NAMIBIA CIVIL AVIATION AUTHORITY

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FSS-AIR-FORM 112D/12

CHECKLIST FOR EVALUATION OF A DESIGN ORGANISATION (DOA)

This checklist provides standardised evaluation criteria used in documenting the evaluation of the systems elements listed in **Table 1** for delegated facilities.

TABLE 1. SYSTEM ELEMENTS

Section	System Elements
1	Organisation and Responsibility
2	Project Management
3	Design Data Approval
4	Design Change Approval
5	Testing
6	Conformity Inspection
7	Airworthiness Certification
8	NCAA Notification
9	Continued Airworthiness
10	Audit

A	SECTION 1. ORGANISATION AND RESPONSIBILITY.	YES	NO	REMARKS
1	1D1. Does the DOA have and use a DOM appropriate to the approval that it holds, including description of responsibilities and authorities? 1D2. Are procedures for the delegated functions set forth in a current design organization manual (DOM)? Procedures for processing the technical data required for approval and issuance of design documents. (1) Determination of certification basis. (2) Classification of project significance and complexity. (3) Method for developing certification plan.			

	SECTION 1. ORGANISATION AND RESPONSIBILITY.	YES	NO	REMARKS
1	. (4) The identification (names, signatures, and responsibilities) of officials and of each staff member. (5) A "Log of Revisions" page that identifies each revised item, page, and date of revision, and contains the signature of the person approving the change for the NCAA. (6) Approval of design data (drawings and reports) within the DOA organisation. (7) Requests for conformity inspection, including test articles and test setups. (8) Approval of certification documents, e.g., C of C, AFMS, etc. (9) Conduct of inspections, including conformity and compliance inspections. (10) Issuance of special airworthiness (experimental) certificates and reissuance of standard airworthiness certificates. (11) Procedures for developing and determining the adequacy of technical data for major repairs. (12) Procedures in establishing the applicability and limitations of approved repairs. (13) Service Difficulties. (14) Other functions within the scope of the delegation. 1D3. Is the DOM reviewed periodically by the DOA for adequacy and currency, and updated as necessary? 1D4. Is the DOA, operating within its approved delegated authority? 1D5. Does the DOA limit repair, rebuilding, or altering only to those products for which a production approval has been obtained? 1D6. Does the DOA assure that it continues to meet the criteria for holding its approval? 1D7. Does the DOA have a Coordinator as a focal point for communication with the NCAA as it relates to the interpretation of regulations, policies, procedures, and maintenance of certification data and certification checklist? 1D8. Does the Coordinator have sufficient authority to administer the pertinent requirement effectively?			

	a. The Coordinator is in an organisational position with sufficient authority to administer the pertinent requirement effectively. b. The Coordinator is actively involved in engineering processes and airworthiness activities defined by the DOA in order to administer the pertinent requirement effectively.			
	1D9. Are the organisations responsible for performing delegated engineering and flight test functions described and their levels of authority defined? The procedure manual includes as a minimum: (1) A table of organisation that describes the functional relationship of upper management to the various organisational components. (2) The purpose and objectives of the engineering and flight test organisation. (3) The identification of the functions of staff members within the facility. (4) The role of staff members in the facility and their responsibilities as representatives of the NCAA, ensuring that no conflicting restraints are placed on the performance of their duties.			
	1D10. Are the organisations responsible for performing conformity inspection and airworthiness functions described and their levels of authority defined? The procedure manual includes as a minimum: (1) A table of organisation that describes the functional relationship of upper management to the various organisational components. (2) The purpose and objectives of the conformity inspection and airworthiness organisation. (3) The identification of the functions of staff members within the facility. (4) The role of staff members in the facility and their responsibilities as representatives of the NCAA, ensuring that no conflicting restraints are placed on the performance of their duties.			
	1D11. Are approved procedures, regulations, and policies made available to responsible DOA staff members? a. The procedures manual provides for distribution of regulations, policy, and procedures. b. The procedures manual provides that each appropriate employee has easy access to pertinent regulations, policy, and procedures.			

	1D12. Is there a staff of engineering, flight test, and inspection personnel, as appropriate, that can determine compliance to airworthiness requirements? 1D13. Does the DOA maintain a current list of products or articles that have been repaired or modified under the delegated authorisation? 1D14. Does the DOA keep current a list of all the certificates for which it holds approval? 1D15. Is there a requirement for the DOA's personnel to have knowledge, skills, and abilities appropriate to their assignments and responsibilities? Procedures define the method for establishing and maintaining personnel qualifications appropriate to the delegated functions being performed. 1D16. Do the organisations and personnel identified in the DOA periodically receive training and updates for the functions and procedures that they have been delegated? There is objective evidence (on-going training requirements) that staff members are knowledgeable of the approved functions and procedures, including periodic changes, which have been delegated to them and to the facility. 1D17. Are tags, forms, and other certification documents described in the procedures manual and are the items properly controlled? Procedures include, as a minimum: (1) A sample of each tag, form, and other document with instructions for use as applicable. (2) A formal change control procedure. 1D18. Does the DOA retain records in accordance with the appropriate regulations? There is objective evidence that: (1) A record retention schedule that complies with applicable regulations has been established. (2) Technical data files, repair, rebuild, and alteration records, original application data,			

	inspection records, and service difficulty records, as applicable, are maintained in accordance with record retention requirements. 1D19. In the case of aircraft, does the DOA have a flight safety program? Procedures provide for a flight safety program that includes, as a minimum: (1) Monitoring of crew duty hours. (2) Periodic review of accidents and incidents. (3) Mandatory safety meetings.			
2	**SECTION 2. PROJECT MANAGEMENT.**			
	Project management includes those functions related to the overall management and approval of a project within the delegated facility's approved procedures manual or handbook. 2D1. Has a certification basis or airworthiness requirement been established and used for the modified or repaired type certificated product? Procedures include, as a minimum: (1) Method used to determine certification basis (regulatory requirements). (2) Method for evaluating the regulatory requirement against the modification or repair. (3) Method of documenting certification basis (regulatory) applicability. 2D2. When determining the certification basis, has the DOA made a determination on the use of the latest airworthiness standards? Procedures include, as a minimum: (1) Method of documenting certification basis (regulatory) applicability, including the position relative to complying with the later standards. (2) Method used in evaluating the basic regulatory requirements together with the applicable service experience. 2D3. Does the DOA make a determination as to whether a project is significant or non-significant prior to			

	submitting the letter of intent to the NCAA? Procedures include, as a minimum: (1) Method used to determine and document the project criticality assessment. (2) Method to incorporate the assessment findings into the letter of intent or other project notification form.			
	2D4. Has a certification basis been established and coordinated with the NCAA for new type certification projects? Procedures include, as a minimum: (1) Method used to determine certification basis (regulatory requirements). (2) Method for evaluating the regulatory requirement against the proposed type certificated product. (3) Method of documenting certification basis (regulatory) applicability. (4) Method to notify the NCAA of the proposed certification basis.			
	2D5. Are letters of intent or similar documents reviewed by the staff prior to submittal to the NCAA? Procedures include a method to coordinate the letter of intent internally with engineering, flight test, and inspection staff members prior to submitting the letter to the NCAA.			
	2D6. Does the DOA submit a Letter of Intent or similar document for project initiation to the NCAA? Procedures include, as a minimum: (1) Method to identify the information required in the Letter of Intent. (2) A listing of staff member(s) authorised to approve and submit the Letter of Intent to the NCAA within a prescribed time.			
	2D7. Is the NCAA response to the letter of intent obtained prior to the issuance of the certificate? Procedures include a method to disposition the NCAA response or requirements to the Letter of Intent.			
	2D8. Does the DOA obtain NCAA's concurrence for the application of all equivalent safety provisions applied			

	for? 2D9. Are AD's identified for the product being modified/repaired and evaluated for their effect on the change in the type design? Procedures include, as a minimum: (1) Identification of applicable AD's. (2) Evaluation of the effect the AD has on the modified/repaired product. NOTE: If an AD is identified as applicable, and as a result of the proposed modification or repair the requirements of the AD can no longer be accomplished, the delegated facility MUST obtain an alternate means of compliance to the AD from the NCAA, PRIOR to the delegated facility's issuance of a design approval. 2D10. Does the DOA coordinate milestones and unique project requirements with the appropriate disciplines within the facility, and with the NCAA? Procedures provide for communicating milestones and unique project requirements with the appropriate DOA personnel and with the NCAA. 2D11. Are there means for the identification and resolution of significant technical, regulatory, and administrative issues that occur during the certification process within the facility, and with the NCAA? Procedures include, as a minimum, a method to: (1) Identify issue(s). (2) Identify staff member participation. (3) Request the NCAA for an issue paper(s), if required. (4) Incorporate the findings of the issue paper into the type design. 2D12. Do staff members communicate with each other for project coordination and, when applicable, with the NCAA? Procedures promote, as a minimum, communication between: (1) Staff members and management. (2) Staff members for project coordination. (3) Delegated facility staff members and the			

	NCAA. 2D13. Is there coordination between staff members on projects that require approvals in more than one technical area? Procedures include, as a minimum, a method to: (1) Coordinate multi-discipline review and approval, e.g. airframe, systems, propulsion, flight test, and inspection. (2) Authorise staff member(s) to review each data package for possible overlaps. 2D14. Are required certification tests identified, documented and approved? There is objective evidence that staff members authorised to witness and approve test results have been identified. Procedures may provide for: (1) Method to identify all tests to assure compliance with the applicable airworthiness requirements. (2) Method to define and conduct tests, e.g., ground tests. (3) Method to document and approve results, e.g., test report. 2D15. Does the DOA process and approve an authorisation, which authorises the official conformity, airworthiness inspections, and flight tests necessary to fulfil certain requirements for TC, and modification certification? Procedures include, as a minimum, a method to: (1) Document the required official certification inspections and tests. (2) Approve the required document, including, as applicable, the coordination with other staff members. (3) Make and approve changes to this document. (4) Control and file this document. (5) Include NCAA participation, as required. 2D16. Are compliance inspections being conducted b authorised staff members? Procedures provide for: (1) Method to identify compliance inspection requirements. (2) Method to document and disposition the findings of the compliance inspection.			

	(3) Identification of staff members authorised to conduct compliance inspections. 2D17. Are conformity inspections accomplished and documented prior to conducting certification tests? Procedures provide for a method to: (1) Assure that conformity inspections are accomplished prior to certification tests. (2) Define and conduct conformity inspections, e.g., ground tests. (3) Document and approve results. 2D18. Are nonconforming products/parts disposition by engineering prior to tests or final approval? 2D19. Does the DOA assure that NCAA-requested participation and/or the determination of specific findings are completed? Procedures include, as a minimum, a method to assure that: (1) NCAA-requested participation and/or specific findings are included in the testing and inspection schedule. (2) NCAA-requested participation and/or specific findings are completed and documented. 2D20. When applicable, is the AFM/AFMS (Aircraft Flight Manual or Aircraft Flight Manual Supplement) properly formatted, documented, coordinated, approved, and controlled? Procedures include, as a minimum, a method to: (1) Determine whether an AFM or AFMS is necessary. (2) Assure that the AFM or AFMS is properly formatted. (3) Assure that the document has been coordinated with all engineering disciplines. (4) Assure that the AFM or AFMS is approved and referenced properly on the approval certificate prior to the issuance of the type certificate or supplemental type certificate. (5) Process revisions to the AFM or AFMS. 2D21. Does the DOA process and approve a document, which documents those official conformity, airworthiness inspections, and flight tests necessary to fulfil the requirements for TC, and modification certification?			

	Procedures include, as a minimum, a method to: (1) Document the results of the official certification inspections and tests. (2) Approve the required document, including, as applicable, coordination with other staff members. (3) Make and approve changes to this document. (4) Control and file this document. (5) Identify timely completion of the document. (6) Include NCAA participation, as required. 2D22. Are projects that require amendment identified, documented, and approved? 2D23. Upon the completion of a project, does the DOA document the project certification activities in a report such as a certification summary report? Procedures include, as a minimum, a method to: (1) Identify the documentation to be used for summarising project activities. (2) Complete the required documentation and forms. (3) Approve these documents, and identify those staff members authorised to do so. (4) Make and approve changes to this document. (5) Control and file these documents. 2D24. Does the coordinator assure that the type design data, technical data, and/or repair data are approved, documented, and controlled? Procedures include, as a minimum: (1) Methods for documenting data approvals. (2) A description of the data approval process, including personnel authorised to approve the data. (3) A means of controlling the issuance and distribution of data approvals.			
4	**SECTION 3. DESIGN DATA APPROVAL.**			
	The planning and integration of the DOA's procedures for the approval of the design/repair data (including software) as delegated to the DOA. 3D1. Is the type design data, technical data, and/or repair data documented and controlled?			

	Procedures include, as a minimum: (1) Methods for documenting and retaining data approvals. (2) A means of controlling the issuance and distribution of approval documents. (3) A means of documenting and controlling test plans, reports, and data. (4) A means of documenting and controlling required documents, e.g., instructions for continued airworthiness, flight manuals, and installation / operation instructions. 3D2. Are documents and forms, identified and listed in the procedures manual or handbook, used to document the approval of data and to make findings of compliance? Procedures provide for documenting approved data and findings of compliance on specified forms. 3D3. During the approval process, is there a determination on and classification of the type of data being approved? Procedures include, as a minimum: (1) Determination and classification of data by engineering disciplines, such as requiring NCAA/designee approval. (2) Determination and classification of repair as major or minor. 3D4. Is there a drawing control system? Procedures provide for: (1) Drawings that are adequate, complete, and legible. (2) Identification of drawings. (3) Indication of drawing approval, including NCAA approval. (4) Maintenance and security of drawings. (5) Use of current drawings and removal of obsolete drawings. (6) A list of drawings and specifications necessary to define configuration of the NCAA-approved design. (7) Control of preliminary/experimental drawings. (8) Existence of adequate backup methods for software used for drawing control. 3D5. Is the type design data, technical data, and/or repair			

	data approved? The procedures include, as a minimum: (1) Description of the data approval process, including personnel authorised to approve the data. (2) Methods to obtain complete design data and approval documents in accordance with certification plan. (3) Methods to approve master document (data) and/or certification compliance checklist. (4) Methods to approve test plans, data, and reports. (5) Methods to approve required documents, e.g., instructions for continued airworthiness, flight manuals, and installation instructions.			
	3D6. Is there a Software Configuration Management Plan (SCMP) or procedure to control airborne software configuration? Procedures provide for: (1) Installation of the correct version of the software in the certification test article or in the delivered product in accordance with the NCAA-approved design in the certification program. (2) Method by which controlled software containing the NCAA-approved design data is transitioned into production. The media containing the software installed in the product is directly traceable to the Software Configuration Management (SCM) library.			
	3D7. Has a criticality assessment and the software verification been accomplished in accordance with RTCA/DO–178 or other accepted/approved documents (e.g., RTCA/DO–236, etc.)? Procedures provide for a properly documented software criticality assessment and verification process.			
	3D8. Is there a Configuration Index Document (CID) listing all software documents under configuration control and defining the hardware and software part numbers? Procedures provide for traceability of hardware and software part numbers to the drawing control system.			

	3D9. Are there practices and procedures for reporting, tracking, and resolving software problems? Procedures provide for: (1) Methods for corrective action, for problems found, include provisions for airborne software and hardware/software combinations. Procedures may parallel or be part of hardware corrective action procedures. (2) Method to dispose and delete obsolete or non-current software. 3D10. Are there methods and facilities to protect computer programs from unauthorised access, inadvertent damage, or degradation? Procedures provide for: (1) Configuration control of the airborne software within the product design files. (2) Limited access to software files. (3) Separate archives for masters and duplicates. (4) That masters and duplicates are not revived by the same machine simultaneously. 3D11. Are there procedures to ensure that the software development environment (i.e., compilers, loaders, linkers, editors, emulators, etc.) is identified, documented and archived for each version of the delivered airborne software version? Procedures provide for methods to identify, document, and archive the software development environment for each version of delivered airborne software. 3D12. Is airborne software programmed media handled an stored properly (e.g., environmental controls an magnetic interference precautions)?			
6	**SECTION 4. DESIGN CHANGE APPROVAL.**			
	The planning and integration of the DOA's procedures for the approval of changes to the DOA design data. This includes software used in type-certificated aircraft or related products (airborne software). 4D1. Are the changes to the type design data, technical			

	data, and/or repair data documented and controlled? Procedures include, as a minimum: (1) Methods for documenting and retaining data approvals. (2) A means of controlling the issuance and distribution of approval documents. (3) A means of documenting and controlling test plans, reports, and data. (4) A means of documenting and controlling required documents, e.g., instructions for continued airworthiness, flight manuals, and installation / operation instructions. 4D2. Does the DOA determine if a design change or repair is major or minor? There is objective evidence that changes to the DOA design change, or a repair, have been properly classified as major or minor. 4D3. Are minor design changes approved under a method acceptable to the NCAA? 4D4. Are major changes to type design, technical data, and/or repair data approved? 4D5. Are documents and forms, identified and listed in the DOM, used to document the approval of design changes and findings of compliance? 4D6. Are corrective actions identified in AD incorporated into the NCAA approved design, when applicable? There is objective evidence that design changes necessary to correct unsafe conditions identified in AD's have been incorporated into the NCAA-approved design. 4D7. Does the DOA specify the repairable damage limit when applicable?			
8	**SECTION 5. TESTING.**			
	The function which provides for the testing, including both component and final product tests, required to establish that the approved design or changes thereof are in compliance with the applicable requirement.			

	5D1. Are all certification tests identified, documented, and approved? Procedures provide for a method to: (1) Identify all certification tests, and the disposition of the conformity inspections associated with the test plans. (2) Define and approve tests, including pass/fail criteria. 5D2. Are staff members responsible for the development of test plans, witnessing of tests, and the documentation of test results identified? Procedures provide for an organisational chart or table that identifies the staff, and their responsibility and authority for developing and approving test plans; witnessing tests; and documenting and approving test results. 5D3. Does equipment used for test has the degree o accuracy necessary to determine conformity of th characteristic being measured/tested? Procedures provide for: (1) The degree of accuracy and current calibration of all measurement devices and test equipment. (2) Measurement devices and test equipment capable of the accuracy necessary and adequate for the intended purpose, including measurement devices and test equipment substituted for those specified. (3) A list of measurement devices and test equipment used to determine conformity of the characteristics being tested. 5D4. Is there appropriate safety equipment available during certification testing? Procedures include the method for the training of personnel, and the control and availability of appropriate safety equipment. 5D5. Does the DOA's authorised staff members assure that conformity inspections are completed prior to conducting certification tests? Procedures provide for a method to: (1) Verify that certification conformity inspections			

	have been accomplished; for example, parts, installation, and/or test setup. (2) Review conformity inspection records. (3) Disposition nonconformity inspection records. 5D6. Does the DOA's staff members, including inspection personnel, participate in the review of test instructions or procedures? Procedures provide for a method: (1) For the delegated facility staff members, including inspection personnel, to review test instructions or procedures prior to release. (2) To evaluate and verify conformity to approved design. This includes the identification of inspection points that ensure conformity to approved design. (3) For inspection equipment to be available or procured that will adequately verify conformity to approved design, and that can be controlled for accuracy, when required. 5D7. Are test results documented and approved? Procedures provide for documentation to include as a minimum: (1) Test results. (2) Approval of test results. 5D8. Are certification test discrepancies documented and disposition? Procedures provide for a method to: (1) Document discrepancies. (2) Disposition discrepancies, e.g., re-evaluate test procedures, rework and re-conform test setup, redesign. 5D9. Does the DOA allow for the use of personnel other than those identified in the DOM to assist in witnessing the required certification tests? Procedures include: (1) The method of approving personnel to conduct and witness required certification tests. (2) The requirements and controls, including training, for authorised persons to document and approve applicable data.			
10	**SECTION 6. CONFORMITY INSPECTION.**			

	The function which establishes control of the prototype/test article conformity to approved drawings. 6D1. Are Statements of Conformity properly submitted? There is objective evidence that: (1) The method for verifying the statement of conformity, for the product manufactured, altered, or repaired, has been submitted to the appropriate delegated facility staff member. (2) The statement of conformity has been signed by an authorised person who holds a responsible position in the manufacturing organisation or repair station. 6D2. Are conformity inspections documented? Procedures include, as a minimum, a method to: (1) Obtain the statement of conformity from the applicant. (2) Conduct conformity inspections. (3) Complete the conformity inspection records. (4) Document the detail parts, assemblies, and installation conformities recorded on the conformity inspection record, including design data revision level and release date of design data. (5) Document and coordinate disposition of nonconformities or deviations with the engineering organisation. (6) Verify and/or conform that special processes called out in design data have been accomplished in accordance with the process requirements. 6D3. Does equipment used for inspection has the degree of accuracy necessary to determine conformity of the characteristic being inspected? Procedures provide for: (1) The degree of accuracy and a current calibration of all measurement devices and test equipment. (2) Measurement devices and test equipment capable of the accuracy necessary and adequate for the intended purpose, including measurement devices and test equipment substituted for those specified.			

		(3) A list of measurement devices and test equipment used to determine conformity of characteristics being inspected.			
	6D4.	Are "at-risk" conformity inspection records generated and tracked for in-process conformity inspections and do these records reflect the final approved design? Procedures provide for a method to assure that in-process conformity records: (1) Are generated and maintained. (2) Reflect the final approved design.			
	6D5.	Do the DOA inspection staff members conduct conformity inspections at the supplier/vendor when conformity cannot be determined upon receipt? Procedures provide for: (1) Only authorised staff members to conduct conformity inspections. (2) Method to conduct conformity inspections at suppliers/vendors.			
	6D6.	Are methods for identification, control, and disposition of nonconforming products/parts provided? Procedures provide for: (1) Methods used for identification, control, and disposition of nonconforming products/parts. (2) Method to secure nonconforming material, with access limited to authorised personnel. (3) Disposition of nonconforming items, including standard repairs and MRB actions, only through the delegated facility engineering review and approval process.			
	6D7.	Is software identified/marked externally/internally in accordance with the engineering drawing requirements? Work instructions detail the identification/marking requirements.			
	6D8.	Are special processes coordinated with engineering and inspection personnel? Procedures provide for the engineering and inspection organisations to review design and technical data changes prior to release to ensure			

	that: (1) The product can be properly evaluated and verified to be in conformity to approved design. (2) Inspection equipment is available or can be procured that will adequately verify conformity to approved design, and that can be controlled for accuracy, when required. 6D9. Does the DOA inspection personnel verify that the approved data are adequate for a multiple approval and the installation is airworthy? Procedures provide for a method to: (1) Verify that the approved data are adequate for a multiple approval and to provide feedback to the Coordinator. (2) Determine that the installation is airworthy and to provide feedback to the Coordinator.			
12	**SECTION 7. AIRWORTHINESS CERTIFICATION.**			
	The function which provides for the issuance of appropriate airworthiness certificates. 7D1. Have applications for airworthiness certification been properly completed as identified in approved procedures, and submitted to the NCAA, as applicable? Procedures define the responsibilities and method for airworthiness certificate application. 7D2. Have limitations and conditions been obtained from the NCAA prior to issuing experimental airworthiness certificates? There is objective evidence that the necessary limitations and conditions have been obtained from the NCAA prior to issuing experimental airworthiness certificates. 7D3. Have applicable airworthiness certificates been obtained for the purposes for which the aircraft is flown? There is objective evidence that the proper airworthiness certificates have been obtained for the purposes for which the aircraft is flown.			

	7D4.	Are Airworthiness Directives (AD) incorporated? There is objective evidence that applicable AD's have been complied with prior to operating the product.			
	7D5.	If an export airworthiness approval has been issued, have the necessary documents and instructions been forwarded to the aviation authority of the importing country, or to other locations as specified in the special requirements of importing countries? There is objective evidence that all the documents and information necessary for proper operation of the product being exported have been forwarded to the cognizant aviation authority. For unassembled aircraft, this includes manufacturing assembly instructions and a NCAA-approved flight test check off form.			
	7D6.	Have export airworthiness approvals been obtained for all products exported? Procedures provide for: (1) Methods for applying for export airworthiness approvals, and the responsibilities of personnel authorised to submit applications. (2) A list of the products for which export airworthiness approvals are obtained. (3) All exported products to meet special requirements of the importing country. Procedures provide for properly annotating any deviation on the exporting documentation, and including a letter of acceptance from the importing country for such deviations. (4) Retention of copies of NCAA Export Certificate of Airworthiness, and/or NCAA Airworthiness Approval Tags, as applicable.			
	7D7.	Are flight manuals, supplements, and current weight and balance data furnished with each aircraft before issuance of standard or restricted airworthiness certificate? Procedures provide for the furnishing of aircraft flight manuals, supplements, and current weight and balance data with each aircraft.			
	7D8.	Have airworthiness approval tags been issued by authorised personnel?			

	Procedures provide for identification of personnel authorised to issue airworthiness approval tags.			
14	**SECTION 8. NCAA NOTIFICATION.**			
	The function which notifies the NCAA of specific conditions as required by the approved procedures and by the requirement. This includes procedures for positive feedback, recording, reporting, and investigation of significant or reported failures, malfunctions, or defects. This function would also provide for determining cause and effecting appropriate corrective actions on such failures, malfunctions, or defects. 8D1. Does the DOA submit required information to the NCAA? There is objective evidence that: (1) An application for amendment to the production certificate has been submitted to the NCAA for new models and type certificates. (2) the following type certificate data has been submitted to the NCAA for new products or amended type certificates: (a) Type certificate application. (b) Statement of applicable airworthiness requirements. (c) Statement certifying compliance of type design to applicable requirements. (d) Statement certifying that required technical data and type inspection report have been placed in the technical data file. (e) Proposed type certificate data sheet. (f) Aircraft Flight Manual (if required), operating limitations summary, or other information necessary for safe operation of the product. 8D2. Does the DOA notify the NCAA within 48 hours of any change that could affect its ability to maintain its authorisation eligibility? There is objective evidence that the NCAA was notified within 48 hours of any change (including a change of personnel) that could affect the ability of the DOA to maintain its authorisation eligibility.			

	8D3. Does the DOA investigate un-airworthy conditions or unsafe features or characteristics reported by the NCAA? There is objective evidence that the DOA has: (1) Investigated reports of un-airworthy conditions or unsafe features or characteristics reported by the NCAA. (2) Reported investigation results and the action, if any, taken or proposed to the NCAA. 8D4. Does the DOA notify the NCAA when a Type Certificate, or Licensing Agreement is transferred?			
15	**SECTION 9. CONTINUED AIRWORTHINESS.**			
	The function which assures the continued airworthiness of the product. 9D1. Does the DOA develop Instructions for Continued Airworthiness? 9D2. Does the DOA make available Instructions for Continued Airworthiness, including changes, to appropriate persons? 9D3. Are design changes considered in Instructions for Continued Airworthiness, when appropriate? Procedures provide for a method to: (1) Consider the effect on the Instructions for Continued Airworthiness as a result of design changes. (2) Revise Instructions for Continued Airworthiness, as required. 9D4. Does the DOA, in developing repair data, specify new inspection limits, when applicable? Procedures include development of inspection limits when applicable. 9D5. Are there provisions for receiving feedback on service problems from users/installers of the product/part thereof? Procedures provide for: (1) Identification of a specific function to receive reports of service difficulties.			

		(2) Determination of appropriate manufacturing or design responsibilities for the reported problem. (3) A system of tracking for accountability.			
	9D6.	Are service problems investigated, and prompt corrective actions taken, by the DOA? Procedures provide for: (1) A method of investigating, identifying, locating and reporting suspected unsafe products. (2) Prompt corrective action, which includes, as a minimum: (a) Root cause determination and correction of deficient design or manufacturing. (b) A means of reporting, purging, tracking, and accountability of known unsafe products.			
	9D7.	Are failures, malfunctions, and defects reported to the NCAA? When procedures for reporting failures, malfunctions, and defects to the NCAA have been established, they should provide for, as a minimum: (1) Definitions of reportable conditions. (2) Evaluation of conditions to determine their reportability. (3) Documentation and reporting method(s). (4) Submittal of each report by the most expeditious method available within 24 hours of occurrence, with provisions for weekends and holidays.			
	9D8.	When corrective action is required by AD's, is information on the design changes made available to all owners and operators of the product?			
	9D9.	Is a record or file of reported service difficulties generated and maintained ? When procedures for preparing a record or file of service difficulties have been established, they should provide for, as a minimum: (1) Dates of receipt, what was reported, and action taken. (2) Record legibility, completeness, and accuracy. (3) Requirements that tape files, microfilm, etc.,			

	used for record retention exhibit legible data, acceptance stamps and/or signatures, as required. 9D10. Is there a means for keeping users of the product/part thereof informed of service information? Procedures provide for informing product users of service-related information for suspected or known unsafe conditions, e.g., service bulletins. 9D11. Does the DOA evaluate the effect on continued airworthiness or service issues for the product based on results from follow-on life cycle testing? Procedures provide for the evaluation of test results from follow-on life cycle testing for their effect on the continued airworthiness of the product. 9D12. Are service bulletins and maintenance manuals approved by authorised personnel? Procedures define specific organisational and individual responsibilities for approving service bulletins and maintenance manuals. 9D13. Are service bulletins, maintenance manuals, and changes thereto, forwarded to the NCAA? Procedures provide for the submittal of service bulletin and maintenance manual issuances, and changes thereto, to the NCAA. 9D14. Does the DOA assure that only approved technical data, including changes, are used for repair, rebuilding, and alterations? Procedures provide, as a minimum: (1) Method to approve the technical data. (2) Indication of appropriate revision level of the technical data on inspection documents and work instructions.			
16	**SECTION 10. AUDIT.**			
	The function of a scheduled and systematic evaluation by the delegated facility to ascertain its own compliance to its NCAA -approved DOM, as well as applicable requirement. NOTE: The establishment and operation of an internal audit program (sometimes referred to as a			

	self-audit program) or external audit program (sometimes referred to as a surveillance audit program) is not a mandatory requirement placed upon DOA, but is considered to be a "good" practice. If the DOA has a documented and operational internal and/or external audit program, it should be reviewed during the evaluation for adequacy and observance with the established procedures. 10D1. Does the DOA have an internal auditing program to verify compliance with its approved procedures, established policies, and approved data? Procedures provide for: (1) Auditor qualifications and training. (2) Formal audit checklists that systematically evaluate all major activities controlled by the delegated function. (3) Audit planning to include an audit schedule that is available and followed. (4) Special audits when major deficiencies within the DOA's system are detected, or when there are significant organisational changes. (5) Conducting and reporting of the results of the internal audits. (6) Methods for identifying non-conformances, and obtaining required corrective action to include the identification of personnel responsible for the corrective action. (7) Follow-up for corrective action effectiveness. 10D2. Does the DOA partner with the organisation that produces parts and assemblies, and perform installations, to share audit information? Procedures provide for: (1) Description of the interface/relationship between the delegated function and: (a) certificated PAH and its approved quality system. (b) Certificated repair station and its corresponding Inspection and Procedures Manual; *or*, the PAH and its corresponding approved quality system. (2) Recommendation of special audits when major deficiencies in procurement, fabrication, and/or installation are detected during conformity inspections, or when there are significant changes to the repair station's,			

	operator's, or PAH's organisation. (3) Methods for identifying non-conformances, and obtaining required corrective action to include the identification of personnel responsible for the corrective action. (4) Follow-up for corrective action effectiveness. 10D3. Does the DOA periodically review implemented modifications or repairs for compliance to the developed data? Procedures provide for a periodic review of implemented modifications or repairs for compliance to the developed data. 10D4. Is there feedback to higher-level management concerning the results of the internal audits? Procedures provide for: (1) Periodic management review of the audit program to include internal audit results, non-conformances, corrective actions, and corrective action effectiveness. (2) Review of internal audit results by personnel having responsibility for the area that was audited. (3) Revision to DOM to prevent reoccurrence of actual or potential non-conformance			