

Self-Assessment "Compliance Verification of Q-System / Compliance Monitoring System" (according to EU-OPS 1.035 / EU-OPS 3.035)

Operator:

Date of Verification:

Auditor(s):
Specialist (s)

Purpose of this Document:

An airplane or helicopter operator has to establish a Quality System according to EU-OPS 1.035 / EU-OPS 3.035.

CAA of the Republic of Macedonia considering requirements from

- EU-OPS 1.035 / EU-OPS 3.035

- ICAO Safety Management Manual (Doc. 9859 - 2nd Ed./2009).

- EASA Notice of Proposed Amendment (NPA) No 2008-22c "Organisation Requirements"

The purpose of this self-assessment checklist is to provide a tool:

- which reflects the minimum requirements to a Quality System according to AMC-OPS 1.035 / 3.035

- to conduct a self-assessment by the operator and to take the responsibility for the compliance of the Quality System (Compliance Monitoring System)

- to have a correlation between the requirements and the operator's system

The completed form would catalyse the certification process for both parties: the operator AND the CAA.

Therefore this document should (but must not) be submitted together with the Q-System (OM A chapter 3 or separate Quality Manual) to CAA.

Topic	Relevant Standard	If N/A	Reference to Operators Q-System / Remarks
Quality (Safety) Policy and its deployment	AMC-OPS 1.035 (2.2)		
<ul style="list-style-type: none"> • Has a formal written Quality (Safety) Policy been stated? 	AMC-OPS 1.035 (2.2)		
<ul style="list-style-type: none"> • Is a list of relevant external standards / law specified, with which the company has to be compliant? 	AMC-OPS 1.035 (2.2)		
<ul style="list-style-type: none"> • Is a commitment towards continued compliance at least with JAR-OPS 1 / JAR-OPS 3, EASA Part M and JAR-FCL 1 included? 	AMC-OPS 1.035 (2.2)		
<ul style="list-style-type: none"> • Is a procedure defined to deploy this policy within the company? 	AMC-OPS 1.035 (2.2) (4.9)		
<ul style="list-style-type: none"> • Is a list of company internal standards specified? 	AMC-OPS 1.035 (3.2.1b)		
<ul style="list-style-type: none"> • Is it clearly specified whether the Q-System just covers the operations or also the continuing airworthiness management? 	AMC-OPS 1.035 (3.2)		
Document Management / Control	AMC-OPS 1.035 (3.3.2 j)		
<ul style="list-style-type: none"> • Is ensured that no contradictions occur between the Q-System and other relevant documents such as OM A, CAME, etc? 	AMC-OPS 1.035 (3.3.2 j)		
<ul style="list-style-type: none"> • Is there a concept/process for the amendment of foreign/external documents (e. g. JAR-OPS 1 / JAR-OPS 3, Swiss Air Law, etc)? 	AMC-OPS 1.035 (3.3.2 j)		
<ul style="list-style-type: none"> • Is a concept / process for EDP-Back-up concept defined? 	-		
If the Q-System is specified in a separate document:	-		
<ul style="list-style-type: none"> • Is there a statement to the effect, that a specific Quality Manual is established and utilised, instead of the Operations Manual Part A, Chapter 3, Quality System? 	AMC-OPS 1.035 (2.3)		This statement must be part of OM A, chapter 3, if Q-System is specified in separate manual
<ul style="list-style-type: none"> • Does the OM A, chapter 3, contains <ul style="list-style-type: none"> - the Q-Policy, - the list of relevant standards - the scope of the Q-System and - an overview of the Q-System and its purpose? 	AMC-OPS 1.035 (3.2)		This statement must be part of OM A, chapter 3, if Q-System is specified in separate manual

Topic	Relevant Standard	If N/A	Reference to Operators Q-System / Remarks
<ul style="list-style-type: none"> • Is there a description of the system of amendment and revision for the separate Q-Manual? 	AMC-OPS 1.035(3.3.2 i)		
<ul style="list-style-type: none"> • Is there a description of the distribution system for amendments and revisions? 	AMC-OPS 1.035(3.3.2 j)		
Company Structure / Responsibilities and Duties within the Q-System	AMC-OPS 1.035 (2.1), (2.2.2), (2.4)		
<ul style="list-style-type: none"> • Has a company structure (organigram) been established, on which the function Quality Manager is integrated? 	AMC-OPS 1.035 (2.4)		
<ul style="list-style-type: none"> • Is ensured, that the Q-Manager has direct access to the ACM and has access to all parts of the organisation including subcontractors 	AMC-OPS 1.035 (2.4.4)		
<ul style="list-style-type: none"> • Is ensured, that the Q-Manager is not one of the nominated Postholders? 			
<ul style="list-style-type: none"> • Are the duties and responsibilities of the Quality Manager defined? <ul style="list-style-type: none"> - ensures implementation and maintenance of the Quality Assurance Programme incl. audits - monitors compliance with standards and the adequacy of procedures - monitors implementation and effectiveness of corrective actions - responsible for compiling a periodical data evaluation as input to the management evaluation - supports the Accountable Manager in preparing and carrying out the management evaluation - ensures that quality assurance activities are properly documented and stored 	AMC-OPS 1.035 (2.4), (4.8)		
<ul style="list-style-type: none"> • Are the duties and responsibilities of the Accountable Manager concerning the quality system defined? <ul style="list-style-type: none"> - has overall responsibility for managing the company - ensures that all operations and maintenance activities can be financed and carried out - overall responsible for the Quality System incl. all management evaluation activities - responsible for resourcing corrective actions - creating awareness for safety and quality 	AMC-OPS 1.035 (2.1), (2.2), (4.9)		

Topic	Relevant Standard	If N/A	Reference to Operators Q-System / Remarks
<ul style="list-style-type: none"> • Are the duties and responsibilities of the Postholders concerning the quality system defined? <ul style="list-style-type: none"> - responsible for implementation of corrective action - responsible for ensuring that documentation is processed, stored and filed - conducts inspections as part of supervision - responsible for compiling a periodical data evaluation as input to the management evaluation 	AMC-OPS 1.035 (4.2), (4.8), (4.9)		
Quality Inspection	AMC-OPS 1.035 (4.2)		
<ul style="list-style-type: none"> • Is a procedure consisting of the activities, duties and responsibilities of inspectors defined? 	AMC-OPS 1.035 (4.2)		
<ul style="list-style-type: none"> • Is clearly specified, which topics/scopes (incl. the minimum frequency) have to be inspected by the relevant managers (Postholders, etc)? 	AMC-OPS 1.035 (4.2.2)		
<ul style="list-style-type: none"> • Is specified, that and how records about inspections performed have to be documented? 	AMC-OPS 1.035 (4.2)		
<ul style="list-style-type: none"> • Is specified, that and how corrective actions have to be documented, initiated and monitored for implementation and effectiveness 	AMC-OPS 1.035 (4.8)		
<ul style="list-style-type: none"> • Are the qualification criteria for inspectors specified? 	AMC-OPS 1.035 (4.5)		
<ul style="list-style-type: none"> • Is a list of inspectors established? 	AMC-OPS 1.035 (4.5)		
Quality Audit	AMC-OPS 1.035 (4.5) to (4.7)		
<ul style="list-style-type: none"> • Is a procedure consisting of the activities, duties and responsibilities of auditors defined? Does this procedure consist of responsibilities and criteria for planning, preparation, conduction and documentation of audits? 	AMC-OPS 1.035 (4.3)		
<ul style="list-style-type: none"> • Does the audit concept ensure hat the JAR-OPS / JAR-OPS-required scopes are covered by audits? 	AMC-OPS 1.035 (4.6) OPS 1.873 (d) / TGL 10 TGL 36		
<ul style="list-style-type: none"> • Is specified that all the scopes have to be audited at least within 12 months? 	AMC-OPS 1.035 (4.7)		

Topic	Relevant Standard	If N/A	Reference to Operators Q-System / Remarks
<ul style="list-style-type: none"> Does the process consider changes in regulatory requirements, organisation and activities of the company as well as negative trends? 	AMC-OPS 1.035 (4.7)		
<ul style="list-style-type: none"> Is the independency of the Auditor(s) guaranteed? 	AMC-OPS 1.035 (4.5)		
<ul style="list-style-type: none"> Are the qualification criteria for auditors specified? 	AMC-OPS 1.035 (4.5)		
<ul style="list-style-type: none"> Is a list of auditors established? 	AMC-OPS 1.035 (4.5)		
<ul style="list-style-type: none"> Is a categorisation established to classify findings according to their severity (level 1 and level 2)? 	EASA Part M (M. A. 716)		
<ul style="list-style-type: none"> Is specified, that and how corrective actions have to be documented, initiated and monitored for implementation and effectiveness? 	AMC-OPS 1.035 (4.8)		
Feedback System	AMC-OPS 1.035 (3.3.2)		
<ul style="list-style-type: none"> Is there a Feedback System established, to ensure that employees identify, promptly address any non-compliance or discrepancy to the responsible person? 	AMC-OPS 1.035 (3.3.2)		
<ul style="list-style-type: none"> Is specified, that and how corrective actions have to be documented, initiated and monitored for implementation and effectiveness? 	AMC-OPS 1.035 (4.8)		
Subcontractors	AMC-OPS 1.035 (5)		
<ul style="list-style-type: none"> Is a concept defined how and by whom the different kind of subcontracted services/products are monitored? 	AMC-OPS 1.035 (5)		
<ul style="list-style-type: none"> Is this monitoring concept suitably tailored to complexity of the operator and its operations to reduce the risks? 	AMC-OPS 1.035 (5)		
<ul style="list-style-type: none"> Is - by means of this concept - ensured that the ultimate responsibility for the product/service bought-in remains at the operator? 	AMC-OPS 1.035 (5)		
<ul style="list-style-type: none"> Are written agreements for all subcontracted activities, clearly defining the safety related services and quality to be provided? 	AMC-OPS 1.035 (5)		
<ul style="list-style-type: none"> Is there a procedure in place to ensure that the sub-contractor / subcontracted facility have the necessary authorisation / approval (if required)? 	AMC-OPS 1.035 (5)		

Topic	Relevant Standard	If N/A	Reference to Operators Q-System / Remarks
<ul style="list-style-type: none"> Is specified, that and how corrective actions have to be documented, initiated and monitored for implementation and effectiveness, if any subcontracted service fall below requirements? 	AMC-OPS 1.035 (5)		
Corrective Actions	AMC-OPS 1.035 (4.8)		
<ul style="list-style-type: none"> Is there a system of monitoring corrective / preventive actions (closing loops) including actions to be taken if actions are not completed within the allocated time scale? 	AMC-OPS 1.035 (4.8)		
<ul style="list-style-type: none"> Is there a tool (or several tools) mentioned and in use to track the actions? 	AMC-OPS 1.035 (4.8)		
<ul style="list-style-type: none"> Previews the concept that all corrective /preventive actions have to be documented and that they are traceable? 	AMC-OPS 1.035 (4.8)		
<ul style="list-style-type: none"> Is a process defined through which the Quality Manager can monitor the implementation of corrective / preventive actions? 	AMC-OPS 1.035 (4.8)		
<ul style="list-style-type: none"> Is a process specified reflecting how the Quality Manager provides management with an independent assessment and evaluation of the effectiveness of the implementation and completion of corrective / preventive actions? 	AMC-OPS 1.035 (4.8)		
Management Evaluation	AMC-OPS 1.035 (4.9)		
<ul style="list-style-type: none"> Are the criteria for the management evaluation defined by the Accountable Manager? 	AMC-OPS 1.035 (4.9)		
<ul style="list-style-type: none"> Are the frequency, format and structure of the management evaluation defined? 	AMC-OPS 1.035 (4.9)		
<ul style="list-style-type: none"> Do the criteria allow an evaluation of the overall effectiveness of the organisation with regard to flight operations, ground operations, training, maintenance, flight safety and quality assurance? 	AMC-OPS 1.035 (4.9)		
<ul style="list-style-type: none"> Is the achievement of annual goals evaluated and are new goals defined based on the review? 	AMC-OPS 1.035 (4.9)		
<ul style="list-style-type: none"> Are all the relevant Managers (Accountable Manager, Postholders, Q-Manager, Flight Safety Officer) requested to perform a data evaluation in their fields of activity? 	AMC-OPS 1.035 (4.9)		

Topic	Relevant Standard	If N/A	Reference to Operators Q-System / Remarks
<ul style="list-style-type: none"> Does the concept request that conclusions, actions and recommendations resulting from the management evaluation are documented and monitored for implementation? 	AMC-OPS 1.035 (4.9)		
<ul style="list-style-type: none"> Is ensured that the responsible Postholders / responsible managers are informed about the results in order to take action? 	AMC-OPS 1.035 (4.9)		
Recording	AMC-OPS 1.035 (4.10)		
<ul style="list-style-type: none"> Is specified which company specific records resulting from the Q-System have to be stored? 	AMC-OPS 1.035 (4.10)		
<ul style="list-style-type: none"> Does this concept include the relevant responsibilities and place of storage? 	AMC-OPS 1.035 (4.10)		
<ul style="list-style-type: none"> Is a minimum storage period of 5 years defined? 	AMC-OPS 1.035 (4.10)		
Quality System Training	AMC-OPS 1.035 (6)		
<ul style="list-style-type: none"> Is there a training concept in place, to ensure that all employees - Quality Manager, Postholders, Operations Personnel and other personnel - are aware of their responsibilities within the Quality System? 	AMC-OPS 1.035 (6)		
<ul style="list-style-type: none"> Does this concept consist of initial and recurrent training? 	AMC-OPS 1.035 (6)		
<ul style="list-style-type: none"> Does the concept request that training records have to be established? 	AMC-OPS 1.035 (6)		
Size and Comple1ity of the Organisation	AMC-OPS 1.035 (7)		
<ul style="list-style-type: none"> Is the scale and comple1ity of operation taken in consideration according to the requirements, whilst lining up the organisation? 	AMC-OPS 1.035 (2.4.5), (7)		
Interfaces to other Manuals	AMC-OPS 1.035 (7)		
<ul style="list-style-type: none"> Is ensured that no contradictions e1ist between the Q-System (specified in OM A, chapter 3, or in a separate manual) and other manuals (CAME) or OM A chapters? 	JAR-OPS 1.1045 a EASA Part M		

C. Compliance Statement

I herewith confirm correctness of this **Q-System / Compliance Monitoring System** and that this Q-System complies with the EU-OPS 1 1.035 and inspection requirements of the CAA of the Republic of Macedonia for the Implementation previously approved by the CAA. I understand and accept that any false claims identified by CAA during their subsequent review / inspection may lead to legal action.

(For official use only)
CAA Acceptance:

Name:	Signature	Organisation:	Date:
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Signature:

Date: