

QB3

COMPLIANCE MONITORING

No	Question	Y/N	State where this is documented (Detailed location reference required or evidence attached to the form). Other comments
IR ADR.OR.D.005 (b) (11)			
1	Does the airport operator (AO) have a formal process to monitor its compliance with the relevant requirements (Parts ADR.OR and ADR.OPS and any other applicable requirements)?		
AMC1 ADR.OR.D.005 (b)(11) (a)(1)			
2	Has the basic structure of the compliance monitoring been specified, suitable to the size and complexity of the organisation's activities to be monitored, including those that have been sub-contracted?		
AMC1 ADR.OR.D.005 (b) (11) (a)(1)			
3	Has it been properly implemented, maintained and continually reviewed and improved, as necessary?		
AMC1 ADR.OR.D.005 (b) (11) (a)(1)			
4	Is there a feedback system of findings to the Accountable manager?		
AMC1 ADR.OR.D.005 (b) (11) (a)(2)			
5	Does it monitor compliance with its own procedures?		
AMC1 ADR.OR.D.005 (b) (11) (a)(2).			
6	Does it monitor compliance with: <ul style="list-style-type: none"> • Privileges of the aerodrome operator? • Manuals, logs and records? • Training standards? • Required resources? 		

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	<ul style="list-style-type: none"> Management system procedures and manuals? 		
AMC1 ADR.OR.D.005 (b) (11) (b)(1).			
7	Is there a person 'responsible' for compliance monitoring and is he/she also the Safety Manager?		
AMC1 ADR.OR.D.005 (b) (11) (b)(1).			
8	If yes to the above question. Has the Accountable Manager ensured sufficient resources are allocated for the compliance monitoring function?		
AMC2 ADR.OR.D.005 (b) (11) (a)(1)			
9	Do they have direct access to and are responsible to the Accountable Manager?		
AMC1 ADR.OR.D.005 (b)(11) (b)(2)			
10	Are audits/inspections carried out by personnel not responsible for the function/procedure, i.e. independent?		
AMC1 ADR.OR.D.005 (b)(11) (b)(3)			
11	Do those personnel have access to any part of the organisation and contracted organisation, as required?		
AMC1 ADR.OR.D.005 (b)(11) (c)(1)			
12	Does the compliance documentation include the relevant processes and procedures for the activity being audited?		
AMC1 ADR.OR.D.005 (b)(11) (C)(2)			

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13	<p>Does the documentation also include:</p> <ul style="list-style-type: none"> • Description of the organisation of the operator? • Terminology? • Specified activity standards? • Allocation of duties/responsibilities? • Procedures to ensure regulatory compliance? • The compliance monitoring system reflecting: <ul style="list-style-type: none"> ○ Audit procedures? ○ Reporting procedures? ○ Follow up and corrective action procedures and recording system? • Training syllabus? • Document control? 		
AMC1 ADR.OR.D.005 (b)(11) (d)(1)			
14	Does the AO ensure that all personnel understand the objectives laid down in the management system documentation?		
AMC1 ADR.OR.D.005 (b)(11) (d)(2)&(3)			
15	Based on the volume and complexity of the activities, is time provided to train the personnel involved in compliance management, and for briefing the remaining personnel?		
AMC1 ADR.OR.D.005 (b)(11) (d)(2)			
16	Have personnel responsible for managing the compliance monitoring received training on:		

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	<ul style="list-style-type: none"> Requirements of compliance monitoring? Manuals and procedures related to the task? Audit techniques? Reporting and recording? 		
AMC2 ADR.OR.D.005 (b)(11)(b) (paras 1 to 4)			
17	<p>Does the person allocated responsibility for the compliance monitoring have:</p> <ul style="list-style-type: none"> Adequate experience and expertise in aerodrome operations, or aerodrome maintenance, or similar area? Adequate knowledge of, and experience in safety management and quality assurance? Knowledge of the aerodrome manual; and Comprehensive knowledge of the applicable requirements in the area of aerodromes? 		
AMC1 ADR.OR.D.005 (b)(11) (e)(1)			
18	Is there a defined audit schedule to be completed during a specified calendar period?		
AMC1 ADR.OR.D.005 (b)(11) (e)(1)			
19	Has a periodic review cycle for each area been established?		
AMC1 ADR.OR.D.005 (b)(11) (e)(1)			

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20	Does the schedule allow for unscheduled audits when trends are identified?		
AMC1 ADR.OR.D.005 (b)(11) (e)(1)			
21	Are follow-up audits scheduled to verify corrective actions have been carried out, effective and completed as per policies and procedures in the Aerodrome Manual?		
AMC1 ADR.OR.D.005 (b)(11) (e)(2)			
22	<p>Within 12 months of issuance of Certificate have the following been audited:</p> <ul style="list-style-type: none"> • Management system? • Key processes? • Procedures? • Operation? 		
AMC1 ADR.OR.D.005 (b)(11)(e)(3)			
23	Beyond the first 12 months, does the AO consider the results of its safety assessments and past compliance activities to adapt the calendar period within which an audit(s) should be conducted and at intervals set out in the Aerodrome Manual?		
AMC1 ADR.OR.D.005 (b)(11)(e)(3)			
24	Is the calendar period consistent with the competent authorities oversight planning cycle (may be increased up to 36 months in co-ordination with the CAA provided there are no Level 1 findings)?		