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NAA – Using Checklists

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CAA International, part of the UK Civil Aviation Authority

The aim of this session is to provide guidance for the criteria and procedures for National Authorities (CAA) to follow focusing on the need to show sufficient objective evidence of work performed during any audit/inspection, using a structured checklist.

ICAO – Origin of the Requirements



- ICAO USOAP contains several PQ's which contain the requirements for checklists to be created/used.

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References
8.091	Does aerodrome certification staff track compliance with the initial certification requirements using appropriate checklists?	Review the checklists used for initial certification to confirm effective implementation.	PANS Doc 9981 2.3.2.3, 2.3.2.6, App. 1 to C2 & Att. C to C2 GM Doc 9734 Part A, C3 Doc 9774 4.1.2, 4.4 & 5.2
CE-6			

ICAO – Origin of the requirements



- ICAO USOAP contains several PQ's which contain the requirements for checklists to be created/used.

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	P-PQ	Area	Name	Yes/No
8.169	Are checklists provided to and used by aerodrome inspectors during inspections of aerodrome physical characteristics, facilities, operational services, <u>equipment</u> and installations?	1) Review checklist or other method of documenting compliance. 2) Confirm use of developed checklist or other method of documenting compliance.	PANS Doc 9981 2.3.2 & App. 1 to C2, Section 1 GM Doc 9774 4.4				Yes
CE-5							

What is a Checklist



- A list of items required, things to be done, or points to be considered, used as a reminder
- All items of a checklist must be traceable back to the regulation being audited, either directly to the paragraph/part of the requirement, or through the procedures of an approved organisation.

Advantages of Checklists



- Everyone forgets things and makes mistakes. Checklists help us to remember what we need to do
- Everyone you can follow a checklist serially, which helps you complete what needs to be done
- You can adapt the list to your own circumstances and psychology
- A checklist helps you to be specific and more accurate
- Checklists provide structure to an audit
- Efficient time management
- Checklists make it easy to delegate tasks

Disadvantages of Checklists



- Checklists make it easy to delegate tasks.
- Checklists are produced by people and so are likely to be incomplete.
- Some people find long checklists demotivating or distracting.
- Checklists can lull you into a false sense of security, and prevent you seeing the big picture, asking why, or thinking about the causes of problems.
- Checklists don't tell you whether the organisation will achieve its goals.

Using Checklists



- Checklists provide a basis to ensure compliance
- Build on this by looking at performance
- Read the manuals and procedures
- Look at past results and reports
- Build your questions as required
- Take notes – they are your evidence
- BUT – don't become too reliant on checklists

Compliance Checklist



- Aim to ensure that you can confirm the organisation's compliance (with IRs and AMCs being used if applicable)
- Consider how compliance is achieved
- Suitable for the size and type of aerodrome?
- Alt MOC?
- Has it been approved/is it effective?
- What else do we need to do?

Performance Checklist



- Compliance may be achieved but performance needs to be considered as well.
- Performance shows how well the organisation is doing, e.g:
 - What data does the aerodrome produce?
 - Runway and apron safety, birdstrikes, leading indicators
 - How is it doing compared to others?
- Enables a more detailed and focused look.
- Requires you to talk to people.



- **Where can you find questions to create checklists.**
 - The requirement (EASA IRs and AMC are helpful)
 - ICAO documents (SARPs and PANS)
 - Aerodrome manual
 - Aerodrome operating procedures
 - Aerodrome reports – e.g. periodic safety reviews
 - Results of previous audits

Exercise – Creating Checklists



Requirement – Runway Safety

- The aerodrome operator must establish, implement and lead a runway safety (including incursion and excursion prevention) programme, to promote safety including the exchange of safety-relevant information.
- The aerodrome operator must encourage organisations operating at the aerodrome to be involved in the programme.

Exercise – Creating Checklists



1. Draft questions to test compliance with the requirement.

Exercise – Examples of Compliance Questions



1. Has the aerodrome operator established Local Aerodrome Safety Committees and a Local Runway Safety Team (LRST)
2. Do these Committees/Teams convene regularly?
3. Do the meetings identify and review local safety issues, examine possible solutions and record emerging actions?
4. Has the aerodrome operator developed procedures for such programmes which are included in the Aerodrome Manual?
5. Has the aerodrome operator identified any HOT SPOTS?
6. Have suitable strategies been implemented to remove the hazard or mitigate the risk (incl. publication in the AIP)?

Exercise – Creating Checklists



2. Draft questions to test the aerodrome's performance.

Exercise – Examples of Performance Questions (1)



- What standing agenda items are included in the LRST, relating to the prevention of runway incursions and excursions?
- What reviews are made of the Terms of Reference and any resulting procedures – when and who by?
- Who attends the LRSTs? Are all key stakeholders involved? Do they have a slot on the agenda?
- What notes Please provide evidence that the notes from the LRST meetings are kept? What recent actions have been taken? Are the meetings producing useful output?
- Are actions resulting from any of the Safety Meetings taken forward until conclusion, including a system of tracking?
- What aerodrome safety procedures are relevant to the function of the LRST? How often are they reviewed by members of the LRST?
- What HOT SPOTS have been identified and what strategies/mitigation has been applied?

Exercise – Examples of Performance Questions (2)



- What actions have been taken as a result of the recommendations made in EAPPRI and EAPPRE? Review the action plan.
- For aerodromes that have stop bars, are they used 24/7?
- What are the main mitigations provided by the aerodrome to prevent incursions/excursions?
- Have aerodrome charts used by aircraft operators been checked to identify any potential errors?
- What Safety Performance Indicators are there relating to runway incursions and excursions?
- What trends have been identified?
- Is your LRST consulted prior to works starting (to review runway incursion implications)?
- What local runway safety awareness campaigns have taken place

Exercise – Examples of Performance Questions (3)



- Has the LRST reviewed the aerodrome AIP entry for accuracy?
- Have you provided specific joint training and familiarisation in the prevention of runway incursions and excursions
- Is data routinely collected regarding all runway incursion/excursion incidents?
- Is that data reviewed so that causal and contributory factors can be identified?
- Is that data reviewed specifically by the LRST?
- Is that data shared with operational staff so that lessons can be learned?
- Does your LRST participate in or review risk assessments regarding procedural and/or infrastructural changes on the manoeuvring area?
- What runway safety training packages? See material.

Exercise – Creating Checklists



Requirement – 9.4 Wildlife Strike Hazard Reduction

- 9.4.1 The wildlife strike hazard on, or in the vicinity of, an aerodrome shall be assessed through:
 - a) the establishment of a national procedure for recording and reporting wildlife strikes to aircraft;
 - b) the collection of information from aircraft operators, aerodrome personnel and other sources on the presence of wildlife on or around the aerodrome constituting a potential hazard to aircraft operations; and
 - c) an ongoing evaluation of the wildlife hazard by competent personnel.

Exercise – Creating Checklists



1. Draft questions to test the aerodrome's wildlife compliance.
2. Draft questions to test the aerodrome's wildlife performance.

UK CAA – Examples of Checklists



■ SMS Evaluation

- [\\Lgwcaafas01\srgpub\CAAi Training Material\Aerodrome Operations\Aerodrome Certification EASA Madrid Oct 2024\Course Admin\Supporting Documents\SMS gap-analysis-tool \(complex\).docx](\\Lgwcaafas01\srgpub\CAAi Training Material\Aerodrome Operations\Aerodrome Certification EASA Madrid Oct 2024\Course Admin\Supporting Documents\SMS gap-analysis-tool (complex).docx)

■ UK Audit Question Banks

- https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/Certification%20Course/EASA%20Course/Compliance%20QB13%20Wildlife%20Management.docx

■ Performance checklist

- https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/Certification%20Course/EASA%20Course/QB13%20%20Wildlife%20v1%20Performance.docx

■ Audit checklist

- https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/Certification%20Course/EASA%20Course/Airport%20Audit%202023%20OPS%20Items.docx

■ Audit checklist and notes

- <\\Lgwcaafas01\srgpub\CAAi Training Material\Aerodrome Operations\Aerodrome Certification EASA Madrid Oct 2024\Course Admin\Supporting Documents\2023 EMA Audit OPS Items and Notes.pdf>

- Notes are your evidence:
 - Record of what you have seen and reviewed
 - Show that you have covered the areas you wanted to cover
 - Include what you have seen and what you think
 - Important to write notes as you progress to avoid bias or forgetting
 - May be used in internal audits or investigations

Summary



- Checklists show what you have looked at
- Checklists are useful but be ready to go beyond – don't be afraid to follow leads if you see something you are not happy with.
- Take notes to show evidence



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Thank you Any Questions?

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