that occur on military charters must be reported in accordance with the following instructions. Since the classification of events can change between the accident and incident definition as additional facts are learned, carriers are asked to keep HQ AMC/A3B informed of all mishaps that occur on certificate operations which have the potential to fall into the accident realm.

2. Military Charter Missions

When an air carrier is involved in an **accident or incident** (see above note) **in conduct of a military charter mission**, the air carrier will transmit the above report information, by the most expeditious means available, to the 618th Air Operations Center (Tanker Airlift Control Center) at Scott AFB, Illinois, telephone (618) 229-0320.

Within the next business day, notification must also be made to both the Duty Officer, USTRANSCOM, Scott AFB IL, (618) 402-2369, and to HQ AMC/A3B at (618) 229-4801 or 4343.

DOD MODEL PROGRAM
FOR
QUALITY ASSURANCE

402 SCOTT DRIVE, UNIT 3A1
SCOTT AFB IL 62225-5302

(618) 229-4801, DSN: 779-4801, FAX: (618) 256-5937

INTRODUCTION

The Department of Defense (DOD) Commercial Airlift Division is mandated by Public Law and DOD directive to continuously monitor and oversee commercial air carriers doing business for the DOD. The DOD Commercial Airlift Division accomplishes this responsibility through on-site surveys and tabletop performance evaluations. The benchmark used during these evaluations is the DOD Commercial Air Transportation Quality and Safety Requirements. The DOD has compiled characteristics of air carrier programs that stand out as models for the industry. Each model represents a specific requirement that the DOD measures during evaluations.

Here we describe what we believe is a model, or ideal, quality assurance program. Such a program is not mandated by DOD, but represents a compilation of the most effective quality assurance efforts we have seen.

An effective quality assurance program contains the following elements:

A. Continuing Analysis & Surveillance (CAS) Program

B. Special tool and test equipment calibration

C. Documented management involvement/follow-up

A. CONTINUING ANALYSIS & SURVEILLANCE (CAS) PROGRAM

CAS has two sub-elements. The first (Auditing) is auditing of administrative and supervisory aspects of the operator's maintenance program, including the work performed outside the operator's basic organization. These audits are conducted by qualified personnel to

ensure that the operator's main bases, sub-bases, line stations, and support shops operate in accordance with company procedures. The second (Mechanical Performance Monitoring) is monitoring the effectiveness of the carrier's maintenance program, through analysis of such data as powerplant/component teardown reports, flight log reports, premature removal reports, and other available data sources. CAS programs are separate from the other maintenance functions. This separation can be achieved by the operator establishing a separate quality assurance department or assigning the CAS program to the inspection/quality control department.

1. Auditing

   a. Internal audits.

      (1) A scheduled, continuous internal audit program evaluates the effectiveness of all maintenance programs, identifies deficiencies, implements corrective actions to eliminate the root cause of the deficiency, and verifies effectiveness of the corrective actions. The internal audit program will analyze, but not be limited to: aircraft inspections and appearance, maintenance training, scheduled and unscheduled maintenance, aircraft records, maintenance manuals and publications, maintenance control and planning, conformity to technical instructions, compliance with procedural requirements, and the adequacy of facilities, including parts management.

      (2) An audit checklist is used to audit all areas on a recurring, scheduled basis.

      (3) Program includes a system to plan and track audit accomplishment, discrepancies noted, and follow-up actions required.

      (4) Files are maintained which include the most recently completed audit checklist with discrepancies identified and documentation of discrepancy resolution.

      (5) A system is used by management to analyze audit results and identify areas that fall short of company expectations.

   b. Vendor/Supplier Audits

      (1) A vendor audit program evaluates all vendors who perform maintenance, inspections, alterations, or modifications to aircraft,

engines or components. The program examines the adequacy of vendor's equipment and facilities, parts protection and inventory, mechanics' competency, and shop orderliness at the vendor's facility. An on-site audit of the vendor by a qualified individual is ideal.

(2) When distributors and suppliers are utilized, the carrier should ensure suppliers and distributors have a program in place, similar to a vendor audit program, that would verify only quality, airworthy parts are provided and are from FAA-approved sources.

(3) Vendor/supplier files include, as applicable, vendor repair station certificates and operations specifications, documentation of approved drug and alcohol programs, the most recently completed audit checklist with discrepancies identified, and documentation of discrepancy resolution.

(4) An audit checklist is used to perform vendor audits on a recurrent basis.

(5) A system is used to plan and track audit accomplishment, discrepancies noted, and follow-up actions taken.

(6) Vendor audit requirements may be fulfilled through an FAA-approved consortium.

2. Mechanical Performance Monitoring.

a. An ideal mechanical performance monitoring program is both a day-to-day and a long-term process used to determine the operational condition of company's aircraft and components. This program should be proactive to detect performance deterioration before failures occur.

b. Mechanical performance analysis is performed as part of a reliability program or as an independent data collection and analysis system.

c. The monitoring system includes charting or other appropriate methods for recording and accounting of pertinent data at specified intervals.

B. SPECIAL TOOL & TEST EQUIPMENT CALIBRATION

1. Procedures, standards, adequate records, and limits necessary for periodic inspection and calibration of precision tools, measuring devices, and test equipment are defined and implemented.

2. Special tools and test equipment calibration dates are tracked, and a forecast for all upcoming tool and test equipment calibration is forwarded to applicable functional areas.

3. A system is implemented ensuring quarantine for special tools and test equipment not within calibration standards.

4. A method is in place to ensure tool accountability.

5. Scheduled audits ensure special tools and test equipment calibration program functions as documented.

C. MANAGEMENT INVOLVEMENT/FOLLOW-UP

Management uses a system that ensures any recurring discrepancy or negative trend is researched and eliminated. Follow-up action is taken to prevent recurrence of these discrepancies and actions are monitored. The results of preventive actions are provided to appropriate maintenance technicians.

SUMMARY

The DOD believes quality assurance programs built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

Air carriers desiring copies of DOD model programs should access the DOD Commercial Airlift Division public website at http://www.amc.af.mil/Home/AMC-Commercial-Services/ or contact our office at Scott AFB IL, (618) 229-4801.

DOD MODEL PROGRAM
FOR
AIR CARRIER SCHEDULING

402 SCOTT DRIVE, UNIT 3A1
SCOTT AFB IL 62225-5302

(618) 229-4801, DSN: 779-4801, FAX: (618) 256-5937

INTRODUCTION

The Department of Defense (DOD) Commercial Airlift Division is mandated by public law and DOD directive to continuously monitor and oversee commercial air carriers doing business for the DOD. The survey and analysis office accomplishes this responsibility through on-site surveys and tabletop performance evaluations. The benchmark used during these evaluations is the DOD Commercial Air Transportation Quality and Safety Requirements. The DOD has compiled characteristics of air carrier programs that stand out as models for the industry. Each model represents a specific requirement that the DOD measures during evaluations.

Here we describe what we believe is a model or ideal crew scheduling program. Such a program is not mandated by the DOD, but represents a compilation of the most effective scheduling processes we have seen.

An optimal crew scheduling program should include utilization of automation and the following:

A. Procedures

B. Crew Risk Analysis

C. Internal Audit

A. PROCEDURES

Operations management has established formal procedures to ensure crew legality and suitability.

1. A flight/duty-time limitations log is maintained, and clearly defined hours of duty for all crew members, to include office time are tracked.

2. An automated tracking system is in place with running totals for monitoring weekly, monthly, quarterly, and yearly flight time.

3. Program is established, preferably automated, to show real-time status of required training, medicals, qualifications, and currency events.

4. Procedures and training are established to prevent inadvertent override of automated system alerts of operations contrary to regulatory or company rules.

B. CREW RISK ANALYSIS

Management has provided clear written guidance to ensure the following criteria are met:

1. The company has specific criteria to define "experienced" pilots. Inexperienced pilots are not paired together; i.e., a new captain is not paired with a new first officer.

2. Prior to publishing the flight schedule, the chief pilot or director of operations receives a copy and analyzes the level of risk.

3. Prior to assigning any crew to a mission that is outside the scope of normal operations, the chief pilot and/or director of operations is informed and concurs with the scheduler's choices and recommendations of crew members.

4. For DOD passenger charters, the captain and first officer must possess at least 250 hours combined experience in the type of aircraft being operated.

C. INTERNAL AUDIT

Management conducts regularly scheduled internal audits to evaluate the effectiveness of the scheduling department and verify compliance with company procedures and CFRs.

1. The audit checklist is structured so that someone not assigned to the scheduling office could conduct the audit.

2. Results of the audit and corrective actions are communicated to all scheduling personnel.

3. Discrepancies are analyzed to determine/eliminate root cause.

4. Automated system programming is tested on a regular basis to ensure appropriate legalities are updated and accurately checked. System alerts operators on conditions that could result in an illegal operation.

SUMMARY

The DOD believes a crew scheduling program built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

Air carriers desiring copies of DOD model programs should access the DOD Commercial Airlift Division public website at http://www.amc.af.mil/library/businesscustomers.asp or contact our office at Scott AFB IL, (618) 229-4801.

DOD MODEL PROGRAM
FOR
AIR CARRIER TRAINING

402 SCOTT DRIVE, UNIT 3A1
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INTRODUCTION

The Department of Defense (DOD) Commercial Airlift Division is mandated by public law and DOD directive to continuously monitor and oversee commercial air carriers doing business for the DOD. The survey and analysis office accomplishes this responsibility through on-site surveys and tabletop performance evaluations. The benchmark used during these evaluations is the DOD Commercial Air Transportation Quality and Safety Requirements. The DOD has compiled characteristics of air carrier programs that stand out as models for the industry. Each model represents a specific requirement that the DOD measures during evaluations.

Here we describe what we believe is a model or ideal air carrier flight operations training program. The DOD does not mandate such a program, since not every carrier needs the level of detail presented. The program does represent a compilation of the most effective efforts we have seen.

An effective operations training program contains the following elements:

A. Training Management

B. Facility Requirements

C. Pilot training requirements

D. Flight Attendant training requirements

E. Training documentation and scheduling

A. TRAINING MANAGEMENT

Training management is actively involved in reviewing the results of Flight Operations Quality Assurance Program, Line Operations Safety Audits, safety/internal audits and checkrides to determine effectiveness of current curriculum, and actively make modifications to training curriculum as a result of such reviews.

B. FACILITY REQUIREMENTS

1. Classrooms are comfortable and provide adequate climate control, space, lighting, and are free from interruptions.

2. Training is supplemented with state-of-the-art audiovisual training aids, including computer-based training systems.

3. Flight training is conducted in simulators and training devices to the maximum extent possible.

4. Cabin mockups, slide trainers, and classroom emergency equipment are realistic and are used for joint flight and cabin, emergency/evacuation training.

C. PILOT TRAINING REQUIREMENTS

1. Pilot training manuals are logically arranged in FAA modular format as described in FAA Order 8400.10, easy to read, and updated as required. Manual is modified based on trend information from evaluations and safety program analysis, manufacturer's recommendations, etc.

2. Curriculum and courseware support all training required by the FAA and is enhanced by the use of programs, such as Crew Resource Management (CRM), Line Oriented Flight Training (LOFT), Advanced Qualification Program (AQP), and Flight Operation Quality Assurance (FOQA).

a. Additional training is given to high-risk operations (e.g., special navigation routes, harsh operating environment, etc.). Initial and recurrent training contain special airport qualification training.

b. Adequate training time is allocated for all required training events and meets or exceeds the training norms as described in FAA Order 8400.10. Reduced training time, even if FAA authorized, is the exception not the rule.

3. Adequate number of full-time, experienced, and qualified instructors are available.

D. FLIGHT ATTENDANT TRAINING REQUIREMENTS

1. Flight attendant training manuals are logically arranged in modular format as described in FAA Order 8400.10, easy to read, and updated as required. Manual is modified based on trend information from evaluation and safety program analysis.

2. Curriculum and courseware support all training required by the FAA and is enhanced by the use of programs such as CRM.

a. Adequate training time is allocated for all required training events.

b. Joint pilot/flight attendant training is desired.

3. Adequate number of full-time, experienced, and qualified instructors are available.

E. TRAINING DOCUMENTATION AND SCHEDULING

Aircrew training documentation and scheduling are automated and contain the capability to ensure training is accomplished at required intervals.

SUMMARY

The DOD believes training programs built around the above characteristics will benefit the air carrier in several ways. They not only improve safety, but also enhance air carrier image, improve regulatory compliance, and promote air carrier efficiency.

Air carriers desiring copies of DOD model programs should access the DOD Commercial Airlift Division public website at http://www.amc.af.mil/library/businesscustomers.asp or contact our office at Scott AFB IL, (618) 229-4801.