



Personnel Licensing

FSS PEL 141-22a

Telephone number:	+264 83 235 2485	Fax Number:	+264 TBA
Physical address:	No.4 Rudolph Hertzog Street, Windhoek, NAMIBIA		
Postal address:	Private Bag X12003, Ausspannplatz, Windhoek, NAMIBIA	E-mail	licensing@ncaa.na

ATO ON-SITE AUDIT/INSPECTION CHECKLIST

Name of ATO:		ATO Number:	
Accountable Manager Name:		Telephone number:	
E-mail address:		Cell number:	
Audit Leader:		ATO Certificate Expiry date:	
Inspector/s Training		Inspector Maintenance	
Inspector Aerodromes		Inspector Quality & Safety	
List Types of Training Courses:		Inspection date:	

Checklist Attachment	Name of Checklist	√ or X	Comments
FSS PEL 141-10	ATO Training Operations Specifications		
FSS PEL 141-22b	Test Centre Checklist		
FSS PEL 141-22c	Ground School/ Theoretical Training Checklist		
FSS PEL 141-22d	Aircraft Technical Evaluation Checklist		
FSS PEL 141-22e	Quality Management System Checklist		
FSS PEL 141-22f	Simulation Device Evaluation Checklist		
FSS PEL 141-22g	Safety Management System Checklist		
FSS PEL 141-22h	Instructor Presentation Evaluation Checklist		
FSS PEL 141-22i	Training Programme Checklist		
FSS PEL 141-22j	Airfield Inspection Checklist		
FSS PEL 141-23	Ramp Inspection Checklist		
FSS PEL 141-24	Flight training/Practical Training Observation Checklist		
FSS PEL 141-25	Management Personnel Qualifications Checklist		
FSS PEL 141-26	ATO Risk Assessment Checklist		

PRE-AUDIT

Approvals	N/a	Yes	No
Approvals in Operations Specifications verified			
ATO Management Responsibility	N/a	Yes	No
Has the ATO Approval Certificate holder applied for renewal at least 60 days before the expiry date? (141.02.14)			
Does the ATO have a valid Certificate of Approval with approved Training as per the Training Procedures Manual?			
Does the ATO have an approved, up to date amended Training Procedures Manual?			
Does the ATO have an approved Training Operations Specification			
Logistics	N/a	Yes	No
Client contacted and arrangements made			
Travel arrangements made			
Files drawn and studied			
Finding from previous audits confirmed and outstanding audit findings identified			
Previous Audit findings to be followed up or verified during audit (attach copies of audit findings)	N/a	Yes	No

AUDIT					
C – Compliant, A – Acceptable, NC – Not Compliant, U – Unacceptable, N/a – Not applicable					
No	Item	N/a	C/A	NC/U	Finding number
General					
1.	141.01.3 ATO Approval Certificate displayed in a prominent place, accessible to the general public				
2.	141.01.4 (1) Advertisements contain ATO Approval certificate number and type of training approved				
3.	141.01.4 (2) No knowledge of evidence of false or misleading statements				
4.	141.01.5 Inspectors allowed to inspect or audit any document/equipment/operation, etc				
Comments on Findings					
No	Item (TPM To be reviewed by F Shikongo)	N/a	C/A	NC/U	Finding number
Training & Procedures Manual					
5.	141.02.1 (1) Only authorised training conducted				
6.	141.02.2 (1) Training & Procedures Manual approved				
7.	141.02.2 (2) Training & Procedures Manual up to date				
8.	141.02.2 (2) Training & Procedures Manual amendments done in line with procedure contained in manual				
9.	141.02.2 (3) Copies of Manual has been distributed to all as required				
10.	141.02.2 (4) Manual implemented in practice by staff				
11.	141.02.14 (1) The ATO holds at least 1 copy of its TPM at each training facility.				
12.	141.02.14 (2) The ATO makes the TPM (or parts thereof) available to staff that require it for their duties				
Comments on Findings					
10. No Training done by ATO to this stage					
No	Item	N/a	C/A	NC/U	Finding number
Personnel requirements					
13.	141.02.5 (1) The ATO has appointed a MD/ CEO who is also appointed as accountable manager				
14.	141.02.5 (1) Evidence exists of the accountable manager's authority for financial decisions.				
15.	141.02.5 (1) Evidence exists of the accountable manager's authority for human resource decisions.				
16.	141.02.5 (1) Evidence exists of the accountable manager's authority for entering into agreements.				
17.	141.02.5 (1) Evidence exists of the accountable manager's authority for cessation of any activity.				
18.	141.02.5 (2) (a) The ATO has appointed a compliance officer.				
19.	141.02.5 (2) (a) Evidence exists that the compliance officer ensures compliance to legal requirements.				
20.	141.02.5 (2) (a) Evidence exists that the compliance officer ensures compliance to legal requirements.				
21.	141.02.5 (2) (a) Evidence exists that the compliance officer has unrestricted access to work areas.				
22.	141.02.5 (2) (a) Evidence exists that the compliance officer has rights of consultation to any employee and contractor.				
23.	141.02.5 (2) (a) Evidence exists that the compliance officer has the duty to ensure liaison with the NCAA.				
24.	141.02.5 (2) (a) Evidence exists that the compliance officer has the power to report any matter to management.				
25.	141.02.5 (2) (b) The ATO has appointed a person responsible for quality management system.				

26.	141.02.5 (2) (b) Evidence confirms that the person responsible for the QMS has direct access to the accountable manager.				
27.	140.01.1 (1.2)(3) (a) The ATO has appointed a person responsible for safety management system.				
28.	140.01.1 (1.2)(3) (a) Evidence confirms that the person responsible for the SMS has direct access to the accountable manager.				
29.	141.02.5 (2) (c) The ATO has appointed a person responsible for maintenance control over aircraft.				
30.	141.02.5 (2) (d) The ATO has appointed adequate personnel to plan, conduct and supervise training and examination.				
31.	141.02.5 (3) Evidence confirms that the Director has approved the management positions.				
32.	141.02.5 (4) Evidence confirms that staff involved in training and examination meets the qualifications and experience requirements in the TPM.				
33.	141.02.5 (4) Evidence confirms that staff involved in training and examination maintains their qualifications.				
34.	141.02.5 (6) Evidence confirms that staff involved in training and examination receives initial and recurrent training for their tasks.				
35.	141.02.5 (7) Evidence confirms that human factors training are provided in accordance with the approved training programme.				
36.	CAT 141.02.2: Item4. (2) Organization chart /Organogram accurately reflects current position holders as appointed				
37.	CAT 141.02.2: Item4. (2) The following persons/contractors have been appointed:				
38.	Head of Training				
39.	Chief Flight (Practical) Instructor				
40.	Chief Ground (Theoretical) Instructor				
41.	Instructors, sufficient for training, testing and examining				
42.	Accountant or audit agency				

Comments on Findings

No	Item	N/a	C/A	NC/U	Finding number
Policy & Procedure implementation					
43.	<u>CAT 141.02.2: 4. (2) Flight training procedures:</u>				
a	Formal authorisation book or sheet is being used in practice				
b	Flight Planning procedure implemented in practice				
c	Passengers are carried in accordance with the procedure				
d	<i>Operational control system is implemented in practice -</i>				
	•The ATO TPM, AICs, AIP and Supplements are available, accessible & controlled				
	•The aircraft documentation, notice boards & emergency response plan overdue action is accessible & controlled				
	• MET reports is available as indicated in procedure				
	•Flight plans are filed as required				
	•Feedback to flying personnel on relevant management, environmental, safety or operational information is given				
	•Notice boards, student/instructor status boards, aircraft status boards is used in accordance with procedure				
	•Log books, student and instructor files are controlled in line with procedure				
e	Flying duty period and flight time limitations for staff & students are controlled and implemented in practice.				
f	Rest periods for staff & students and controlled and implemented in practice				
g	<i>Procedure for Weight & balance calculations is implemented in practice: -</i>				
	•Calculations are documented in line with flight operations manual				
	•Instructor checks and signs off on weight and balance before each flight				
	•The weight and balance sheets is kept for 6 months				
	•The ATO has a scale(s) available				
44.	<u>CAT 141.02.2: 4. (2) Procedures applicable to all ATOs:</u>				
a	Student management procedures implemented in practice (student enrolment, progress, assessment and certification)				
b	Course management procedures implemented in practice (lesson plans, curriculum development, instructor assignment, course arrangements, examinations and tests)				
c	Controlled publications are reviewed and controlled in line with procedure				
d	Feedback system implemented in practice (all information requiring the attention of				

	training personnel and students, especially elements of safety)				
e	Discipline is maintained during the courses, as required				
f	Control of equipment, material and information utilised by the ATO is sufficient.				
Comments on Findings					
No	Item	N/a	C/A	NC/U	Finding number
Accommodation & Facilities					
45.	141.02.5 Is the telephone manned during operations?				
46.	Are the toilet facilities acceptable and hygienic?				
47.	141.02.6 (1) The ATO facilities and working environment are appropriate for the training				
48.	141.02.6 (2) The ATO has sufficient information & material to conduct the training.				
49.	141.02.6 (3) The ATO simulation training devices are qualified by the NCAA.				
50.	141.02.6 (4) The ATO simulation training devices are approved by the NCAA.				
51.	<u>CAT 141.02.6 Facilities suitability verified</u>				
	•Number and size of classrooms 3 lecture rooms				
	•Training aids provided				
	•Simulation training devices, if applicable				
	•OHS requirements, incl. fire extinguishers, first aid kits, emergency evacuation plans.				
	•Flight operations room, if applicable				
	•Flight planning room, if applicable				
	•Adequate Briefing rooms				
	•Instructor offices				
	•Test/Examination room				
	•Library				
	•area where the students can relax and prepare for flight training				
	•For maintenance training, suitable facilities arranged to assure proper separation from the working space, for parts, tools, materials and similar articles				
	•For maintenance training, suitable area for application of finishing materials				
	•For maintenance training, suitable facilities for running engines				
	•For maintenance training, suitable area with adequate equipment, including benches, tables, and test equipment, to disassemble, service and inspect, such as				
	• Ignition systems, electrical equipment and appliances				
	• Carburetors and fuel systems; and				
	•Hydraulic and vacuum systems for aircraft, aircraft engines, and their appliances				
	•For maintenance training, suitable space with adequate equipment (including tables, benches, stands & jacks) for disassembling, inspecting and rigging aircraft				
	•For maintenance training, suitable space with adequate equipment for disassembling, inspecting, assembling, troubleshooting and timing engines				
Comments on Findings					
No	Item	N/a	C/A	NC/U	Finding number
Training Aircraft (CAT 141.02.6: 1.1.2)					
52.	All aircraft used for training and solo flights must have: -				
	•Valid airworthiness certificate				
	•Equipped as required in the training specifications for the applicable course for which it is used				
	•Have at least two pilot stations with engine-power controls that can be easily reached and operated in a normal manner from both pilot stations				
	•If used for a course involving instrument flight rule en route operations and instrument approaches, it must be equipped and maintained for instrument flight rule operations.				
	•For manoeuvring of an aircraft by reference to instruments, the aircraft may be equipped as required by the applicable course				

	•be maintained and inspected under an approved maintenance program as appropriate to the aircraft take off mass, type of powerplants and aircraft category				
53.	Aeroplanes with nose-wheel steering, switches, fuel selectors, and engine air flow controls that are not easily reached may ONLY be used if NCAA determines that the flight instruction can be conducted in a safe manner.				

Comments on Findings

--

No	Item	N/a	C/A	NC/U	Finding number
Aircraft Operations (CAT 141.02.2: 4 (3))					
54.	Evidence exist that aircraft certification and operating limitations is available to pilots				
55.	Checklists are on board the aircraft				
56.	Instructions for aircraft loading, weight and balance calculations and securing of load is followed				
57.	Fuelling procedures are implemented in practice.				

Comments on Findings

--

No	Item	N/a	C/A	NC/U	Finding number
Aerodromes & Sites (CAT 141.02.6: 1.1.3)					
58.	ATO has access to continuous use of each airport and sites (for helicopter training) at which training flights originate.				
59.	The airport or site has adequate runway/helistop and the necessary equipment				
60.	Base aerodrome/site, (and alternate base) has one runway or take-off area that allows training aircraft to make a normal take-off/landing at the maximum certificated take-off/ maximum certificated landing mass in the following conditions: -				
	•Under calm wind (not more than four knots) conditions				
	•At temperatures equal to the mean high temperature for the hottest month of the year in the operating area				
	•If applicable, with the powerplant operation, and landing gear and flap operation recommended by the manufacturer				
	•Able to takeoff, clearing all obstacles in the take-off flight path by at least 50 feet, with smooth transition from lift-off to the best rate of climb speed without exceptional piloting skills or techniques				
61.	Each airport/site has a wind direction indicator visible at ground level, for airports from the ends of each runway				
62.	Each airport/site used for night training has adequate runway/helistop electrical lighting				
63.	Each airport or site has a traffic direction indicator when it does not have an operating control tower and when traffic and wind advisories are not available.				
64.	Each airport used for night training flights has permanent runway lights, unless the NCAA approved an airport or seaplane base used for night training flights in seaplanes to use adequate, non-permanent lighting or shoreline lighting.				
65.	Sites are available for:				
	•Confined area operation training				
	•Simulated engine off autorotation				
	•Sloping ground operation				
	Is the flying training area satisfactory for training operations?				
	Is the distance to the flight training area acceptable?				

Comments on Findings

--

No	Item	N/a	C/A	NC/U	Finding number
Equipment (CAT 141.02.6)					
66.	<u>Maintenance Training</u> : the following equipment is available:				

	•Various kinds of airframe structures, airframe systems and components of a quantity and type suitable to complete the practical projects required				
	•Various kinds of powerplants, powerplant system and components (including propellers) of a quantity and type suitable to complete the practical projects required				
	•At least one aircraft of a type acceptable to the NCAA.				
	•Airframes, powerplants, propellers, appliances and components thereof that are sufficiently diversified to show the different methods of construction, assembly, inspection and operation, to be used for instruction and from which students will gain practical working experience.				
	•If seeking an additional AME rating for training, the ATO shall have the facilities, equipment and materials appropriate to the rating sought				
	•Adequate supply of material, special tools and shop equipment used in constructing and maintaining aircraft as appropriate to the approved training program				
	•ATO changes to facilities, equipment or material have been approved by the NCAA in advance.				
67.	<u>Cabin crew Training:</u> The following equipment is available:				
	•Aircraft equipped as provided in the training specifications for the approved course				
	•Aircraft/simulation devices have been qualified, maintained and inspected				
	•Training equipment for emergency, first aid and safety training is adequate for theoretical and practical training				
68.	<u>Air Traffic Service personnel training:</u> The following equipment is available:				
69.	Equipment to suitably demonstrate at a practical level that the student can perform functions related to aerodrome, approach and area control and all ATSA ratings				
70.	<u>For FSTD's use checklist FSS PEL 141-22g.</u>				

Comments on Findings

--

Staff Training (CATS 141.02.2: 4(5))

No	Item	N/a	C/A	NC/U	Finding number
71.	The persons responsible for the standards and competency of instructors are competent				
72.	Instructional personnel all meet the competence requirements specified in training, and checks/ tests.				
73.	Training program for instructors is implemented				
74.	Does the ATO have a board/other method reflecting the licence validity of the instructors?				
75.	Is the list of instructors employed by the ATO up to date?				

Comments on Findings

--

Student Training (CATS 141.02.2: 4(6-9))

No	Item	N/a	C/A	NC/U	Finding number
76.	Training Plans are implemented.				
77.	Pre-entry requirements are met by students with respect to:				
a	minimum age				
b	education requirements				
c	medical requirements; and				
d	linguistic requirements				
78.	Training curricula, are implemented in practice				
79.	Training and evaluation policies for the following are implemented -				
a	bad weather or other constraints				
b	procedures for proficiency checks and upgrade training				
c	maximum student training times				
d	restrictions in respect of training periods for students				
e	duration of training at various stages, including for flights for flight training				
f	maximum student flying hours in any day or night period for flight training				

g	maximum number of student training flights in any day or night period for flight training; and				
h	minimum rest periods between training periods				
i	practical progress checks and practical skill tests				
j	knowledge progress tests and knowledge tests				
k	refresher training before retest				
l	test reports and records				
m	knowledge test preparation, type of questions and assessments, standards required for a pass;				
n	question analysis and review and issuing replacement exams; and				
o	knowledge test re-write procedures				
p	liaison between training departments				
q	Correction of unsatisfactory progress				
r	changing of instructors and maximum number of instructor changes per student				
s	Internal feedback system for detecting training deficiencies				
t	Suspension of students from training				
u	reporting and documentation				
v	completion standards at various stages of training to ensure standardization				
80.	Training syllabi is implemented for training				
81.	Is the reference material used for ground lectures adequate?				
82.	Attendance records are kept as required				
83.	Are all the student records/files and logbooks complete and up to date with regards to:				
	• personal particulars				
	• licence expiry dates				
	• progress test (10 hours)				
	• solo consolidation				
	• dual prior to each solo flight(3 hours)				
	• hour dual for every 5 hours solo				
	• authorised for solo in circuit				
	• authorised for solo in GF area				
	• authorised for solo cross country				
	• test by different instructor (<10hours)				
	The students pass a technical on the aircraft prior to the first solo?				
84.	Documents are sent to NCAA as required with regard to examination results				
Comments on Findings					
No	Item	N/a	C/A	NC/U	Finding number
Documents and Records					
85.	141.02.15 (1) ATO retains student records to show all the training requirements have been met				
86.	141.02.15 (1) Procedure to control records have been implemented for student and other records.				
87.	141.02.15 (2) Document control procedure has been implemented in practice.				
88.	141.02.15 (2) Documents are reviewed and authorised before issuing.				
89.	141.02.15 (2) Current issues of documents are available to staff.				
90.	141.02.15 (2) Obsolete documents are removed. No obsolete documents are available to staff.				
91.	141.02.15 (2) Changes to documents are reviewed and authorised before issuing.				
92.	141.02.15 (3) Records are identifiable, collectable, indexed, stored and maintained in line with records management procedure.				
93.	141.02.15 (3) Evidence confirms the following records are kept:				
	•each quality assurance review, audit, inspection				
	•each instructor, with particulars of competence assessments and experience				
	•each student, with particulars of enrolment, attendance, modules, instructor comments & any flight or similar practical sessions and assessments				

