Air Carrier Survey Preparation Checklist
For Operations

July 2021

Includes 1 August 2019 Accident/Incident Reporting for DOD-Approved Carriers

Introduction

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

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

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JULY 2021 - SUMMARY OF SIGNIFICANT CHANGES - All changes in RED print

- Flight Operations – General Operations Manual: Clarified electronic flight bag (EFB) questions.

- Pilot Training: Clarified joint CRM training methods. Clarified instructor/check airman observation requirements.

- Flight Attendants: Clarified joint CRM training methods. Added EFB questions.

- Loadmasters: Developed separate section. Formerly combined with Flight Attendants.

- Security: How does company assess security risks for operations and locations.

- Accident/Incident Reporting for DOD-Approved Carriers. Updated 1 August 2019. (Phone numbers confirmed May 2021)

1. COMPANY STRATEGIC OVERVIEW (Most Senior Manager Available)

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

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

   -- History of expansions / downsizing

   -- Mergers, acquisitions, fleet equipment

   -- Code shares, DBAs

   -- Major markets

   -- Charter agencies

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

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

c. Number of employees _____

d. How would you assess your relationship with the FAA?

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?

2. OPERATIONS MANAGEMENT - INTERNAL AUDIT PROGRAM

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

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

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

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

3. SAFETY PROGRAM

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

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

Safety (con't)	Yes	No	N/A
e. Are the safety programs and policies accessible to all aircrew?			
-- How? (operations manual, safety manual, etc.)			
-- Is it discussed in training? (initial / recurrent)			
--- If yes, is it a formal syllabus block?			
--- Who teaches the block? (instructor/management personnel)			
-- Does the safety information include company policies and two-way communication methods?			
-- Does aircrew use of safety feedback systems indicate good awareness?			
--- Documentation? (safety feedback reports, etc.)			
f. Are there processes for disseminating safety information to the crews?			
---- Meetings ---- Read File ---- Manuals			
---- Displays ---- Bulletins ---- Web page			
---- E Mail ---- Training Syllabus ---- Other			
1. Does the process ensure aircrews receive safety information in a timely manner?			
2. Are relevant accident and incident reports provided to aircrews?			
g. Is there a safety audit process to detect and resolve safety hazards? (This process often captures safety data from sources independent of the IEP)			
1. Does management solicit aircrew feedback to identify hazards?			
---- Hazard Reports ---- Safety Hotline ---- Fax			
---- Irregularity Reports ---- E-mail ---- Other			
2. Are other performance factors analyzed to detect hazards?			
---- Flight Operational Quality Assurance (FOQA)			
---- Line Operations Safety Audit (LOSA)			
---- Aviation Safety Action Program (ASAP)			
---- Fatigue Risk Management Program (FRMP)(For Part 121: CFR 117.7 / Ops Spec A317/A318/A319)			
---- Other			
3. Are reported or identified hazards tracked?			
-- How?			
-- Is trend analysis accomplished?			
-- Is there documentation?			
4. Is a resolution process in place for reported or identified hazards?			
5. Is senior management involved in the hazard reporting process?			
h. Is the safety office involved in increased risk management operations?			
-- How? -- Examples?			
i. Define safety's role in the Emergency Response Action Plan			
j. What action does the company take following accidents and incidents?			
-- Examples?			

4. FLIGHT OPERATIONS

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

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

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

5. FLIGHT CREW HIRING (PILOT)

32 CFR 861.4 (e)(3)(iii). Established procedures ensure that applicants are carefully screened, including a review of the individual's health and suitability to perform flight crew duties. Consideration is given to the applicant's total aviation background, appropriate experience, and the individual's potential to perform safely. Freedom from alcohol abuse and illegal drugs is required. If new-hire cockpit crewmembers do not meet industry standards for experience and qualification, then increased training and management attention to properly qualify these personnel are required.	Yes	No	N/A
a. Is there an established screening process for new hires?			
-- Interview: Ops Management / HR -- Simulator check			
-- Testing: Technical / psychological -- Alcohol / Drug screening			
-- Background checks: Aviation / criminal -- Other			
b. What are the minimum requirements for new-hires?			
-- Are there other preferred qualifications or experience in addition to minimum requirements?			
c. Does company have any agreements or contractual requirements to hire from flight training schools?			
-- If so, who?			

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

6. CAPTAIN UPGRADE TRAINING

32 CFR 861.4 (e)(3)(v). A selection and training process that considers proven experience, decision making, crew resource management, and response to unusual situations including stress and pressure, is required. Also important is emphasis on captain responsibility and authority.	Yes	No	N/A
a. Is there a screening process for captain upgrade candidates?			
-- Seniority / contractual -- Min hours _____			
-- Check airmen recommendation -- Training records check			
-- Minimum flight experience requirements? -- Operations management selection			
-- Other			
1. Are there minimum flight experience requirements?			
b. What is the pass / fail rate for captain upgrade candidates? _____			
-- Any procedures for upgrade failures?			
c. Are principles of CRM taught in captain upgrade training? (CFR 121.404, 121.419 / 135.330)			
d. Are principles of captain's responsibility and authority taught in captain upgrade training?			

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

32 CFR 861.4 (e)(3)(vii). In-flight performance. Aircrews, including flight attendants and flight medical personnel, are fit for flight duties and trained to handle normal, abnormal, and emergency situations. They demonstrate crew discipline and a knowledge of aviation rules; use company-developed standardized procedures; adhere to checklists; and emphasize safety, including security considerations, throughout all preflight, in-flight, and postflight operations. Qualified company personnel evaluate aircrews and analyze results; known performance deficiencies are eliminated. Evaluations ensure aircrews demonstrate aircraft proficiency in accordance with company established standards. Flight crews are able to determine an aircraft's maintenance condition prior to flight and use standardized methods to accurately report aircraft deficiencies to the maintenance activity.	Yes	No	N/A
a. Does the company have a flight standards department?			
NOTE: Questions b.-d. are also under "Flight Training" section of the checklist, dependant on company's set-up.			
b. Is there a screening process for standardization/check airmen upgrade candidates?			
-- Min hours_____ --Training records check			
-- Check airmen recommendation -- Operations management selection			
-- Other			

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

GENERAL OPERATIONS MANUAL (GOM)

32 CFR 861.4 (e)(3)(ii). Established flight operations policies and procedures are up-to-date, reflect the current scope of operations, and are clearly defined to aviation department employees. These adhered-to procedures are further supported by a flow of current, management-generated safety and operational communications.	Yes	No	N/A
a. Does the GOM clearly spell out operational and safety policies?			
-- Hard copy (paper) manuals?			
-- Is company approved for electronic publications? (Ops Spec A025)			
-- Is company approved for electronic flight bags (EFBs)? (Ops Spec A061)			
--- Approved device? Apple iPad or other device _____			
--- Company publications?			
--- Instrument approach plates and charts? Jeppesen or LIDO or _____			
--- Flight planning / weight and balance calculation tools?			
-- If not, how are safety policies formally relayed to aircrew?			
b. Are the types of approved operations identified? (B50 in the Ops Specs)			
-- Circle appropriate areas: 135 Single-Pilot Commuter On-Demand			
121: Domestic Flag Supplemental			
c. Are HAZMAT notification, recognition, and acceptance procedures in the GOM? (Required by CFR 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			

AIRCREW RECORDS

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

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

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

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

Aircrew Records (con't)		Yes	No	N/A
---- Instructor/check airmen upgrade 121.411-414 135.339				
---- Instructor/check airmen currency (24 mon) 121.414(a)(2)/App H 135.339(a)(2) 👉				
---- DOD SIC 135.293 checkride requirements 👉 DOD Additional Stds				
---- 1 Precision Approach				
---- 1 Non-precision Approach				
---- 1 Missed Approach				

8. AIRCREW TRAINING (PILOT)

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

	Yes	No	N/A
a. Training manual review:			
-- Are all simulators / FTDs listed?			
-- Is contractor training listed? (Ops Spec A031)			
-- Is security training listed?			
-- How often is the manual updated?			
-- Does training account for special authorizations in operations specifications (e.g., circling (Ops Spec C075), CAT II / III (Ops Spec C059/C060), PAR / ASR (Ops Spec C052 / Helos H102), etc.)?			
b. Is any training accomplished using contractor facilities or instructors? (Ops Spec A031)			
-- Is contractor training listed in the training manual?			
--- *Does amount of contract training warrant visit to contractor facilities?*			
-- Any company oversight of contractor operations?			
c. Where is your <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>			
e. Is there line oriented flight training (LOFT)? (Req'd by 121.409 and 121 appendix H)			
f. Is any training accomplished in actual aircraft?			
<u>Aircraft</u> <u>Location</u> <u>Instructors (company or contract)</u>			

Aircrew Training (con't)	Yes	No	N/A
g. Does crew coordination training include principles of CRM? (initial / recurrent)(CFR 121.404, 121.419, 121.427 / 135.330)			
-- Are other personnel present? (flight attendants/dispatchers/LMs) 👉			
-- If not, is there cross specialty training such as a F/A instructor teaching a pilot's CRM course or vise versa? Joint instructor teams?			
-- If not, are CRM courseware/scenarios coordinated between pilots and flight attendants?			
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))(Ops Spec C050)			
-- (PIC or SIC must have takeoff and landing at that airport within 12 months (aircraft or Level D simulator) **OR** must review FAA-approved pictorial within 30 days prior to flight (Jeppesen and/or NGA). FAA special airport list at http://fsims.faa.gov/PublicationForm.aspx under Operations Safety System (OPSS) Guidance			
l. Are you aware of the DOD requirements for DOD certified airfields?			
-- (PIC or SIC must have takeoff and landing at that airport within 12 months **OR** must review FAA-approved pictorial within 30 days prior to flight (Jeppesen and/or NGA). DOD certification airport list available from HQ AMC/A3AS Airfield Suitability Help Desk at 618-229-3112			
m. Do you conduct HAZMAT training? (Ops Spec A055)			
-- Initial / Recurrent?			
-- What is scope of training?			
n. Is there a screening process for instructor upgrade candidates?			
-- Min hours_____ -- Training records check			
-- Check airmen recommendation -- Ops management review			
-- Other			
o. What is the breakdown of instructors? (Are these numbers adequate?)			
Ground _____ Sim _____ Flight _____			
NOTE: Questions p.-r. are also under "Aircrew Performance" section of the checklist, dependent on company's set-up.			
p. Is there a screening process for check airmen upgrade candidates?			
-- Min hours_____ --Training records check			
-- Check airmen recommendation -- Operations management selection			
-- Other			
q. To which department are check airmen assigned?			
r. How many check airmen are employed? (*is this # adequate for company size?*)			
-- Check Airmen? _____ -- Aircrew Program Designees (APDs)? _____			

Aircrew Training (con't)	Yes	No	N/A
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 121.413(a)(2), 121.414(a)(2), or Part 121 Appendix H or 135.339(a)(2), 135.340(a)(2))			
-- Check airmen are observed every 24-months by FAA / aircrew designated examiner?			
-- Flight instructors / simulator instructors are observed every 24-months by FAA / aircrew designated examiner / company check airman?			
-- Simulator only instructors fly 2 segments as a required crewmember in type annually **OR** complete a line observation program? (Part 121, Appendix H or 135.338(f)(1-2))			
-- Simulator instructors / check airmen receive 4-hours of annual training on advanced simulation training program? (Part 121, Appendix H only)			
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.			

9A. FLIGHT ATTENDANTS

	Yes	No	N/A
a. Are flight attendants 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)? _____			
-- Guaranteed time? _____			
f. Are flight attendants 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			
k. How do management personnel interface with line personnel?			

FLIGHT ATTENDANT HIRING

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

FLIGHT ATTENDANT TRAINING

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

FLIGHT ATTENDANT OPERATIONS MANUAL	Yes	No	N/A
a. Does the FAOM clearly spell out operational and safety policies?			
-- Hard copy (paper) manuals?			
-- Is company approved for electronic publications? (Ops Spec A025)			
-- Is company approved for electronic flight bags (EFBs)? (Ops Spec A061)			
--- Approved device? Apple iPad mini or Samsung Galaxy Note or other _____			
--- Company publications?			
b. Is there a process to validate currency of issued manuals?			
-- Revision / receipt follow-up procedures (paper / electronic)			
-- Pubs / manuals checks (typically with annual training)			
-- Other			
c. Is there a process for disseminating time sensitive changes to the ops manual?			
---- Bulletins ---- Dispatch Release			
---- Read File ---- Other			

FLIGHT ATTENDANT SCHEDULING			
32 CFR 861.4 (e)(3)(vi). A closely monitored system that evaluates operational risks, experience levels of crewmembers, and ensures the proper pairing of aircrews on all flights is required. The scheduling system involves an established flight duty time program for aircrews, including flight attendants, carefully managed so as to ensure proper crew rest and considers quality-of-life factors. Attention is given to the stress on aircrews during strikes, mergers, or periods of labor-management difficulties.	**Yes**	**No**	**N/A**
a. Explain general procedures for how flight attendants 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 flight attendant 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?			

FLIGHT ATTENDANT RECORDS

	Yes	No	N/A
a. What type process, paper or electronic? (Ops Spec A025)			
b. If paper, are records organized with a standardized format?			
c. If automated, is there a backup system?			
-- Backup power?			
-- Backup paper process?			
-- How often is data backed up?			
-- Where are backups stored? (should be off-site)			
d. Are records maintenance procedures documented?			
-- If records administrator wins lottery and leaves the company, can someone step in and do the job with the documented procedures?			
e. How are due dates tracked, verified, input, and coordinated with scheduling to ensure only current crewmembers are put on the schedule?			
f. If required, is HAZMAT training documented in the training records? (Ops Spec A055)			
g. Are there audits associated with the records process?			
---- If so, what is the process and how often is it accomplished?			

9B. LOADMASTERS

	Yes	No	N/A
a. Are loadmasters organized under the operations department?			
-- If not, what functional area?			
-- Do they interface with ops mgt/safety?			
b. What are the duties of loadmasters? Ground / Inflight			
c. Total number? _____			
d. Domiciles?			
e. Average experience in years? _____			
f. What is the average flying time per month (per loadmaster)? _____			
g. Are loadmasters represented by a union? If so, who?			
-- When is the contract amendable?			
-- Any management / labor relation tensions?			
h. What is the turnover rate? (low, average, high)			
-- Is there an identifiable / primary reason for this rate of turnover?			
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			
k. How do management personnel interface with line personnel?			

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

LOADMASTER TRAINING / RECORDS / SCHEDULING	Yes	No	N/A
a. Does the training manual adequately cover training materials?			
b. Does loadmaster training include initial / recurrent training?			
c. Where is your ground training accomplished?			
d. Number of instructors / evaluators? (*is this number adequate?*)			
---- Instructors_____ / Evaluators_____			
e. Does crew coordination training include principles of CRM? (initial / recurrent) (Recommended but not required for LMs)			
-- Are other personnel present? (pilots / dispatchers / flight attendants)			
f. Is crewmember and pilot joint emergency drill training accomplished?			
g. What type of records process, paper or electronic? (Ops Spec A025)			
h. How are due dates tracked, verified, input, and coordinated with scheduling to ensure only current crew members are put on the schedule?			
i. If required, is HAZMAT training documented in the training records? (Ops Spec A055)			
j. Explain general procedures for how loadmasters are placed on the flying schedule.			
k. On average, how many hours is a loadmaster scheduled for each month?			

10. AIRCREW SCHEDULING (FLIGHT CREW) POC:

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

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

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

11. OPERATIONAL CONTROL

DISPATCHERS / FLIGHT FOLLOWERS

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

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

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

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

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

LOAD MANIFESTS	Yes	No	N/A
a. Is it an automated or manual system?			
b. Who completes the load manifest?			
c. Do load manifests contain the required information?			
1. 14 CFR 121.693 / 121.665			
-- Aircraft weight			
-- Maximum allowable T/O weight			
-- CG in limits			
-- Load manifest signed			
2. 14 CFR 135.63(c) (or DOD additional standards for part 135 operators)			
-- Number of pax			
-- Total weight of loaded Aircraft			
-- Max allowable T/O weight			
-- CG in limits			
-- Registration or flt #			
-- Origin and destination			
-- Crewmembers' names and positions			
d. Is there a 90-day file of the HAZMAT Notification to the PIC, in accordance with 49 CFR 175.33(c)?			
-- Where?			
e. Does the company maintain the required records and reports?			
Domestic and Flag			
Load manifests, dispatch release, flight plan, weather (3 months) (121.687/693/695) Communication records (30 days) (121.711)			
Supplemental			
Load manifest, flight release, flight plan, weather, airworthiness release, pilot route certification (3 months) (121.689/693/697)			
Part 135			
Load manifests (30 days) (135.63(c))			

12. DOD CHARTER PROCEDURES

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

	Yes	No	N/A
a. How often does the company perform charters?			
b. Does the company perform or plan to perform DOD charters?			
c. If the company performs DOD charters, is the level of risk different than your non-DOD daily operations?			
d. What are your procedures to verify DOD requirements:			
-- Part 121 Operators: PIC and SIC assigned to charter <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?			

13. SECURITY

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

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

14. CONTRACT REQUIREMENTS

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

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

15. AEROMEDICAL TRANSPORT

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

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