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ATO – QUALITY MANAGEMENT SYSTEM CHECKLIST

Name of ATO:		ATO Number:	
Accountable Manager Name:		Telephone number:	
E-mail address:		Cell number:	
Inspector name:		Date of Inspection:	

NAMCAR 141 requirements

C – Compliant, A – Acceptable, NC – Not Compliant, U – Unacceptable, N/a – Not applicable

No	**Item**	**N/a**	**C/A**	**NC/U**	**Finding no:**
1.	141.02.3 Quality Management system documented and implemented				
2.	141.02.12 (1) Significant changes to the QMS has been submitted to NCAA for approval				
3.	141.02.12 (1) Evidence confirms that the following changes has been submitted to NCAA for approval:				
	•Name of the organisation				
	•identity of the accountable manager, safety manager and compliance officer				
	•identity of the Quality manager				
	•scope of the ATO approval				
	•Changes of ownership				

Comments on Finding

NAMCATS 141 requirements

No	**Item**	**N/a**	**C/A**	**NC/U**	**Finding no:**
Strategy & Policy					
4.	141.02.3 (2) (a) Strategy is implemented and implementation plans are in place.				
5.	141.02.3 (2) (a) Implementation plans contain clear objectives that are known to those responsible to implement it.				
6.	141.02.3 (2) (a) Policy is implemented and staff is aware of its content.				
7.	141.02.3 (2) (b) Accountable manager is involved in high level decisions around quality.				
8.	141.02.3 (2) (b) Quality Manager monitors achievement of objectives of plans.				

Comments on Findings

No	**Item**	**N/a**	**C/A**	**NC/U**	**Finding no:**
Quality Manager					
9.	141.02.3 (3) (a) Quality Manager monitors activities in line with plan.				
10.	141.02.3 (3) (a) Quality Manager monitors that standards and requirements are implemented, maintained, reviewed and improved.				
11.	141.02.3 (3) (c) Quality Manager has direct access to Accountable Manager in practice.				
12.	141.02.3 (3) (c) Quality Manager has direct access to all areas in practice.				
13.	141.02.3 (3) (d) Quality Manager ensures training on quality is conducted in practice.				

Comments on Findings

No	Item	N/a	C/A	NC/U	Finding no:
Quality Management System					
14.	141.02.3 (4) (a) System implemented ensures compliance to all requirements				

Comments on Findings

No	Item	N/a	C/A	NC/U	Finding no:
Feedback system					
15.	141.02.3 (5) Feedback system implemented in practice.				

Comments on Findings

No	Item	N/a	C/A	NC/U	Finding no:
Monitoring					
16.	141.02.3 (7) Audit Programme implemented in practice.				
17.	141.02.3 (13) Monitoring activities includes inspections, audits, and observations.				
18.	141.02.3 (13) Inspections, audits and observations are scheduled in audit programme.				

Comments on Findings

No	Item	N/a	C/A	NC/U	Finding no:
Audit scheduling					
19.	141.02.3 (12) (a) Audit schedule is periodically reviewed in line with its review cycle.				
20.	141.02.3 (12) (a) Follow up audits are scheduled, when required.				
21.	141.02.3 (12) (b) Audit schedule covers all activities in a 12 month period.				
22.	141.02.3 (12) (b) and 141.02.3 (9) (a) Audits are carried out in accordance with the schedule.				
23.	141.02.3 (12) (c) Evidence confirms that significant changes to management, organisation, training or technology are taken into account when scheduling.				

Comments on Findings

No	Item	N/a	C/A	NC/U	Finding no:
Inspections					
24.	141.02.3 (8) (a) Inspections are carried out in accordance with schedule				
25.	141.02.3 (8) (b) The following inspections are carried out:				
	• flight and ground training				
	• maintenance				
	• against technical standards				
	• against training standards				
	• implementation of procedures, as required to ensure goals are met				

Comments on Findings

No	Item	N/a	C/A	NC/U	Finding no:
Audits					
26.	141.02.3 (9) (b) Audit samples have been defined and is being used in sampling f records				
27.	141.02.3 (9) (b) Audit plans are in place, describing audit scope.				
28.	141.02.3 (9) (b) Audit evidence is recorded.				
29.	141.02.3 (9) (b) Audit evidence is analysed.				
30.	141.02.3 (9) (c) Evidence of document reviews are available.				
31.	141.02.3 (9) (c) Evidence of interviews is available.				
32.	141.02.3 (9) (c) Evidence of record sampling is available.				
33.	141.02.3 (9) (c) Evidence of observations is available.				

Comments on Findings

No	Item	N/a	C/A	NC/U	Finding no:
Auditors					
34.	141.02.3 (10) (a) Auditors were appointed in accordance with the qualification criteria and the selections and appointment process.				
35.	141.02.3 (10) (b) Auditors are aware of their duties and responsibilities.				
36.	141.02.3 (10) (b) Auditors are not involved in the safety management activities of the ATO.				
37.	141.02.3 (11) (a) Auditors are not involved in or responsible for the area to be audited.				
38.	141.02.3 (11) (d) Auditors are aware of their authority as auditors.				
39.	141.02.3 (11) (d) Auditors are aware that they report directly to the Quality manager.				

Comments on Findings

No	Item	N/a	C/A	NC/U	Finding no:
Monitoring and corrective actions					
40.	141.02.3 (13) (a) Monitoring procedure/s implemented in practice.				
41.	141.02.3 (13) (b) Corrective action procedure/s implemented in practice.				
42.	141.02.3 (13) (b) Non-compliance & non-conformance reported to manager responsible for corrective action.				
43.	141.02.3 (13) (b) Non-compliance & non-conformances root causes are determined before corrective action and preventive action is decided on.				
44.	141.02.3 (13) (c) Findings result in the development of Corrective action and preventive action, when applicable.				
45.	141.02.3 (13) (c) Implementation of corrective and preventive action is monitored by Quality staff.				
46.	141.02.3 (13) (c) Implementation of corrective and preventive action is signed off when deemed effective.				
47.	141.02.3 (13) (c) Evidence exist that corrective and where necessary preventive actions are taken with respect to findings of non-compliances and non-conformances.				
48.	141.02.3 (13) (c) Evidence exist that any problems being experienced are elevated for the attention of the accountable manager.				
49.	141.02.3 (13) (d) The ATO has an active list of internal and external customers.				
50.	141.02.3 (13) (d) The ATO solicits feedback on customer satisfaction from internal and external customers.				
51.	141.02.3 (13) (d) The ATO analyses customer satisfaction feedback and takes action as appropriate.				

Comments on Findings

No	Item	N/a	C/A	NC/U	Finding no:
	Management review				
52.	141.02.3 (14) (a) Management review meetings held regularly at define intervals.				
53.	141.02.3 (14) (a) Evidence confirms that management review includes the following discussions::				
a	Results of audits and inspections				
b	Results of other monitoring activities				
c	Effectiveness of the QMS				
d	Trends to prevent future non-conformities				
54.	141.02.3 (14) (b) Evidence confirms that management review decisions are documented and distributed				
55.	141.02.3 (14) (b) Evidence confirms that management review actions are taken by the responsible managers				
	Comments on Findings				

No	Item	N/a	C/A	NC/U	Finding no:
	Records				
56.	141.02.3 (15) (a) The records management procedure is implemented in practice and includes the quality records.				
57.	141.02.3 (15) (b) The records retained for quality are :				
a	Audit schedules				
b	Quality inspection and audit reports				
c	Responses to findings				
d	Corrective and preventive action reports				
e	Follow-up and closure reports				
f	Management review and analysis reports				
	Comments on Findings				

No	Item	N/a	C/A	NC/U	Finding no:
	Quality at Sub-Bases				
58.	141.02.3 (16) (a) All subcontracted training has been identified.				
59.	141.02.3 (16) (b) Agreements exist for all subcontracted training services.				
60.	141.02.3 (16) (b) Agreements includes standards and requirements for quality and safety.				
61.	141.02.3 (16) (b) Quality and safety has been implemented in accordance with agreements for all subcontracted training.				
62.	141.02.3 (16) (b) Evidence confirm that Sub-bases that are under control of the ATO, implement the ATO's quality management system.				
	Comments on Findings				

No	Item	N/a	C/A	NC/U	Finding no:
	QMS Training				
63.	141.02.3 (17) (a) Evidence confirms that staff understands the objectives of the TPM and the QM exists.				

64.	141.02.3 (17) (b) Staff responsible for managing quality has been trained in the following:				
a	an introduction to the concept of quality assurance system				
b	quality management				
c	concept of quality assurance				
d	quality manuals				
e	audit techniques				
f	reporting and recording				
65.	141.02.3 (18) All staff employed received awareness training with respect to the QMS				
66.	141.02.3 (19) Outsourced QMS training has been approved by the accountable manager.				

Comments on Findings

LIST OF FINDINGS RAISED

No	***Description***	**Major**	**Finding**	**Observ.**	**Parallel**

SIGNATURE OF INSPECTOR	**NAME IN BLOCK LETTERS**	**DATE**
SIGNATURE OF SENIOR MANAGER	**NAME IN BLOCK LETTERS**	**DATE**