

Applicant's Information <i>(Filled by Applicant)</i>				
Name of Organisation		Click or tap here to enter text.		
ATO certificate no.		Click or tap here to enter text.		Expiry Date DD – MMM – YYYY
Type of Audit	☐ Initial Certification ☐ Renewal Certification ☐ Re-Certification ☐ Planned Surveillance ☐ Unplanned Surveillance ☐ Other (specify) Click or tap here to enter text.			
ATO Key Personnel	Accountable Manager: Name Click or tap here to enter text.		Safety Manager: Name Click or tap here to enter text.	
	Head of Training: Name Click or tap here to enter text.		Compliance Monitoring Manager: Name Click or tap here to enter text.	
	Chief Flight Instructor: Click or tap here to enter text.		Chief Theoretical Knowledge Instructor: Click or tap here to enter text.	
Coordinator Name	Click or tap here to enter text.		E-mail	Click or tap here to enter text.
CAAT Officials Use only				
Application No.		Click or tap here to enter text.		
Financial (If applicable)		☐ Invoice No. Click or tap here to enter text. Date: DD – MMM – YYYY		☐ Receipt No. Click or tap here to enter text. Date: DD – MMM – YYYY
Date of Inspection / Audit		DD – MMM – YYYY		
Auditor Team	No.	Name - Last Name	Position	Signature
	1	Click or tap here to enter text.	Click or tap here to enter text.	
	2	Click or tap here to enter text.	Click or tap here to enter text.	
	3	Click or tap here to enter text.	Click or tap here to enter text.	
	4	Click or tap here to enter text.	Click or tap here to enter text.	
	5	Click or tap here to enter text.	Click or tap here to enter text.	

Checklist Completion Instructions:

1. Choose the option from the results boxes to indicate the conclusion.
2. Indicate how it is achieved or not in "Description" section.
3. Obtain the inspectors' signatures.
4. Insert the Conclusion of Findings into the Findings Table at the End of the Checklist
5. For detailed completion guidance, refer to the CAAT-PEL-RDMSP Manual..

Sections	I	<u>Subpart ATO</u> Section I: General Section II: Additional requirements for ATOs providing training for a CPL, MPL and ATPL, and their associated ratings and certificates Section III: Additional requirements applicable to ATOs providing training of a specific type
	I+II	
	I+II+III	
	I+III	
Complex	Yes	AMC1 ORA.GEN.200(b) Management system: Size, Nature and Complexity of the activity
	No	
ORA.GEN.200 (c)	Yes	Requirements for ATOs which only provide training for an LAPL, PPL, SPL, BPL and their associated ratings and certificates
	No	

PERSONNEL		RESULTS
Appointment of key safety personnel		
SAQ – P1	Phase I Has a Safety Manager been appointed with the knowledge, know-how and experience defined by the ATO? Complex ATO: AMC1 ORA.GEN.200 (a)(1)(i) Non complexe ATO non complexe : AMC2 ORA.GEN.200(b)	Choose an item.
Description		
Appointment of key safety personnel		
SAQ – P2	Phase I Has the ATO established a direct link between the Safety Manager and the Accountable Manager? ORA.GEN.200(a)(1)	Choose an item.
Description		
Appointment of key safety personnel		
SAQ – P3	Phase II Is the neutrality of the Safety Manager demonstrated? Is he the "single focal point" of the SMS? GM1 ORA.GEN.200(a)(1)(i) ICAO DOC 9859 [Appendix 2, 6.4]	Choose an item.
Description		
Appointment of key safety personnel		

PERSONNEL		RESULTS
SAQ – P4	Phase II Does the Safety Manager perform the tasks defined in the ATO Safety Management System (SMS) manual in accordance with applicable regulations? Complex ATO: AMC1 ORA.GEN.200 (a)(1)(i) (a)(2) Non complex ATO: AMC2 ORA.GEN.200(b)(c)	Choose an item.
Description		
Appointment of key safety personnel		
SAQ – P5	Phase II Is the hierarchical level deciding on the acceptance of safety risks identified? Complex ATO: AMC1 ORA.GEN.200 (a)(1) (ii) (b)(2) Non complex ATO: AMC2 ORA.GEN.200(b)(d)	Choose an item.
Description		

DOCUMENTATION	RESULTS
Duties and Management commitment	

DOCUMENTATION		RESULTS
SAQ – D1	Phase I Has the ATO defined its safety policy clearly identifying its intentions, security objectives and philosophy? ORA.GEN.200 (a) (1) (ii)	Choose an item.
Description		
Duties and Management commitment		
SAQ – D2	Phase II Is the safety policy communicated/disseminated within the organization? Complex ATO: AMC1 ORA.GEN.200 (a)(1)(iv)	Choose an item.
Description		
Duties and Management commitment		
SAQ – D3	Phase III Is the safety policy regularly updated to keep adapted with the characteristics and activities of the ATO? Complex ATO: AMC1 ORA.GEN.200 (a)(1)(ii)	Choose an item.
Description		
Safety accountabilities		
SAQ – D4	Phase I Are safety responsibilities clearly identified? ORA.GEN.200 (a)(1) (i)	Choose an item.
Description		
Safety accountabilities		
SAQ – D5	Phase I Does the Accountable Manager have full responsibility for the SMS? ORA.GEN.200 (a) (1) (i)	Choose an item.

DOCUMENTATION		RESULTS
Description		
Safety accountabilities		
SAQ – D6	Does ATO have a Safety Review Board (SRB) in place to monitor SMS and review safety performance? Phase III Complex ATO: AMC1ORA.GEN.200 (a)(1)(i)	Choose an item.
Description		
Safety accountabilities		
SAQ – D7	Are SMS meetings chaired by the Accountable Manager? Phase III Complex ATO: AMC1ORA.GEN.200 (a)(1)(i)	Choose an item.
Description		
Safety accountabilities		
SAQ – D8	Are the organization's Post holders present at Safety Review Board (SRB) meetings? Phase III Complex ATO: AMC1ORA.GEN.200 (a)(1)(i)	Choose an item.
Description		
Safety accountabilities		
SAQ – D9	How does Safety Review Board (SRB) track SMS performance and efficiency? Phase III Complex ATO: AMC1ORA.GEN.200 (a)(1)(i)	Choose an item.
Description		

DOCUMENTATION		RESULTS
Safety accountabilities		
SAQ – D10	Phase III Is the frequency of Safety Review Board meetings (SRB) defined? How often do these meetings occur? Are participants designated? Do the minutes exist and are archived? Complex ATO: AMC1ORA.GEN.200 (a)(1)(i)	Choose an item.
Description		
Safety accountabilities		
SAQ – D11	Phase II Are the Accountable Manager and the management team informed of the risks related to the activity of the ATO? AMC1 ORA.GEN.200 (a)(1)(iv)	Choose an item.
Description		
Safety accountabilities		
SAQ – D12	Phase II How does the ATO ensure that all staff know and understand the safety policy and their own responsibilities? AMC1 ORA.GEN.200 (a)(1)(iv)	Choose an item.
Description		
Hazards identification		
SAQ – D13	Phase II Are there risk analysis and classification procedures? Complex ATO: AMC1ORA.GEN.200 (a)(1)(iii)	Choose an item.

DOCUMENTATION		RESULTS
Description		
Hazards identification		
SAQ – D14	Phase II Is there a risk mitigation procedure? Complex ATO: AMC1ORA.GEN.200 (a)(1)(iii)	Choose an item.
Description		
Safety performance and monitoring measurement		
SAQ – D15	Phase II Is there a follow-up procedure when an indicator is out of tolerance? Complex ATO: AMC1 ORA.GEN.200(a)(1)(i)	Choose an item.
Description		
Safety performance and monitoring measurement		
SAQ – D16	Phase III How often are performance indicators updated? complex ATO: AMC1 ORA.GEN.200(a)(1)(i)	Choose an item.
Description		
Coordination of ERP emergency response planning		
SAQ – D17	Phase I Is the ERP appropriate for the organization? Non complex ATO: AMC1 ORA.GEN.200(b)	Choose an item.

DOCUMENTATION		RESULTS
	Complex ATO: AMC1 ORA.GEN.200 (a)(1)(iii) (g)(1)	
Description		
Coordination of ERP emergency response planning		
SAQ – D18	Is the ERP regularly evaluated and updated? Phase III Non complex ATO: AMC1 ORA.GEN.200(b) Complex ATO: AMC1 ORA.GEN.200 (a)(1)(iii) ICAO DOC 9859 [Appendix 3, 5 c]	Choose an item.
Description		
Coordination of ERP emergency response planning		
SAQ – D19	Does the ERP include coordination with third-party organizations related to its activity? Phase III Complex ATO: AMC1 ORA.GEN.200 (a)(1)(iii) (g)(2) (iii)	Choose an item.
Description		
Management of change		
SAQ – D20	Does SMS include a change management procedure level? Phase I Complex ATO: AMC1 ORA.GEN.200 (a)(1)(iii) (d)(2)(iii) et (e)	Choose an item.
Description		

DOCUMENTATION		RESULTS
Management of change		
SAQ – D21	What criteria are considered to assess the risks associated with the changes? Phase II Complex ATO: AMC1 ORA.GEN.200 (a)(1)(iii) (d)(2)(iii) et (e)	Choose an item.
Description		
Management of change		
SAQ – D22	How are actions to mitigate the risks associated with changes monitored? Phase II Complex ATO: AMC1 ORA.GEN.200 (a)(1)(iii) (d)(2)(iii) et (e)	Choose an item.
Description		
Management of change		
SAQ – D23	Does the ATO assess the risks associated with technical, regulatory and procedural developments? Phase III AMC1 ORA.GEN.200 (a)(1)(iii) (d)(2)(iii) et (e) AMC1 ORA.GEN.200(b) ICAO DOC 9859 [2.8]	Choose an item.
Description		

RECORDS		RESULTS
Duties and Management commitment		
SAQ – R1	Phase I Are there concrete signs of commitment to security demonstrated by action? Complex ATO: AMC1 ORA.GEN.200 (a)(1)(ii), (a)(2)	Choose an item.
Description		
Occurrence reporting		
SAQ – R2	Phase I Does the organization report occurrence that need to be reported? ORA.GEN.160 (a), (b)	Choose an item.
Description		
Occurrence reporting		
SAQ – R3	Phase III Is the monitoring of occurrence reporting continuous? Complex ATO: AMC1 ORA.GEN.200 (a)(1)(i)	Choose an item.
Description		
Occurrence reporting		
SAQ – R4	Phase II Is the analysis of occurrence relevant? Complex ATO: AMC1 ORA.GEN.200 (a)(1) (iii) (c)(1) And AMC1 AMC1 ORA.GEN.200 (a)(1)(i), (a)(2)(vii)	Choose an item.

RECORDS			RESULTS
Description			
Occurrence reporting			
SAQ – R5	Phase II	Do reports of occurrence leading to mitigation actions? ORA.GEN.160 (e)	Choose an item.
Description			
Occurrence reporting			
SAQ – R6	Phase II	Does the organisation report to the competent authority and to the organisation responsible for the design of the aircraft any incident, malfunction, technical defect, exceeding of technical limitations and any occurrence that would highlight inaccurate, incomplete or ambiguous information contained in the operational suitability data or other irregular circumstance that has or may have endangered the safe operation of the aircraft and that has not resulted in an accident or serious incident. ORA.GEN.160 (b)	Choose an item.
Description			
Occurrence reporting			
SAQ – R7	Phase II	Does the organisation use the format of the event report established by the authority? ORA.GEN.160 (c)	Choose an item.
Description			

RECORDS			RESULTS
Occurrence reporting			
SAQ – R8	Phase II	Does the organisation send the report as soon as practicable and within 72 hours of the organisation identifying the condition to which the report relates, unless exceptional circumstances prevent this? ORA.GEN.160 (d)	Choose an item.
Description			
Occurrence reporting			
SAQ – R9	Phase II	Does the organisation produce a follow-up report to provide details of actions taken to prevent similar events in the future? ORA.GEN.160 (e)	Choose an item.
Description			
Hazards identification			
SAQ – R10	Phase II	Are risk analyses conducted and classified? Are they based on the use of objective risk analysis tools? Complex ATO: AMC1 ORA.GEN.200 (a)(1)(iii) and AMC1 ORA.GEN.200(a)(1)(i) (a)(2)(vii)	Choose an item.
Description			
Hazards identification			
SAQ – R11	Phase II	Do the analyses lead to mitigations? Complex ATO: AMC1 ORA.GEN.200(a)(1)(iii) (b)(1) and GM2 ORA.GEN.200(a)(1)(i)	Choose an item.

RECORDS		RESULTS
Description		
Hazards identification		
SAQ – R12	Phase III How many risk mitigation updates have been made? Complex ATO: GM2 ORA.GEN.200(a)(1)(i)	Choose an item.
Description		
Training and education		
SAQ – R13	Phase II How many SMS trainings have been conducted this year with ATO management staff (AM, HT...)? ORA.GEN.200 (a)(1)(iv) and AMC1 ORA.GEN.200(a)(1)(iv) (a)(1)	Choose an item.
Description		
Training and education		
SAQ – R14	Phase II How many SMS trainings were conducted this year with technical staff (Instructors)? AMC1 ORA.GEN.200(a)(1)(iv) (a)(1)	Choose an item.
Description		
Training and education		

RECORDS		RESULTS
SAQ – R15	Phase II How many SMS trainings were conducted this year with trainees? AMC1 ORA.GEN.200(a)(1)(iv) (b)	Choose an item.
Description		

FACILITIES		RESULTS
Hazards identification		
SAQ – F1	Phase I How does the ATO assess the risks associated with its activity? (Reactive, predictive or proactive) Complex ATO: AMC1 ORA.GEN.200 (a)(1)(iii)	Choose an item.

FACILITIES		RESULTS
Description		
Safety performance and monitoring measurement		
SAQ – F2	Phase II Has ATO defined indicators to measure the effectiveness of its SMS? Complex ATO: AMC1 ORA.GEN.200 (a)(1)(iii) (d)(1)	Choose an item.
Description		
Safety performance and monitoring measurement		
SAQ – F3	Phase II Are these indicators appropriate? Complex ATO: AMC1 ORA.GEN.200 (a)(1) (ii) (c)(3) and AMC1 ORA.GEN.200(a)(1)(iii) (d)(1)	Choose an item.
Description		
Safety performance and monitoring measurement		
SAQ – F4	Phase II Are risk alert thresholds defined? Complex ATO: GM2 ORA.GEN.200(a)(1)(i) ICAO DOC 9859 [2.12; 5.4.5] Examples in Appendix 6 to chapter 5 for flight operators.	Choose an item.
Description		
Safety performance and monitoring measurement		

FACILITIES		RESULTS
SAQ – F5	Phase II Are they based on objective values? Are they associated with the indicators recommended by SSP? (State Safety Plan) Complex ATO: AMC1 ORA.GEN.200 (a)(1)(ii) (b)(2) Non complex ATO: AMC2 ORA.GEN.200 (b) ICAO DOC 9859 [5.4.5.2]	Choose an item.
Description		
Continuous improvement of the SMS		
SAQ – F6	Phase I Does ATO implement a regular SMS internal audit procedure? Complex ATO: AMC1 ORA.GEN.200 (a)(1) (iii) (d)(2)(iv) et (f)(1)	Choose an item.
Description		
Safety performance and monitoring measurement		
SAQ – F7	Phase I Is the next SMS internal audit scheduled? Complex ATO: AMC1 ORA.GEN.200 (a)(1)(iii) (d)(2)(iv) et (f)(1)	Choose an item.
Description		
Safety performance and monitoring measurement		
SAQ – F8	Phase II Does internal audit include the risk assessment that exists in the ATO? Complex ATO: AMC1 ORA.GEN.200(a)(1)(i) ICAO DOC 9859 [5.3.80]	Choose an item.

FACILITIES		RESULTS
Description		
Safety performance and monitoring measurement		
SAQ – F9	Phase II Does the internal audit include a review of performance indicators and a review of tolerance thresholds? Complex ATO: AMC1 ORA.GEN.200(a)(1)(i) Manuel de gestion de la sécurité DOC 9859 OACI [5.3.79]	Choose an item.
Description		
Safety performance and monitoring measurement		
SAQ – F10	Phase III Does internal audit include auditing subcontractors where applicable? AMC1 ORA.GEN.205 (c) GM1 ORA.GEN.205 (a)	Choose an item.
Description		
Safety performance and monitoring measurement		
SAQ – F11	Phase I Is the internal audit report submitted to the AM? ORA.GEN.200 (a)(2)	Choose an item.
Description		
Communication on Safety		

FACILITIES		RESULTS
SAQ – F12	Phase II How is feedback disseminated to relevant staff? AMC1 ORA.GEN.200(a)(1)(iv) (b)(1)(i)	Choose an item.
Description		
Communication on Safety		
SAQ – F13	Phase II Does the ATO provide publications or circulars concerning safety subjects? AMC1 ORA.GEN.200(a)(1)(iv) (b)	Choose an item.
Description		
Communication on Safety		
SAQ – F14	Phase III How does ATO communicate feedback to its subcontractors, the authority and/or its suppliers? AMC1 ORA.GEN.200(a)(1)(iv) ICAO DOC 9859 [5.3.92; 5.3.93]	Choose an item.
Description		

Section		Findings		
		Level 1	Level 2	Observation
1	Personnel			
2	Documentation			
3	Records			
4	Facilities			
Total				

ORA.GEN.150 Findings (Classification of finding)

Level 1	A level 1 finding shall be issued by the CAAT when <u>any significant non-compliance</u> is detected with the applicable requirements, with the organisation's procedures and manuals or with the terms of approval, or certificate which <u>lowers safety or seriously endangers flight safety</u> .
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Level 2	A level 2 finding shall be issued by the CAAT when <u>any non-compliance</u> is detected with the applicable requirement, with the organisation's procedures and manuals or with the terms of an approval, or certificate which could <u>lower safety or seriously hazards flight safety</u>
OBS	Observation is opportunity for improvement, which is minor gap, mostly documented and implemented. The management system that may be weak, cumbersome, redundant, overly complex, or in some other manner, may, in the opinion of the auditor, offer an opportunity for an organisation to improve its current status. An observation is not subject to any corrective actions unless it is accepted by auditee for improvement.