**Vežėjo atitikties stebėsenos sistemos patikros lapas**

*Checklist for compliance monitoring system audit*

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| **Oro vežėjas***Operator (1)* | **Patikrinimo data***Date* | **Patikrinimo grupės vadovas***Lead Inspector (2)* | **Patikrinimo numeris***Ref. Nr.* |
|  |  |  |  |
| **Tikslas:***Purpose* |
| **Tikrintojai:***Audit team composition***:** | **Tikrinamojo ūkio subjekto atstovas:***Auditee representative* |

*Pasirašydamas šį patikros lapą patvirtinu, kad atliekant patikrą neturėjau interesų konfliktų susijusių su tikrinamuoju vežėju(1).*

*By signing this checklist, I hereby confirm that, at the time of performing this activity, I did not have any conflict of interest to declare regarding the above-mentioned operator (1).*

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| Nr. | **Neatitiktys***Non-compliances* |
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| **Komentarai***List of remarks* |
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| **Papildomi užrašai/komentarai***Additional notes/comments***:** |

**N/A = Not Applicable; C = Compliant; C/O = Compliant with observation; NC = Not Compliant; N/R = Not Reviewed**

| **No.** | **Reference** | **Inspection topics** | **Specific requirements/expectations** | **Evaluation** | **Remarks/ Inspector code** |
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|  | **Responsibilities and accountability, programme** |
|  | **ORO.GEN.200 (a)(6)** | Responsibilities and accountability for ensuring compliance are defined. | * Applicable requirements are clearly identified and properly transcribed into organisation manuals and procedures. Responsibilities and accountabilities for compliance are defined for all staff.
* Review how senior management ensure the organisation remains in compliance.
* Review that job descriptions include responsibilities for compliance.
 | [ ] N/A[ ]  C[ ]  C/O[ ]  NC[ ]  N/R |  |
|  | **AMC1 ORO.GEN.200(a)(6)** | Responsibilities and accountabilities for compliance monitoring are defined. | It has been documented that there is a person or group of persons with responsibilities for compliance monitoring including the person acting as compliance monitoring manager with direct access to the accountable manager. The accountable manager’s accountability and responsibilities for compliance monitoring is documented. * Evidence that senior management take action on compliance monitoring results.
* Check that the number of staff involved in compliance monitoring is appropriate.
* Check for evidence of direct reporting lines to the accountable manager.
* Review how independence of the audit function is achieved (including for internal and external auditors).
 | [ ] N/A[ ]  C[ ]  C/O[ ]  NC[ ]  N/R |  |
|  | **AMC1 ORO.GEN.200(a)(6)****ORO.GEN.205 + AMC2** | Operator’s compliance monitoring programme. | The organisation has a compliance monitoring programme including details of the schedule of monitoring activities and procedures for audits and inspections, reporting, follow up and records. Independence of compliance monitoring is achieved and documented. * Assess the contents of the programme to verify that the scope is complete (all applicable requirements, including AMCs) and covers at least the following areas:

(1) operational procedures; (2) flight safety procedures; (3) operational control and supervision; (4) aircraft performance; (5) all weather operations; (6) communications and navigational equipment and practices; (7) mass, balance and aircraft loading; (8) instruments and safety equipment; (9) ground operations; (10) flight and duty time limitations, rest requirements, and scheduling; (11) aircraft maintenance/operations interface; (12) use of the MEL; (13) flight crew; (14) cabin crew; (15) dangerous goods; (16) security.* Check that as a minimum, the operator planned to monitor compliance with the following (where appropriate):
* privileges of the operator;
* manuals, logs, and records;
* training standards;
* management system procedures and manuals;
* activities of the organisation carried out under the supervision of the nominated persons in accordance with ORO.GEN.210(b);
* any outsourced activities in accordance with ORO.GEN.205, for compliance with the contract (third party providers may be involved in the monitoring as per AMC2 ORO.GEN.205).
* Check that the compliance monitoring activities include verification of implementation and not only documentation review.
* Review how results from management system (risk and performance) is used to determine the depth and frequency of monitoring activities.
* Assess what triggers a change in the programme.
 | [ ] N/A[ ]  C[ ]  C/O[ ]  NC[ ]  N/R |  |
|  | **AMC1 ORO.GEN.200(a)(6)** | Procedure for the establishment of the compliance monitoring programme? | The way the compliance monitoring programme is established is documented with a procedure.* Verify the presence of a procedure to establish the audit programme. This procedure should include:
* regulatory compliance
* regulatory changes identification
* operator’s scope of operations extension
* audit scope
* contracted activities
* re-planning of audits
 | [ ] N/A[ ]  C[ ]  C/O[ ]  NC[ ]  N/R |  |
|  | **Finding** |
|  | **ORO.GEN.200(a)(6)****AMC1 ORO.GEN.200(a)(6)** | Compliance monitoring outcomes e.g. audit results including finding correction and corrective action and actions follow-up. | The organisation has documented procedures for the identification and follow-up of corrective actions and preventive actions. There is a process for how audit results are communicated to the accountable manager and senior management. The interface between compliance monitoring and the safety risk management processes is described.* Review the methods used for root cause analysis
* Is the method used consistently?
* Review any repeat findings or where actions have not been implemented or overdue.
* Check for timely implementation of actions.
* Check that compliance monitoring includes:
* reporting procedures
* follow-up and corrective action procedures
* Check that those procedures are correctly implemented, in particular:
* Time to send the audit/inspection report to the auditees
* Follow-up of the findings by the NP and the Compliance monitoring manager (CMM) (deadline…)
* Closure of the findings by the CMM (evidences, on time)

Note: The operator retains the ultimate responsibility for the effectiveness of the compliance monitoring programme, in particular for the effective implementation and follow-up of all corrective actions (e.g. in case of the use of external auditors).* Awareness of senior management of the status of significant findings and related corrective actions.
* Check that the feedback system to the AM is implemented (e.g. emails and/or meeting minutes).
* In case of overdue internal findings, check that the accountable manager is informed and take appropriate actions.
* Appropriate personnel participate in the determination of causes and contributing factors.
* Look for consistency between internal audit results and external audit results.
 | [ ] N/A[ ]  C[ ]  C/O[ ]  NC[ ]  N/R |  |
|  | **Training** |
|  | **ORO.GEN.200****AMC1 ORO.GEN.200(a)(6)** | Compliance monitoring manager training | The training programme for the compliance monitoring manager has been defined.* Those responsible for managing the compliance monitoring function should receive training on this task. Such training should cover:
* the requirements of compliance monitoring,
* manuals and procedures related to the task,
* audit techniques,
* reporting and record keeping.
 | [ ] N/A[ ]  C[ ]  C/O[ ]  NC[ ]  N/R |  |
|  | **ORO.GEN.200****AMC1 ORO.GEN.200(a)(6)** | Internal auditor training | The training programme for the qualification of internal auditors has been defined.* Check that the auditors are trained and that the training includes at least:
* Auditing techniques,
* Regulation knowledge (e.g. EASA OPS),
* procedures related to the task,
* reporting and record keeping
 | [ ] N/A[ ]  C[ ]  C/O[ ]  NC[ ]  N/R |  |
|  | **AMC1 ORO.GEN.200(a)(6)** | Training of the personnel involved in compliance management (other than auditors) | The training programme for the personnel involved in compliance management has been defined.* Check that all personnel involved in compliance management have been trained.
* Check that the scope of this training includes nominated persons, the accountable manager and the safety manager.
 | [ ] N/A[ ]  C[ ]  C/O[ ]  NC[ ]  N/R |  |
|  | **ORO.GEN.200****AMC1 ORO.GEN.200(a)(6)** | External auditor training | The training programme for the qualification of external auditors has been defined.* Check that the external auditor received the adequate training.
* In addition, check:
* the presence of a written agreement,
* the task repartition definition; and
* that the operator remains responsible for the follow-up of corrective actions.
 | [ ] N/A[ ]  C[ ]  C/O[ ]  NC[ ]  N/R |  |
|  | **Record keeping** |
|  | **ORO.GEN.220****ORO.MLR.115** | Record keeping system | * The operator shall establish a system of record-keeping that allows adequate storage and reliable traceability of all activities developed, covering in particular all the elements indicated in ORO.GEN.200.
* The format of the records shall be specified in the operator’s procedures.
* Records shall be stored in a manner that ensures protection from damage, alteration and theft.
* Records of the activities referred to in ORO.GEN.200 shall be stored for at least 5 years
 | [ ] N/A[ ]  C[ ]  C/O[ ]  NC[ ]  N/R |  |