

**DOD MODEL PROGRAM
FOR
AIR CARRIER INTERNAL AUDIT EVALUATION PROGRAM**

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

(618) 229-4343, DSN: 779-4343, FAX: (618) 256-5937

INTRODUCTION

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

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

- A. Overview of an internal audit program
- B. Components of an internal audit program

A. OVERVIEW

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

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

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

MAINTENANCE

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

OPERATIONS

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

B. COMPONENTS OF AN INTERNAL AUDIT PROGRAM

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

- a. An organizational diagram depicting management involvement in the program.
- b. Duties and responsibilities of personnel involved.
- c. Policies and procedures for implementation, performance, and modification of the internal audit program.
- d. Areas to be audited, audit objectives, and required frequencies.
- e. Follow-up procedures.
- f. Procedures to be used to provide ongoing, continual oversight of areas.
- g. Format for audit reports (reporting procedures) and responses to findings.
- h. Definitions of any unique terms.
- i. Auditor qualification requirements.
- j. Document control.
- k. Proactive real-time data analyzed for risk-based programs.

2. Senior managers are involved in reviewing program effectiveness.

- a. Management involvement includes oversight of overall program effectiveness, review of audits and responses, and periodic scheduled meetings to analyze results.
- b. Management participation should be at a level above those with direct supervision of the audited functions. Management level should include the decision authority to make changes based on audit results.

3. Skilled, knowledgeable, and trained auditors/inspectors are available in adequate numbers. Appointment and training of auditors is documented.
4. Formal schedule outlines of all areas to be audited, audit due dates, and any required follow-up activities. Audits and reviews of time-sensitive areas should be conducted on a continual basis, rather than a one-time annual schedule.
5. System exists to plan audits, track audit accomplishment, monitor discrepancies, and highlight necessary follow-up actions. Process should identify audits or responses that are overdue. In addition, it should ensure audits are not closed until all findings are answered in an acceptable manner.
6. Focused audit checklists are used to inspect all areas on a recurring basis.
7. Findings are documented and forwarded to functional areas for corrective action. Findings should be tracked by the internal audit program manager to ensure discrepancy resolution.
8. Formal procedures ensure that the root cause of all discrepancies is identified and corrected to prevent recurrence. Corrective actions that only address surface or superficial fixes should be rejected. Corrective action plans and timelines should be developed when deficiencies can not be resolved quickly. Follow-up audits are used to verify elimination of deep-rooted problems and ensure corrective action plans are effective.
9. Files are maintained. They include the most recently completed report, the previous audit report, audit checklist with findings identified, and documentation of discrepancy resolution. Concise audit summaries can be used for trend analysis of discrepancies.
10. A formal system is used by management to analyze audit results and identify areas that fall short of company expectations.
 - a. Periodic reports are provided to appropriate senior management personnel.
 - b. Action plans are developed to raise performance to meet goals.

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

SUMMARY

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

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

**DOD MODEL PROGRAM
FOR
AIR CARRIER FLIGHT OPERATIONS**

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

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

INTRODUCTION

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

An effective Flight Operations program contains several elements:

- A. Operations management involvement
- B. Administrative support
- C. Flight manuals
- D. Record keeping
- E. Audit program

A. OPERATIONS MANAGEMENT INVOLVEMENT

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

1. The General Operations Manual (GOM) outlines duties and responsibilities of management personnel and line crewmembers.
2. Mid-level managers support the company programs outlined in the GOM.
3. All levels of management are accessible to all crewmembers and responsive to their inputs.
 - a. Supervisors for each crew position and type of equipment are identified.
 - b. Various communications such as hot lines, e-mail, read files, newsletters, websites, etc., are used to ensure operations personnel stay informed.
4. Management reviews crew pairings with an awareness of crew capabilities balanced against mission demands and risks.
5. Positive support for crewmembers exists on issues of safety and judgment. Crewmembers feel no undue pressure to take chances and understand that safety risks are the top priority when making decisions.

B. ADMINISTRATIVE SUPPORT

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

1. Support requirements are clearly defined and understood by administration personnel.
2. Personnel creating the reports are knowledgeable of the subject and are able to recognize problems that require management intervention.
3. Communication between management, administration, and crewmembers is timely, and ensures all issues are rectified prior to flight.

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

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

C. FLIGHT MANUALS

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

1. Safety is clearly defined as top priority.
2. Subject material covers all areas of operations and appropriate areas of the safety program.
3. Manuals define duties and responsibilities for all crew positions.
4. Revisions are disseminated quickly and a reliable process ensures crewmembers have the most current manuals available.

D. RECORD KEEPING

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

1. Accuracy and completeness of crew records is a top priority.
2. Complete records are maintained in an easy-to-read, standardized format.
3. Data stored electronically is immediately available, accessible, and easy to review by any user.
4. An automated record system incorporates a process that ensures data entered into the system is correct.

E. AUDIT PROGRAM

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

1. All flight operations activities are reviewed and evaluated by qualified and trained personnel.
2. Previous audits are available to verify that findings have been corrected.
3. Audits are conducted in a thorough and unbiased manner.
4. Findings are documented and presented to operations management; root causes are analyzed and addressed; corrective actions are decided upon, implemented, and followed up by operations management for adequacy.

SUMMARY

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

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

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The model flight standards program contains the following elements:

- A. Management involvement
- B. Checkride criteria
- C. Check airman procedures

A. MANAGEMENT INVOLVEMENT

Management is involved in the standardization and feedback process.

1. Carriers with numerous check airmen have a separate flight standards division.
2. The flight standardization program encompasses trend analysis and feedback, and the training department adjusts the training program to respond to adverse trends.
3. Provisions exist for crewmember suggestions, and a feedback system is in place.
4. Aircrew performance data for all positions (including flight attendants) is collected and monitored to enhance continuous improvements.
5. Carriers hold periodic check airmen/instructor meetings with open forum discussions.
6. Aircrew feedback, performance indicators, and check airmen/instructor observations are analyzed to identify systemic problems and ensure comprehensive fixes are implemented.
7. Management disseminates information to aircrews concerning trends or special interest items.
8. Company has an established, effective aircrew-maintenance interface. Pilots are free from undue "mission comes first" pressures.

B. CHECKRIDE CRITERIA

Company has published checkride performance criteria.

1. Aircrews demonstrate proficiency in accordance with published company and CFR standards.
2. Carrier has published check airmen procedures available to all airmen, which contain acceptable performance criteria for specific maneuvers.

3. Checkride includes the evaluation of crew coordination techniques and knowledge of company procedures.
4. Crews demonstrate crew discipline, knowledge of aviation rules, use of standardized procedures, adherence to checklists, and emphasize safety and security.
5. Substandard performance is documented and tracked, including documentation of additional training accomplished during evaluations.

C. CHECK AIRMAN PROCEDURES

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

1. Procedures for selection and upgrade to check airmen are based on airmanship, experience, and attitude of the pilot.
2. Pilots are not selected as check airmen solely because of their management position or seniority.
3. Every check airman completes a formal training program, which is documented in their pilot record.

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**DOD MODEL PROGRAM
FOR
OPERATIONAL CONTROL**

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

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

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

A model operational control program includes three key elements:

- A. Operational control/mission planning
- B. Operations and maintenance interface
- C. Accident/incident reporting procedures

A. OPERATIONAL CONTROL/MISSION PLANNING

The following are key processes for an operational control program.

1. Knowledgeable personnel are on duty to provide operations and maintenance expertise anytime a mission is in progress.
2. Air carriers publish a current list of management personnel responsible for operational control. Management provides the capability for aircrews to have access to real-time weather, flight planning, and aircraft performance data.
3. Communication procedures between the company and aircrews performing operational missions are clearly defined in the operations manual and are available to crewmembers while on duty. Crewmembers have the capability to notify the company independent of ATC or landline services (e.g., ARINC radio, ACARS, SATCOM, or cellular phone).
4. Air carriers hire licensed dispatchers and require initial and recurrent dispatcher training IAW CFR Part 121. Licensed and trained dispatchers are on duty anytime a mission is in progress.
5. A model flight following program encompasses an FAA flight plan combined with a proactive method of determining the aircraft's location and status, independent of the air traffic control system.

B. OPERATIONS AND MAINTENANCE INTERFACE

Interface of operations and maintenance control functions is critical.

1. The end goal of this interface is to ensure immediate dissemination of the latest mission data.
 - a. Ideally, maintenance and operations personnel are collocated.
 - b. If not collocated, capability exists for immediate sharing of information between departments.

C. ACCIDENT/INCIDENT REPORTING PROCEDURES

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

1. Flight crews can communicate with the company at any time in-flight or on the ground to relay aircraft data critical to the safe completion of the mission.
2. Managers, dispatchers, and flight followers are aware of the company's published DOD-specific accident/incident notification procedures.
3. Company evaluates any incident and determines the crew's capability to continue.
4. Commensurate with size and scope of operations, a comprehensive disaster response plan, and where applicable, family support plan must be in place and exercised on a regular basis.

SUMMARY

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

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**DOD MODEL PROGRAM
FOR
AIR CARRIER OPERATIONS MANAGEMENT**

**402 SCOTT DRIVE, UNIT 3A1
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INTRODUCTION

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

Effective Operations Management includes the following elements:

- A. Management Qualifications
- B. Management of Safety Program
- C. Organizational Structure/Culture
- D. Internal Audit Program

A. MANAGEMENT QUALIFICATIONS

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

1. Managers have experience and in-depth knowledge and understanding of the areas they manage.
2. Managers have attended formal training in airline safety and risk management programs.
3. Turnover of key personnel is infrequent.
4. Management personnel have an adequate support staff commensurate with the size of the company and number of employees.

B. MANAGEMENT OF SAFETY PROGRAM

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

1. A formal safety program has been established.
2. Management actively encourages safety awareness through:
 - a. Attendance in safety meetings.
 - b. Formal discussion during initial and recurrent training programs.
3. Management ensures all personnel are aware of and fully understand company safety policy and program.

C. ORGANIZATIONAL STRUCTURE/CULTURE

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

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

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

D. INTERNAL AUDIT PROGRAM

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

1. This program encompasses, as a minimum, all areas of flight operations, safety, and maintenance.
 - a. Audits are conducted by qualified company personnel or a contracted agency.
 - b. Program uses FAA Advisory Circular 120-59A to enhance program development.
 - c. Program manager informs company personnel of audit criteria.
 - d. Audits are performed on a recurring basis.
2. Company maintains documentation to support audit results and performs follow-up inspections on findings.
 - a. The focal point provides senior management with a written report of audit findings.
 - b. Historic audit reports are used to detect repeat findings and trends.
 - c. Senior management ensures root causes of deficiencies are identified, documented, and eliminated.
 - d. Focal point performs and documents a follow-up audit to verify corrective actions.

SUMMARY

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

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**DOD MODEL PROGRAM
FOR
AIR CARRIER SCHEDULING**

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

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

- A. Procedures
- B. Crew Risk Analysis
- C. Internal Audit

A. PROCEDURES

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

1. A flight/duty-time limitations log is maintained, and clearly defined hours of duty for all crew members, to include office time are tracked.
2. An automated tracking system is in place with running totals for monitoring weekly, monthly, quarterly, and yearly flight time.
3. Program is established, preferably automated, to show real-time status of required training, medicals, qualifications, and currency events.
4. Procedures and training are established to prevent inadvertent override of automated system alerts of operations contrary to regulatory or company rules.

B. CREW RISK ANALYSIS

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

1. The company has specific criteria to define "experienced" pilots. Inexperienced pilots are not paired together; i.e., a new captain is not paired with a new first officer.
2. Prior to publishing the flight schedule, the chief pilot or director of operations receives a copy and analyzes the level of risk.
3. Prior to assigning any crew to a mission that is outside the scope of normal operations, the chief pilot and/or director of operations is informed and concurs with the scheduler's choices and recommendations of crew members.
4. For DOD passenger charters, the captain and first officer must possess at least 250 hours combined experience in the type of aircraft being operated.

C. INTERNAL AUDIT

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

1. The audit checklist is structured so that someone not assigned to the scheduling office could conduct the audit.
2. Results of the audit and corrective actions are communicated to all scheduling personnel.
3. Discrepancies are analyzed to determine/eliminate root cause.
4. Automated system programming is tested on a regular basis to ensure appropriate legacies are updated and accurately checked. System alerts operators on conditions that could result in an illegal operation.

SUMMARY

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

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

An effective operations training program contains the following elements:

- A. Training Management
- B. Facility Requirements
- C. Pilot training requirements
- D. Flight Attendant training requirements
- E. Training documentation and scheduling

A. TRAINING MANAGEMENT

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

B. FACILITY REQUIREMENTS

1. Classrooms are comfortable and provide adequate climate control, space, lighting, and are free from interruptions.
2. Training is supplemented with state-of-the-art audiovisual training aids, including computer-based training systems.
3. Flight training is conducted in simulators and training devices to the maximum extent possible.
4. Cabin mockups, slide trainers, and classroom emergency equipment are realistic and are used for joint flight and cabin, emergency/evacuation training.

C. PILOT TRAINING REQUIREMENTS

1. Pilot training manuals are logically arranged in FAA modular format as described in FAA Order 8400.10, easy to read, and updated as required. Manual is modified based on trend information from evaluations and safety program analysis, manufacturer's recommendations, etc.
2. Curriculum and courseware support all training required by the FAA and is enhanced by the use of programs, such as Crew Resource Management (CRM), Line Oriented Flight Training (LOFT), Advanced Qualification Program (AQP), and Flight Operation Quality Assurance (FOQA).
 - a. Additional training is given to high-risk operations (e.g., special navigation routes, harsh operating environment, etc.). Initial and recurrent training contain special airport qualification training.

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

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

D. FLIGHT ATTENDANT TRAINING REQUIREMENTS

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

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

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

b. Joint pilot/flight attendant training is desired.

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

E. TRAINING DOCUMENTATION AND SCHEDULING

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

SUMMARY

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

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