| | **CIVIL AVIATION AUTHORITY**<br>**SAFETY OVERSIGHT AUDIT REPORT** | **CAAF-045-LCXX-2.0** |
|---|---|---|
| | **Personnel Licensing Directorate** | |

## APPROVED TRAINING ORGANIZATION
### Approval / Re-approval
### Year _____

## SCOPE

PEL Directorate's Safety Oversight Audit Report relates to the requirement of approval, continued validity and re-approval of Approved Training Organizations.

## AUDIT RECORD

Name of Aviation Training Organization: _____

Address : _____

_____

Type of Authorization:

    □ **FTO**          □ **GTO**          □ **Others**

**Company Authorized Person** (Tel / Email / Fax): _____

_____

_____

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**FINAL REMARKS :**            Date of Audit: _____

Date: _____

**LEAD AUDITOR**

Name: _____

## LIST OF ICAO DOCUMENTS RELATED TO THE SAFETY OVERSIGHT AUDIT:

Doc – 7300        ⇒ Convention on International Civil Aviation

Annex – 1        ⇒ Personnel Licensing

Annex – 18        ⇒ The Safe Transport of Dangerous Goods by Air

Annex - 19        ⇒ Safety Management

Doc – 9683        ⇒ Human Factors Training Manual.

Circular – 217        ⇒ Human Factors Digest No. 2, Flight Crew Training, CRM & Line Oriented Flight Training.

Circular – 241        ⇒ Human Factors Digest No. 8, Human Factors in Air Traffic Control

DOC 9626        ⇒ Manual of criteria  for the qualification of flight simulation training devices

Doc-9481        ⇒ Emergency Response Guidance for Aircraft Incidents involving Dangerous Goods

Doc-9995        ⇒ Manual Of Evidence-Based Training

Doc – 9734 Part A    ⇒ Safety Oversight Manual - Establishment and Management of State Safety Oversight System

Doc – 9859        ⇒ Safety Management Manual (SMM)

Doc – 9841        ⇒ Manual on the  Approval of Training Organization

Doc – 4444        ⇒ PANS ATM

Doc – 9375        ⇒ Dangerous Good Training Programme Book-2 (for Load Planners & Flight Crew)

Doc – 9432        ⇒ Manual of Radio Telephony (FRTO)

MATS        ⇒ Manual of Air Traffic services

## COMPANY OFFICIALS CONTACTED (Name/Designation):

| | | | |
|---|---|---|---|
| **1.** | _____ | **6.** | _____ |
| **2.** | _____ | **7.** | _____ |
| **3.** | _____ | **8.** | _____ |
| **4.** | _____ | **9.** | _____ |
| **5.** | _____ | **10.** | _____ |

## CAA AUDIT TEAM MEMBERS (Name/Designation)

| | | | |
|---|---|---|---|
| **1.** | _____ | **4.** | _____ |
| **2.** | _____ | **5.** | _____ |
| **3.** | _____ | **6.** | _____ |

## Notes:

❖ Auditor is to audit only applicable areas & appropriately cater for scope of work & workload of organization.

❖ The auditor will record the audit outcome ("status") for each item on the Audit Checklist by marking the corresponding check box as follows:

  S – Satisfactory  U – Unsatisfactory\*  P – Partial Non-conformity\*

  N – Not observed\*\*    N/A – Not applicable\*\*\*

  \* Description of any unacceptable condition(s) should be provided.

  \*\* Applicable mandatory criteria not observed in a prior audit must be observed at the next scheduled audit. In such cases, the auditor's comments must also include the reason(s) that the criteria could not be observed.

  \*\*\* Criteria that do not apply to a specific ATO.

## Audit Criteria:

❖ The criteria on the Safety Oversight Audit Checklist are mandatory appropriate to ATO.

❖ To obtain PEL Directorate's Accreditation and its continued validity; an ATO must submit the required evidences to Safety Oversight Audit by PEL auditor and receive Satisfactory (S), Not Observed (N) or Not Applicable (N/A) status on each checklist item.

❖ Any checklist criterion marked "Unsatisfactory" or "Partial non-conformity" will require Corrective Action (C A) that the auditor will specify. Accreditation and continued validity will be granted depending on the severity of such non-conformities.

| | | |
|---|---|---|
| **CIVIL AVIATION AUTHORITY** **SAFETY OVERSIGHT AUDIT REPORT** | | CAAF-045-LCXX-2.0 |
| Personnel Licensing Directorate | | |

## Part A – General Requirements applicable to all ATOs

| Checklist Item | Status | Remarks |
|---|---|---|
| **General:** | | |
| CAA Authorizations, Licenses & Approvals available & valid. | | |
| ATO has organogram and duties of each position are clearly defined. | | |
| Implementation of documented policies, processes and procedures for monitoring of training services and process controls is in effect. | | |
| Implementation of documented policies, processes and procedures for monitoring of personnel qualifications and training is in effect. | | |
| Implementation of documented policies, processes and procedures for monitoring of training devices and equipment qualification, calibration and functionality, as applicable is in effect. | | |
| Mechanism for conduct of internal and external audits exists. | | |
| Organization takes corrective actions as required by PCAA. | | |
| Organization takes preventive actions as required under its SMS. | | |
| Official notices, technical circulars, literatures and other requirements are circulated by the institute to the instructional staffs as soon after receipt as practicable and all superseded publications are withdrawn promptly. | | |
| ATO Course completion Certificates issued are in accordance with the requirements specified by PCAA. | | |
| If ATO advertises for its activity, the relevant provisions specified by PEL Directorate are being complied with. | | |
| Comments: | | |
| **Training & Procedures Manual:** | | |
| TPM contains the general description of the scope of training authorized under the organization's terms of approval. | | |
| TPM covers content of the training program offered including the courseware and equipment to be used. | | |
| Description of the organization's quality assurance system which ensures the training and instructional practices comply with all relevant requirements is given in TPM. | | |
| TPM describes the organizational facilities. | | |
| Name, duties and qualification of the person designated as responsible for compliance with the requirements of the approval are given in TPM | | |

| | | |
|---|---|---|
| Description of the procedures used to establish and maintain the competence of instructional personnel as required is provided. | | |
| TPM covers description of the method used for the completion and retention of the training records. | | |
| Description, when applicable, of additional training needed to comply with an ATO's procedures and requirements has been included | | |
| Any change in scope of TPM has been made and the approval has been obtained. | | |
| TPM contains description of selection, role and duties of authorized personnel in case if it is authorized to conduct testing required for issuance of license or rating. | | |
| The record has been maintained of sending the amended version of TPM to all organizations and persons concerned. | | |
| Comments: | | |

**Training Programmes:**

| | | |
|---|---|---|
| ATO have approved trainings authorized under terms of their approval. | | |
| Description of the duties and qualification of the personnel designated as responsible for planning, performing and supervising the training are described. | | |
| Responsibility to verify through monitoring activities in the field of training regarding required standards as established by the ATO and any additional requirements of the PEL Directorate are being carried out properly. | | |
| Comments: | | |

**Quality Assurance:**

| | | |
|---|---|---|
| ATO has established Quality Assurance System. | | |
| Quality Assurance system describes how it performs the organization and management of its training operations in order to ensure it operates in conformity with the training and procedures manual and as approved by PCAA. | | |
| The overall responsibility for the standard of quality including the frequency, format and structure of the internal management review and analysis activities has been clearly defined. | | |
| The responsibility to verify, by monitoring activities in the field of | | |

| training, that the standards as established by the ATO and any additional requirements of the PCAA are being carried out. | | |
|---|---|---|
| ATO utilizes appropriate statistical analysis to identify and respond appropriately to trends? | | |

Comments:




**Facilities:**

| Training center maintains its principal business offices at the same place and address that was previously approved by CAA. | | |
|---|---|---|
| Organization has an appropriate physical Infrastructure commensurate with its authorization, scope of work & load of work e.g. operations room with facilities to control the operations, flight planning room, adequate briefing rooms/cubicles of sufficient size, class rooms, simulator rooms, etc. | | |
| Proper library is available, which provides ready access to students of documentation, aviation books, literature etc. | | |
| Relevant ICAO Annexes & Documents, CARs, relevant ANOs, AIP Pakistan, relevant maps / charts necessary for the conduct of approved trainings are available with the training center. | | |
| Documents available are updated from time to time and proper record is maintained. | | |
| Organization conducts its business with written instructions & records e.g. SOPs and maintains a standing order register. | | |
| Synthetic training devices used for training are appropriate for the task and are approved by PEL Directorate. | | |
| Adequate training aids including audio-visual training aids, where applicable are available. | | |
| The space used for instructional purpose is properly lighted and ventilated? | | |
| Copying and printing facilities are available. | | |
| Alarm bell and siren facilities at a suitable location are available. | | |
| Sufficient numbers of fire extinguishers are available. | | |
| First-aid room with proper kits is available with validity date on it. | | |
| Trained manpower is available to handle safety services. | | |
| Proper coordination with local fire station exists. | | |
| 'No-Smoking' signs are displayed at appropriate places. | | |

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| Toilet hygiene is maintained. | | |
| Stores are available to maintain files and records in a manner that they provide safekeeping, identity, and ease of retrieval. | | |

| Comments: |
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| **Personnel:** | | |
|---|---|---|
| A person is designated who is responsible for ensuring that it is in compliance with the requirements for an approved organization. | | |
| Necessary personnel are deployed to plan, perform and supervise the training to be conducted and are approved, where applicable. | | |
| Competence of instructional personnel is in accordance with the procedures and to a level acceptable to PCAA in terms of:<br><br>Instructors hold valid license / rating ratings.<br><br>Instructors are approved by PEL Directorate. | | |
| Training organization ensures that all instructional personnel receive initial and continuation training appropriate to their assigned tasks and responsibilities. | | |
| The training programme established by the training organization includes training in knowledge and skills related to human performance. | | |

| Comments: |
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| **Records:** | | |
|---|---|---|
| Training organization retains detailed student records to show that all requirements of the training courses have been met. | | |
| Training records are kept for a minimum period of two years after completion of the training. | | |
| Training organization maintains a system for recording the qualifications and training of instructional and examining staff, where appropriate for a minimum of two years after a instructor or examiner ceases to function for ATO. | | |

| Comments: | | |
|---|---|---|
| | | |
| **Evaluation and Testing** | | |
| ATO has been authorized for testing of candidates for theoretical examinations for issuance of licence / ratings. | | |
| ATO has obtained approval of designated examiners to conduct such examinations. | | |
| Designated examiners fulfill the requirements as set in the relevant regulations. | | |
| Proper facilities are available to conduct examinations in a safe and secure manner free of any malpractice. | | |
| Comments: | | |
| | | |
| **Safety Management System** | | |
| The organization has implemented the Safety Management System. | | |
| A safety manager has been appointed. | | |
| The roles and responsibilities of the personnel in the Aviation Safety Management System documented. | | |
| Appropriate safeguards are in place to ensure that the Aviation Safety Management System itself is properly evaluated. | | |
| An effective ongoing hazard identification program is in effect. | | |
| A mechanism for Risk Management Plan is implemented to mitigate the identified risks, real or potential, which were derived from the organizational risk profile exercise? | | |
| An effective mechanism by which the Safety Manager or the Safety Committee reports to the Head of Organization and can make recommendations for change or action is effect. | | |
| Employees are trained in the procedures and policy of the Aviation Safety Management System. | | |
| Mechanism for data sharing for State Safety Data Collection and Processing System has been established. | | |
| Comments | | |
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|---|---|---|
| **Satellite ATO** | | |
| ATO is using Satellite facility for its activities. | | |
| The satellite ATO is Covered in TPM with clear defined functions to be performed. | | |
| The Authority has issued training specifications to the ATO that reflect the name and address of the satellite ATO and the approved courses offered at the satellite ATO. | | |
| The facilities, equipment, personnel and course content of the satellite ATO meet the applicable requirements. | | |
| The instructors at the satellite ATO are under the direct supervision of management personnel of the principal ATO. | | |
| Comments: | | |

## Part B – Specific requirements of ATOs

### 1. Flying Training Schools

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|---|---|---|
| Organization have an appropriate physical lifrastructure commensurate with its authorization, scope of work & load of work in terms of:<br><br>❏ An operations room with facilities to control the operations.<br>❏ A flight planning room with the following facilities:<br>❏ Appropriate current maps and charts.<br>❏ Current AIS information.<br>❏ Current meteorological information.<br>❏ Communications to ATC and the operations room.<br>❏ Maps showing standard cross-country routes.<br>❏ Maps showing current prohibited, danger and restricted areas.<br>❏ Any other flight safety related material.<br>❏ Adequate briefing rooms/cubicles of sufficient size and number.<br>❏ Furnished crew-room(s) for instructors and students. | | |
| Proper briefing/debriefing procedures are established. | | |
| Records are maintained to show that proper briefing/de-briefing of the trainee pilots is being conducted by CFI/FIs. | | |
| Records are maintained to show that each student has gone | | |

| | | |
|---|---|---|
| through proper ground training prior to starting flying. | | |
| Dossier of each trainee pilot is maintained and updated including the supporting documentation. | | |
| Availability and status of following documents.<br>❏ pilots logbook                    CAAD-603<br>❏ Flight Authorization          CAAD-604<br>❏ Check Authorization          CAAD-609<br>❏ Student Flying Training Record    CAAD-604 | | |
| Procedures are established to obtain preflight information. | | |
| A satisfactory system of dissemination of current NOTAMS to pilots/students is available. | | |
| Formulation of flying program in advance and its dissemination to students. | | |
| Procedures are established to ensure that the aircraft Centre of Gravity is within limits. | | |
| Standardized checklists are available for normal, abnormal and emergency procedures. | | |
| A checklist is available to show the documents required to be carried on board. | | |
| Procedures are established under which the trainee pilots can be sent on their first solo and subsequent solos. | | |
| Procedures are established under which the trainee pilots can be sent on their first solo cross-country flight. | | |
| Procedures are established under which the trainee pilot could be sent for night flying. | | |
| Flight & duty time records are maintained. | | |
| Records are maintained to show that the flying training is being conducted in accordance with the approved syllabus prescribed in the approved training manual. | | |
| A system to check that the flight timings certified by the institute tally with the aerodrome records (Log books VS Authorization book). | | |
| Night training flights are carried out at the airport. | | |
| Proper night flying facilities are available at the airport where night flying is being carried out. | | |
| Proper traffic pattern has been established for carrying out the flying training. | | |
| Proper drills have been established in case of aircraft emergency during flying at the airport. | | |
| Procedures are established for the Chief Flight Instructor to carry out flying checks of Flight Instructors and the trainee pilots to ensure | | |

| | | |
|---|---|---|
| standardized flying training. | | |
| Reports are available on various flying checks carried out. | | |
| Pilots' folder is available and maintained as per PEL Directorate instructions. | | |
| Results of various checks of the trainees at different stages are readily available. | | |
| Adequate safety equipment is available for briefing purposes. | | |
| Adequate space and equipment is available for demonstration, briefing and practicing different drills. | | |

Comments:

 

 

 

**ATCL Training Organizations**

| | | |
|---|---|---|
| Adequate numbers of simulators are available and in satisfactory condition to accomplish the task for the ATO terms of approval. | | |
| Practical exercises for the trainees have been designed properly and are conducted realistically. | | |
| Radio equipment of the ATC simulators is working properly. | | |
| Clocks in the ATC simulators are properly synchronized and in good working condition. | | |
| Strip marking is done the same way as being done actually in the ATS Units. | | |
| Instructors are kept abreast with the latest developments in Air Traffic Control specially advancements in technology. | | |

Comments:

 

 

 