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FSS-AIR-FORM 109/12 CHECKLIST FOR PART 145 APPROVAL

CAA File Ref		AMO Number	
Name of organization			
Physical address			
		Postal code	
Postal address			
		Postal code	
Telephone number		Fax number	
Cell phone number		E-mail address	
Certificate of Approval number:		Expiry date:	
Categories applied for	A	B	C
	D	E	W
	X		
Date application received			
Date of last audit			
Date of this audit			
Audit team			
ORGANIZATION REPRESENTATIVES			
ACCOUNTABLE MANAGER:			
QUALITY ASSURANCE MANAGER:			
OTHER:			
PROCEDURE FOR COMPLETION			
<p>1. Definitions</p> <ul style="list-style-type: none"> • Yes shall mean there is a means of compliance. • No shall mean there is no means of compliance. • Not Applicable shall mean that the requirement is not relevant to the organization activities. • Acceptable shall mean compliance. • Unacceptable shall mean noncompliance. <p>2. Abbreviations</p> <p style="text-align: center;"> Y=>Yes N=> No A=>Acceptable U->Unacceptable N/A=> Not Applicable </p> <p>3. Instructions</p> <p>3.1. The blocks must checked in a combination of either [Y&A] or [Y&U] or [N&A] or [N&U] or [N/A]</p> <p>3.2. Where the following combination is checked a note is mandatory i.e. [Y&U] or [N&A] or [N&U] or [N/A]</p> <p>3.3. The checklist must be signed by the lead inspector/team leader after completion prior to the closing meeting.</p> <p>3.4. Empty rows are not permitted.</p> <p>3.5. The accountable manager must sign receipt of the preliminary audit report at the closing meeting.</p>			

NOTES:

INSPECTION AND AUDIT FUNCTIONS

NCAA inspection and audit functions confirm for CAA that an organization is operating in compliance with regulatory requirements. There will be times when it is not possible or necessary to review or examine 100% of a company's operation. This is when sampling principles apply. Inspection and audit checklists have been developed to provide a systematic approach to the inspection of an organization various specialty areas. The checklists are designed to identify specific items within each specialty area and to make reference to applicable regulatory requirements. Where an organization fails to comply with these requirements, they will be considered to be in non-compliance and will be required to undertake corrective action.

AUDIT PLANNING

The following should be considered when scheduling an audit.

The feasibility of the audit dates and time-periods with consideration given to availability of inspectors and the operator.

The allocation of time for pre-audit/inspection activities.

Team member travel requirements.

The compiling of the required documentation.

The contents of the organization maintenance procedures manual and file should be studied for background knowledge and to detect any shortcomings/anomalies.

PRE-AUDIT MEETING

A pre-audit team meeting is important as it informs team members of the expectations of the team leader. It also provides an opportunity for team members to clear up any questions and gain clarity on their specific roles. Agenda items must be discussed and formalized at this meeting. The audit schedule must be discussed and formalized which must include additional time prior to the closing meeting to allow inspectors to formalize the preliminary audit report. If the client does not have the necessary resources to print out a report a hand written report must be issued.

ENTRY MEETING

An entry meeting must be held. It is important in that it establishes communications between the Operator's and NCAA's audit teams. (See appendix for the standard agenda). The client must be notified of the hourly rates that apply from audit planning, inspection and post audit activities. The agenda must be followed as a guide during the briefing at all times to ensure that the client understands all expectations and the scope of the audit. The audit schedule is also discussed to ensure that the client will be able to accommodate the schedule.

AUDIT FINDINGS

A finding is when the Organization is found to be non-compliant/contravening all relevant legislation and/or approved operating procedures. The severity of the finding must be identified based on its nature and the compromise it renders to safety. Audit findings are the foundation of the audit report so it is important that they be completed in accordance with the requirements.

CLOSING MEETING

The closing meeting is conducted to ensure that the Operator's senior management have been fully debriefed on the results of the audit. The preliminary report is issued to the client and the client is debriefed on the outcome of the audit. The client is informed that a final report will be issued within 7 days. **POST AUDIT ACTIVITIES**

Issue final audit report within 7 days. Evaluate the action plan to the audit report. Convene a Review Board (**NB: Senior manager to sign-off ARB decision**). Invoice is issued to client that must include all activities that are still pending. Issue a certificate of approval with OPSPECS after payment is confirmed by NCAA finance. File and Archive all documents. Update internal tracking system.

Note: For overseas audits all applicable fees must be paid in full and confirmed by NCAA finance before the audit and undertaking of the journey.

A	MANAGEMENT RESPONSIBILITY	N/A	Y	N	A	U	NOTE NUMBER
1	Has the holder of the Certificate of Approval applied for renewal at least 60 days before the approval expires? (CAR 145.02.11)						
2	Is the maintenance organization approval displayed in a prominent place, generally accessible to the public at such holder's principal place of business? (CAR 145.01.3)						
3	Are the approved operations specifications readily available at the place where the certificate of approval is displayed? <i>Carry out a general cursory review of the document.</i>						
4	Has the organization employed or contracted a senior person identified as the accountable manager and compliance officer of the organization? 145.02.4(1)(a)						
5	Has the organization employed or contracted a competent person who is responsible for the quality control and such person has direct access to the accountable manager on all safety matters? 145.02.4(1)(b)						
6	Is the approved statement of compliance available? <i>Carry out a general cursory review of the document.</i>						
7	Does the organization have a copy of its manual of procedure (or a supplement with an equivalent document for a foreign organization) and is it approved by the Executive Director of Namibian Civil Aviation Authority? 145.02.13						
8	Does the Manual of Procedure (or a supplement with an equivalent document for a foreign organization) contain a commitment statement signed by the accountable manager on behalf of the organization to comply with NAMCAR requirements? (CAR 145.02.1(b) with NAMCATS-AMO 145.02.1 1.1.1(1))						
9	Has the organization established and documented a quality control system for the control and supervision of all maintenance activities? 145.02.2						
10	Does the manual of procedure state the names of the key management personnel and their positions? (CAR 145.02.4(1) with NAMCATS-AMO 145.02.1 1.1.1(2))						
11	Does the manual of procedure contain a current chart showing lines of responsibility for all key personnel? (CAR 145.02.1(b) with NAMCATS-AMO 145.02.1 1.1.1(4)). The chart must show all line management positions down to supervisory level						
12	Are key personnel aware of their responsibilities as stipulated in the organizations manual of procedure (or a supplement with an equivalent document for a foreign organization)? <i>Check for documented proof i.e Job Descriptions, acknowledgement, undertaking, memo etc.</i> NAMCATS-AMO 145.02.1 1.1.1(3)						
13	Has the organization employed or contracted adequate personnel to plan, perform, supervise inspect and certify all maintenance undertaken by the organization. 145.02.4(1)(c) and 145.02.4(3)(a)						
14	Is there full and efficient co-ordination between departments and within departments in respect of airworthiness matters? (CAR 145.02.4(3)(b))						
NOTES:							

2	Is the quality document part of the manual of procedure? NAMCATS-AMO 145.02.2(4) or is the quality document referenced in the manual of procedure. (CAR 145.02.1(2)(b) with NAMCATS-AMO 145.02.1 item 1.3)						
3	Does the quality document detail how personnel, who will issue on behalf of the vaporization certificates relating to maintenance and/or release certificates, are qualified in their system? (CAR 145.02.13). <i>Is the policy on the qualification criteria and recurrent training documented?</i>						
4	Is there a procedure for issuing personnel with evidence of the scope of their company authorization after being qualified by the organization? CAR 145.02.14(2)						
5	How are certifying personnel records kept? and Is there a procedure in place to keep records of all certifying personnel for a period of 5 years? CAR 145.02.14(3)						
6	Does the organization have an internal quality audit plan?						
7	Does the audit plan cover all areas of the organizations activities including personnel within a period of 12 months?						
8	Can the organization show evidence of any internal audits conducted as per the audit plan? (NAMCATS-AMO 145.02.2 1(2)(a)) <i>Review the company records to verify compliance and effectiveness of the QC system)</i>						
9	Is there a root cause analysis, corrective and preventive action procedure in place? (NAMCATS-AMO 145.02.2 1(2X0))						
10	Is every non-compliance investigated, corrected and are measures put in place to prevent recurrence of such noncompliance? (NAMCATS-AMO 145.02.2 1(1)(b))						
11	Is there a procedure for bringing to the attention of management safety concerns and documenting the appropriate actions decided to ensure compliance to airworthiness requirements. (NAMCATS-AMO 145.02.2 item 1(2)(d)) <i>Management analysis and overview</i>						
12	Is there a procedure or a reference to a procedure for applying specialized activities when required? i.e welding, NDT etc. (NAMCATS-AMO 145.02.2 item 1(2) 0) Note: For NDI a <i>NDT Manual required as per referenced process standard compiled by appointed Level 3 Inspector</i>						
13	Are the auditors suitably qualified? (NAMCATS-AMO 145.02.2 1(2) (g)). <i>Review training & qualification records.</i>						
NOTES:							

D	PERSONNEL AND TRAINING	N/A	Y	N	A	U	NOTE NUMBER
1	Has the organization established & developed a training programme for its maintenance personnel CAR 145.01.12(1)						
2	Does the training programme ensure that personnel receive or has received type- or model-specific training in respect of the aircraft or aircraft components for which the organization has approval CAR 145.01.12(2)(a)						
3	Does the training programme ensure that personnel receive periodically recurrent training with specific						

Time of departure				
Time spent on site				
Less lunch				
Time spent on site				
Note: Maximum allowance for lunch: 45 minutes				
INVOICING DATA:				
Pre-audit preparation				
Time spent on site				
Audit report preparation				
Post audit activities				
Miscellaneous(Specify)				
Other				
TOTAL				
Travel Time (Not to be invoiced)				
AUDITOR'S FEED-BACK				
1.	Where the audit Arrangements Acceptable?	YES	NO	
Suggestions:				

	Where the adequate time allowed for the audit	YES	NO	
Suggestions:				
3.	In the case of an overseas visit, was contact established with the local authority?	YES	NO	
if "YES", what useful information was gained?				
4.	Has any information been gathered that should be shared with your colleagues?	YES	NO	
5.	Has any action item been identified for follow up by the auditor?	YES	NO	

