

## **ATTACHMENT 4**

### **Worldwide Express (WWX) Carrier Safety and Oversight Audit Checklist**

**Introduction.** Civil Reserve Air Fleet (CRAF) prime carriers are responsible for performance of their subcontractors. CRAF carriers must ensure each foreign flag subcontractor is approved by the country-specific Civil Aviation Authority (CAA) prior to providing service to the following countries: Iraq, Afghanistan, Kuwait, Qatar, UAE, Bahrain, Oman, Djibouti, Uzbekistan, Kyrgyzstan, Pakistan, Egypt, Turkey, Jordan, Yemen, Kenya, Sudan, and Ethiopia. The Government reserves the right to request the CRAF carrier provide copies of information pertaining to approved foreign flag subcontractors. As a minimum, the following information must be reviewed by the country-specific CAA prior to the foreign flag carrier providing service:

- a. Air Subcontractor Certificate (AOC) with operation specification
- b. Valid airworthiness certificate
- c. Valid aircraft registration
- d. Proof of commercial insurance (including third party)
- e. Legal corporate or company papers
- f. Record of air carrier ownership/place of business
- g. Air carrier fleet size
- h. Air carrier International Air Transport Association (IATA) code

The term “Civil Aviation Authority (CAA)” or “State” is used to identify a government entity providing federal oversight of an air carrier’s operation. The Federal Aviation Administration (FAA) is the CAA for the United States. The generic term CAA will be used in this checklist since 32 CFR 861 requirements are applicable to all air carriers doing business with the DoD, international as well as domestic.

### **Section 1: Foreign Flag Subcontractor Safety and Oversight Audit Program**

#### **1. Objectives.**

1.1 The purpose of the CRAF carrier’s safety and oversight audit program is to ensure foreign subcontractors meet safety standards, DoD requirements, and the operational standards of the applicable State. CRAF carriers will not use subcontract carriers on internationally recognized CAA safety “Banned” lists.

1.1.1 CRAF carriers (prime contractors) must adequately describe their ability to assess the subcontractor’s level of safety. This assessment will be based upon a safety audit performed by the CRAF carrier or an independent International Air Transport Association (IATA) accredited 3<sup>rd</sup> party audit organization and shall include, at a minimum, a review of the subcontractor’s safety programs in the following areas:

- a. Operation of aircraft
- b. Maintenance Procedures
- c. Airworthiness of aircraft

1.1.2 Following completion of this audit, the CRAF carrier shall issue a “Statement of Compliance” to the contracting officer affirming each subcontractor complies with the safety requirements of this checklist. The contracting officer shall maintain a copy of the compliance statements.

**2. Scope.** The subcontractor will be expected to conform to the requirements of the state CAA, which should conform to the safety standards and recommended practices established in International Civil Aviation Organization (ICAO) Annexes 1, 6, 8, and 18. The audit process will evaluate the performance of the foreign airline against those criteria specified in the applicable ICAO standards.

**3. System for Reporting and Correcting Findings.** The CRAF carrier’s audit team will ensure the foreign air Subcontractor has a process to identify irregularities and accident precursors that may occur during routine operations and/or special circumstances.

**4. Audit Frequency.** The initial audit is valid for 24 consecutive months. CRAF carriers will conduct a renewal audit of each foreign flag subcontractor prior to the expiration date of the initial audit. The renewal audit should take place in time to ensure that problems discovered during the renewal audit can be corrected before the expiration date of the previous audit.

## **5. Report Content**

5.1 The audit report should contain the following:

5.1.1 Title. The title should identify the foreign air Subcontractor audited and the U.S. air carrier, or third party, responsible for the audit.

5.1.2 Signature and date of the audit report.

5.1.3 Identify audit team members.

5.1.4 Identify primary maintenance and training facilities evaluated,

5.1.5 Identify objectives and scope of audit.

5.1.6 Findings and corrective actions.

5.1.7 Complete checklists reflecting whether each standard was applicable, and if so, whether the Subcontractor satisfactorily met or did not meet the performance standard.

**6. Report Retention.** Maintain all subcontractor audit reports for a period of not less than 5 years and all documented evidence for a period of not less than 24 months. The government reserves the right to request copies of audit reports.

**7. Compliance Statement.** The CRAF carrier should provide the signed compliance statement for all audits conducted. A compliance statement should be submitted only after all corrective actions have been completed and not be predicated on future actions planned to be completed. At a minimum, the compliance statement should contain a statement that the foreign Subcontractor's operations for CRAF carrier service meet all applicable ICAO standards.

## **Section 2: Subcontractor Audit Checklist**

<b>1. Subcontractor Overview.</b> Establish and implement policies and procedures that enhance the CAA's minimum operations and maintenance standards. Analyze audit results to determine the cause of any deficiency. Audit foreign code-sharing air carrier partners or Subcontractors at least every 24 months.				
1.1 What are the pertinent aspects of the Subcontractor's history? (e.g., air transportation services provided and geographic region served)				
1.2 What type of operations does the Subcontractor specialize in?				
1.3 Number of employees _____				
1.4 Does the Subcontractor have any significant future plans for expanding its scope of operation or services? If yes, briefly describe Subcontractor's expansion plans.				
<b>2. Operations Management.</b>				
	Yes	No	N/A	Comments
2.1 Does the Subcontractor's Chief Executive Officer or equivalent emphasize safety as a top priority?				
2.1.1 Is the Subcontractor's safety philosophy published and accessible to critical safety (licensed) personnel?				
2.1.2 Where is it published/located?				
2.1.3 Do you interact regularly with the Subcontractor's safety Point of Contact?				
2.1.4 Does the Subcontractor perform an operational risk management (ORM) review before each mission?				
2.1.4.1 Is there a process to mitigate risks?				
2.1.4.2 Is there a process to approve missions with increased risk at a higher level than the basic crew?				
2.2 How would you assess your relationship with your State Regulatory Authority?				
2.3 Do you operate into any airfields designated as "special airfields"?				
2.3.1 Has the Subcontractor identified special routes or airfields other than those designated by the CAA or DoD?				
2.4 Does the Subcontractor operate any missions it considers higher risk than standard?				
2.4.1 Have these missions been appropriately identified in operator's manual system?				
2.4.2 Are there special qualifications necessary to serve as a flight crewmember for these increased risk flights?				
2.4.3 Are there other policies or procedures designed to mitigate increased risk flights?				
2.5 How does the Subcontractor's day-to-day risk level compare to other companies of similar size?				

<b>3. Subcontractor Infrastructure.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
3.1 Does the infrastructure adequately support the CRAF carrier's operations?				
3.2 Is managerial experience appropriate for each position?				
3.2.1 Are managers full time employees of the Subcontractor?				
3.3 Is the organizational structure suitable for the Subcontractor?				
3.3.1 Are there clear lines of authority?				
3.4 Are managerial duties and responsibilities clearly defined and free from conflict of interest?				
3.4.1 Where is this documented?				
3.5 Is there frequent turnover of key management personnel? If yes, explain.				
<b>4. Internal Audits.</b> An internal quality audit program (or other method capable of identifying in-house deficiencies and measuring compliance with stated policies and standards) has been implemented. Foreign code-sharing air carrier partners are audited at least every 24 months and any findings are resolved.				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
4.1 Is there an internal quality and safety audit program or other method that measures compliance with policies and standards and identifies in-house deficiencies to senior management?				
4.1.1 Briefly describe your internal audit program and identify the key components. (Be prepared to provide supporting documentation where applicable.)				
4.1.1.1 Is this program documented? If yes, where?				
4.1.1.2 Knowledgeable and trained auditors?				
4.1.1.3 Scheduled audits are: semi-annual__ annual__ biennial__ other__				
4.1.1.4 Are published checklists available and used for the audit of each safety critical function?				
4.1.1.5 Discrepancy tracking? (to include follow-up and documentation to close out)				
4.1.1.6 Is Root Cause Analysis required for investigation of identified discrepancies?				
4.1.1.7 Is Trend Analysis conducted?				
4.1.1.8 Is there an adequate level of Senior Management coordination?				
4.1.2 Does audit scope ensure a comprehensive examination of Subcontractor's operations?				

4.1.3 Are there safety goals established, measured and recalibrated on a periodic basis?				
4.2 Do external audits corroborate the Subcontractor's quality and safety program effectiveness?				
<b>5. Safety Program.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
5.1 Director of Quality and Safety (or equivalent): • How many years of aviation experience do you have? _____ • Have you received any formal safety training? • Who do you report to?				
5.2 Who is the Subcontractor's safety focal point? • To whom does this person report directly? • Has the safety focal point received formal training?				
5.3 Provide an overview of the Subcontractor's flight safety program and safety culture?				
5.4 Are the safety programs and policies accessible to all safety critical employees?				
5.5 Is there formal training for crew members and maintenance personnel?				
5.6 Are there processes for disseminating safety information? ---- Meetings ---- Read File ---- Manuals ---- Displays ---- Bulletins ---- Web page ---- E Mail ---- Training Syllabus ---- Other				
5.6.1 Does the process ensure that aircrews receive safety information in a timely manner?				
5.6.2 Are relevant accident and incident reports provided to the applicable disciplines?				
5.7 Is there a safety audit process to detect and resolve safety hazards?				
5.7.1 Does management solicit aircrew feedback to identify hazards? ---- Hazard Reports ---- Safety Hotline ---- Fax ---- Irregularity Reports ---- E-mail ---- Other				
5.7.2 Are reported or identified hazards investigated and tracked? • Is trend analysis accomplished? • Is there documentation?				
5.7.3 Is a resolution process in place for reported or identified hazards?				
5.7.4 Is senior management involved in the hazard reporting and resolution process?				

5.8 What action does the Subcontractor take following accidents and incidents?				
• Provide examples of actions				
<b>6. Flight Operations.</b> CRAF carriers shall ensure established flight operations policies and procedures are up-to-date, reflect the current scope of operations, and clearly defined to Flight Operations employees. Additionally, CRAF carriers shall ensure all aircrew members are proficient/fluent in English to be able to communicate with Airfield Management/Air Traffic Control Tower personnel.				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
6.1 General infrastructure information • Basic route structure: • Flights / day _____ • Types and numbers of aircraft • Main Base of Operation • Alternate Operating Locations				
6.2 Pilot force: • Total # of pilots _____				
How many? ___ Captains ___ First Officers ___ Flight Engineers ___ Navigators Avg Total Hours? _____ Captains _____ First Officers _____ Flight Engineers _____ Navigators Ratings? _____ Captains _____ First Officers _____ Flight Engineers _____ Navigators				
Identify English Level (ensure all aircrew members are proficient/fluent in English to be able to communicate with Airfield Management/Air Traffic Control Tower personnel) (Good = G, Poor = P)  ___ Captains ___ First Officers ___ Flight Engineers ___ Radio Subcontractors ___ Navigators				
6.3 Does a trade union represent the pilots? If yes, who? _____ • If yes, when does the existing contract expire? • Any significant labor relation tensions?				
6.4 Average flying time: • Per month _____ • Guaranteed _____				
6.5 What is the pilot turnover rate? (low, average, high) • Primary reason?				

6.6 Are there processes for disseminating ops information to the crews? ---- Meetings ---- Read File ---- Training Syllabus ---- Displays ---- Bulletins ---- Dispatch Release ---- E Mail ---- Web page ---- Other				
6.7 Among these processes in 6.6, is there a published policy that identifies safety as the top priority?				
6.8 Are there processes for receiving feedback from crews? ---- Hazard/Irregularity Reports ---- E-Mail ---- Flight Data Rec. ---- Hot line ---- Web Page ---- Other ---- Duty Officer ---- Regular Meetings				
6.9 Do management personnel meet regularly with line personnel?				
6.10 Is the Subcontractor involved in increased risk operations?				
6.10.1 Are experience levels higher for those crews assigned to these missions?				
6.10.2 Are there formal procedures for scheduling crews to these special operations?				
6.11 Is the Subcontractor an approved Dangerous Goods /Hazardous Material/Cargo carrier?				
6.11.1 If yes, what type(s)?				
<b>7. Flight Crew Employment.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
7.1 Is there an established screening process for applicants? --- Interview: Ops Management / Personnel --- Simulator check --- Testing: Technical / psychological --- Alcohol / Drug screening --- Background checks: Aviation / criminal --- Other?				
7.2 What are the minimum requirements for new-hires?				
7.3 Does the Subcontractor hire contract (ex-patriot) pilots? If yes, from where?				
7.4 What is the new hire failure rate? _____				
7.4.1 What is the new hire failure process?				
7.5 Number of pilots hired in past 12-months? _____ Identify the reason for number of new pilots hired. --- Retirements? --- Subcontractor expansion? --- Pilot's moving to other airlines? --- Other?				

7.6 Projected number of new-hires in upcoming year?				
<b>8. Upgrade Training.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
8.1 Is there a screening process for Captain upgrade candidates? --- Seniority / contractual --- Min hours _____ --- Training Captain recommendation --- Training records check --- Minimum flight experience requirements? --- Other? _____				
8.1.1 Are there minimum flight experience requirements?				
8.2 What is the pass / fail rate for Captain upgrade candidates? _____				
8.2.1 What are the procedures for upgrade failures?				
8.3 Are principles of Crew Resource Management taught in Captain upgrade training?				
<b>9. In-Flight Performance.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
9.1 Does the Subcontractor have a flight standards / evaluation department?				
9.2 What is the screening process for evaluator / standardization candidates?				
9.3 How does the Subcontractor identify and resolve performance trends?				
9.4 Is aircrew performance analyzed as part of the standards / evaluation process?				
<b>10. General Operations Manual (GOM).</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
10.1 Does the GOM clearly define and explain operational and safety policies?				
10.1.1 If not, how are safety policies formally relayed to aircrew?				
10.2 Are the types of CAA approved operations identified?				
10.3 Are Dangerous Goods / Hazardous Cargo notification, recognition, and acceptance procedures defined and explained in the GOM?				
10.4 Is the Subcontractor's operations manual revised to remain current with operations changes?				
10.4.1 What process is used to disseminate operations manual revisions?				



10.4.2 Is there a process to validate currency of issued manuals? • Revision / receipt follow-up procedures? • Publications / manuals checks (typically with annual proficiency check)? • Other? _____ • Documentation validating process?				
10.4.3 Is there a process for disseminating time sensitive changes to ops manuals? ---- Bulletins ---- Dispatch Package ---- Read File ---- Other? _____				
<b>11. Aircrew Records.</b> Personnel records are maintained and reflect experience, qualifications, and medical status.				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
11.1 What type of process is used to manage pilot records (paper or electronic)?				
11.1.1 Are records organized according to a standardized specified format?				
11.1.2 Is there a backup process? (paper or electronic)?				
11.1.3 If electronic, how often is data backed up?				
11.1.4 Where are backups stored?				
11.2 Is there a process /procedure to ensure entered data is accurate?				
11.3 Are records maintenance procedures documented?				
11.4 How are due dates tracked, verified, input, and communicated to crew scheduling?				
11.5 Are there audits associated with the records process?				
11.5.1 If so, what is the process and how often is it accomplished?				
11.6 Use the following as a guideline when checking items in pilot records: • Medical certificate • Airmen certificate • Initial, transition, captain upgrade • HAZMAT training (init / recurrent) • Differences training • Emergency training				
<b>12. Aircrew Training.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
12.1 Training manual review:				
12.1.1 Are all simulators / flight training devices listed?				

12.1.2 Is security training listed?				
12.1.3 How often is the manual updated?				
12.2 Is any training accomplished using contractor facilities or instructors?				
12.2.1 Is contractor training listed in the training manual?				
12.2.2 Does the Subcontractor provide formal oversight of contractor operations?				
12.3 Where is Ground training accomplished and whose instructors are used?				
• Aircraft Type?				
• Location?				
• Instructors (Subcontractor or contract)?				
12.4 Where is Simulator training accomplished and whose instructors are used?				
• Aircraft Type?				
• Location?				
• Instructors (Subcontractor or contract)?				
12.5 Is line oriented flight training accomplished?				
12.6 Is any training accomplished in the actual aircraft?				
• Aircraft Type?				
• Location?				
• Instructors (Subcontractor or contract)?				
12.7 Does crew coordination training include principles of CRM? (initial/recurrent)				
• Are other aircrew personnel present? (Dispatchers / radio Subcontractors / navigator / load masters?)				
• If not, is there cross specialty training?				
12.8 Is emergency drill training accomplished for Pilot and Cabin Personnel (if applicable)?				
12.9 Do aircrew receive training on cargo inspection / loading procedures?				
12.10 Does the Subcontractor have an approved advanced qualification program?				
12.11 Does the Subcontractor have a special airport qualification training program?				
12.12 Is the Subcontractor aware of the DoD requirements for DoD certified airfields?				
12.13 Does the Subcontractor conduct Dangerous Goods / Hazardous Cargo training?				
• Initial / Recurrent?				

• What is the scope of training?				
12.14 Is there a screening process for instructor upgrade candidates?				
• Min hours _____				
• Training records check				
• Standards Captain / Evaluator Pilot recommendation				
• Operations management review				
• Other?				
12.15 What is the number of instructors? (Are these numbers adequate?)				
Ground _____				
Sim _____				
Flight _____				
12.16 Is there a screening process for Standards Captains / Evaluator Pilot assigned?				
• Min hours _____				
• Training records check				
• Standards Captain / Evaluator Pilot recommendation				
• Operations management review				
• Other?				
12.17 To which department are Standards Captains / Evaluator Pilots assigned?				
12.18 How many check airmen are employed? (are these numbers adequate for the Subcontractor's size?)				
• Check Airmen? _____				
• APDs? _____				
12.19 Are there regular meetings conducted to discuss training/evaluation issues?				
• Are identified evaluation trends incorporated into the training program?				
12.20 Are training sessions periodically audited?				
12.21 Are there audits associated with the training records process?				
12.21.1 If so, what is the process and how often is it accomplished?				
<b>13. Other Aircrew: Loadmasters/Radio Subcontractor/Navigator</b>				

	Yes	No	N/A	Comments
13.1 Are crewmembers organized under the operations department?				
• If not, what functional area?				
• Do they interface with ops mgt/safety?				
13.2 Total number? _____				
13.3 Average experience in years? _____				
13.4 What is the average flying time per month? _____				
13.5 How are flight and duty time requirements tracked?				
13.6 Are there processes for disseminating ops information to your crews? ---- Meetings                      ---- Read File ---- Training Syllabus            ---- Displays ---- Bulletins                      ---- Dispatch Package ---- E Mail                          ---- Manuals ---- Other                            ---- Web page				
13.7 Are there processes for receiving feedback from crews? ---- Hazard/Irregularity Reports    ---- E-Mail ---- Web page                          ---- Regular Meetings ---- Hot line                           ---- Other ---- Duty Officer                      ---- Trip Reports				
<b>14. Cargo Loadmaster Hiring.</b>				
	Yes	No	N/A	Comments
14.1 What is the screening process for applicants? • Interview Process? • Background checks? • Other?				
14.2 What are the minimum requirements for new-hires?				
14.2.1 Are there any other requirements that are preferred, but not required? If yes, identify them.				
14.3 Number hired in past 12-months? _____				
14.4 Projected number of new-hires over next 12-months? _____				
<b>15. Cargo Loadmaster Training.</b>				
	Yes	No	N/A	Comments
15.1 Does the training manual adequately cover training materials?				
15.1.1 Is it updated frequently? Identify frequency.				
15.2 Where is your ground training accomplished and whose instructors are used? • Training? • Device? • Location Instructors (Subcontractor or contract)?				

15.3 Number of instructors/evaluators? • Instructors _____ • Evaluators _____				
15.4 Does crew coordination training include principles of CRM? (initial/recurrent) • Are other personnel present? (pilots/dispatchers/LMs) • If not, is there cross specialty training such as a pilot instructor teaching a Loadmaster CRM course or vice versa?				
15.5 Is Loadmaster and pilot joint emergency procedures drill training accomplished?				
<b>16. Loadmaster Operations Manual.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
16.1 What process is used to disseminate revisions to manuals?				
16.2 Is there a process to validate currency of issued manuals? • Revision / receipt follow-up procedures • Pubs / manuals checks (typically with annual training) • Other? _____				
16.3 Is there a process for disseminating time sensitive changes to the ops manual? ---- Bulletins          ---- Dispatch Release ---- Read File          ---- Other				
<b>17. Aircrew Scheduling.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
17.1 Explain general procedures for how pilots, flight engineers, navigators, and loadmasters are placed on the flying schedule.				
17.1.1 Are the scheduling procedures automated in any way?				
17.1.2 If yes, is there an adequate backup system?				
17.2 On average, how many hours is a crewmember scheduled for each month?				
17.3 Are flight and duty time records organized and sufficiently detailed to show compliance with State Authority requirements? • Recurrent training? • Duty time limits?				
17.4 Are there audits associated with the training records process? • If so, what is the process and how often is it accomplished?				
17.5 On average, how many hours is the crewmember scheduled for each month?				

17.6 Are there procedures to prevent scheduling non-current or unqualified crewmembers? (Check Y or N) • --- Flight and duty time limits • --- Management logging office time as duty time • --- Recurrent training, medicals, and check rides • --- Special airport and route qualifications • --- Aircrew qualifications for DoD certified airfields • --- Does the Subcontractor conform to the requirement of the CAA for pilot proficiency • --- Pilot in Command (PIC) must have 3 T/Os and Landings in past 90 days (FAR 135.247)				
17.7 Does the Subcontractor factor crew experience when scheduling missions? (Other than the rule for 75 hours)				
17.8 If other commercial flying is allowed, is it tracked and accounted for in flight and duty limits?				
17.9 Do flight and duty time records show compliance with the requirements of the state?				
17.10 Are there adequate security procedures for the crew records? 17.10.1 Are paper files locked? 17.10.2 Are computer files password protected?				
17.11 Are there audits associated with the scheduling process? And how often are they accomplished?				
<b>18. Loadmaster Records.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
18.1 What type process, paper or electronic?				
18.2 If paper, are records organized according to a published and standardized format?				
18.3 If automated, is there a backup system?				
• Backup power?				
• Backup paper process?				
• How often is data backed up?				
• Where are backups stored?				
18.4 Are records maintenance procedures documented?				
18.4.1 Can another person step in and perform the job using only the documented procedures?				
18.5 How are due dates tracked, verified, input, and coordinated with scheduling to ensure only current crewmembers are put on the schedule?				
18.6 If required, is Dangerous Goods / Hazardous Cargo training documented in the training records?				
18.7 Are there audits associated with the records process?				

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18.7.1 If so, what is the process and how often is it accomplished?				
<b>19. Operational Control: Flight Operations Officers / Director of Operations.</b> Effective mission control includes communications with aircrews and the capability to respond to irregularities or difficulties encountered.				
	Yes	No	N/A	Comments
19.1 How many Dispatch / Flight Following Personnel? _____ • What is their average experience in years? _____ • What is the turnover rate? _____ • Primary reason for employee turnover?				
19.2 What are the minimum requirements required by your operation?				
19.3 What is the duty Schedule? • Hour per day _____? • Days on _____? • Days off _____?				
19.4 Describe shift manning:				
19.4.1 Is there a designated supervisor?				
19.5 Are Dispatch / Flight Following personnel represented by a Trade Union organization?				
19.5.1 When is the contract amendable?				
19.5.2 Are there any labor tensions / concerns? If yes, identify any concerns.				
19.6 Can the Subcontractor show documentation of the following requirements? • Flight Operation Officer license • Competency check • Operations familiarization				
19.7 Does training include principles of Dispatcher Resource Management (DRM)? • Initial? • Recurrent?				
19.8 Describe how the operations control center is organized.				
• 24 hour operations? • Co-located with Crew Scheduling? • Co-located with the Maintenance Control Center? • Operations representative? • Other?				
<b>20. Flight Planning.</b>				
	Yes	No	N/A	Comments
20.1 How does the Subcontractor perform airfield analysis?				
20.2 What is the source of aircraft performance data?				

20.3 How does the Subcontractor determine conditions exist for a safe takeoff?				
20.4 Who calculates weight and balance? • Are actual weights used for DoD cargo charters? • Is this procedure documented?				
20.5 Is the flight plan automated?				
• How is flight/fuel planning accomplished? • Who is responsible for compliance with air navigation compliance: _____ • Who files the flight plan, diplomatic clearances, and prior permission for military installations? _____				
20.6 What is the primary source of weather information? • Is there a back-up source?				
20.7 What is the primary source of NOTAM information? • Is there a back-up source?				
<b>21. Mission Monitoring.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
21.1 Is the Subcontractor effectively flight following each mission? • Coverage: From: _____ To: _____ or 24 hours; • Days per week: _____				
21.2 If mission monitoring is automated, is there an adequate backup procedure?				
21.3 Is there an effective interface to ensure information flow between Aircrew, Maintenance, and Dispatchers? (e.g., dispatchers receive/forward timely MEL info)				
21.4 Does the Subcontractor have current DoD accident/incident notification procedures?				
<b>22. Load Manifests.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
22.1 Is it an automated or manual system?				
22.2 Who completes the load manifest?				
22.3 Do load manifests contain the required information? • Aircraft weight?				
• Maximum allowable T/O weight?				
• CG in limits?				
• Is the load manifest signed?				
22.4 Does the Subcontractor maintain the required records and reports?				



22.4.4 Does the Subcontractor maintain load manifest, flight release, flight plan, weather, airworthiness release, and pilot route certification for at least three months?				
<b>23. DoD Charter Procedures.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
23.1 How often does the Subcontractor perform charters operations for the CRAF carrier?				
23.2 Does the Subcontractor perform or plan to perform DoD charters?				
23.3 If the Subcontractor performs DoD charters, is the level of risk different from the non- DoD daily operations of the Subcontractor?				
23.4 What are your procedures to verify DoD cargo weights? • Are these procedures published?				
23.5 Is the Subcontractor's management personnel involved in the Theater Express charter planning process?				
23.6 Are there procedures for route planning, airport analysis, and risk assessment?				
23.7 Does Subcontractor have current FLIP publications? • Call 800-826-0342 for FLIP account assistance				
23.8 Does Subcontractor have Airfield Suitability and Restrictions Report (ASRR)? • Call (618) 229-3112 for electronic copy				
23.9 Does your company possess an operational secure fax/phone?				
23.10 When does the Air Operating Certificate Expire? (Obtain a copy for records)				
23.11 Does the Air Subcontractor have full and exclusive control of the aircraft it is operating on behalf of the CRAF carrier?				
23.12 Can the Subcontractor certify all of their employees and suppliers conform to the safety and security and trade restriction requirements of the U.S. Government?				
23.13 Event Reporting Requirements to DoD. • Attach copy				
<b>24. Security.</b> Subcontractor's personnel receive training in security responsibilities and practice applicable procedures during ground and in-flight operations. Compliance with provisions of the appropriate standard security program, established by the Transportation Security Administration or foreign equivalent, is required.				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>

24.1 Does the Subcontractor provide its own security at any of its operating locations?				
24.2 Number of security coordinators: • Ground Security Coordinators (GSCs): _____ • Inflight Security Coordinators (ISCs): _____ • Number of instructors? _____				
24.3 Briefly describe the security training program: • GSC training program (initial / annual): • trained to visually screen freight for signs of IED introduction • ISCs trained in anti-hijacking / anti-terrorism?				
24.4 Is there a procedure to identify GSCs overdue recurrent training? (required annually)				
24.5 Briefly describe the GSC training records process:				
24.6 Are there audits associated with the GSC records process? • If so, what is the process and how often is it accomplished?				
24.7 Is the security program exercised?				
24.8 Would a visitor sense an appropriate level of security awareness? • In the Subcontractor's Facilities? • On the ramp?				
24.9 Are there provisions in place to deal with security threats such as: • Bomb threats? • Hijacking? • Discovery of an IED? • Discovery of contraband?				
24.10 Are there provisions in place to limit access to parked aircraft? • Vetting process for couriers and or deadhead crew? • Physical search of courier and or deadhead crew baggage or property? • Challenge unauthorized personnel near aircraft? • Physical search of aircraft prior to loading?				

**Section 3: Maintenance Audit.** This checklist was developed to assist the air carrier in preparing for the maintenance portion of the on-site survey. All requirements listed herein are rooted in the Code of Federal Regulations (CFRs) and the DoD Commercial Air Carrier Quality and Safety Requirements and are not intended to replace either.

<b>1. Management.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
1.1 Does the Subcontractor's management system use concise job descriptions and definitive lines of authority and responsibility?				
1.2 Is there an adequate and effective level of management staffing to support the Subcontractor's maintenance operations?				
1.3 Does the Subcontractor require that only Personnel with the proper, current and valid aviation credentials and experience are employed in Maintenance and Quality Postholder positions?				
1.4 Do Technical and Quality management personnel provide sufficient oversight of the Subcontractor's maintenance programs?				
1.5 Does the present Technical and Quality management structure meet the needs of the Subcontractor, to ensure positive oversight of each element of the Approved Maintenance Program?				
1.6 Is there clear and effective communication between management and supervisory personnel, the workforce, and each functional area?				
1.7 Do the Quality Organization and Production Maintenance Organization possess equivalent levels of authority?				
1.8 Is aircraft maintenance accomplished regardless of Planning / Scheduling?				
1.8.1 Regardless of potential lost revenue due to mission cancellation or delay?				
1.8.2 Regardless of competitive image or other pressures?				
1.9 Does the Subcontractor ensure maintenance is performed safely?				
1.10 Does Subcontractor ensure aircraft are airworthy prior to release for flight?				
1.11 Does the Subcontractor ensure aircraft are airworthy prior to release for flight?				
<b>2. Personnel.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
2.1 Is there a sufficient number of Maintenance and				

Quality personnel to maintain company aircraft at the primary maintenance facility and each en route location?				
2.2 Does the Subcontractor's recruitment and hiring process provide for:				
2.2.1 An adequate level of personnel background check?				
2.2.2 Are all licenses and certificates for employees verified through the issuing State Authority?				
2.2.3 Does the Subcontractor have an approved drug and alcohol abuse testing program?				
2.3 Does the Subcontractor ensure that Maintenance and Quality personnel have sufficient experience to support its maintenance operations requirements?				
2.3.1 What is the average experience level for Maintenance and Quality personnel?				
2.4 Does the Subcontractor experience a significant level of Maintenance and Quality personnel turnover?				
2.5 Are the Subcontractor's Maintenance and Quality personnel represented by a Collective Bargaining Unit or Trade Union Organization?				
2.5.1 Are there any significant issues that may present problem during renegotiation of the present contract?				
2.5.2 What is the quality of the relationship between management and any Collective Bargaining Unit or Trade Union Organization?				
<b>3. Quality Assurance.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
3.1 Does the Subcontractor have a continuing analysis and surveillance program to collect and analyze data to determine the performance and effectiveness of maintenance activities and aircraft inspection programs?				
3.2 Does the Subcontractor possess an internal quality audit program (or other method) to identify in-house deficiencies and measure compliance with its stated policies and CAA requirements / standards?				
3.2.1 Does the Subcontractor have a method and series of controls to schedule and track required audits?				
3.2.1.1 Are all audits accomplished on a defined frequency?				
3.2.1.2 Is current information (i.e., last audit date and next audit due date) available and used to ensure all audit schedule requirements are being met?				
3.2.2 Does the Subcontractor have a program to report corrective action progress and closure on each discrepancy or concern identified during audits?				

3.2.3 Files (electronic/hard copy) containing the last completed audit checklist and/ or reports and follow-up action for each functional area?				
3.2.3.1 Audit results are analyzed in order to determine the cause not just the symptom, of any deficiency?				
3.2.3.2 Are repeat discrepancies addressed?				
3.3 Does the Subcontractor have a program to evaluate contract vendors, suppliers, and their products?				
3.3.1 Is an approved vendor list made available to those responsible for purchasing spares and maintenance support?				
3.3.1.1 Is the list controlled by an appropriate level of management?				
3.3.1.2 Does receiving use the list to verify parts are received from only approved vendors, suppliers, and distributors?				
3.3.2 Does the Subcontractor's Audit Program provide an adequate checklist to be used for the performance of both on-site and mail-out audits?				
3.3.2.1 Does the Subcontractor have an established method to determine audit type for each vendor?				
3.3.3 For approved vendors, does the Subcontractor possess a copy (electronic or hard copy) of the vendor's repair certificate indicating capabilities and limitations?				
3.3.3.1 Does the Subcontractor have a copy of the approved vendor's last audit checklist and/or report and follow-up action?				
3.3.4 Does the Subcontractor have a method to schedule and track required audits?				
3.3.5 Does the Subcontractor have a method to track and follow up discrepancies or concerns discovered during approved vendor audits?				
3.4 Does the Subcontractor have a program to perform mechanical performance monitoring?				
3.4.1 Is the program used to determine the cause of any recurring discrepancies or negative trends?				
3.4.2 Are corrective actions implemented as required?				
3.5 Does the Subcontractor have a formal tool/test equipment calibration program to track tool inventory and calibration status in accordance with CAA/Federal Aviation Guidelines and indigenous corporate policy?				
3.5.1 Does the Subcontractor possess certification forms for each tool that requires calibration?				

3.5.2 Are all the Subcontractor's tools kept calibrated and in good condition?				
3.5.3 Does the Subcontractor have a means to ensure any allowed employee-owned tools used on company aircraft are kept calibrated?				
<b>4. Maintenance Inspection Activity.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
4.1 Who has quality oversight responsibility for the Subcontractor?				
4.2 Does the Subcontractor have a required inspection item (RII) program that:				
4.2.1 Does the Subcontractor maintain a list of inspector qualified personnel for the Subcontractor and approved contract maintenance vendors?				
4.2.2 Does the Subcontractor provide an adequate number of qualified, delegated, and designated inspectors?				
4.2.3 Does the Subcontractor provide a list of maintenance actions that require RII action and procedures to accomplish such RII inspection?				
4.2.4 Does the Subcontractor ensure only authorized personnel accomplish RII actions?				
4.2.5 Does the Subcontractor provide and document initial and recurrent training for inspectors and designees?				
4.2.6 Are all RII personnel authorized by letter with any limitations listed?				
4.2.6.1 And, are authorization letters kept on file?				
4.2.7 Does the Subcontractor ensure that maintenance that can impact flight safety is properly accomplished?				
4.3 Does the Subcontractor employ an effective inspector/mechanic stamp program to issue, track, dispose of, and cover loss of stamps?				
<b>5. Maintenance Training.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
5.1 Does the Subcontractor's training program provide qualified personnel to support maintenance operations?				
5.1.1 Does the Subcontractor provide initial/recurrent training for indoctrination of company manuals, policies, procedures, and forms?				
5.1.2 Does the Subcontractor provide initial/recurrent training for general aircraft systems (factory, classroom, or OJT training) in aircraft familiarization or systems applicable to individual positions?				

5.1.3 Does the Subcontractor provide initial/recurrent training for engine-run/taxi (initial and recurrent)?				
5.1.3.1 Do personnel qualified to operate aircraft engines and/or taxi aircraft receive both initial and recurrent training in equipment operation, limitations, and emergency procedures?				
5.1.4 Does the Subcontractor provide initial/recurrent training for de-icing?				
5.1.5 Does the Subcontractor provide initial/recurrent training for ETOPS? (initial and recurrent)				
5.1.6 Does the Subcontractor provide initial/recurrent training for CAT II & III landing?				
5.1.7 Does the Subcontractor provide initial/recurrent training for Reduced Vertical Separation Minimums/Minima?				
5.2 Does the Subcontractor have an adequate level of training facilities?				
5.3 Does the Subcontractor have an adequate number of qualified instructors?				
5.4 Does the Subcontractor employ a scheduling method that ensures all required initial training is accomplished and recurrent training is accomplished on time?				
5.5 Does the Subcontractor document all training (including on-the-job training) and track requirements to ensure accomplishment?				
5.5.1 Are accurate files kept that contain training certification forms, OJT records, prior training reviews, and copies of certificates?				
5.5.2 Are special authorizations (such as inspection and airworthiness release) identified and documented?				
5.5.3 Are training instructors fully qualified in the subject matter being taught?				
5.6 Does the Subcontractor ensure personnel training received through prior employment is reviewed for applicability to present training requirements and document any waivers to normal training requirements?				
<b>6. Maintenance Control/Planning.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
6.1 Does the Subcontractor maintain a system that provides a means to control maintenance activities and track aircraft maintenance status?				
6.2 Does the location and structure of the maintenance control department support effective communication with the remainder of the maintenance organization and flight operations?				

6.2.1 Are only company-approved contract maintenance facilities and/or on-call maintenance contractors used?				
6.2.2 Does the Subcontractor have documented procedures for the approval of ferry flights?				
6.2.3 Does the Subcontractor provide a list of those authorized to approve?				
6.3 Does the carrier have adequate programs to manage and control deferred maintenance?				
6.3.1 Does the Subcontractor have a program to track all deferred maintenance?				
6.3.2 Does the Subcontractor have a program to ensure that all requirements are coordinated to support closure of each deferred maintenance item?				
6.4 Does the carrier promote good Minimum Equipment List (MEL) practices, and are procedures adequate to support the program?				
6.4.1 Does the Operator's MEL / deferred maintenance rate keep open maintenance items to a minimum?				
6.5 Does the Subcontractor's daily utilization aircraft rate provide sufficient time to troubleshoot problems and effect repairs?				
6.6 Does the Subcontractor have programs that adequately plan for all maintenance requirements?				
6.6.1 Is there a process to track and schedule replacement of all life-limited components?				
6.6.2 Is there a process to track and schedule recurrent maintenance requirements?				
6.6.3 Is there a process for inclusion of new requirements into the maintenance program?				
6.6.4 Is there a process to plan both short- and long-term maintenance requirements?				
<b>7. Aircraft Maintenance Program.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
7.1 What type of maintenance program does the Subcontractor use to maintain its aircraft?				
7.2 Does the Subcontractor use a contractor to accomplish routine maintenance?				
7.2.1 At what levels?				
7.2.2 Are these maintenance contractors monitored under the Subcontractor's audit program?				
7.2.3 Does the Subcontractor provide representatives during heavy maintenance checks?				
7.3 Does the Subcontractor have a dedicated engineering/maintenance department?				



7.4 Does the Subcontractor coordinate for review and schedule for accomplishment, airworthiness directives and service bulletins that support accomplishment?				
7.5 Does the Subcontractor use fleet campaigns to accomplish inspections or effect repairs identified as causing reliability or operational problems?				
7.6 Does the Subcontractor have a CAA-approved reliability program?				
7.6.1 Does the Subcontractor's management use information from the reliability program to improve aircraft reliability?				
7.7 Does the Subcontractor have an engine-condition monitoring program?				
7.7.1 Is engine-condition data routinely and accurately collected to support the analysis program?				
7.7.2 Is engine-condition monitoring data used to prevent failures and improve reliability?				
7.8 Has the Subcontractor instituted programs to inspect for and prevent corrosion?				
<b>8. Maintenance Records.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
8.1 Does the Subcontractor have records management procedures that ensure the following:				
8.1.1 Completeness and quality of records entries?				
8.1.2 Security of and limited access to files?				
8.2 Does a spot-check of the Subcontractor's records reflect the following:				
8.2.1 That records entries are accurate and complete?				
8.2.2 That inspections, airworthiness release, and maintenance release are signed by approved personnel?				
8.2.3 That records are maintained in an orderly fashion?				
<b>9. Fuels.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
9.1 Does the Subcontractor have a formal program to conduct quality assurance checks of their fuel farms and fuel servicing equipment?				
9.2 If fuel is contracted, does the Subcontractor have a formal/verifiable program to ensure fuel received is contaminant-free?				
9.2.1 If the Subcontractor contracts from a fuel vendor, does the Subcontractor audit the fuel vendor's program to ensure fuel is provided at quality standards?				
9.2.1.1 Are fuel vendor files complete and accurate?				
9.2.1.2 Does the Subcontractor keep records of the last audit checklist and any required follow-up actions?				

9.2.1.3 Is there a method to schedule and track required audits?				
9.2.4 Is there a program to track and follow up discrepancies or concerns discovered during audits?				
9.3 If the Subcontractor utilizes another method, (DOD approved vendors via the Defense Fuels website: <a href="http://www.desc.dla.mil/DCM/DCMPage.asp?LinkID=I ntoPlane">http://www.desc.dla.mil/DCM/DCMPage.asp?LinkID=I ntoPlane</a> ), is the Subcontractor's fuel program documented to provide sufficient oversight?				
9.4 Does the Subcontractor have a documented program to ensure fuel quality at non-routine locations?				
<b>10. Maintenance Manuals.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
10.1 Does the Subcontractor's maintenance manual system provide:				
10.1.1 Detailed and standardized guidance to accomplish aircraft maintenance and operate the maintenance organization?				
10.1.2 Detailed management policies, lines of authority, and responsibilities for key maintenance personnel?				
10.1.3 A revision control process to ensure revisions are accomplished with required follow-up actions?				
10.1.4 Does the Subcontractor adhere to its maintenance manual system policies and procedures?				
10.2 Are an adequate quantity of technical publications provided for use by maintenance and quality personnel?				
10.2.1 Are they maintained at the latest revision status?				
10.2.2 Are they in good physical condition?				
10.2.3 Are they adhered to by maintenance personnel?				
10.2.4 Is the disposition of material printed from manual display equipment properly controlled?				
<b>11. Maintenance Facilities/Stores.</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
11.1 Does the Subcontractor have an European Aviation Safety Agency / FAA Part 145 certified repair station / Approved Maintenance Organization?				
11.1.1 What are the capabilities/authorizations?				
11.2 Where are the Subcontractor's main and en route maintenance bases?				
11.3 Does the Subcontractor have sufficient hangar and/or shop facilities to support maintenance operations?				
11.4 Does the Subcontractor maintain maintenance facilities in a neat, orderly, and safe fashion?				

11.5 Does the Subcontractor's stores or supply program provide for the following:				
11.5.1 Are parts properly tagged and environmentally protected?				
11.5.2 Do receiving inspection procedures ensure only approved and serviceable parts (rotatable and consumable) are stocked for issue?				
11.5.2.1 Do receiving inspectors use an approved vendor list during receiving inspections?				
11.5.3 Is there traceability for all parts?				
11.5.4 Does the Subcontractor have a shelf-life inspection program that ensures items have not exceeded shelf-life limitations?				
11.5.5 Does the Subcontractor segregate unserviceable / repairable parts from serviceable parts?				
11.5.6 Are aircraft seals (O-rings) stocked and issued according to aircraft / equipment manufacturer requirements?				
11.5.7 Does the Subcontractor have a parts / material scrap program to render items unusable before disposal?				
11.5.8 Does the Subcontractor's stores or supply program provide for proper storage of flammables?				
11.5.9 Is the Subcontractor authorized to package / handle / ship hazardous material?				
11.5.10 Does the Subcontractor document proper training for personnel to package / handle/ ship hazardous material?				

#### Section 4: Airworthiness Inspection Checklist

Item	Satisfactory			Comments
	Yes	No	N/A	
1. Examine the Subcontractor's airworthiness and registration certificates. Ensure the following items are current, available, and on file:				
1.1 Are the airworthiness and registration certificates current and valid?				
1.2 Do both certificates contain the same model, serial, and registration numbers?				
1.3 Is temporary registration current, available, and on file (if applicable)?				
1.4 Are signatures signed using permanent ink?				
2. Inspect the pallet system to ensure the following:				

2.1 Are ball mats / roller system serviceable with no broken or missing balls / rollers?				
2.2 Are forward, aft, and side restraints serviceable?				
2.3 Are roller assemblies secure with no missing or broken rollers?				
2.4 Is the 9G forward restraint net serviceable?				
2.5 Are cargo restraints for bulk loaded cargo adequate?				
3. Is cabin mounted equipment serviceable?				
3.1 Are fire extinguishers inspection due dates current and pressure provided?				