



# Maintenance Survey Checklist

November 2017

## *Introduction*

This document has been developed to assist in your preparation for a Department of Defense (DOD) survey. It is the same checklist we will use during performance of your survey. Detailed explanations of our expectations are provided where necessary.

Items followed by an (\*\*) symbol, are common areas for findings. All requirements listed herein are rooted in the Code of Federal Regulations (CFRs) and the DOD Commercial Air Carrier Quality and Safety Requirements and are not intended to replace either. This checklist will be available to carriers via the DOD Commercial Airlift Division public website <http://www.amc.af.mil/Home/AMC-Commercial-Services>. A word version of this checklist will be available upon request.

\*\* If completing this checklist in preparation for a DOD survey, please provide program description in addition to the yes/no answer.

Should you have any questions or comments concerning this document, please contact us at: (618) 229-4343, fax (618) 256-5937.

1. MANAGEMENT	YES	NO	N/A								
<p>A. Are there clearly defined lines of management authority?</p> <p><i>Applicable manuals include concise job descriptions and definitive lines of authority.</i></p>											
<p>B. Is there sufficient management staffing to support carrier maintenance operations?</p> <p><i>CFR Part 121 – Reference CFR 119.65</i> <i>CFR Part 135 – Reference CFR 119.69</i></p>											
<p>C. Personnel with aviation credentials and experience fill key management positions?</p> <p style="text-align: center;">Maintenance Management/Managers experience:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;"><u>Aviation Industry Experience:</u></td> <td style="width: 50%;"><u>Company Experience</u></td> </tr> <tr> <td>DOM _____</td> <td>DOM _____</td> </tr> <tr> <td>DQA _____</td> <td>DQA _____</td> </tr> <tr> <td>CI _____</td> <td>CI _____</td> </tr> </table> <p><i>CFR Part 121 – Reference CFR 119.67</i> <i>CFR Part 135 – Reference CFR 119.71</i></p>	<u>Aviation Industry Experience:</u>	<u>Company Experience</u>	DOM _____	DOM _____	DQA _____	DQA _____	CI _____	CI _____			
<u>Aviation Industry Experience:</u>	<u>Company Experience</u>										
DOM _____	DOM _____										
DQA _____	DQA _____										
CI _____	CI _____										
<p>D. Does management provide sufficient oversight of carrier maintenance programs?</p>											
<p>E. Is there clear and effective communication between management, the workforce and functional areas?</p> <p><i>I.e. How are personnel informed of current issues, policy changes?</i></p>											
<p>F. Is quality equal to or on better footing than production?</p> <p><i>Aircraft maintenance is properly accomplished in spite of scheduling, potential loss of revenue due to mission cancellation/delay, and/or competitive image or other pressures.</i></p>											
<p>G. Is it clear that passenger and employee safety is paramount?</p> <p><i>Maintenance supervisors ensure all personnel understand that in spite of scheduling pressure, peer pressure, supervisory pressure, or other factors, all maintenance is performed safely and aircraft are airworthy prior to flight. Is there documented procedures in-place to ensure personnel are fit for duty? I.e. Proper rest cycles, overtime procedures, turn over procedures, Human Factors training.</i></p>											

2. PERSONNEL	YES	NO	N/A
<p>A. Are there sufficient maintenance personnel to safely maintain company aircraft at primary facilities and en route locations?</p> <p>Number of certified mechanics?_____</p> <p><i>This includes personnel to supervise those not certificated.</i></p>			
<p>B. Does the new-hire process provide for:</p>			
<p>1. Sufficient background check?</p>			
<p>2. FAA verification of certificates to include company employees, contracted on-call agencies and *emergency on-call maintenance. This also includes employees that have been rehired/reinstated and temporary certificates.</p> <p><i>All certificates are verified through the FAA. FAA A&amp;P website <a href="http://registry.faa.gov">http://registry.faa.gov</a> or write the FAA at Airman License Verification Office, P.O. box 25082, OK City, OK 73125, 405-954-3261. FAA can also be contacted via email at <a href="mailto:9-amc-afs760-airmen@faa.gov">9-amc-afs760-airmen@faa.gov</a> or automated phone: 1-866-878-2498. Select "1" on the phone keypad to reach the examiner and verify certificate is <b>valid</b>. Carrier can use contracted agencies verification for contracted employees performing maintenance on the carrier's aircraft. Proof of verification is tracked and copies kept on file. *Emergency on-call maintenance: verification that the mechanic possesses a license at time of work.</i></p>			
<p>3. Drug and alcohol abuse testing?</p> <p><i>Carrier has an approved substance abuse program that strives to ensure freedom from illegal drugs and alcohol abuse. (Evaluator will be asking to see current MIS report verifying sample percentages) Ref: CFR Part 121/135 &amp; 14 CFR 120.1</i></p>			
<p>C. Do carrier maintenance personnel have sufficient experience to support carrier's maintenance requirements?</p> <p>Average experience level? _____ Average time with carrier? _____</p>			
<p>D. Does the carrier experience a great deal of turnover?</p> <p>Turnover rate_____?</p>			
<p>E. Are the carrier's maintenance employees represented by a union?</p>			
<p>1. When is the contract up for renegotiation and are there any expected problems?</p>			
<p>2. What is the quality of the relationship between management and the union?</p>			

3. QUALITY ASSURANCE	YES	NO	N/A
<p>A. Does the carrier have a continuing analysis and surveillance program that allows for continuous oversight, analysis of the performance and effectiveness of maintenance activities and aircraft inspection programs?</p> <p><i>This question summarizes the information collected through the remaining questions in this section. (As req'd by FAR 121.373/135.431)</i></p>			
<p>1. Does the carrier have 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?</p> <p><i>All carriers have a formal, documented IAP that verifies compliance with all company policies and procedures and FAA regulations. Documentation refers to both program description/requirements and compliance. This program includes all functional areas within the maintenance department (e.g., quality assurance, records, manuals, maintenance control/scheduling, stores, training, inspection, and facilities, etc...)</i>  <i>Program complexity is dependent on carrier size.</i></p>			
<p>a. A method to schedule and track required audits? **</p> <p><i>All audits are accomplished on a set frequency not to exceed 12 months unless supported by an advanced, robust risk-based analysis program. This risk-based analysis program could include but is not limited to the following examples: risk assessment charts, detailed historical data, decision tree/matrix, fleet health records, etc. Current information such as last audit date and next audit due date is available and used to ensure all audit schedule requirements are being met. Dependent on the complexity of the program, this can entail anything from a database or spreadsheet to a periodically scheduled review of each area's file.</i></p>			
<p>b. A process to track and follow-up discrepancies or concerns discovered during audits? **</p> <p><i>All audit discrepancies are documented, and concerns are reviewed by applicable management personnel and tracked until closed per company documented procedures. Follow up as required; verifying corrective action is taken to prevent recurrence.</i></p>			
<p>1. Audit results are analyzed in order to determine the root cause of discrepancies rather than the symptom? **</p>			
<p>2. Repeat discrepancies and negative trends are identified and addressed? **</p>			
<p>c. Complete and accurate files (electronic/hard copy) for each functional area that contain the following:**</p> <p>Last Audit Report and/or Checklist / Follow-up Documentation</p>			

QUALITY ASSURANCE CONT.	YES	NO	N/A
<p>2. Does the carrier have a system to evaluate contract vendors, suppliers, and their products; to include: **</p> <p><i>Ref: CFR Parts 121.367 &amp; 135.413</i></p>			
<p>a. An approved vendors list?</p> <p><i>Carrier has a method, through the vendor audit program, to approve vendors for use by the carrier. Vendors are approved after successful accomplishment of an on-site or mail-out vendor audit checklist or a one-time approval checklist. The approved vendor list is regularly updated and provided to those who are responsible for purchasing spares and maintenance support.</i></p>			
<p>1. Who controls the list _____?</p>			
<p>2. Does receiving and purchasing use the list to verify parts are received from only approved contracted vendors/suppliers?</p> <p><i>Process could include a documented procedure for one-time approval</i></p>			
<p>b. An established method to determine audit type (on-site or mail-out) for each vendor? **</p> <p><i>The DOD expects carriers to provide oversight of vendors/maintenance providers and have a process in place to determine the type of audit (on-site vs. mail-out, phone, CASE etc.) each provider will receive. The complexity of the overall program will vary with carrier size and scope of operations. The expectation is all non-OEM and non-OEM authorized repair vendors performing overhaul of safety of flight or major aircraft components (i.e. engines, landing gear, primary flight controls and emergency rafts and slides) receive on-site surveillance at a frequency relative to industry standards.</i></p>			
<p>c. An adequate checklist for the performance of both on-site and mail-out audits? **</p> <p><i>Checklists contents will vary, but should contain requirements to ensure the vendor is certified to perform the work required, has an approved substance abuse program, and has the quality programs necessary to ensure good service and compliance with FAA and industry standards.</i></p>			
<p>d. Complete and accurate files (electronic/hard copy) for each approved vendor, that contain the following: **</p> <p>Last Audit Report and/or Checklist / Follow-up Documentation</p> <p>Vendor's Certificate indicating Capabilities/Limitations / Drug/Alcohol Ops Spec 449</p>			

QUALITY ASSURANCE CONT.	YES	NO	N/A
<p>e. A process to verify mechanics certifications at contracted vendors?</p> <p><i>Carriers' auditors can either verify the certifications themselves or have a process to ensure vendors verify certifications.</i></p>			
<p>f. An adequate method to schedule and track required audits? **</p> <p><i>All audits are accomplished on a set frequency. Current information such as last audit date and next audit due date is available and used to ensure audit schedule requirements are being met. Dependent on the complexity of the program, this can entail anything from a database or spreadsheet to a periodically scheduled review of each area's file.</i></p>			
<p>g. An adequate program to track and follow up discrepancies or concerns discovered during audits? **</p> <p><i>All audit discrepancies and concerns are reviewed by applicable management personnel and tracked until closed in a reasonable time frame. Follow up as required; verifying corrective action is taken to prevent recurrence.</i></p>			
<p>3. Is the carrier a sustaining member of Coordinating Agency for Supplier Evaluation (CASE)? If yes, complete the following items:</p> <p><i>CASE Members – The following checklist items are reproduced from the CASE Policy and Procedures (P&amp;P) Manual, Air Carrier Evaluation Report. See the CASE P&amp;P Manual for details on these items. A successful DOD audit fulfills the CASE periodic air carrier evaluation requirement.</i></p>			
<p>a. Is there a documented CASE auditor training program, and are training records maintained (CACS 9)?</p> <p>How many level III/IV auditor's _____?</p>			
<p>b. Do vendor audit forms cover applicable CASE standards?</p>			
<p>c. Is the CASE P&amp;P manual current (electronic or hard copy)?</p>			
<p>d. Does each CASE Level III/IV auditor have access to CASE P&amp;P manual?</p>			
<p>e. Do auditors have access to CFRs (web/electronic/hard copy)?</p>			
<p>f. Does the file for each vendor allocated by CASE have a current letter of expectation (CACS-7)?</p>			
<p>g. Has the carrier completed an annual self-audit, using an Air Carrier Evaluation Report (CACS-6) to verify continued compliance? (Refer P&amp;P, 2-1-0, Pg1, Para B. 8)</p>			
<p>h. Does the carrier have an approved D090 Operations Specifications?</p>			

QUALITY ASSURANCE CONT.	YES	NO	N/A
<p>4. Does the carrier have a program to perform mechanical performance monitoring?</p> <p><i>Mechanical performance monitoring can be as simple as a basic records review (FAR part135), CAS programs, or as complex as an FAA-approved reliability program with computerized performance tracking.</i></p>			
<p>a. Does management get involved and use information from the mechanical performance monitoring program to improve aircraft reliability?</p>			
<p>b. Does program identify and determine cause of any recurring discrepancies or negative trends?</p>			
<p>B. Does the carrier have a formal tool/test equipment calibration program to include the following: **</p>			
<p>1. A method to track tool inventory and calibration status? **</p> <p><i>All equipment requiring calibration is calibrated on a set frequency. Current information, such as last calibration date and next calibration due date, is available and used to ensure all calibration requirements are being met. Dependent on the complexity of the program, this can entail anything from a computerized database or spreadsheet to a periodically scheduled and documented review of each piece of equipment's calibration documentation.</i></p>			
<p>2. Files that contain certification forms for each tool that requires calibration? **</p>			
<p>3. A process to ensure carrier provided tools are kept calibrated and in good condition? **</p>			
<p>4. A means to ensure any employee-owned tools used on company aircraft are kept calibrated? **</p>			

4. MAINTENANCE INSPECTION ACTIVITY	YES	NO	N/A																														
<p>A. Does the carrier have a process to ensure required aircraft inspections are completed and the results properly documented?</p> <p>Who is responsible for quality oversight _____?</p> <p><i>(I.e. Aircraft inspections, RII, Receiving, &amp; NDT/Borescope)</i></p>																																	
<p>B. Does the carrier have a process to ensure the following:</p>																																	
<p>1. Inspectors are properly identified?</p>																																	
<p>2. Inspectors are provided appropriate documented training?</p> <table border="1" data-bbox="105 745 1205 982"> <thead> <tr> <th></th> <th>Initial</th> <th>Recurrent</th> <th>Method</th> <th>N/A</th> </tr> </thead> <tbody> <tr> <td>Aircraft Inspectors</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>RII Inspectors</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Receiving Inspectors</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>NDT/Borescope</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Inspection Authorization (Part135 Only)</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p><i>All inspectors (to include RII equivalent programs for 9 or less) are provided initial/recurrent training.</i></p>		Initial	Recurrent	Method	N/A	Aircraft Inspectors					RII Inspectors					Receiving Inspectors					NDT/Borescope					Inspection Authorization (Part135 Only)							
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<p>3. Only authorized personnel accomplish inspections?</p>																																	
<p>C. Does the carrier have a required inspection item (RII) program or equivalent that provides:</p> <p><i>(example: second set of eyes program FAR part 135, 9 or less)</i></p>																																	
<p>1. A well-defined list of maintenance tasks that require RII action and procedures to accomplish RII inspection?</p> <p><i>CFR Part 121 – Reference CFR 121.369(b)(2)</i>  <i>CFR Part 135 10 or More – Reference CFR 135.427(b)(2)</i></p>																																	
<p>2. A list of RII authorized inspectors as required by CFR, for both company and contract maintenance?</p> <p><i>Equivalent program- authorized personnel listing for 9 or less</i>  <i>Part 121 – Reference CFR 121.371(d) / Part 135 10 or More – Reference CFR 135.429(e)</i></p>																																	
<p>3. All RII (or equivalent program) personnel are authorized by letter with any limitations listed, and the authorization letters are kept on file?</p> <p><i>CFR Part 121 – Reference CFR 121.371(d)</i>  <i>CFR Part 135 10 or More – Reference CFR 135.429(e)</i></p>																																	
<p>D. Is there an effective inspector/mechanic stamp program?</p> <p><i>Procedures address: Stamp issue, tracking, disposal, relinquish, and loss.</i></p>																																	

5. MAINTENANCE TRAINING	YES	NO	N/A
<p>A. Does the carrier's training program provide well-qualified personnel to support carrier maintenance operations?</p> <p><i>Question summarizes the information collected from the remaining training section.</i></p>			
<p>B. Does the carrier provide and conduct initial/recurrent training with a minimum of the following:</p> <p><i>Full and part-time personnel.</i></p>			
<p>1. Indoctrination? Method of instruction _____?</p> <p><i>Ensures thorough understanding of company manuals, policies, procedures, and forms?</i></p>			
<p>2. Human Factors? Method of Instruction _____?</p>			
<p>3. General aircraft systems? Method of instruction _____?</p> <p><i>Factory, classroom, or OJT training in aircraft familiarization, systems, or other requirements applicable to individual positions.</i></p>			
<p>4. EWIS? Method of Instruction _____?</p> <p><i>Electrical Wiring Interconnect System AC 120-102A **CFR Part 121 carriers only**</i></p>			
<p>5. Engine-run/taxi? (initial and recurrent) ** Method of instruction _____?</p> <p><i>Personnel qualified to operate aircraft engines and/or taxi aircraft receive both initial and recurrent training in equipment operation, limitations, and emergency procedures. Recurrent training program may be as simple as a check ride or as complex as a formal classroom refresher with simulator or on-aircraft check ride. Recurrent training frequency is established and accomplishment documented.</i></p>			
<p>6. Winterization / De-icing? Method of instruction _____?</p> <p><i>If maintenance personnel perform aircraft de-icing, initial and recurrent (annual) training is provided.</i></p>			
<p>7. ETOPS? Method of instruction _____?</p> <p>(if applicable) (initial and recurrent to include awareness training for all personnel)</p> <p><i>Both initial and recurrent training on ETOPS maintenance requirements is performed and documented at a frequency established by the carrier. Reference: AC 120-42B.</i></p>			
<p>8. CAT II &amp; III landing? Method of instruction _____?</p> <p>(if applicable) (initial and recurrent to include awareness training for all personnel)</p> <p><i>Reference AC 120-28A&amp;D (28A covers I/II, 28D covers III). Initial and recurrent training on CAT II &amp; III maintenance requirements are performed and documented.</i></p>			
<p>9. RVSM? ** Method of instruction _____?</p> <p>(if applicable) (initial and recurrent to include awareness training for all personnel)</p> <p><i>Initial and recurrent training on RVSM maintenance requirements are performed and documented. CFR Part 121/135 – Appendix G to FAR Part 91 AC91-85(f)</i></p>			

MAINTENANCE TRAINING CONT.	YES	NO	N/A
<p>C. Does the carrier have sufficient training facilities and instructors?</p>			
<p>D. Does the carrier employ a scheduling method that ensures all required initial and recurrent training is accomplished on-time? **</p> <p>How is it tracked:      Manually    /    Automated    /    Combination</p> <p><i>Current information such as individual training requirements, training completion date, and recurrent training due date is available and used to ensure all training requirements are being met. Dependent on the complexity of the program, this can entail anything from a database or spreadsheet to a hand written list or chart maintained in each individual's training file.</i></p>			
<p>E. Does the carrier document all training, to include formal and on-the-job training? **</p> <p><i>Accomplishment of all training to include formal and informal on-the-job training is documented.</i></p>			
<p>1. Complete and accurate files kept contain the following: (if applicable) **</p> <p>Certificates    /    OJT Forms    /    Prior Training    /    Reviews &amp; Waivers</p>			
<p>2. Are special authorizations such as inspection and airworthiness release identified and documented?</p>			
<p>3. Are trainers fully qualified in the subject matter?</p>			
<p>F. Is previous aviation experience/maintenance training evaluated and waived?</p> <p>Who conducts evaluation_____?</p> <p><i>This should entail at the minimum, a memo that addresses all prior training, its applicability to current assignment training requirements, and any waivers to those requirements.</i></p>			

6. MAINTENANCE CONTROL	YES	NO	N/A
<p>A. Does the carrier maintain a system that provides a means to control maintenance activities and track aircraft maintenance status?</p> <p><i>This system can be as simple as a dry erase status board or hand written status sheet for a small carrier, to a complex computerized maintenance status tracking and control program. However complex, it enables the carrier to track and control aircraft maintenance.</i></p>			
<p>B. Does the location and structure of the maintenance control department support good communication with the rest of the maintenance organization and flight operations?</p> <p>Hours of operation?</p>			
<p>C. Are only company-approved contract maintenance facilities and/or on-call maintenance contractors used?</p> <p><i>All contract maintenance organizations are approved through the carrier's vendor approval process, and any lists used to contact the vendors are controlled to ensure currency and accuracy.</i></p>			
<p>D. Does the carrier have documented procedures for the approval of ferry flights, and does it provide a list of those authorized to approve?</p> <p><i>Carriers with special ferry flight authorization – Procedures should contain detailed instructions for ferry flight approval and a list of those individuals authorized to approve ferry flights.</i></p>			
<p>E. Is the carrier able to readily identify aircraft with special capabilities; i.e. ETOPS, RVSM, CAT II/III?</p>			
<p>1. Are procedures in place to ensure the downgrade of an aircraft with special capabilities when required?</p>			
<p>F. Does the carrier have adequate programs to manage and control deferred maintenance?</p> <p><i>A process is used to track to closure: status, parts, equipment, manpower requirements, and expiration date of all deferred maintenance?</i></p>			

MAINTENANCE CONTROL CONT.	YES	NO	N/A
<p>1. Does the carrier promote good MEL practices, and are procedures adequate to support the program?</p> <p><i>Carriers with approved MEL programs – MEL practices and procedures ensure correct deferral and adherence to all procedures.</i></p>			
<p>2. Does the carrier’s MEL/deferred maintenance rate reflect a drive to keep open maintenance items to a minimum?</p> <p>MEL Rate _____? (Avg MEL/Aircraft/Day)?</p> <p><i>Carriers with approved MEL programs – This rate should be continuously monitored for adverse trends.</i></p>			
<p>G. Does the daily utilization rate of the aircraft provide sufficient time to troubleshoot problems and effect repairs?</p>			
<p>H. Are short term planning requirements tracked to closure? (temp fix, daily checks, unscheduled maintenance)</p> <p>Who accomplishes short term planning?</p>			
MAINTENANCE PLANNING	YES	NO	N/A
<p>A. Does the carrier have programs that adequately plan for all maintenance requirements?</p>			
<p>1. Is there a process to track and schedule replacement of all life-limited components?</p>			
<p>2. Is there a process to track and schedule all recurrent maintenance requirements (ADs, SBs, etc...)?</p>			
<p>3. Is there a process to plan both short and long-term scheduled maintenance requirements?</p>			
<p>4. Are there adequate short-term escalation procedures, if carrier is short-term escalation authorized?</p>			

7. AIRCRAFT MAINTENANCE PROGRAM	YES	NO	N/A
<p>A. What type of maintenance program does the carrier use to maintain its aircraft?</p> <p>CAMP / 100/Annual / Manufacturer / Progressive / AAIP / Other</p>			
<p>B. Carrier has programs to inspect for aging and corrosion prevention (CPCP)?</p>			
<p>C. Is there a process for inclusion of new requirements into the maintenance program?</p>			
<p>D. Does the carrier use a contractor to accomplish routine maintenance?</p>			
<p>1. At what levels?</p> <p>Line Checks / Heavy / Engine / Other</p>			
<p>2. Are the contractors monitored under the vendor audit program?</p> <p><i>All contract maintenance organizations are approved and monitored through the carrier's vendor approval and audit process.</i></p>			
<p>3. Does the company provide representatives during heavy maintenance checks?</p> <p><i>To ensure quality of work performed, the carrier is expected to have either a representative on-site to monitor contract heavy maintenance or a process in place that provides periodic oversight of the maintenance and a comprehensive acceptance inspection.</i></p>			
<p>E. Does the carrier have adequate engineering support?</p> <p>Own Engineer / Manufacturer / DER (own) / DER (contract)</p>			
<p>F. Are airworthiness directives and service bulletins reviewed, scheduled, and accomplished in a timely manner?</p>			
<p>1. Who determines applicability?</p>			
<p>2. How are they tracked?</p>			

<b>9. AIRCRAFT MAINTENANCE PROGRAM CONT.</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
<p>G. Does the carrier use fleet campaigns to accomplish inspections or effect repairs identified as causing reliability or operational problems?</p> <p><i>This program should ensure all the required coordination between maintenance departments, inspections, and repairs are accomplished.</i></p>			
<p>H. Does the carrier have an engine-condition monitoring program?</p> <p><i>Single engine IFR authorized must have program (135.421c)</i></p>			
<p>1. Is engine-condition data routinely and accurately collected to support the analysis program?</p> <p style="text-align: center;">Automated       /       Manual</p>			
<p>2. Is engine-condition monitoring data used to prevent failures and improve reliability?</p>			
<p>3. Are program administrators trained in the operation of monitoring program?</p>			

8. MAINTENANCE RECORDS	YES	NO	N/A
A. Does the carrier have records management procedures that ensure the following:			
1. All records are complete, orderly, and accurate? <i>A process is in place to verify records quality.</i>			
a. All inspections, airworthiness release, maintenance release, AD's etc., are completed as scheduled and signed by approved personnel?			
b. Quality audit checks are performed & discrepancies corrected?  Who conducts the audit_____?			
2. All records are secure? <i>Location provides limited access.</i>			

9. AIRCRAFT APPEARANCE	YES	NO	N/A
A. Are aircraft exteriors, including all visible surfaces and components, clean and well maintained?			
B. Are required safety equipment and systems available and operable?			
C. Are aircraft interiors clean and orderly?			
D. Was maintenance observed accomplished safely and accurately?			

**COMPLETED RAMP INSPECTIONS**  
*In-Service Aircraft (use AMC form 234)*

Aircraft Reg. #	Date/Time	Aircraft Type	Comments

10. FUELS	YES	NO	N/A
<p>A. Does the carrier have a formal program to conduct quality assurance checks of their own fuel farms and fuel servicing equipment? **</p> <p><i>A formal program that provides written procedures for quality assurance checks of all company-owned/operated fuel farms and servicing equipment using applicable standards. Checks are scheduled and performed at an established frequency and accomplishment is documented.</i></p>			
<p>B. If fuel servicing is contracted, does the carrier have a formal, verifiable program to ensure all fuel received is contaminant-free? **</p> <p><i>If the carrier does this through a fuel vendor audit program to monitor the quality of fuel provided by regularly used vendors, does the carrier have the following:</i></p>			
<p>1. A method to schedule and track required audits? **</p> <p><i>All audits are accomplished on a set frequency. Current information such as last audit date and next audit due date is available and used to ensure all audit schedule requirements are being met. Dependent on the complexity of the program, this can entail anything from a computerized database or spreadsheet to a documented periodic review of each area's file.</i></p>			
<p>2. A program to track, follow-up, and close discrepancies or concerns discovered during audits? **</p> <p><i>All audit discrepancies and concerns are documented and reviewed by applicable management personnel and tracked until closed. Follow up as required verifying corrective action is taken to prevent recurrence</i></p>			
<p>a. Are repeat discrepancies addressed?</p>			
<p>3. Complete and accurate files (electronic/hard copy) that contain the following: **</p> <p style="text-align: center;">Last Audit Checklist and/or Report      /      Follow-up Documentation</p>			
<p>C. If the carrier utilizes another method, such as DOD approved vendors, other Part 121 carriers audit results, IFQP, or monitors approval via the Defense Fuels website: <a href="https://cis.energy.dla.mil/energy_cis/">https://cis.energy.dla.mil/energy_cis/</a> is it documented and comprehensive enough to provide sufficient oversight?</p>			
<p>D. Does carrier have a process that initiates fuel quality verification at non-routine locations and results are documented? **</p>			

11. MAINTENANCE MANUALS	YES	NO	N/A
<p>A. Does the carrier have an adequate company manual program that ensures:</p>			
<p>1. Detailed, standardized guidance for the accomplishment of aircraft maintenance, inspection programs and operation of the maintenance organization?</p>			
<p>2. Detailed management policies, lines of authority, and responsibilities for key maintenance personnel? **</p> <p><i>This information is detailed in either the general maintenance manual or maintenance section of the operations manual, as applicable.</i></p>			
<p>3. A revision control process that ensures revisions are accomplished with follow-up actions as required? **</p> <p><i>A process is established that ensures revisions are provided to manual holders and those responsible for revision of company and aircraft maintenance manuals in a timely manner and also tracks revision accomplishment. Normally, this will be accomplished through a revision return-receipt and tracking system. Program complexity is dependent on carrier size and can entail anything from a computerized database or spreadsheet to a periodically reviewed, hand-written list.</i></p>			
<p>B. Does the carrier have an adequate technical manual program that ensures:</p>			
<p>1. Manuals available for use are the most current? Currency is verified periodically.*</p> <p><i>This process includes recurring interface with manufacturers to verify currency of manufacturer maintenance and component maintenance manuals. This process must be documented.</i></p> <p><i>Note: Simply having a subscription service does not constitute verification.</i></p>			
<p>2. Technical manuals are available to all who require access?</p> <p><i>Hard copies, electronic, and/or disc are all available.</i></p>			
<p>3. Manuals maintained in good condition?</p> <p><i>For electronic manuals, display equipment must be available and operational.</i></p>			
<p>C. Are procedures in-place to ensure all company and technical manuals are adhered to by maintenance personnel?</p>			
<p>D. Does the carrier have a means to ensure printed information is properly controlled to prevent use of non-current data? **</p>			

12. MAINTENANCE FACILITIES	YES	NO	N/A
A. Does the carrier have sufficient hangar and/or shop facilities to support maintenance operations?			
B. Does the carrier maintain their maintenance facilities in a neat, orderly, and safe fashion?			
1. Are sufficient fire extinguishers provided, and are they in serviceable condition?			
2. Are sufficient serviceable eye wash stations provided?			
3. Are sufficient first aid kits provided and are they stocked?			
4. Are flammables properly stored?			
STORES	YES	NO	N/A
C. Does the carrier have an adequate stores/supply program that provides:			
<p>1. Detailed receiving inspection procedures to ensure only approved/serviceable rotatable and consumable parts are stocked for issue?</p> <p><i>All parts received are inspected through a process that verifies the item has been provided by an approved vendor, serviceable, the proper part has been received, and all required certification documentation is provided and properly accomplished. Program complexity is dependent on carrier size.</i></p> <p><i>Note: Will verify inspectors use the approved vendors list during receiving inspection.</i></p>			
<p>2. Parts properly tagged and environmentally protected? **</p> <p><i>All parts are identified (tagged or stamped.) Parts are stored in an area reasonably free from environmental contaminants and wrapped or boxed in a manner that precludes damage or contamination. All open ends of fabricated and bulk lines and hoses are capped or covered.</i></p>			
<p>3. Traceability of all parts? (Includes all raw stock; sheet metal, hardware, etc.) **</p> <p><i>Stocked aircraft parts have documentation that certifies the item has been manufactured/repaired/overhauled to approved standards and when applicable, returned to service by an approved organization.</i></p>			

STORES CONT.	YES	NO	N/A
<p>4. An inspection program that ensures no expired shelf-life items are available for use? **</p> <p><i>All items, to include aircraft components, are closely monitored through periodic inspections of all shelf-life limited components and consumables to preclude issuance of expired supplies.</i></p>			
<p>5. Aircraft seals (O-rings) are stocked/issued according to aircraft and equipment manufacturer requirements?</p> <p><i>Note: Carrier must have documented OEM approval to exceed shelf life controls.</i></p>			
<p>6. Segregation of unserviceable/repairable parts from serviceable parts?</p> <p><i>Parts are stored in a manner that prevents mixing of serviceable and unserviceable items. This may be as simple as identifying and marking shelves/cabinets/rooms for serviceable or unserviceable items.</i></p>			
<p>7. Segregation of aircraft and non-aircraft parts?</p> <p><i>Aircraft parts and supplies are kept physically segregated from other supplies such as those for automotive or support equipment use.</i></p>			
<p>8. A parts/material scrap program that renders all items unusable prior to disposal?</p> <p><i>A process to ensure disposition of scrap components in a manner preventing further use as serviceable parts or materials.</i></p>			
<p>9. Proper storage of flammables (stores)?</p>			
<p>D. Is carrier authorized to package/handle/ship hazardous material?</p> <p><i>Ref: 121.1001 &amp; 1003, 135.501 &amp; 503</i></p>			
<p>1. If yes (Will Carry), is there a documented process to ensure personnel are properly trained?</p>			



# DOD Commercial Air Carrier Division

## Air Carrier Operations

### **SURVEY CHECKLIST**

a. Carrier Name: \_\_\_\_\_

---- MX Designator: \_\_\_\_\_

---- Location: \_\_\_\_\_

---- Dates: From \_\_\_\_\_ To \_\_\_\_\_

b. Type of Survey: Initial      Biennial      Special      Initial Redo

**Current as of**

**February 2015**

**(Reviewed March 2017)**

**Includes 3 May 2016 Accident/Incident Reporting for DOD-Approved Carriers**

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## **SURVEY SCHEDULE**

<b>NEW ENTRANT CHECKLIST</b> .....		Completed	_____
<b>PRE-SURVEY CHECKLIST</b> .....		Completed	_____
<b>SAFETY PROGRAM</b> .....	Scheduled	_____	Completed _____
<b>INTERNAL AUDITS</b> .....	Scheduled	_____	Completed _____
- Foreign Carrier Oversight			
<b>OPERATIONS MANAGEMENT</b> .....	Scheduled	_____	Completed _____
<b>FLIGHT OPERATIONS</b> .....	Scheduled	_____	Completed _____
- Pilot Hiring			
- Captain / Check airmen Upgrade Training			
- Aircrew Performance / Standardization			
<b>GOM</b> .....	Scheduled	_____	Completed _____
<b>AIRCREW RECORDS</b> .....	Scheduled	_____	Completed _____
<b>PILOT TRAINING</b> .....	Scheduled	_____	Completed _____
- Training Records			
<b>FLIGHT ATTENDANTS / LOADMASTERS</b> .....	Scheduled	_____	Completed _____
- Flight Attendant / Loadmaster Hiring			
- Flight Attendant / Loadmaster Training			
- Flight Attendant / Loadmaster Scheduling			
- Flight Attendant / Loadmaster Records			
<b>PILOT SCHEDULING</b> .....	Scheduled	_____	Completed _____
<b>OPERATIONAL CONTROL</b> .....	Scheduled	_____	Completed _____
- Dispatchers / Flight Followers			
- Flight Planning			
- Mission Monitoring			
- Load Manifests			
<b>CHARTER PROCEDURES</b> .....	Scheduled	_____	Completed _____
<b>SECURITY</b> .....	Scheduled	_____	Completed _____
<b>CONTRACT REQUIREMENTS</b> .....	Scheduled	_____	Completed _____
<b>COMPANY OUT-BRIEF</b> .....	Scheduled	_____	Completed _____

**FEBRUARY 2015 - 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/Incident Reporting for DOD-Approved Carriers. Updated 3 May 2016. (Phone numbers confirmed 4 Jan 2017)
- DOD Questionnaire/Feedback Form. Updated with new AMC/A3B e-mail address.

## **-Introduction**

**Understanding and using this checklist:** This checklist contains the depth of detail required to walk the DOD operations evaluator through the survey process. Following the checklist will ensure a standardized look at each carrier and that all critical information is obtained to accurately assess the carrier’s compliance with 32 CFR 861.

- **Non-Italicized Questions:** These are interview questions. Interview questions are designed to help the interviewee provide information on those company programs and processes that specifically, or generally, satisfy 32 CFR 861 requirements.

- **Italicized Comments/Notes:** These questions are intended to be answered by the evaluator. This information is gathered through research, observation, or by compiling general information from several sources to arrive at an overall opinion.

⊖ **Circled questions:** These questions specifically answer normal statements in the operations report template. Ensuring these questions are answered will greatly facilitate report writing after the survey.

<b>A. NEW ENTRANT CHECKLIST (Accomplish month prior to survey)</b>	<b>Complete</b>
a. Verify need to use carrier:	
-- AMC contracting, or	
-- Service contracting agency	
b. Verify Part 121 or 135 certification (See statement of intent)	
c. Verify 12 months equivalent service by carrier	
d. See USTC/AQ or A3BA (Contracting Rep/Liaison) POC:	
-- Confirm contract / agreement sent to carrier / signed / returned	
-- Copy of contract made available to A3B	
-- Get copy of latest solicitation and amendments	
e. Verify air carrier's ability to meet contract requirements:	
-- Performance	
-- Aircraft / Equipment	
f. Confirm eligibility for entry into CRAF--check with CRAF office	
g. Determine % of revenue from non-DOD sources (desired is 60% minimum)	
h. Review accident / incident occurrences and generate AI report (See PE checklist for guidance).	
i. Review FAA data (SPAS / ATOS)	
j. If the company is pursuing an aeromedical contract:	
-- <b>USTRANSCOM/SG</b> allows only 2 methods for accreditation:	
--- Commission on Accreditation of Medical Transport Systems (CAMTS)	
--- National Accreditation Alliance of Medical Transport Applications (NAAMTA)	

<b>B. PRE-SURVEY ACTIONS (Coord with Maintenance)</b>	<b>Complete</b>
a. Review previous itinerary for survey information	
b. Contact company to coordinate survey dates; receipt of Q&S, delivery of required manuals (GOM / Ops Specs); in-brief / out-brief dates, times, and locations, and get directions to company facilities.	
c. Contact FAA to coordinate:	
-- FAA in-brief date _____, time _____, and location _____	
-- Directions to FAA facilities or in-brief location	
d. Reservations:	
-- Airline (cockpits?)	
-- Hotel	
-- Rental car	
e. Publish and coordinate an itinerary for A3B approval	
-- Save itinerary at: EIM: A3B / Schedule / Travel / Working / [your-survey]	
f. Review the following documents contained in the carrier/pre-survey folders:	
-- Latest PE and survey (place emphasis on areas previously identified as deficient)	
-- Any correspondence between the DOD and company?	
-- Review contract for customer requirements	
g. Complete Accident / Incident Report. Save per Post Survey guidance (Checklist page 43)	
h. Review company manuals and Ops Specs (available via ACAS or SPAS)	
i. Review carrier web-site (if available)	
j. Review FAA oversight information in PTRS / ATOS / SAS for trends and items of interest	
k. Review ACAS	
-- Closewatch?	
-- AVOL Information?	
-- Cockpits? (How many already accomplished? Do we need more?)	
-- Other information (Any CARB actions? LOCs? Potential issues?)	
l. Contact the CRAF office if applicable to discuss any issues they would like us to review	
m. Contact A3B Safety Representative for list of the foreign code-share audits to be reviewed	
n. For US Army Corps of Engineers (USACE):	
-- Contact appropriate USACE office and arrange in-person or telephone interview	
-- Determine USACE office's general impression of carrier's safety / reliability	
o. For helicopter operators: Check with the appropriate DOI, Aviation Management, office:	
-- Alaska / Hawaii Operators: 907-271-3700, Anchorage office	
-- Eastern US Operators: 770-458-7474, Atlanta office	
-- Western US Operators: 208-334-9310, Boise office	
p. Determine type of in-brief. (Those carriers that have been in awhile may be ok w/ a modified brief)	

<b>C. FAA INBRIEF</b>	<b>POC:</b>		
<b>32 CFR 861.4 (e)(2).</b> Policies, procedures, and goals that enhance the CAA's minimum ops and maintenance standards have been established and implemented. A cooperative response to CAA inspections, critiques, or comments is demonstrated.			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
a. Face to face in-brief? ( <i>Occasionally, a phone in-brief may be suitable</i> ).			
-- Location:			
-- Date / Time:			
b. FSDO:			
-- Name of Lead FAA Inspector:			
-- Position:			
-- Phone #:			
c. How long have you been assigned to the certificate?			
d. To how many other carriers are you assigned?			
e. What are your general impressions of the carrier? ( <i>Does carrier meet min stands?</i> )			
f. Is your staff frequently involved in the operation of the carrier?			
1. How often does your staff visit the company?			
2. Do you receive sufficient geographical support?			
g. Is there an inspection program in place (i.e., SAS)?			
1. Is company responsive to FAA findings?			
h. What is your impression of the company's flight evaluation program?			
-- Check Airmen?			
-- Aircrew Program Designee (APD)?			
i. What is your impression of the company's self-disclosure program?			
j. Has the certificate ever been suspended?			
-- If yes, why?			
k. Are there any pending enforcement actions or flight violations that have not made it into the FAA database?			
l. Are there any recent notable accidents or incidents?			
m. Would you like to see the carrier make any changes?			
n. Overall, how satisfied are you with the company's operations? <i>Un-satisfied? Satisfied? Very satisfied? Highly?</i>			
o. How satisfied are you with the level of aircrew performance? <i>Un-satisfied? Satisfied? Very satisfied? Highly?</i>			
p. Provide A3BS web-site for the checklist and Q&S (hopefully printed on your business card)			

**IN-FLIGHT PERFORMANCE**

- FAA \_\_\_\_\_ (is; is very; is highly; etc.) satisfied with the level of aircrew performance.

**NOTES:**

## D. COMPANY INBRIEF

POC:

a. Location:

Time:

### b. In-brief Outline

- Introduce team
- Purpose and authority of visit
  - Public Law 99-661 resulting from DOD charter crash in 1985
- All carriers transporting pax/cargo for DOD must meet the following requirements:
  - Biennial on-site survey
  - Six month Performance Evaluation
- Carrier evaluated against DOD Q&S requirements
  - Company should have copy
- Mention their DOD business (type of contracts)
- Survey will include ops and mx inspections
- Areas inspected include:
  - Management, training, records, safety, scheduling, cockpit observations, and ramp inspections
- Team will observe daily ops
  - NON INTERFERENCE basis, to max extent possible
- Team members are fact finders
  - Share information with the FAA
  - Report findings to the CARB at Scott
  - The CARB makes any/all decisions on approval/continued use of carrier
- Offer formal debrief time
  - Provide a final, formal out-brief at the end of the survey.
  - Offer company an informal daily debrief. (*At your/their discretion*).
- Any questions for us?
- Get company tour

# 1. COMPANY OVERVIEW (Most Senior Manager Available)

**POC:**

**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 two 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 \_\_\_\_\_

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

f. Any recent or upcoming significant operational events?

g. Any significant future plans? *(I.e. Where does the Sr. Mgr see the company between now and our next survey?)*

## MANAGEMENT -- CORPORATE MANAGEMENT

- **Rate** corporate management **only when** having an **adverse impact** on operations or management.

**NOTES:**

## 2. OPERATIONS MANAGEMENT (Senior Ops Manager)

**POC:**

**Yes No N/A**

	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 these 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?			

**NOTES:**

**COMPANY INFRASTRUCTURE**

<b>(Based on Evaluator Impressions During Survey)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
a. Does infrastructure appear to adequately support company operations?			
-- DOD operations?			
-- Is support infrastructure keeping pace with growth?			
--- Facilities (Are office facilities workable?)			
--- Personnel			
---- Does the number of management personnel match the company size? Too many? Not enough?			
---- Are managers wearing too many "hats"? Is there too much management?			
--- Training Curriculum (Is it up-to-date?)			
--- Standardization			
--- Safety (As you walk around the company, does it appear safety is #1 priority?)			
b. Is managerial experience appropriate for the position? (review personnel resumes)			
-- 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? (see SPAS)			
-- If yes, maybe discuss with company			

**MANAGEMENT -- OPERATIONS MANAGEMENT**

- Operations managers are \_\_\_\_\_ (qualified, highly qualified) and have many years of flight experience.

**NOTES:**

**NOTES:**

# INTERNAL AUDIT PROGRAM

POC:

**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 two 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:

-- 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?

--	--	--

---- Does audit frequency match scope of operation?

---- What risk process is used to justify extended interval IEP schedule (longer cycle than annual IEP audits)?

--	--	--

-- Is there a Checklist for the audit? / Do auditors use a Checklist? (Is it thorough?)

--	--	--

-- How are Discrepancies tracked? (to include follow-up and documentation to close out)

--	--	--

② -- Is there any Root cause analysis? (How does company deal with the problem, not just the symptom(s) of a problem?)

--	--	--

IAP/IEP (con't)	Yes	No	N/A
-- Is there any Trend analysis conducted? <i>(Is it documented? Do trends highlight issues? Are issues dealt with? For example, can the company influence training to correct issues?)</i>			
-- Are the files kept Current? <i>(Are they organized?)</i>			
-- Is there Senior management coordination? <i>(How do the people that can influence \$\$ know that there is a problem? Via reports/e-mail/meeting minutes?)</i>			
2. Does IAP/IEP scope ensure a comprehensive look at company operations?			
3. Do overall survey findings corroborate effectiveness of program?			
b. Do external audits (e.g., FAA, DOD, contract, IOSA) corroborate IAP/IEP effectiveness?			
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			

**MANAGEMENT -- Internal Audit Program**

- Company has a method of identifying in-house deficiencies and measuring compliance with policies and procedures.
  - The program includes \_\_\_\_\_
  - Audit results are analyzed to determine the root cause of the deficiency.
  
- Company received its \_\_\_\_\_ (initial, recurrent) International Air Transport Association (IATA) Operational Safety Audit (IOSA); current IOSA certification expires in \_\_\_\_\_.

**Ideal Program:**

- Scheduled Audits
- Checklists
- Auditors:
  - Formally trained to conduct audits
- Deficiencies are analyzed to determine root cause
- Corrections are tracked to closure and include validation of effectiveness
- Results are presented to senior management (preferably on scheduled basis)

**NOTES:**

### 3. SAFETY PROGRAM

POC:

**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. Brief bio (DOS):

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? (Depending on company, this may be a different individual than the DOS).

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

NOTES:

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? (Or, "If there is a timely safety issue, how can that get relayed to crews?")			
2. Are relevant accident and incident reports provided to aircrews?			

**NOTES:**

<b>Safety (con't)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
-----------------------	------------	-----------	------------

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 A317/A318/A319)			
---- Other			
③ Are reported or identified hazards tracked?			
-- How?			
② Is trend analysis accomplished?			
-- Is there documentation? (i.e. Can you show me?)			
4. Is a resolution process in place for reported or identified hazards?			
5. Is senior management involved in the hazard reporting process?			

**NOTES:**

Safety (con't)	Yes	No	N/A
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?			
<i>k. For foreign air carriers: Confirm/update DOD Accident/Incident Report</i>			

**SAFETY PROGRAM**

- \_\_\_\_\_ is the primary focal point for all safety issues.
  - \_\_\_\_\_ has \_\_\_\_\_ years of aviation experience formal safety training and reports to \_\_\_\_\_.
  - Direct reporting to company senior vice president of operations would enhance safety program effectiveness.
- Functional and safety managers interact through \_\_\_\_\_.
- Awareness of safety program features is bolstered by \_\_\_\_\_.
- Safety information is disseminated via \_\_\_\_\_, \_\_\_\_\_. (e.g., newsletter, bulletins, meetings, e-mails, etc)
- Hazards are identified through \_\_\_\_\_. (e.g., employee feedback and safety audits)
  - Safety feedback structure based primarily on \_\_\_\_\_. (e.g., operational reports)
  - Corrective actions are tracked to resolution on \_\_\_\_\_. (e.g., the feedback form)
  - Trend analysis is accomplished using \_\_\_\_\_. (e.g., in-house software)

**NOTES:**

<b>4. FLIGHT OPERATIONS</b>	<b>POC:</b>
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.			<b>Yes</b>	<b>No</b>	<b>N/A</b>
a. General infrastructure information					
-- Basic route structure:					
-- Flights / day _____					
--Types and numbers of aircraft					
-- Hubs / Domiciles					
b. Pilot force:					
-- Total # of pilots _____					
<u>Position</u>	<u>How many</u>	<u>Avg Total Hours</u>	<u>Ratings</u>		
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)? (A fairly accurate "ballpark" is good; no need for super-math)					
-- 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?					

<b>Flight Ops (con't)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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? <i>How does company define "increased risk"?</i>							
	-- 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 DOD additional contractual standards for helicopters, single engine / single pilot, floatplane, and Part 135 charter operations?							

**FLIGHT OPERATIONS -- Pilots**

- Captains average \_\_\_\_\_ hours of experience; first officers (FO) average \_\_\_\_\_ hours.
- Monthly flight time averages \_\_\_\_\_ hours for captains and \_\_\_\_\_ hours for FOs.
- Pilots are represented by \_\_\_\_\_; contract is amendable \_\_\_\_\_.
- Turnover rate is \_\_\_\_\_.
- Feedback from line pilots is effectively accomplished via \_\_\_\_\_.

**NOTES:**

<p><b>5. FLIGHT CREW HIRING (PILOT) POC:</b></p> <p><b>32 CFR 861.4 (e)(3)(iii).</b> 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</p>
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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?			
d.	What is the new hire failure rate? _____ -- What is the new hire failure process?			
e.	Number of pilots hired in past 12-months? _____ (Get a reasonable "ballpark" figure; not super-math. Does this number appear to be consistent with the industry? With prior reports from the company?)			
	-- Is there an identifiable reason?			
	--- Retirements?			
	--- Company expansion?			
	--- Pilot's moving to other airlines?			
f.	Projected number of new-hires over next 12-months? (If this number is notably higher/lower than historical, is there an identifiable reason? Does it appear consistent with the answer from e. above? If not, why?)			

**FLIGHT CREW HIRING -- Pilots**

- Screening process for new-hires includes \_\_\_\_\_.
- Minimum experience requirements are \_\_\_\_\_.
- Hired \_\_\_\_\_ pilots in the last year; anticipate hiring \_\_\_\_\_ pilots in the next year.

**NOTES:**

<b>6. CAPTAIN UPGRADE TRAINING      POC:</b>		Yes	No	N/A
<b>32 CFR 861.4 (e)(3)(v).</b> 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.				
a.	Is there a screening process for captain upgrade candidates?			

-- Seniority / contractual -- Check airmen recommendation -- Minimum flight experience requirements? -- Other	-- Min hours _____ -- Training records check -- Operations management selection			
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) <i>Can company show you or provide examples?</i>				
d. Are principles of captain's responsibility and authority taught in captain upgrade training?				

**CAPTAIN UPGRADE**

- Selection is based on \_\_\_\_\_.
- Minimum flight experience requirements are \_\_\_\_\_.

**NOTES:**

<b>7. AIRCREW PERFORMANCE POC:</b> <b>(Ref. 32 CFR 861 - "IN-FLIGHT PERFORMANCE")</b>
<b>32 CFR 861.4 (e)(3)(vii). In-flight performance.</b> 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. <b>Yes No N/A</b>			
a. Does the company have a flight standards department?			
<i>NOTE: Questions b.-d. are also under "Flight Training", based on the company's set-up. (i.e. The answers to these questions may reside with training.)</i>			
b. Is there a screening process for standardization/check airmen upgrade candidates?			
-- Min hours_____			
-- Training records check			
-- Check airmen recommendation			
-- Other			
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?			
g. The following cockpit observations were conducted within this survey's cycle:			
<u>Date</u>	<u>Aircraft</u>	<u>Flight #</u>	<u>Remarks</u>

**IN-FLIGHT PERFORMANCE**

- Performance trends identified and resolved through \_\_\_\_\_.
- During the survey, \_\_\_\_\_ cockpit observations were accomplished.
  - The results were \_\_\_\_\_.
  - See attached AMC form 228s.

**NOTES:**

**GENERAL OPERATIONS MANUAL (GOM) POC:**

**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 related to aircrew?			
b. Are the types of approved operations identified? (B50 in the Ops Specs) -- Circle appropriate areas: 135 135-Single-Pilot 121 Domestic Flag Supplemental Commuter On-Demand			
c. Are HAZMAT notification, recognition, and acceptance procedures in the GOM? (Required by CFR 121.135(b)(25) / 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			

**FLIGHT OPERATIONS -- General Operations Manual**

- Contains up-to-date policies and procedures; reflects current scope of operations.
- \_\_\_\_\_ is used to ensure manuals are kept current.

**NOTES:**

<b>AIRCREW RECORDS</b>	<b>POC:</b>		
<b>32 CFR 861.4 (e)(3)(ii).</b> Personnel records are maintained and reflect such data as experience, qualifications, and medical status. <b>32 CFR 861.4 (e)(3)(iv).</b> Training received is documented, and that documentation is maintained in a current status.		<b>Yes</b>	<b>No</b>
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? ( <i>I.e. Are they off-site?</i> )			
b. What are the data entry procedures:			
<input checked="" type="checkbox"/> -- Is there a process to ensure entered data is accurate?			
c. Are records maintenance procedures documented?			
-- If keeper wins lottery and leaves the company, can someone step in and do the job with the documented procedures?			
<input checked="" type="checkbox"/> 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					

**AIRCREW TRAINING -- Aircrew Records**

- Records are \_\_\_\_\_ based (i.e., computer or paper based) and adequately maintained.
- Company \_\_\_\_\_ to ensure correct data is entered into the system.
- A review of a sampling of records revealed \_\_\_\_\_ discrepancies.
- Aircrew qualification events are tracked through \_\_\_\_\_. (e.g., automated exception reports, manual spreadsheet, etc.)

**NOTES:**

<p><b>8. AIRCREW TRAINING (PILOT) POC:</b></p>
<p><b>32 CFR 861.4 (e)(3)(iv).</b> 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 crews 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</p>

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)			
--- Does amount of contract training warrant visit to contractor facilities?			
-- 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?			
-- Any company oversight of contractor operations?			
c. Where is your <u>Ground</u> training accomplished and whose instructors are used?			
<u>Aircraft</u> <u>Location</u> <u>Instructors (company or contract)</u>			
d. Where is your <u>Simulator</u> training accomplished and whose instructors are used?			
<u>Aircraft</u> <u>Location</u> <u>Instructors (company or contract)</u>			

**NOTES:**

<b>Aircrew Tng (con't)</b>			
	Yes	No	N/A
e. Is there line oriented flight training (LOFT)? (Req'd by 121.409 and 121 appendix H)			
---- Only necessary if all initial training is accomplished in the simulator			
f. Is any training accomplished in actual aircraft?			
<u>Aircraft</u> <u>Location</u> <u>Instructors (company or contract)</u>			
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 vice versa?			
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 <a href="http://fsims.faa.gov/PublicationForm.aspx">http://fsims.faa.gov/PublicationForm.aspx</a> 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 -- Other -- Check airmen recommendation -- Operations management selection			
o. What is the break down of instructors? (Are these numbers adequate?) Ground _____ Sim _____ Flight _____			
NOTE: Questions p.- s. are also under "Flight Standards", based on the company's set-up. (i.e. The answers to these questions may reside with flight training dept.)			
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?			
<b>Aircrew Tng (con't)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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 <b>OR</b> 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)			
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.			
x. <i>The following training sessions were observed:</i>			

**TRAINING -- Facilities**

- Ground training is accomplished at \_\_\_\_\_.
- Flight simulator training is conducted at \_\_\_\_\_.
- Flight training is accomplished by \_\_\_\_\_ (company / contract) instructors in aircraft.

**TRAINING -- Pilots**

- Company has \_\_\_\_\_ ground instructors and \_\_\_\_\_ flight instructors.
- Pilots accomplish Crew Resource Management (CRM) training on a recurring basis.
- Line oriented flight training (LOFT) is included in simulator profiles.
- Phase \_\_\_\_\_ of AQP for \_\_\_\_\_ aircraft; \_\_\_\_\_ (are / not) authorized single visit exemption.
- HAZMAT recognition and acceptance training is completed annually.
- Observed excellent training conducted while attending \_\_\_\_\_.

**NOTES:**

<b>9. FLIGHT ATTENDANTS / LOADMASTERS POC:</b>			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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 OPERATIONS -- Flight Attendants / Loadmasters**

- Average experience level is \_\_\_\_\_ year(s); turnover rate is \_\_\_\_\_.
- Monthly flight time averages \_\_\_\_\_ hours.
- Flight attendants are represented by \_\_\_\_\_; contract is amendable \_\_\_\_\_.
- Feedback from flight attendants is effectively accomplished via \_\_\_\_\_.

<b>FLIGHT ATTENDANT / LOADMASTER HIRING</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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? _____ (Get a reasonable "ballpark" figure; not super-math. Does this number appear to be consistent with the industry? With prior reports from the company?)			
d. Projected number of new-hires over next 12-months? _____ (If this number is notably higher/lower than historical, is there an identifiable reason? Does it appear consistent with the answer from c. above? If not, why?)			

**FLIGHT CREW HIRING -- Flight Attendant / Loadmaster**

- Screening process for new-hires includes \_\_\_\_\_.
- Minimum experience requirements are \_\_\_\_\_.
- Hired \_\_\_\_\_ flight attendants last year; anticipate hiring \_\_\_\_\_ this year.

<b>FLIGHT ATTENDANT / LOADMASTER TRAINING</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
a. Does the training manual adequately cover training materials? -- Frequently updated?			
b. Where is your ground training accomplished and whose instructors are used? <u>Training Device</u> <u>Location</u> <u>Instructors (company or contract)</u>			
c. Number of instructors / evaluators? (is this number adequate?) ---- 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 vice 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?			
g. The following training sessions were observed:			

**TRAINING -- Flight Attendant / Loadmaster**

- Company has \_\_\_\_\_ flight attendant instructors.
- Recurrent CRM / emergency training \_\_\_\_\_ (is / is not) conducted jointly with pilots--when available.
- Phase \_\_\_\_\_ of AQP for \_\_\_\_\_ aircraft.
- Observed \_\_\_\_\_ (excellent, good, etc.) training conducted while attending \_\_\_\_\_.

**NOTES:**

<b>FLIGHT ATTENDANT / LOADMASTER OPERATIONS MANUAL</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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			

**NOTES:**

<b>FLIGHT ATTENDANT / LOADMASTER SCHEDULING</b>			
<p><b>32 CFR 861.4 (e)(3)(vi).</b> 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.</p>			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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 scheduling process?			
-- If so, what is the process and how often is it accomplished?			

**NOTES:**

<b>FLIGHT ATTENDANT / LOADMASTER RECORDS</b>			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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 keeper wins lottery and leaves the company, can someone step in and do the job with the documented procedures?			

e. How are due dates tracked, verified, input, and coordinated with scheduling to ensure only current crew members 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?			

**SCHEDULING -- Flight Attendant / Loadmaster**

- Scheduled \_\_\_\_\_ (the same as the pilots, in-house software, etc.).
- Flight attendants are typically scheduled for \_\_\_\_\_ hours per month.
- A review of flight and duty records revealed \_\_\_\_\_ discrepancies.

**NOTES:**

<b>10. AIRCREW SCHEDULING (FLIGHT CREW) POC:</b>			
<p><b>32 CFR 861.4 (e)(3)(vi).</b> 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.</p>			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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			
<u>Part 14 CFR 121</u>			
-- 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)			
<u>Part 135</u>			
-- 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)			
<u>DOD Additional Standards for Part 135 Operations</u>			
-- 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)			

<b>Aircrew Scheduling (con't)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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?			

\*For questions on g., Part 121, see:

[Subpart Q \(121.470-471\)](#) for Domestic Operations.

[Subpart R \(121.480-493\)](#) for Flag Operations.

[Subpart S \(121.500-525\)](#) for Supplemental Operations.

[CFR Part 117](#) for *CFR Part 117 Flight and Duty Limitations and Rest Requirements: Flightcrew Members*

For questions on g. Part 135, see:

[Subpart F \(135.261-273\)](#).

**SCHEDULING -- Flight Crew**

- Scheduling is accomplished using \_\_\_\_\_ system.
- DOD pairing requirements \_\_\_\_\_ (are / are not) included in the automated system.
- Pilots are typically scheduled for \_\_\_\_\_ hours per month.
- A review of flight and duty records revealed \_\_\_\_\_ discrepancies.

<b>11. OPERATIONAL CONTROL                      POC:</b>			
<b>DISPATCHERS / FLIGHT FOLLOWERS</b>			
<b>32 CFR 861.4 (e)(3)(viii).</b> 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. <b>Yes    No</b>			
<b>N/A</b>			
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 _____ -- Domestic/Flag dispatchers have 10-hr duty period restriction (14 CFR 121.465)			
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 Dispatch / 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			
<b>FLIGHT PLANNING</b>			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?			

**OPERATIONS CONTROL -- Dispatchers/Flight Followers**

- Average experience level is \_\_\_\_\_ years; turnover rate is \_\_\_\_\_.
- Minimum new-hire requirements are \_\_\_\_\_.
- Duty schedule is \_\_\_\_\_ hours a day with \_\_\_\_\_ days on and \_\_\_\_\_ days off.
- Dispatchers are represented by \_\_\_\_\_; contract is amendable \_\_\_\_\_.
- Dispatcher records were \_\_\_\_\_ maintained and \_\_\_\_\_ discrepancies were noted.
- Dispatcher resource management training is conducted annually.

**OPERATIONS CONTROL -- Flight Planning**

- Flight plans are automated and filed via \_\_\_\_\_; weather and NOTAM information is provided by \_\_\_\_\_.
- \_\_\_\_\_ is the source of performance data.

**NOTES:**

<b>MISSION MONITORING</b>		<b>YES</b>	<b>NO</b>	<b>N/A</b>
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) -- Does this interaction appear to be effective / working?			
e. Does company have current DOD accident / incident notification procedures?			

**OPERATIONS CONTROL -- Mission Monitoring**

- Dispatchers provide \_\_\_\_\_ (effective, adequate, 24-hour, etc.) coverage \_\_\_\_\_ (7 days a week, etc.).
- Mission monitoring is accomplished using \_\_\_\_\_.
- The company **had**/was provided a copy of the current DOD notification procedures.

**NOTES:**

<b>LOAD MANIFESTS</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
a. Is it an automated or manual system?			
b. Who completes the load manifest?			
c. Do load manifests contain the required information? <i>(Note any systematic problems)</i>			
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 single engine 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))			

**OPERATIONS CONTROL -- Load Manifests**

- Actual weights are used for all DOD charters.
- A review of load manifests from the 3 month/30 day file revealed \_\_\_\_\_ discrepancies.

**NOTES:**

<b>12. DOD CHARTER PROCEDURES POC:</b>			
<b>32 CFR 861.4 (e)(3)(ix).</b> 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.			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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 <u>passenger</u> 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?			

**CHARTER PROCEDURES**

- Charter procedural guidance ensures compliance with DOD requirements.

**NOTES:**

<b>13. SECURITY</b>	<b>POC:</b>
<p><b>32 CFR 861.4 (e)(5).</b> 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.</p>	
	<b>Yes No N/A</b>
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:			
-- Are training records adequately maintained?			
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?			

**SECURITY**

- Company's \_\_\_\_\_ ground security coordinators receive annual training.
- Anti-hijack and security training are provided to aircrews on a recurring basis.

**NOTES:**

<b>14. CONTRACT REQUIREMENTS POC:</b>			
<b>32 CFR 861.4 (e)(6).</b> Air carriers satisfy DOD equipment and other requirements as specified in DOD agreements (Air Mobility Command contracts or Military Air Transportation Agreements).			
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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?			

**CONTRACT REQUIREMENTS**

- The company satisfies the specific aircrew and equipment requirements specified in their DOD contract.

## 15. AEROMEDICAL TRANSPORT POC:

**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/inflight 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](http://www.camts.org)

b. What is the date of the National Accreditation Alliance of Medical Transport Applications (NAAMTA) approval?

See: [www.naamta.com](http://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))**

### CONTRACT REQUIREMENTS

- Company is certified for aeromedical transport by the \_\_\_\_\_; current \_\_\_\_\_ (CAMTS, NAAMTA) accreditation expires on \_\_\_\_\_.

### NOTES:

## COMPANY OUTBRIEF

---

- Remind company that we are fact finders
    - We generate a report and forward that report to the CARB at Scott
    - The CARB will determine status, approval / continued use / or temp non-use of company
    - The company can expect a copy of the report in 6-8 weeks
  - Survey information is also shared with the FAA
  - Recognize individual efforts to assist survey team
  - Review individual operations and maintenance areas
  - EMPHASIZE any areas of concern or areas not meeting Q&S
- 

## AFTER THE OUTBRIEF

- Hand out critiques**
  - Thank company for hospitality
  - Bring back copy of certificate and ops specs on initial surveys **and all foreign surveys**
  - Bring back any other documents requested by the office
- 
- 

## POST SURVEY CHECKLIST

- A3B De-brief Form
- Complete Travel Voucher
- Update Itinerary with appropriate comments (to help next survey team out)
  - Itinerary should be at EIM: A3B / Schedule / Travel / Working / [your-survey]
  - After completing comments, move itinerary to: EIM: A3B / Schedule / Travel / [Year of Survey] / [ Month of Survey] / [your-survey] (Coordinate this move with maintenance.)
- Complete Operations portion of Summary & Overview
  - Save at: EIM: A3B / 1\_Survey / [your-survey] - Summary and Overview
- Complete Operations report.
  - Use current template : EIM: A3B / 1\_Survey / Templates-Samples / Templates / Ops Report Template **Jan 2015**
  - Save Ops Report at: EIM: A3B / 1\_Survey / [your-survey] -Ops Report
- Complete Accident/Incident Report.
  - Save one copy at: EIM: A3B / 1\_Survey / [your-survey] -AI
  - Save one copy at : EIM: A3B / Safety / Accident Information / Acc-Inc by Carrier / [MXID]ai mon-yr
- Print / Sign completed AMC Forms 228 (Cockpit Observations).
  - Place final copies into respective company folder in A3BA to be compiled into final report.
- Update ACAS.
- Email A3BA Survey Report POC when all above reports are complete.

1	Met standards after on-site corrective action - (no reason required)
2	Met standards after corrective action but waiting for company response - NO LOC - (provide brief reason did not meet standard)

3 Sending LOC and/or did not meet standards - (provide brief reason did not meet standard (e.g., no internal audit program)

**OPERATIONS**

<b>MANAGEMENT (Internal Audit Program)</b>	1	2	3
<b>SAFETY PROGRAM</b>	1	2	3
<b>FLIGHT OPERATIONS (Pilots, F/ALMs, GOM)</b>	1	2	3
<b>FLIGHT CREW HIRING (Pilots, F/ALMs)</b>	1	2	3
<b>TRAINING (Facilities, Pilots, F/ALMs, Records)</b>	1	2	3
<b>CAPTAIN UPGRADE</b>	1	2	3
<b>SCHEDULING (Flight Crew, Cabin Crew)</b>	1	2	3
<b>IN-FLIGHT PERFORMANCE</b>	1	2	3
<b>OPERATIONAL CONTROL</b>	1	2	3
<b>CHARTER PROCEDURES</b>	1	2	3
<b>SECURITY</b>	1	2	3
<b>CONTRACT REQUIREMENTS</b>	1	2	3

LOC: Y N

LOC SENT: \_\_\_\_\_ SUSPENSE TO COMPANY: \_\_\_\_\_

COMPANY RESPONSE: SAT UNSAT

<b>COMPANY:</b>	<b>Ops Evaluators:</b>
<b>SURVEY DATE:</b>	<b>FAA Debrief:</b>
<b>Mx ID:</b>	<b>LOC: Y N CARB</b>

<b>STANDARDIZATION / TRAINING FEEDBACK</b>			
Evaluator Name(s)		Date of Survey	
Company Name		Company Type	
Model Programs?	Yes	No	
<b>Issues/Questions Resulting From Survey</b>			
<b>Suggestions For Improving Survey Process</b>			
<b>Recommended Checklist Changes</b>			
<b>**STANDARDIZATION USE ONLY**</b>			
Date Submitted		Control Number	
<u>Action Items</u>	<u>OPR</u>	<u>Date Closed</u>	

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## 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.

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**DEPARTMENT OF DEFENSE  
COMMERCIAL AIRLIFT DIVISION  
QUESTIONNAIRE/FEEDBACK FORM**

The role of commercial air carriers in the United States Defense Transportation System is very important to the Department of Defense (DOD). The DOD Commercial Airlift Division needs to ensure our evaluators actions strengthen and promote this partnership. We are soliciting your honest and direct feedback to continuously improve our air carrier

surveillance process and provide commercial air carriers meaningful surveys. Please take a few moments to complete and return this questionnaire. For each item, please mark the appropriate box. Additional comments are always appreciated.

Company:	Your Name & Office (Optional):			Date of Survey:	
Question	Strongly Agree	Somewhat Agree	No Opinion	Somewhat Disagree	Strongly Disagree
1. The survey was scheduled to allow adequate time for our preparation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. The pre-survey visit to Scott AFB was beneficial to our survey preparations (if applicable).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Pre-survey checklists accurately depicted critical items and the scope of the survey (if applicable).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Survey in-brief comprehensively identified the team's mission, procedures, and requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The survey team was professional and courteous.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Team members were thorough, yet fair and open-minded during the survey.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Survey team attempted to work with company personnel on a non-interference basis.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Survey out-brief provided a thorough explanation of strengths, concerns, and procedures for processing the report.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. The DOD survey team recommendations were beneficial to our company.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. What feature(s) of our survey were most beneficial or helpful to your company?  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

11. What feature(s) of our survey were least beneficial or helpful to your company?  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

12. What improvements would you suggest for our survey procedures or actions?  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

13. Additional comments:  
 \_\_\_\_\_  
 \_\_\_\_\_

Send To: HQ AMC/A3B  
 402 Scott Drive Unit 3A1  
 Scott AFB, IL 62225-5302

Questions? Call: (618) 229-4343  
 Fax: (618) 256-5937

**Email: [AMC.A3B.DOD.Commercial.Airlift.Division@us.af.mil](mailto:AMC.A3B.DOD.Commercial.Airlift.Division@us.af.mil)**

Additional comments (if needed):  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_



**TO:**

This is to certify that I, the undersigned, am a representative or employee of the governmental agency indicated below; that the charges for the occupancy at the above establishment on the dates set forth below have been, or will be, paid for by such governmental agency; and that such charges are incurred in the performance of my official duties as a representative or employee of such governmental agency.

**From:** \_\_\_\_\_  
(Member's Name)

**Agency:** United States Air Force

**Address:** HQ AMC/A3BS  
402 Scott Drive, Unit 3A1  
Scott AFB, IL 62225-5302

Operators of Hotel, etc., should not accept this certificate unless the officer or employee presenting shows satisfactory credentials.

**NOTE** - A separate exemption certificate is required for each occupant and for each representative.

This exemption certificate will be presented at time of registration.

Form No. HR - 1 5/59