

IBAC Decision	Date:		Initials:		Decision:	
Registration	Stage:		Period:		Expiration Date:	

IS-BAO 20th Edition Audit Forms

Note: To use these forms, first fill in the Initial Questionnaire tab and run the corresponding macro in cell C44 of that tab. In case of issues, please contact isbaoauditmanager@ibac.org for assistance.



Operator: _____

Address: _____

City/State: _____ Country: _____

Date: _____

Evaluation Objective: _____

IS-BAO 20th Edition Excel Protocols - version 1.0 - Released January 01, 2022

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GUIDANCE ON THE USE OF THESE PROTOCOLS

This file is the official file for reporting audits conducted with the purpose of registration of an organization in the IS-BAO Programme. Submission of the audit report to IBAC for registration consideration shall be done in the .xlsm format - no other formats (e.g., pdf) are acceptable.

This file is password protected so as to ensure its integrity for integration of the report's data into IBAC database once the report is submitted to IBAC, but all the fields requiring information from the user are editable. As such, unprotecting the workbook or any of its worksheets would result in a corrupted file which cannot be accepted by IBAC. Initially, columns G and BB of each protocol chapter are editable so that the operator can provide the applicable Document References and add any Notes. Once the Initial Questionnaire macro is ran, columns F and H of each protocol chapter become editable so that the auditor can add the appropriate assessment and evidence of implementation.

This sheet presents guidance on the use of this file so that the user can make the best possible use of this file and the tools embedded in it. Please read before using the file, and if any questions remain please contact the IS-BAO Audit Manager (isbaoauditmanager@ibac.org) for assistance.

1 - WORKBOOK STRUCTURE

The protocols are divided in several sheets, each one with a particular purpose. A brief description of each one is presented below.

1) Cover Page - which is for IBAC Use Only. This sheet is protected so that no information can be manually entered by the user. All information contained in this sheet is automatically imported from fields in other sheets of the protocols. Upon completion of the audit review by IBAC, this worksheet will also display the information related to the final decision from IBAC regarding the organization's registration in the IS-BAO Programme.

2) Guidance - this sheet brings instructions on the use of this file. Further down, a box with the highlights of changes made to the current version of the protocols is also provided.

3) Initial Questionnaire - this sheet brings a few questions on aspects related to the organization, followed by a link to run a macro. This macro automatically configures the other pages of the protocols with answers to items that are commonly assessed Not Applicable (N/A), in accordance with the answers to these questions provided by the user. Such items are then hidden from view so that only the applicable questions are displayed.

4) Audit Summary and Organization Summary – these sheets provide a brief summary of the audit, including the auditor's recommendation for registration, and a brief summary of the organization itself. The Audit Summary must be filled in by the auditor. The Organization Summary can be filled in by the auditor, but ideally it should be filled in by the organization during the pre-audit phase.

5) Chapters 3 through 15 – these sheets present the actual protocol questions related to each standard and recommended practice in the IS-BAO. Each item in each one of these sheets must be completed prior to submission of the report to IBAC. Details on how to fill these sheets is presented in the section “Answering the protocol questions” below.

6) OTAR Appendix – this sheet presents the questions related to the OTARs that are not covered by the IS-BAO Standard. This sheet must be completed when the operator uses the IS-BAO for regulatory compliance with the OTARs; in these cases, each item in this sheet must be completed prior to submission of the report to IBAC. Details on how to fill this sheet is presented in the section “Answering the protocol questions” below.

7) Finding Form – this sheet lists all the nonconformities raised against Standards. Details on how to fill these sheets is presented in the section “Completing the Finding Form” below.

8) Recommended Practices – this sheet lists all the nonconformities raised against Recommended Practices. No action on this sheet is necessary; it is provided as a repository of all comments and recommendations that might have been provided by the auditor regarding these recommended practices.

9) Tools – this sheet brings links to run macros that can be useful to the user. A description of these tools is presented in the section “Using the Tools in this Spreadsheet” below.

10) Statistics – this sheet provides a table and graphs regarding the level of conformance of the organization with the Standards and Recommended Practices of the IS-BAO. No action on this sheet is necessary; it is provided as a tool that might be useful for the organization in its internal assessments or reporting to upper management.

2 - ANSWERING THE PROTOCOL QUESTIONS

All items in the protocols present a notation in column E - "DR"; "EI"; or "DR EI". "DR" stands for Document Reference, and requires that a document reference be provided in column G of the protocols for each item assessed to be in conformity ("Yes"). "EI" stands for Evidence of Implementation, and requires that comments on the evidence of implementation collected during the audit be included by the auditor in column H of the protocols for each item assessed to be in conformity ("Yes"). "DR EI" requires both columns G and H to be filled in according to the above.

During the pre-audit phase, organizations shall fill in column G of these sheets with the references to where, in the organization's manuals, the auditor can find the description of the policies, processes or procedures required by each protocol question (all items displaying "DR" or "DR EI" in column E require a document reference in column G). Additional notes may be added in column BB if the organization so wishes - noting that that column will be disregarded by IBAC during the audit review process. Columns F and H should not be filled in by the organization.

Before and during the audit, the auditor will validate the appropriateness of the document references provided by the organization and make any changes to the references he/she deems appropriate. The auditor will also fill in column F indicating whether the organization conforms (Yes) or does not conform (No) with the standard or recommended practice, or whether the item does not apply to the organization (N/A).

The auditor will also fill in column H with the following information as a minimum:

- **For items assessed Yes**, if column E displays "EI" or "DR EI", the auditor must include a comment detailing the methods used during the audit to validate that the standard or recommended practice is indeed implemented by the organization. In chapter 3 protocol questions, these comments must be complemented with substantive auditor evidentiary comments and/or examples to validate SMS performance, in accordance with APM 5.2.3. Additionally, where specifically requested in the audit protocols via a note to the protocol question, these comments must be complemented by the examples or information requested via the note. The auditor may, if he/she so wishes, also add comments describing the operator's policy, process or procedure or providing recommendations to the organization. Refer to APM 4.7.3 for more information.

- **For items assessed No**, the auditor shall include a description of the nonconformity that was identified. In cases where the nonconformity is remediated onsite, the auditor will also add comments describing how the item was remediated onsite – it must be noted that an item can only be considered remediated onsite when the aspects of documentation, implementation and communication/training to affected personnel (as appropriate to the characteristics of the nonconformity at hand) are adequately completed during the onsite portion of the audit. Refer to APM 4.7.4 for more information.

- **For items assessed N/A**, the auditor shall include a valid rationale clarifying the reason(s) why the item does not apply to the organization. Each item assessed N/A must have the corresponding rationale included in column H, even if the rationale was already provided for another item. Use of the Initial Questionnaire (referred to above) might assist the user on this. It should also be noted that in cases

where the organization could have but has chosen not to conform with a standard or recommended practice, the item should be assessed No rather than N/A. Refer to APM 4.7.5 for more information.

Finally, the auditor may use column BB to add notes that might be useful to the auditor during preparation for or conduct of the audit. However, it must be noted that that column will be disregarded by IBAC during the audit review process and all their contents will be removed prior to acceptance of the report by IBAC. As such, all the information necessary for acceptance of the report must be provided by the auditor in columns F, G and H of each protocol chapter.

Cell K2 of each sheet presents a flag indicating whether all fields in that sheet for which information is required have been completed. That field will display an indication of the type of information that is missing (Assessment; Rationale for N/A; Document Reference; Evidence of Implementation; and/or Evidence of Nonconformity) and the flag will be coloured Red. Once all the required fields have been completed, the flag will display the text "Worksheet Complete" and its colour will be changed to Green. Auditors shall ensure that the flags in all sheets indicate the worksheet is complete prior to submitting the report to IBAC.

By the end of each sheet, there is an open text box which can be used by the auditor to provide any additional information he/she might deem appropriate.

In the particular case of chapter 3, there is also an additional text box that shall be used by the auditor on Stage 3 audits to provide comments on the evidence observed onsite that the organization presents (or not) the safety cultural attributes of a Stage 3 organization described in the Audit Programme Manual.

As a final note, the protocols are formatted for adequate visualization, and also count with conditional formatting features to visually assist the user in filling the protocols. However, the use of copy+paste may affect the spreadsheet's formatting configuration. It is recommended to always use the Paste Special > Values (or Text) function of Excel, instead of the regular Paste function, which accomplishes the copying of the text without impacting the formatting of the affected fields of the spreadsheet.

3 - COMPLETING THE FINDING FORM

The spreadsheet's logic automatically transfers the details of nonconformities provided by the auditor for those Standards assessed "No" to the Finding Form. By the end of the audit, the auditor must fill in column F of each item in this form indicating whether the nonconformity was corrected onsite or not. For those items corrected onsite no further actions are necessary as the details of the remediation are provided in the protocol itself, right after the description of the nonconformity, and are therefore displayed in column E of the Finding Form.

For those items that were not corrected onsite, the operator shall provide the auditor with a Remedial Action Plan and a date in which they expect the RAP will have been completed. The RAP and the expected completion date, as well as the name of the organization's manager responsible for its implementation, shall be included in columns H through L of the Finding Form. In column M, the auditor will register his acceptance, or not, of the RAP to remediate the finding. It is important to note that the RAP must be a plan for what the organization intends to do to remediate the finding, and acceptance of the RAP by the auditor should be obtained prior to actual implementation of the RAP so that the organization receives validation from the auditor that the plan adequately addresses the issues that have been identified.

The auditor will then follow-up periodically with the organization on the actual implementation of the RAPs. Once the organization provides the auditor with acceptable evidence that the RAP has been implemented and the auditor is satisfied that the finding has been adequately remediated, the auditor will include the date of the follow-up, his/her acceptance of the evidence of implementation provided by the organization, and a description of the evidence observed, in columns O through S of the Finding Form.

4 - USING THE TOOLS IN THIS SPREADSHEET

The “Tools” worksheet provides the user with some functionalities that are either disabled due to the password protection of the file, or that are provided by IBAC for improved usability of the file. The following functions are available:

- 1) Spell Check** - the native Spell Check of Excel is disabled when the file is protected. To work around this fact and provide user with the ability of running a spell check in the report, this macro enables Excel’s native Spell Check for the editable fields of the protocols.
- 2) Search and Replace** – likewise, the native Find and Replace function of Excel is disabled when the file is protected (the Find function only will work normally). This macro reproduces the Find and Replace function by finding a text (inserted by the user in cell D11 of the Tools worksheet) in all editable fields of the protocols and replacing it with the text inserted by the user in cell D12 of the Tools worksheet.
- 3) Unlock Cells** – although all fields requiring information from the user are editable, organizations and auditors have reported situations in which one or more of such fields become locked after inserting text into them. This issue has been observed occasionally, however its root cause is still unknown. To work around this issue, the user can run this macro, which will make sure that all fields which are supposed to be editable are indeed unlocked. If this routine does not solve the issue, please contact the Audit Manager.
- 4) Export Audit Summary and Finding Form** – this routine exports the referenced 2 sections of the protocols file to individual, unprotected files. These files will be saved by the routine in the same folder in which the protocols file itself is saved. These files can then be provided by the auditor to the organization during the closing meeting as required by the Audit Programme Manual, even if the rest of the protocols is not yet completed.
- 5) Import data from another XLS Protocols file** – this routing allows for an automated way of importing data from another XLS protocols file. This can be very useful for audit teams and for transferring data to a clean file in the case where the original formatting has been lost, among other situations. For further details on how to use this function, please contact the Audit Manager.
- 6) Organize Views** – this routine resets the zoom in all the sheets in the file so that they all are set to 100% (except for the Finding Form and Statistics sheets, which are set to 70%).

HIGHLIGHTS OF CHANGE

Changes incorporated in version 1.0 of the IS-BAO 20th Edition XLS Audit Protocols

The original version of the IS-BAO 20th Edition XLS Protocols, developed in accordance with the 20th Edition of the IS-BAO Standards, follows the same structure of the 2018 Protocols, with the following changes:

1. The questions have been updated to the 20th Edition of IS-BAO. As a result, the following questions were updated:

- Added note to 3.1.1.S1k
- Removed EI requirement from 3.1.2.S1f
- Removed the requirement for "documented" evidence from 3.1.2.S2c, 3.2.1.S2e/S3b, 3.3.3.S3a, 3.4.1.S3a
- Replaced question 3.2.1.S1f and added corresponding S2 question, 3.2.1.S2b; as a result, renumbered previous questions 3.2.1.S2b/S2c/S2d to 3.2.1.S2c/S2d/S2e respectively
- Removed previous questions 3.3.1.S3c, 3.3.2.S1d, 3.3.2.S3a, 3.4.1.S3b
- Added new questions 3.3.2.S3a, 4.2.2 (H), 8.1.3.1.c.ix, 13.2.6.4 (H), 13.2.6.5 (H), 13.6.5.1 (H), 13.7.3, 13.7.4
- Elevated previous Recommended Practice 7.6.1 to a Standard
- Consolidated previous questions 8.2.1 and 8.2.2 in a single question, 8.2.1; as a result, renumbered previous questions 8.2.3 and 8.2.4 to 8.2.2 and 8.2.3 respectively
- Moved previous question 15.2.3.3 to chapter 9 (9.1.3); Renumbered previous question 9.1.3 to 9.1.4
- Consolidated previous questions 11.1.1.a/b in a single question, 11.1.1
- Consolidated previous questions 11.2.1.a/b in a single question, 11.2.1
- Moved previous question 12.2.1.e to its own standard, 12.2.1; renumbered and consolidated previous questions 12.2.1.a through d in a single question, 12.2.2.
- Removed "night" from 13.2.2.2
- Renumbered previous question 13.2.4.1.b to 13.2.4.2. Consolidated previous questions 13.2.4.1 and 13.2.4.1.a in a single question, 13.2.4.1
- Changed 13.2.12.1 to apply to domestic operations as well
- Changed 13.7.1 and 13.7.2 so that they only apply to fixed-wing aircraft operations
- Updated 15.1.8.1 to reflect the new standard. As a result, consolidated previous questions 15.1.8.1.a/b in a single question, 15.1.8.1
- Updated wording of questions 3.2.1.S2a, 3.2.1.S2d, 3.2.1.S3c, 3.3.1.S2e, 3.3.2.S1c, 3.3.2.S2c, 4.1.4.k, 7.5.2, 7.8.1, 8.1.3.1.c.i, 8.1.3.1.c.ii, 8.1.4.2.a.i, 8.1.5.1, 8.2.2, 8.2.3, 11.2.1, 12.1.2, 12.1.3, 13.1.2, 15.3.1.1

2. The Initial Questionnaire is now mandatory, and the assessment and EI columns of the protocol chapters only become editable once the Initial Questionnaire is completed and the corresponding macro is ran.

3. The Operator Summary was updated to include a confirmation on whether the operator has accessed the current version of the Standard prior to the audit; a question on whether the operator has used the services of a consultant in preparation for the audit; and the indication of any staff members of the operator who have attended the IS-BAO workshops.

4. New fields have been added to the Audit Summary, to account for FS1 and PS3 audits; for the lead auditor to indicate which auditor from the audit team is responsible for the assessment of each one of the protocol chapters; and for the lead auditor to provide additional comments on their recommendation for registration (stage and period).

5. A new column was added in column BB of each one of the protocol chapters for operators and auditors to add Notes in preparation for or during the conduct of the audit. Such notes are not considered part of the report submitted to IBAC and will be erased prior to acceptance of the report by IBAC. A new routine was added to the Tools tab for auditors that may wish to clear all Notes fields prior to submission of the report to IBAC.



6. An additional column was added to the finding form, reproducing the protocol question related to the nonconformity, for ease of reference.

INITIAL ASSESSMENT REGARDING APPLICABILITY OF IS-BAO STANDARDS

Fill out the form below and click the hyperlink at the bottom of this page to pre-configure the IS-BAO protocols according to the auditee's characteristics.

Audit	
1	Audit Stage:
Organization	
2	Number of operating bases:
3	Composition of the operator's fleet:
4	Is the operator engaged in commercial or noncommercial operations?
5	Does the operator perform Aircraft Management activities?
Maintenance	
6	Has the operator partially or totally outsourced their maintenance control system?
7	Does the organization perform internally any maintenance or servicing tasks, to include elementary/preventive maintenance?
8	Does the organization outsource the actual execution of some or all maintenance inspections/tasks to Approved Maintenance Organizations (AMOs)
9	Does the organization procure spare parts and/or materials for use or inventory?
Personnel	
10	Are any flight operations conducted with a pilot second-in-command?
11	Does the organization operate aircraft for which Flight Attendants are required by the State of Registry?
12	Does the organization operate with personnel performing duties in the cabin of any aircraft for which Flight Attendants are NOT required by the State of Registry?
13	Does the organization use any other personnel or task specialists (such as loadmasters, EMS medical teams, observers, etc.) who are assigned to perform duties onboard an aircraft during flight time or provide operational ground support?
14	Does the operator employ any flight coordinators, schedulers or dispatchers?

Types of operations	
Does the operator perform:	
15	<i>(Reserved)</i>
16	Single-pilot operations?
17	International operations?
18	Operations over international (non-sovereign) airspaces?
19	Operations above 10,000ft?
20	Overwater helicopter operations in hostile environment conditions?
21	Operations subject to emissions charges, fees or purchase of credits related to Market-Based Measures regulations (e.g. Emissions Trading Schemes)?
Does the operator have authority for or otherwise perform/use:	
22	Operations in airspaces where CNS requirements exist (such as PBN, HLA, RVSM, CPDLC or ADS B/C)?
23	CAT II and/or III operations?
24	Transportation of Dangerous Goods?
25	Extended Diversion Time Operations (EDTO)? Note: EDTO are also referred to as ETOPS in some documents
26	Any type of Electronic Flight Bags (EFB)? Note: Refer to Chapter 14 Guidance for information on what constitutes EFB for the purposes of IS-BAO.
Use of IS-BAO for regulatory compliance	
27	Does the operator have aircraft registered in the OTAR region for which they use the IS-BAO for regulatory compliance with the UK OTAR Regulations ?

Note: To clear all applicability configuration, leave all fields above blank and click the hyperlink at cell C44 below.

[Configure IS-BAO Protocols according to the answers above](#)

Operator Summary

Contact Information				
Company Name:				
Address:				
City:		State:		Country:
Primary Contact:				
Position:		Phone:		
E-mail:		Cell:		
Alternate Contact:				
Position:		Phone:		
E-mail:		Cell:		

Operator Data			
Type of Operations Conducted:			
<input type="checkbox"/> Non-Commercial <input type="checkbox"/> Commercial	<input type="checkbox"/> Aircraft Management Companies <input type="checkbox"/> Other		
Total Number of Fixed-Wing Aircraft		Total Number of Aircraft Operated	0
Total Number of Rotor-Wing Aircraft		Total Number of Personnel	
Total Number of Airship			
Types of Aircraft Operated:			
State(s) of Registry of Operator Aircraft:			
Home Operating Base:			
Additional Operating Bases:			
	Does the organization hold a valid access to the Standard?		
	Has the organization accessed the current edition?		
	Did the organization use a consultant/facilitator in preparation for the audit?		
Organization representative(s) who attended the IS-BAO Workshops			
Name of the Representative(s):			
	Workshop Date:		

Please provide information on any significant internal or external events that impacted the organization in the last 2 years

List of Operator Manuals				
Ref.	Name	Acronym	Rev. Number	Rev. Date
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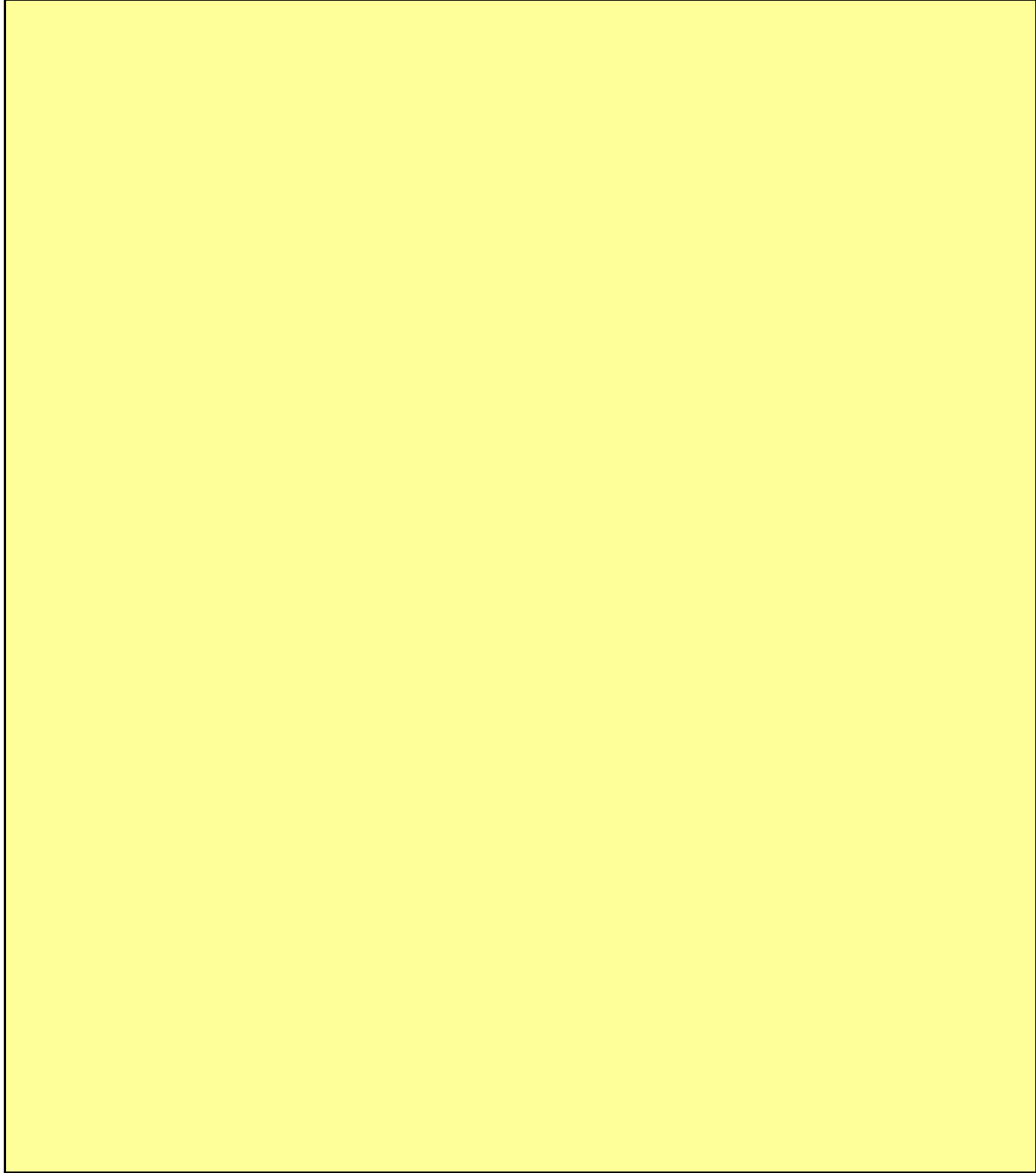
Recommendations to improve or clarify the IS-BAO Standards and Audit Procedures Manual Please input via this online form: IS-BAO Improvement Form <i>Note: If you wish to make a recommendation but the link above will not work, please visit http://www.ibac.org/is_bao and click the link at the bottom of the page.</i>
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Audit Summary

Audit Data				
	Day	Month	Year	Number of Days:
Date of Opening Meeting:	<input type="text"/>	<input type="text"/>	<input type="text"/>	On Site: <input type="text" value="0"/>
Date of Closing Meeting:	<input type="text"/>	<input type="text"/>	<input type="text"/>	Off Site: <input type="text"/>
				Total: <input type="text" value="0"/>
Audit Objective:	<input type="text"/>			
Bases Visited:	<input type="text"/>			
Inspected Aircraft:	<input type="text"/>			

Audit Team														
Role	Name	Phone	Responsible for Assessment of Chapter:											
			3	4	5	6	7	8	9	10	11	12	13	14
Lead Auditor	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Additional Audit Team Members	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Brief Summary of Audit Including a Brief Description of the Organization's Structure and Operations, and an Overall Assessment of the Operator's SMS and Other Management System Controls



Review of Previous Audit Report	
<p>Previous Audit Report Reviewed Prior to / During the Audit:</p>	<div style="background-color: yellow; height: 20px; width: 100%;"></div>
<p>Comments on Remediation of Findings from Previous Audit:</p>	<div style="background-color: #cccccc; height: 100px; width: 100%;"></div>

List of Non-Standard Acronyms/Abbreviations Used in the Report		
Ref.	Acronym / Abbreviation	Meaning
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List Names of Persons Interviewed and Position or Job Title <i>(Interview a representative sample of line and management personnel - Refer to APM 4.8.2 for guidance)</i>		
Ref.	Name	Position or Job Title
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IS-BAO Registration Recommendation			
Audit Results: <input type="text"/>			
Audit Result Comments: <input type="text"/>			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Auditor Name	Day	Month	Year

Recommendations to improve or clarify the IS-BAO Standards and Audit Procedures Manual
Please input via this online form: IS-BAO Improvement Form <i>Note: If you wish to make a recommendation but the link above will not work, please visit http://www.ibac.org/is_bao and click the link at the bottom of the page.</i>

Ref.	Requirement	Req. Elem	Conform (Y/N/NA)	Comments / Evidence of Non-Conformities (For Auditor Use Only)
MCP - Management Company Profile (Must be completed for Aircraft Management Companies)				
1 - Management Company Central Operations				
1.	Has the company established a management structure, oversight methodology and procedures that will accommodate the needs of all of their clients?	EI		
2.	Are the required accountabilities and responsibilities inclusive of all client operations clearly stated within the company operations manual, SMS and emergency response plan?	EI		
3.	Is there an effective internal evaluation program to ensure that all IS-BAO policies, standards and procedures are being performed adequately by all personnel?	EI		
2 - Management Contract				
1.	Does the management contract clearly define the roles and accountabilities of each party and require compliance with stated procedures and provisions?	EI		
2.	How is the SMS managed at the management company and within each of the client locations? How is the SMS integrated between the management company and its clients?	EI		
3 - Accommodating New Clients				
1.	When a new client is received, what provisions are made to ensure that any new personnel are aware of the IS-BAO related systems, processes and procedures? This will include indoctrination, training and verification of required knowledge.	EI		
4 - Multiple Bases				
1.	Are there methods for monitoring performance and conformance of all operating bases?	EI		
2.	How does the management company ensure that all operations are in compliance with applicable State of Registry regulations and in conformance with IS-BAO standards and procedures?	EI		
3.	Are actions taken to rectify deficiencies noted during the internal evaluation process and conduct post implementation reviews?	EI		
Comments, Observations and Recommendations				

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
3. Safety Management System						
3.1 - Safety Policy and Objectives						
3.1.1	Management Commitment					
Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)						
	S1a.	There is a documented aviation safety policy. (3.1.1.1)	DR			
	S1b.	The safety policy is in accordance with national requirements, where applicable. (3.1.1.1.a)	EI			
	S1c.	The safety policy includes a clear statement about the provision of the necessary human and financial resources for its implementation. (3.1.1.1.c)	DR			
	S1d.	The policy includes safety reporting. (3.1.1.1.d)	DR			
	S1e.	The safety policy clearly defines unacceptable behaviour. (3.1.1.1.e)	DR			
	S1f.	The safety policy includes the circumstances in which disciplinary actions would apply. (3.1.1.1.e)	DR			
	S1g.	The safety policy is signed by the Accountable Executive (AE). (3.1.1.1.f)	DR			
	S1h.	There is evidence that the safety policy is included in key documentation and communication media clearly visible or available to all personnel. (3.1.1.1.g)	EI			
	S1i.	There is a process to review the policy to ensure it remains relevant and appropriate to the organization. (3.1.1.1.h)	DR			
	S1j.	The safety policy communicates a strong management commitment to safety. (3.1.1.1.b)	DR			
	S1k.	There is a process to define and communicate documented safety objectives that reflect the organization's commitment to maintain or continuously improve the overall effectiveness of the SMS. (3.1.1.2.b/c) <i>Note: Please provide safety objective examples.</i>	DR			
	S1l.	There is a process to review and update the organization's safety objectives to ensure they remain relevant and appropriate (3.1.1.2.d)	DR			
Stage 2 Protocols (applicable to Stage 2 and 3 audits)						
	S2a.	There is evidence of reviews of the safety policy conducted according to the established process. (3.1.1.1.h)	EI			
	S2b.	There is evidence that all personnel involved in the SMS have access to and understand the safety policy. (3.1.1.1.g)	EI			
	S2c.	Safety objectives address the organization's most significant risks. (3.1.1.2.b)	EI			
	S2d.	There is documented evidence that safety objectives are being reviewed and updated as appropriate (3.1.1.2.d)	EI			
Stage 3 Protocols (applicable to Stage 3 audits only)						
	S3a.	There is evidence of decision-making, actions and behaviours that reflect a positive safety culture.	EI			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
3.1.2	Safety Accountability and Responsibilities					
	Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)					
	S1a.	The organization has identified an Accountable Executive. (3.1.2.1.a)	DR			
	S1b.	Accountability for safety performance of the organization is documented in the Accountable Executive's job description. (3.1.2.1.a)	DR			
	S1c.	The structure of the organization is documented so that lines of safety accountability are understood. (3.1.2.1.b)	DR			
	S1d.	The responsibilities of each position with respect to the safety performance of the organization are explicit. (3.1.2.1.c)	DR			
	S1e.	Safety responsibilities, accountabilities and authorities are documented and communicated throughout the organization. (3.1.2.1.d)	DR			
	S1f.	The levels of management with authority to make decisions regarding safety risk tolerability are defined. (3.1.2.1.e) <i>Note: Provide an indication of the person(s) who hold the authority to accept or reject risk based on the organization's policy regarding safety risk tolerability.</i>	DR			
	Stage 2 Protocols (applicable to Stage 2 and 3 audits)					
	S2a.	There is evidence of appropriate resources being allocated to manage risk across the organization. (3.1.2.1.a)	EI			
	S2b.	There is evidence that all personnel involved in the SMS understand and accept their responsibilities and accountabilities with relation to the SMS. (3.1.2.1.d)	EI			
	S2c.	There is evidence that decisions on safety risk tolerability have been made by person(s) holding the appropriate authority. (3.1.2.1.e)	EI			
	S2d.	There is evidence that the AE actively reviews risk and mitigation strategies across the organization. (3.1.2.1.a)	EI			
	Stage 3 Protocols (applicable to Stage 3 audits only)					
	S3a.	There is evidence that the AE holds managers accountable for the risk management activities.	EI			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
3.1.3	Appointment of Key Safety Personnel					
	Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)					
	S1a.	There is a safety manager who is responsible for the effective administration of the SMS. (3.1.3)	DR			
	Stage 2 Protocols (applicable to Stage 2 and 3 audits)					
	S2a.	The Safety Manager has direct access or reporting to the Accountable Executive (AE) concerning the implementation and operation of the SMS. (3.1.3) <i>Note: so that the SM is in a position to maintain an effective SMS</i>	EI			
	Stage 3 Protocols (applicable to Stage 3 audits only)					
	S3a.	The Safety Manager is at a level in the organization that enables him/her to carry out his/her duties effectively without conflict of interest.	EI			
3.1.4	Coordination of Emergency Response Planning					
	Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)					
	S1a.	There is a documented Emergency Response Plan (ERP) ensuring proper coordination with the ERP of other organizations interfaced with during the provision of its services. (3.1.4)	DR			
	Stage 2 Protocols (applicable to Stage 2 and 3 audits)					
	S2a.	There is documented evidence of emergency response exercises in coordination with other organizations involved with operations. (3.1.4 and 4.3.3)	EI			
	Stage 3 Protocols (applicable to Stage 3 audits only)					
	S3a.	There is documented evidence that any lessons learned from exercises are being shared with the other organizations interfaced with during the provision of ERP services.	EI			

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3.1.5	SMS Documentation					
Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)						
	S1a.	There is a SMS manual that includes all items required in IS-BAO 3.1.5.1. (3.1.5.1) <i>Note: The SMS manual may be in the form of stand-alone documents or may be integrated with other organizational documents maintained by the organization.</i>	DR			
	S1b.	There is a process to regularly review the SMS manual and update it where appropriate. (3.1.5.1)	DR			
	S1c.	There is a process for the development and maintenance of SMS operational records as part of the SMS documentation. (3.1.5.2)	DR			
Stage 2 Protocols (applicable to Stage 2 and 3 audits)						
	S2a.	There is evidence that pertinent parts of the SMS manual are available to personnel according to their role. (3.1.5.1 and 6.2)	EI			
	S2b.	There is documented evidence that the SMS manual is being reviewed and updated as appropriate. (3.1.5.1)	EI			
	S2c.	Records pertaining to all SMS outputs are available. (3.1.5.2)	EI			
	S2d.	The SMS procedures reflect relevant coordination or integration with external entities where applicable. (3.1.5.1.c)	EI			
Stage 3 Protocols (applicable to Stage 3 audits only)						
	S3a.	The SMS documentation demonstrates how the organization identifies opportunities for continuous improvement.	EI			

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3.2 - Safety Risk Management						
3.2.1	Hazard Identification					
Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)						
	S1a.	There is a formal process to identify operational hazards. (3.2.1.1)	DR			
	S1b.	The hazards identified are documented and kept available for future reference. (3.2.1.1)	DR			
	S1c.	The hazard identification process includes the investigation of incident/accident reports. (3.2.1.2)	DR			
	S1d.	The hazard identification process includes a voluntary and mandatory hazards/threats reporting system that is simple to use and accessible to all personnel and that provides for feedback to the initiator. (3.2.1.2)	DR			
	S1e.	The hazard identification process includes the review of hazards/threats from relevant external sources. (3.2.1.2)	DR			
	S1f.	The hazard identification process receives input from the Safety Assurance processes of IS-BAO 3.3 (to include internal audits and evaluations, safety performance monitoring and measurement, management of change, etc.) (3.2.1.2)	DR			
Stage 2 Protocols (applicable to Stage 2 and 3 audits)						
	S2a.	There is evidence of participation throughout the organization in the identification and reporting of hazards, errors and near misses. (3.2.1.1)	EI			
	S2b.	There is evidence that issues identified by the Safety Assurance processes of IS-BAO 3.3 (to include internal audits and evaluations, safety performance monitoring and measurement, management of change, etc.) feed back into the hazard identification process. (3.2.1.1)	EI			
	S2c.	There is documented evidence that information captured via the hazard identification process is being analysed in a systematic and timely manner. (3.2.1.1)	EI			
	S2d.	Hazards associated with external entities with which the organization interfaces are being identified and documented. (3.2.1.1)	EI			
	S2e.	There is evidence that feedback on submitted reports is being provided to the initiator. (3.2.1.2)	EI			
Stage 3 Protocols (applicable to Stage 3 audits only)						
	S3a.	There is evidence that staff have confidence in the reporting process as evidenced by the submitted reports and staff perception.	EI			
	S3b.	There is evidence that managers actively promote identification of hazards in their functional areas.	EI			
	S3c.	There is evidence that a range of employees (from senior management to front line personnel) have been actively involved in both the assessment and control of identified hazards.	EI			
	S3d.	When identifying contributing and root causes, the organization considers individual human factors, environment, equipment, supervision and organizational elements.	EI			

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3.2.2	Safety Risk Assessment and Mitigation					
	Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)					
	S1a.	There is a process to determine the possible consequences associated with each identified hazard. (3.2.2.1)	DR			
	S1b.	There is a process for assessing such consequences for their risk potential in terms of likelihood and severity. (3.2.2.1)	DR			
	S1c.	There is a process for establishing and implementing appropriate mitigation actions to control risk to a tolerable level (i.e. ALARP). (3.2.2.1)	DR			
	Stage 2 Protocols (applicable to Stage 2 and 3 audits)					
	S2a.	There is documented evidence that risks associated with each identified hazard are being analysed, assessed and controlled according to the established processes. (3.2.2.1)	EI			
	S2b.	There is documented evidence that mitigating actions resulting from the risk assessment are incorporated into the organization's operational procedures and/or training programmes. (3.2.2.1)	EI			
	S2c.	There is documented evidence that safety risks are reassessed post mitigation actions. (3.2.2.1)	EI			
	Stage 3 Protocols (applicable to Stage 3 audits only)					
	S3a.	There is evidence that the AE and management team understand the organization's medium and high risks and corresponding mitigations.	EI			
	S3b.	The organization uses its risk management results to develop best practices guidelines that it shares with the industry.	EI			

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3.3 - Safety Assurance						
3.3.1	Safety Performance Monitoring and Measurement					
Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)						
	S1a.	There is a documented process to develop SPIs and SPTs in support to the organization's safety objectives and target areas of significant risk. (3.3.1.1)	DR			
	S1b.	There is evidence that the organization has implemented SPIs in accordance with the documented process. (3.3.1.2) <i>Note: Provide specific examples of SPIs and SPTs implemented by the organization.</i>	EI			
	S1c.	The organization has established an Internal Audit Programme (IAP) to assess the full scope of its processes. (3.3.1.1)	DR			
Stage 2 Protocols (applicable to Stage 2 and 3 audits)						
	S2a.	There is documented evidence that the IAP focuses on policies, processes and procedures that provide risk controls to confirm their effectiveness. (3.3.1.1)	EI			
	S2b.	The IAP includes the activities of external entities with which the organization interfaces, including suppliers and vendors. (3.3.1.1)	EI			
	S2c.	There is documented evidence that SPIs address the significant areas of risk identified by the organization. (3.3.1.2)	EI			
	S2d.	There is documented evidence that SPIs do not only measure actual incidents and accidents but also factors that are likely to lead to such events. (3.3.1.2)	EI			
	S2e.	There is documented evidence that, where appropriate, SPIs include the activities of external entities with which the organization interfaces. (3.3.1.2)	EI			
	S2f.	There is documented evidence of the organization actively monitoring and analysing SPI data over time in relation to established SPTs to determine safety performance. (3.3.1.2)	EI			
Stage 3 Protocols (applicable to Stage 3 audits only)						
	S3a.	There is evidence that the organization shares and compares its performance with other organizations.	EI			
	S3b.	There is evidence of reviews of and updates to the SPIs to ensure they remain appropriate to the organization.	EI			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
3.3.2	The Management of Change (<i>Definition of Change management - A formal process to manage changes within an organization in a systematic manner, so that changes which may impact identified hazards and risk mitigation strategies are accounted for, before the implementation of such changes</i>)					
Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)						
	S1a.	There is a formal process to proactively identify and manage any changes that could impact safety of the organization. (3.3.2.1)	DR			
	S1b.	The process includes defined criteria to determine what types of changes (internal and external) require the use of the Management of Change process according to the impact on the organization's safety. (3.3.2.1) <i>Note: The criteria should consider items such as operational changes, organizational changes and changes in key personnel.</i>	DR			
	S1c.	The process includes the identification of hazards arising from those changes and their analysis, assessment and control as part of the organization's safety risk management process. (3.3.2.1)	DR			
<i>(Reserved)</i>						
Stage 2 Protocols (applicable to Stage 2 and 3 audits)						
	S2a.	There is evidence that any organizational and operational changes have been subject to the MoC process. (3.3.2.1)	EI			
	S2b.	There is evidence that the organization, during the MoC process, ensures that previous risk assessments and existing hazards are reviewed for possible effects. (3.3.2.1)	EI			
	S2c.	There is evidence that the organization proactively seeks to identify external entities and internal personnel affected by the change and coordinates as appropriate. (3.3.2.1)	EI			
Stage 3 Protocols (applicable to Stage 3 audits only)						
	S3a.	There is evidence that the management of change process is used for safety related changes in a timely and consistent manner and includes appropriate follow up action.	EI			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
3.3.3	Continuous Improvement of the SMS					
	Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)					
	S1a.	There is a documented Continuous Improvement process based on the outcomes of the various SMS processes, such as the effectiveness of safety risk management activities, audit results and analysis of SPI data. (3.3.3.1)	DR			
	Stage 2 Protocols (applicable to Stage 2 and 3 audits)					
	S2a.	There is evidence that the organization routinely monitors the SMS performance to identify potential areas of improvement. (3.3.3.1)	EI			
	S2b.	There is a documented evidence of informed decisions made based on the analysis of SPI data. (3.3.3.1)	EI			
	S2c.	There is documented evidence of reviews to policies, procedures, and/or processes based on internal audit findings. (3.3.3.1)	EI			
	Stage 3 Protocols (applicable to Stage 3 audits only)					
	S3a.	There is evidence that the organization actively assesses safety culture within the organization to determine engagement in the SMS.	EI			
	S3b.	There is evidence that the AE and management team are actively involved in the assessment of the SMS.	EI			
	S3c.	There is evidence of the organization enhancing its SMS processes as a result of the Continuous Improvement process.	EI			

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3.4 - Safety Promotion						
3.4.1	Training and Education					
Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)						
	S1a.	There is a documented SMS training plan that contains initial and recurrent SMS training. (3.4.1.1)	DR			
	S1b.	The training plan includes specific training course outlines for each role in accordance with the level of responsibility and involvement in the SMS. (3.4.1.2)	DR			
	S1c.	The training plan includes a process to validate the effectiveness of the training. (3.4.1.1)	DR			
	S1d.	There is documented evidence that each individual in the organization, to include the SM and AE, has been trained to a level commensurate with his/her responsibility and involvement in the SMS. (3.4.1.1)	EI			
Stage 2 Protocols (applicable to Stage 2 and 3 audits)						
	S2a.	There is documented evidence that recurrent SMS training of each individual in the organization, to include the SM and AE, has occurred. (3.4.1.1) <i>Note: Recurrent safety training should focus on changes to the SMS policies, processes and procedures and to highlight any specific safety issues relevant to the organization or lessons learned.</i>	EI			
	S2b.	There is documented evidence that SMS training is monitored for its effectiveness and updated. (3.4.1.1)	EI			
Stage 3 Protocols (applicable to Stage 3 audits only)						
	S3a.	There is evidence that senior management has attended external safety training, which may include attendance at symposiums and conferences on a recurrent basis.	EI			
<i>(Reserved)</i>						

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
3.4.2	Safety Communication					
Stage 1 Protocols (applicable to Stage 1, 2 and 3 audits)						
	S1a.	There is a documented safety communication strategy that enables the organization to communicate safety objectives, SMS policy, and critical safety information. (3.4.2.1)	DR			
	S1b.	The documented communication strategy also provides for feedback on all safety reports submitted. (3.4.2.1) <i>Note: Feedback shall include explanations on why particular safety actions are taken and why safety procedures are introduced or changed.</i>	DR			
Stage 2 Protocols (applicable to Stage 2 and 3 audits)						
	S2a.	There is documented evidence that all personnel receive safety-critical information and feedback on safety actions taken on submitted hazards. (3.4.2.1)	EI			
	S2b.	There is documented evidence of dissemination of up-to-date SMS documentation, safety processes and procedures, notices, bulletins and other SMS information. (3.4.2.1)	EI			
Stage 3 Protocols (applicable to Stage 3 audits only)						
	S3a.	There is documented evidence that the organization actively shares relevant safety information with other organizations.	EI			
	S3b.	There is evidence the organization assesses the effectiveness of the safety communication strategy.	EI			
3.5 - Compliance Monitoring						
3.5.1		Does the organization have a process to conduct assessments, at appropriate intervals, to identify regulations, standards, approvals and exemptions that are applicable to their operations and the procedures implemented by the organization to comply with them, which satisfies the requirements established by IS-BAO 3.5.1.a and 3.5.1.b? (3.5.1)	DR EI			
3.5.2		The organization has established and maintained a process to ensure that changes to IS-BAO are verified, analyzed and incorporated into the organization's processes, as applicable. (3.5.2)	DR EI			
3.5.3		The organization's internal audit programme (IAP) includes the verification on whether the processes established to comply with applicable regulations, standards and exemptions are being followed during daily operations. (3.5.3)	DR EI			

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3.6 - Flight Data Analysis (IS-BAO Only)						
3.6.1		<i>Has the organization established and maintained a documented flight data analysis (FDA) programme as part of its SMS and does it include all the elements listed in IS-BAO 3.6.1? (3.6.1) (Recommended Practice)</i>	DR EI			
Comments on the Organization's Safety Cultural Attributes - For Stage 3 Audits						
Comments, Observations, and Recommendations						

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities <i>(For Auditor Use Only)</i>
4. Emergency Response Plan						
4.1 - ERP Contents						
4.1.1		Has the organization established a plan detailing the procedures to be followed in the event of an accident or incident involving substantial damage to aircraft or injury to passengers, crew members or persons on the ground?	DR EI			
4.1.2		<i>Does the organization's ERP include procedures for dealing with other forms of emergencies that could affect personnel or facility safety, as well as business continuity, such as utility failures, natural disasters, medical emergencies, contagious illness outbreaks, bomb threats, or workplace violence? (Recommended Practice)</i>	DR			
4.1.3		Does the emergency response plan address incidents involving injuries to, or serious medical problems suffered by, passengers, crew members, visitors, or company personnel?	DR			
4.1.4		Does the emergency response plan include, as applicable:				
	a.	Depending on the nature and location of the accident, procedures for the organization and/or flight crew to notify the appropriate authorities in the State of the operator and in the State where the accident occurred, and to seek medical assistance, as required;	DR			
	b.	Provisions to establish an Emergency Operations Centre and ensure all necessary administrative supplies (such as forms, paper, name tags, computers/laptops, as applicable) and critical telephone numbers and contact details (such as doctors, local hotels, translators/linguists, caterers, as applicable) will be available;	DR			
	c.	Procedures to notify appropriate company personnel of the accident, incident, or other event;	DR			
	d.	Procedures regarding communication with the emergency contacts of the person(s) involved in the accident, incident or other event;	DR			
	e.	On-site procedures to be taken by the flight and cabin crew to assist aircraft passengers, prepare visual distress signals (if in a remote area), and preserve the integrity of the accident site;	DR			
	f.	Procedures for the preservation of all related flight data and cockpit voice recorder records and, if necessary the associated recorders, as well as their retention in safe custody pending their disposition to the appropriate authorities;	DR			
	g.	Procedures for dealing with questions from and providing assistance to the families of passengers, crew members or other person(s) involved in the event;	DR			

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	h.	Procedures for dealing with enquiries from the media, including use of social media;	DR			
	i.	Procedures for participating or co-operating with State agencies and police authorities who may be investigating the accident;	DR			
	j.	Considerations for dealing with the effects of the accident on the organization's operations and on employees (i.e. trauma counselling services and other crises intervention support for persons involved or affected by the event);	DR			
	k.	Actions to be taken by external entities in the event of any emergency situation that may arise; and	DR			
	l.	Business continuity procedures that provide for the orderly and efficient transition from normal to emergency operations, and the return to normal operations?	DR			
4.2 - Information for Rescue Coordination						
4.2.1		(A) Does the operator have a process to ensure that updated information on all on-board emergency and survival equipment is available for immediate communication to rescue coordination centres, which includes, as applicable to each aeroplane, at least the items specified in IS-BAO 4.2.1.a, 4.2.1.b and 4.2.1.c?	DR EI			
4.2.2		(H) Does the operator have a process to ensure that updated information on all on-board emergency and survival equipment is available for immediate communication to rescue coordination centres, which includes, as applicable to each helicopter, at least the items specified in IS-BAO 4.2.2.a, 4.2.2.b and 4.2.2.c? (Recommended Practice)	DR EI			

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4.3 - ERP Training and Exercises						
4.3.1		Does the organization provide role-specific training to personnel who have a role in the ERP?	DR EI			
4.3.2		<i>When resources allow, does the organization appoint alternates to each key ERP role and train them to the same capacity as the primary?</i> (Recommended Practice)	DR EI			
4.3.3		In order to evaluate the effectiveness of the organization's emergency response plan, does the organization conduct emergency response exercises, on at least an annual basis, which satisfy the requirements of IS-BAO 4.3.3.a and 4.3.3.b?	DR EI			
4.3.4		<i>Is a full simulation exercise of the ERP conducted at least every thirty six months?</i> (Recommended Practice)	DR EI			
4.3.5		Does the organization document lessons learned from the ERP exercises and implement them for improvement of its ERP?	DR EI			
Comments, Observations, and Recommendations						

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5. Security						
5.1 Security Programme						
5.1.1		Has the organization established, maintained and carried out a security programme that is proportional to the threat against the organization, its personnel, aircraft and facilities and the associated vulnerabilities and which meets the requirements of the State of the operator? <i>Note: It is important to recognize that a US Twelve-Five Standard Security Programme (TFSSP) does not address all of the areas required by the Standard and must be augmented by the development of processes and procedures in the organization's manuals.</i>	DR			
5.1.2		Does the security programme include:				
	a.	A process to assess threats and vulnerabilities;	DR			
	b.	Preventive measures designed to reduce vulnerabilities and deter and prevent the commission of unlawful acts;	DR			
	c.	Responsive measures to be taken when an unlawful act has been committed against the organization; and	DR			
	d.	Appropriate training and testing of personnel involved?	DR EI			
Comments, Observations, and Recommendations						

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities <i>(For Auditor Use Only)</i>
6. Company Manuals						
6.1 - Company Manuals						
6.1.1		Has the organization established and maintained a company operations manual, or suite of manuals, which includes the instructions and information necessary to enable the personnel concerned to perform their duties safely, and which satisfy the requirements specified in IS-BAO 6.1.1.a through 6.1.1.c? <i>Note: The company operations manual may be issued in separate parts corresponding to specific aspects of an operation.</i>	DR EI			
6.2 - Management and Control						
6.2.1		Does the organization have a system for the management and control of documentation and/or manuals used in the conduct of its operations, which includes all the aspects listed in IS-BAO 6.2.1.a through 6.2.1.e?	DR EI			
6.3 - Deviations						
6.3.1		Does the organization include in its suite of manuals a policy on whether any deviations from the provisions contained in it are allowed?	DR			
6.3.2		If the organization allows deviations from the provisions contained in its suite of manuals, has the organization established a process for such deviations that satisfies the requirements specified in IS-BAO 6.3.2.a through 6.3.2.c?	DR			
Comments, Observations, and Recommendations						

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities <i>(For Auditor Use Only)</i>
7. Organization and Personnel Requirements						
7.1 - Organizational Structure						
7.1.1		Is the organization staffed by qualified, competent and effective management and line personnel to ensure the organization's safe and efficient operation, to include the minimum management personnel specified in IS-BAO 7.1.1.a through 7.1.1.c?	DR EI			
7.1.2		Where the organization has more than one operating base, does the management structure address the exercise of the above responsibilities at all locations?	DR			
7.2 - Duties, Responsibilities and Authorities						
7.2.1		Does the organization have an organizational structure that clearly defines qualifications, duties, authorities and accountabilities and that is staffed by qualified managerial and operating personnel who are capable of effectively carrying out the identified duties, and does the organizational structure's description in the company operations manual satisfy the requirements specified in IS-BAO 7.2.1.a through 7.2.1.d? <i>Note: Depending on the size and functions, various other personnel specialities may be required to ensure the proper performance of the organization. These personnel may include flight operations schedulers or dispatchers, helicopter ground support personnel, security personnel, administrative personnel, hangar maintenance and line service personnel. In addition, the operation may include personnel (medical providers, operators of specialized equipment, news reporters etc.) who are not the organization's employees but perform duties that are essential to the operation. The description of the organizational structure required in section 7.2.1 should include such personnel.</i>	DR			
7.3 - Provision of Organizational Resources						
7.3.1		Does the organization ensure that all organizational departments related to the safe operation and maintenance of aircraft are provided with the staff, facilities and other resources necessary to ensure that their activities are conducted in accordance with the civil aviation authority requirements and meet the organization's safety management goals?	EI			

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7.4 - Use of Safety-Related Data						
7.4.1		Does the organization have a policy protecting any safety-related data from inappropriate use?	DR			
7.5 - Use of Psychoactive Substances						
7.5.1		<i>Has the organization developed policies on the use of psychoactive substances to ensure that licence holders do not exercise the privileges of their licences and other personnel do not undertake safety-related duties while under the influence of any psychoactive substance that might render them unable to safely and properly exercise their licence privileges or carry out their safety-related duties? (Recommended Practice)</i>	DR			
7.5.2		<i>Do the policies referred to in section 7.5.1 also address any problematic use of psychoactive substances? (Recommended Practice)</i>	DR			
7.6 - Mobile Phones and Other Portable Electronic Devices (PEDs)						
7.6.1		Does the organization provide guidance on the use of mobile phones and PEDs for all personnel, including critical phases of flight and ground operations, operating vehicles, and maintenance work?	DR			
7.7 - Supplemental Lift/Additional Air Transport Capacity						
7.7.1		<i>Does the organization have a process to ensure that any operator contracted for additional air transport capacity is qualified and competent to perform operations safely and effectively? (Recommended Practice)</i>	DR			
7.8 - External Entities						
7.8.1		<i>Does the organization have a process to assess the risk of using services provided by external entities? (Recommended Practice)</i> <i>Note: IS-BAH registration for ground handling service providers (GHSP) is an example of an effective assessment</i>	DR			
Comments, Observations, and Recommendations						

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
8. Training and Proficiency						
8.1 - Training Programmes						
8.1.1		Has the organisation established and maintained a training programme designed to ensure that a person who receives training acquires the competence to perform his/her assigned duties, and which satisfies the requirements specified in IS-BAO 8.1.1.a through 8.1.1.c?	EI			
8.1.2		Does the organization have a policy prohibiting the simulation of emergency or abnormal situations during flight when passengers are being carried?	DR			
8.1.3 Flight Crew Training						
8.1.3.1		Does the organization's ground and flight training programme for flight crew members include, at least, the following:				
	a.	Initial and annual training on aircraft type and systems, including emergency and abnormal procedures related to the aircraft category and type? <i>Note: recurrent training could be conducted alternating aircraft types each year if acceptable to the State of Registry.</i>	DR EI			
	b.	During initial training and every two years thereafter:				
	i.	Emergency procedures training for each type of aircraft, including:				
		A. Instruction on the location and operation of all emergency and life-saving equipment installed; and	DR EI			
		B. Emergency evacuation of the aircraft?	DR EI			
	ii.	Aircraft surface contamination training; and	DR EI			
	iii.	Dangerous goods training?	DR EI			
	c.	Initial and recurrent training on:				
	i.	The organization's policies, processes, procedures, SOPs and Checklists;	DR EI			
	ii.	Use of the MEL, and where applicable NEF and CDL;	DR EI			
	iii.	Use of the EFB and each device function, if the organization uses any type of EFBs in flight;	DR EI			
	iv.	The use and updating of software applications that might be necessary for the performance of the flight crew duties, as determined by the organization;	DR EI			
	v.	High altitude physiology and the effects of rapid or explosive loss of pressurization, for all flight crew members operating aircraft above 10,000 ft. ASL;	DR EI			
	vi.	Recognition of unstabilized approaches and execution of proper go-around procedures;	DR EI			
	vii.	For international operations, the subject areas as required by the specific authorizations and as necessary to ensure competency in operations in such airspace; and	DR EI			
	viii.	For operations in airspace where specific CNS requirements exist, the subject areas as required by the specific State authorizations and as necessary to ensure competency in operations in such airspace?	DR EI			
	ix.	(H) For operations conducted either in conditions below standard VFR or with the use of NVGs, the subject areas as required by the specific authorizations and/or as necessary to ensure competency in these operations, including avoidance of Inadvertent IMC?	DR EI			
	d.	Upgrade training (for SICs becoming first-time PICs)?	DR EI			
8.1.3.2		<i>For organisations that do not use cabin crew members, has initial and recurrent first aid training been included in the flight crew members' training programme? (Recommended Practice)</i>	DR EI			
8.1.3.3		<i>Does the organization use flight simulators for flight training to the maximum degree practicable? (Recommended Practice)</i> <i>Note: Industry best practices are to use flight simulators for initial and annual recurrent training.</i>	DR EI			

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8.1.3.4		<i>(A) Where it is the organization's practice to normally fly two-crew aeroplanes from the left seat, has the organization established right seat landing and take-off recency (or training and recency) requirements for pilots? (Recommended Practice)</i>	DR EI			
8.1.3.5		<i>(H) Where it is the organization's practice to normally fly two-crew helicopters from a particular seat, has the organization established opposite seat landing and take-off recency (or training and recency) requirements for pilots? (Recommended Practice)</i>	DR EI			
8.1.3.6		<i>Has the organization established procedures and training requirements to ensure each pilot maintains competency in the key safety areas detailed in IS-BAO 8.1.3.6.a through 8.1.3.6.d? (Recommended Practice)</i>	DR EI			
8.1.3.7		<i>(H) Does the organization provide helicopter underwater escape training (HUET) to personnel involved in over-water helicopter operations in hostile environment conditions? (Recommended Practice)</i>	DR EI			

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8.1.4 Training for Personnel Performing Duties in the Cabin						
8.1.4.1		If flight attendants are required by the State of Registry, does the organization's training programme for flight attendants include, at least:				
	a.	Initial and annual aircraft specific cabin systems training?	DR EI			
	b.	During initial training and every two years thereafter:				
	i.	Emergency procedures training including instruction on the location and operation of all emergency and life-saving equipment installed;	DR EI			
	ii.	First aid training;	DR EI			
	iii.	Aircraft surface contamination training; and	DR EI			
	iv.	Dangerous goods recognition training?	DR EI			
8.1.4.2		For operations other than those to which 8.1.4.1 applies, if the organization uses any person to perform duties in the cabin of its aircraft in flight (e.g., flight attendants, cabin attendants, cabin servers, etc.), does the organization's training programme for such personnel include, at least, initial and recurrent training on the following subjects:				
	a.	If the person is assigned by the organization to perform any duty onboard the aircraft:				
	i.	Authority of the pilot-in-command and the relationship of their duties to those of the crew members and any others performing any duties on board;	DR EI			
	ii.	Means of communication and sterile cockpit procedures?	DR EI			
	b.	Additionally, if the person's duties onboard the aircraft involve the use of any aircraft equipment:				
	i.	The aircraft equipment that the person may use; and	DR EI			
	ii.	Procedures for normal operations as well as abnormal and emergency situations?	DR EI			
	c.	Additionally, if the person is responsible for passenger safety:				
	i.	Emergency procedures training including instruction on the location and operation of all emergency and life-saving equipment installed;	DR EI			
	ii.	First aid training;	DR EI			
	iii.	Aircraft surface contamination training; and	DR EI			
	iv.	Dangerous goods recognition training.	DR EI			
	d.	If the person is provided exclusively for passenger convenience (i.e., if the person is not responsible for passenger safety), has the organization established a procedure to ensure that passengers are advised that the person does not have safety-related training and duties? <i>Note: In these cases, the person shall receive the training indicated in 8.1.4.2.a and 8.1.4.2.b, but the training indicated in 8.1.4.2.c is not required.</i>	DR EI			
8.1.4.3		Does the organization provide training on high altitude physiology and on the effects of rapid or explosive loss of pressurization for any person performing duties in the cabin of its aircraft above 10,000 ft? (Recommended Practice)	DR EI			

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8.1.5 Other Onboard / Ground Personnel						
8.1.5.1		Does the organization's training programme include initial and recurrent training for any other personnel or task specialists (such as loadmasters, EMS medical teams, observers etc.) who are assigned to perform duties onboard an aircraft during flight and/or provide operational ground support?	DR EI			
8.1.6 Flight Coordinators, Schedulers and Dispatchers						
8.1.6.1		If the organization has flight coordinators, schedulers and/or dispatchers, does the organization's training programme include initial and recurrent training for such personnel that is appropriate to the scope of their duties?	DR EI			
8.1.7 Maintenance Personnel						
8.1.7.1		Does the organization's training programme include initial and recurrent training for all maintenance personnel to ensure they have the competencies appropriate to the levels of maintenance performed and the frequency with which the maintenance is performed?	DR EI			
8.1.7.2		Does the training programme for maintenance personnel include training on the following subjects as appropriate to the person's duties:				
	a.	The organization's policies and procedures;	DR EI			
	b.	Use of applicable software applications; and	DR EI			
	c.	The use of the aircraft's MEL?	DR EI			
8.1.7.3		<i>Do persons who hold maintenance release authority undertake recurrent training every two years on at least one aircraft group (e.g. large or small cabin, etc.), or system for which they exercise that authority? (Recommended Practice)</i>	DR EI			

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8.2 - Human Factors (HF) and Crew Resource Management (CRM) Training						
8.2.1		Does the organization provide initial and recurrent HF and, where applicable, CRM training to all personnel involved in the safe operation of aircraft?	DR EI			
8.2.2		<i>Does the organization provide HF and, where applicable, CRM recurrent training at least every 24 months to all personnel involved in the safe operation of aircraft? (Recommended Practice)</i>	DR EI			
8.2.3		<i>Does the organization ensure training of aircraft crew members in Threat and Error Management (TEM) principles? (Recommended Practice)</i>	DR EI			
8.3 - Emergency Procedures Training for Passengers						
8.3.1		<i>Do passengers who fly frequently receive emergency procedures training? (Recommended Practice)</i>	DR			

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8.4 - Proficiency Certification						
8.4.1		Does the organization ensure that personnel meet national proficiency requirements and have processes to ensure that the training objectives for all crew member training courses required by the national civil aviation authority are met?	DR EI			
8.4.2		Is the Chief Pilot/Operations Manager responsible for the proficiency of pilots and for ensuring that the proficiency is certified through a pilot proficiency check (PPC) conducted at the conclusion of initial aircraft type training and at a minimum of every 24 calendar months thereafter?	DR EI			
8.4.3		Are such pilot proficiency checks conducted in accordance with IS-BAO 8.4.3?	DR EI			
8.5 - Training and Qualification Records						
8.5.1		For each person in the organization who is required to receive training, does the organization establish and maintain records that meet the applicable national requirements and include, at least, the items required by IS-BAO 8.5.1.a through 8.5.1.f?	DR EI			
8.5.2		Does the organization retain the records listed in items 8.5.1.a through 8.5.1.e and copies of pilot proficiency checks, or ensure that they are retained by the training service provider, for at least three years?	DR EI			
Comments, Observations, and Recommendations						

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9. Occupational Health and Safety						
9.1 Occupational Health and Safety Requirements						
9.1.1		Does the organization have a process to identify and comply with all national and local occupational health and safety laws and requirements applicable to its operations?	DR EI			
		In the absence of national/local regulations, does the organization have processes to ensure:				
	a.	Conformance with fire safety, first aid and sanitary industry best practices;	DR			
	b.	Provision of safety and protective clothing and equipment applicable to each person's duties within the organization (e.g. hearing protection for crewmembers and ramp personnel, fall protection from elevated surfaces, reflective outerwear for persons performing duties on the ramp at night, etc.);	DR EI			
	c.	Provision of safety information and training to employees;	DR EI			
	d.	That machinery, tools and equipment, including lifting equipment, meets safety standards; and	DR			
	e.	That hazardous materials are controlled and that employees have information and training in their handling and storage?	DR EI			
9.1.2		Does the organization have procedures to ensure that all company personnel, passengers and visitors accessing hangar or ramp areas comply with the occupational health and safety requirements?	DR			
9.1.3		Does the operator have procedures to manage the risks associated with maintenance personnel working alone?	DR			
9.1.4		<i>Does the organization have procedures to manage the risks associated with any person who may be working alone? (Recommended Practice)</i> <i>Note: This item relates to persons other than maintenance personnel. Maintenance personnel is covered in IS-BAO 9.1.3</i>	DR			
Comments, Observations, and Recommendations						

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10. Environmental Management						
10.1 Environmental Management Requirements						
10.1.1		Does the organization have a process to identify and ensure compliance with all national and local environmental laws and requirements applicable to its operations?	DR EI			
		Does this process address any requirements that are applicable to the organization's aviation activities, including those related to:				
	a.	Ground operations noise abatement to include engine run-ups and auxiliary power unit operations consistent with safety, including airport curfews;	DR			
	b.	Ground operations including aircraft fuelling and de/anti-icing procedures;	DR			
	c.	Spill containment of toxic and flammable materials and chemicals, including disposal of collected materials;	DR			
	d.	Disposal of waste materials;	DR			
	e.	The operation and/or use of:				
	i.	Hangars, workshops, stores, etc.;	DR			
	ii.	Fuel storage and dispensing equipment, and	DR			
f.	Operations subject to emissions charges, fees, or purchase of credits related to Market-Based Measures regulations (e.g., Emissions Trading Schemes)?	DR				
Comments, Observations, and Recommendations						

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11. Transportation of Dangerous Goods						
11.1 Consideration for All Organizations						
11.1.1		Does the organization have a process to ensure that dangerous goods are not transported onboard their aircraft except where authorized under and in accordance with the State of Registry regulations and, for international operations (where applicable), the provisions of the ICAO Technical Instruction for the Safe Transport of Dangerous Goods (hereafter called ICAO Technical Instructions) or the IATA Dangerous Goods Regulations?	DR EI			
11.1.2		Does the organization have a system to advise passengers of what constitutes dangerous goods, and whether and how those goods can be carried on aircraft?	DR EI			
11.2 Dangerous Goods Transportation Requirements						
11.2.1		If the organization transports dangerous goods, whether they are organization's property, the property of organization personnel, or received from an external entity, does it ensure that the goods are transported in accordance with the State of Registry regulations and, for international operations (where applicable), the provisions of the ICAO Technical Instruction for the Safe Transport of Dangerous Goods (hereafter called ICAO Technical Instructions) or the IATA Dangerous Goods Regulations?	DR			
11.2.2		Does the organization ensure that all personnel involved in the transportation of dangerous goods are trained and certified in accordance with the ICAO <i>Technical Instructions</i> or the IATA <i>Dangerous Goods Regulations</i> and the rules specified by the State of the operator?	DR EI			
11.2.3		Does the organization ensure that the pilots-in-command of their aircraft are informed of what dangerous goods are being carried onboard the aircraft as early as practicable before the departure of the aircraft?	DR EI			
11.2.4		Does the organization have a process to ensure that, in the event an aircraft carrying dangerous goods is involved in an accident or serious incident, it will provide information about the dangerous goods onboard, without delay, to emergency personnel responding to the accident or serious incident and to the appropriate authorities of the State of the Operator and the State in which the accident or serious incident occurred? Does the process also ensure that, for incidents of a non-serious nature, this information shall be provided if requested?	DR			

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12. Fatigue Management Programme						
12.1 - Fatigue Management Programme Elements						
12.1.1		Has the organization established and implemented a fatigue management programme designed to ensure that all organization personnel involved in the safe operation of aircraft do not carry out their duties when fatigued and which contains:				
	a.	Fatigue management guiding principles;	DR			
	b.	Appropriate initial and recurrent training and education regarding preventive and operational fatigue countermeasures;	DR EI			
	c.	Flight and duty time limitations for aircraft crew;	DR			
	d.	Duty time limitations for other organization personnel involved in the safe operation of the aircraft, including, but not limited to, maintenance personnel, schedulers and dispatchers; and	DR			
	e.	An evaluation process that assesses the fatigue management programme's effectiveness?	DR EI			
12.1.2		<i>Unless superseded by more strict regulations by the State of Registry, has the organization implemented the flight and duty time limitations for aircraft crew contained in the IS-BAO Guidance? (Recommended Practice)</i>	EI			
12.1.3		<i>If the organization's flight and duty time limitations for aircraft crew exceed those contained in the IS-BAO Guidance, or other considerations exist, has the organization conducted a risk assessment process? (Recommended Practice)</i>	EI			
12.2 - Deviations						
12.2.1		If deviations from the flight and/or duty time limitations are permitted, has the operator established the maximum extent and frequency of such deviations?	DR EI			
12.2.2		If deviations from the flight and/or duty time limitations are permitted, does the programme include a process that includes, at a minimum, all the elements required by IS-BAO 12.2.2.a through 12.2.2.d?	DR EI			

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13. Flight Operations						
13.1 - Standard Operating Procedures and Checklists						
13.1.1	Does the operator:					
	a.	Maintain an SOP for each type of aircraft that is in accordance with the current revision of the appropriate TCH Checklists/AFM?	DR EI			
	b.	Maintain SOPs for international operations, if the operator conducts international operations?	DR			
	c.	Issue a copy of the SOP to each aircraft crew member?	DR			
	d.	Ensure all crew members use the established SOPs?	DR			
13.1.2	Does the operator ensure:					
	a.	A checklist covering normal, abnormal, and emergency procedures is established for each aircraft type operated?	DR EI			
	b.	Checklists are made available to all crew members?	DR EI			
	c.	There is a process to ensure the checklists are updated according to the current revision of the TCH checklist or AFM?	DR EI			
	d.	That, if using checklists produced either internally or by an external entity other than the TCH, the checklists include its revision date and a reference to the revision of the TCH checklists or AFM used for its development?	EI			
	e.	Every crew member utilizes these checklist in the performance of their duties using the methods required by the operator and comply with best practices for checklist execution?	DR EI			

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13.2 - Flight Planning and Preflight Requirements						
13.2.1 General Considerations						
13.2.1.1		Has the operator established a process to ensure that the pilot-in-command will not commence a flight without ascertaining that the facilities available and required for such flight and for the safe operation of the aircraft are adequate, including communication facilities, navigation aids, NOTAMs, etc.	DR EI			
13.2.1.2		Has the operator established a process to ensure that the pilot-in-command, before commencing a flight or series of flights, will be familiar with all available meteorological information appropriate to the intended flight?	DR EI			
	a.	Does this process include a requirement for the review of current weather reports and forecasts?	DR			
	b.	Does this process include a requirement to plan an alternative course of action for the eventuality that the flight cannot be completed as planned because of weather conditions?	DR			
13.2.1.3		Has the operator established a process to ensure flight crews are familiar with national, regional and international air navigation procedures and associated requirements prior to the commencement of flight into such airspaces, and to ensure that flight crews comply with the requirements of their State of Registry or Operations, published Regional Procedures and the regulations of each airspace in which they intend to land or overfly, whichever is more restrictive? <i>Note 1: Operators should check GEN 1.7 of the State AIPs to identify where State requirements deviate from ICAO SARPS. Operators may be able to obtain such a service from flight planning service providers.</i> <i>Note 2: The rules in force relating to flight and manoeuvre of aircraft when operating outside the airspace of any sovereign state, i.e., oceanic or high seas, shall be in accordance with ICAO Annex 2, Rules of the Air.</i>	DR EI			
13.2.1.4		Does the operator maintain, or have access to, a library of publications relevant to flight in international airspace? (Recommended Practice)	DR EI			

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13.2.2 VFR Flights						
13.2.2.1		Has the operator established a policy stating that flights to be conducted in accordance with visual flight rules shall not be commenced unless current meteorological reports or a combination of current reports and forecasts indicate that the meteorological conditions along the route or that part of the route to be flown under the visual flight rules will, at the appropriate time, be such as to enable compliance with these rules?	DR			
13.2.2.2		Has the operator established a process to assess the obstacle and terrain avoidance risks related to VFR flight?	DR EI			
13.2.3 IFR Flight						
13.2.3.1		Has the operator established a policy stating that flights to be conducted in accordance with the instrument flight rules shall not be commenced unless the available information indicates that conditions at the aerodrome or heliport of intended landing or at least one destination alternate will, at the estimated time of use, be at or above the aerodrome or heliport operating minima?	DR			
13.2.3.2		Has the operator established policy stating that a take-off alternate aerodrome/heliport shall be selected and specified in the flight plan if the weather conditions at the aerodrome/heliport of departure are at or below the applicable operating minima or it would not be possible to return to the point of departure for other reasons?	DR			
13.2.3.3		Has the operator established process to ensure that the take-off alternate is suitable, considering items such as, but not limited to, weather at estimated time of use, flying time, and airport infrastructure and services? <i>(For an aerodrome/heliport to be selected as a take-off alternate, the available information shall indicate that, at the estimated time of use, the conditions will be at or above the applicable operating minima for that operation)</i>	DR EI			
13.2.4 Destination Alternate Aerodrome						
13.2.4.1		Has the operator established a policy regarding selection of destination alternate aerodrome or heliport for flights to be conducted in accordance with the instrument flight rules, and does it meet the conditions listed in IS-BAO 13.2.4.1?	DR			
13.2.4.2		<i>(A) If the policy required in 13.2.4.1 allows the operator to preclude selecting an alternate in accordance with 13.2.4.1.a.i, does the operator's policy state that at least one destination alternate aerodrome will be selected and specified in the flight plan if the destination aerodrome has only one usable runway with an operational instrument approach procedure at the estimated time of use? (Recommended Practice)</i>	DR			

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13.2.5 (A) Fuel Requirements (Aeroplanes)						
13.2.5.1		(A) Has the operator established policies and procedures to ensure that the aeroplane carries sufficient fuel to safely complete each flight and land with the planned final reserve fuel?	DR EI			
13.2.5.2		(A) Has the operator established a process to ensure the computed final reserve fuel meets both the State of Registry and State of Operations requirements, taking into account possibly more conservative values?	DR			
13.2.5.3		(A) Has the operator determined one final reserve fuel value (pounds/kilos) for each aeroplane type and variant in their fleet rounded up to an easily recalled figure? (Recommended Practice)	DR			
13.2.5.4		(A) Has the operator established policies and procedures to ensure the pilot-in-command continually ensures that the amount of usable fuel remaining onboard is not less than the fuel required to proceed to an aerodrome where a safe landing can be made with the planned final reserve fuel remaining upon landing?	DR EI			
13.2.5.5		(A) Has the operator established a policy requiring the pilot-in-command to advise ATC of a minimum fuel state by declaring MINIMUM FUEL when, having committed to land at a specific aerodrome, the pilot calculates that any change to the existing clearance to that aerodrome may result in landing with less than planned final reserve fuel?	DR			
13.2.5.6		(A) Has the operator established a policy requiring the pilot-in-command to declare a situation of fuel emergency by broadcasting MAYDAY MAYDAY MAYDAY FUEL, when the calculated usable fuel predicted to be available upon landing at the nearest aerodrome where a safe landing can be made is less than the planned final reserve fuel?	DR			
13.2.6 (H) Fuel and Oil Supply Requirements (Helicopters)						
13.2.6.1		(H) Has the operator established a policy prohibiting commencement of a flight unless, taking into account both the meteorological conditions and any delays that are expected in flight, the helicopter carries sufficient fuel and oil to ensure that it can safely complete the flight, as well as reserve fuel to provide for contingencies?	DR			
13.2.6.2		(H) Has the operator established a process to ensure that the amount of fuel and oil carried for VFR operations satisfies the criteria listed in IS-BAO 13.2.6.2?	DR EI			
13.2.6.3		(H) Has the operator established a process to ensure that the amount of fuel and oil to be carried for IFR operations satisfies the criteria listed in IS-BAO 13.2.6.3.a through 13.2.6.3.c?	DR EI			
13.2.6.4		(H) Has the operator established policies and procedures to ensure the pilot-in-command continually confirms that the amount of usable fuel remaining onboard is adequate for safe completion of the flight with planned final reserve fuel upon landing?	DR EI			
13.2.6.5		(H) Has the operator determined one final reserve fuel value (gallons/litres/percent/etc., as applicable) for each helicopter type and variant in their fleet rounded up to an easily recalled figure? (Recommended Practice)	DR			
13.2.7 Oxygen Supply Requirements						
13.2.7.1		Has the operator established policies and procedures to ensure that a flight is not commenced unless a sufficient quantity of stored breathing oxygen is carried to supply all crew members and passengers, in accordance with the national regulations of the State of Registry?	DR			
13.2.8 (A) Extended Diversion Time Operations (EDTO)						
13.2.8.1		(A) If the operator uses turbine-powered multiengine airplanes in extended diversion time operations (EDTO) over water or Polar regions, has the operator established operational and maintenance procedures for those operations? (Recommended Practice) Note: EDTO may be referred to as ETOPS in some documents.	DR			
13.2.9 Aircraft Performance						

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
13.2.9.1		Has the operator established a process to ensure the operation of each aircraft within the approved operating limitations contained in its flight manual and in compliance with the terms of its certificate of airworthiness? <i>Note: The operator should give consideration to exceptions listed in the CofA, additional limitations listed in the applicable Type Certificate Data Sheet (TCDS), and other operational supplements.</i>	DR EI			
13.2.9.2		(A) Has the operator established policies and procedures for determining that aircraft performance will permit the safe execution of all phases of flight, taking into account the criteria listed in IS-BAO 13.2.9 and the requirements listed in 13.2.9.2.a (for Single-Engine Aeroplane) and/or 13.2.9.2.b (for Multi-Engine Aeroplanes)?	DR EI			
13.2.9.3		(H) Has the operator established policies and procedures for determining that aircraft performance will permit the safe execution of all phases of flight, taking into account the criteria listed in IS-BAO 13.2.9 and the requirements listed in 13.2.9.3.a (for Single-Engine Helicopters) and/or 13.2.9.3.b (for Multi-Engine Helicopters)?	DR EI			
13.2.10 Noise Abatement						
13.2.10.1		Has the operator established a process to identify, before departure, any existing noise abatement restrictions along the route, and to ensure that the aircraft adheres to all published noise abatement procedures consistent with safety?	DR EI			
13.2.11 Communications, Navigation, and Surveillance (CNS) Requirements and Approvals						
13.2.11.1		Does the operator have a process to ensure the criteria listed in IS-BAO 13.2.11.1.a through 13.2.11.1.d are met prior to operating in airspace where CNS requirements exist (such as PBN, HLA, RVSM, CPDLC or ADS B/C)?	DR EI			
13.2.12 Travel Health Issues						
13.2.12.1		<i>Has the operator developed a process and procedures for assessment of public health risks at their destinations and a response plan should passengers and/or crew be exposed to serious infectious disease or significant health risks? (Recommended Practice)</i>	DR EI			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
13.3 - Ground Operations						
13.3.1 Refuelling with Passengers Onboard						
13.3.1.1		Has the operator established a policy either allowing or prohibiting refueling of the aircraft while passengers are embarking, onboard, or disembarking?	DR			
13.3.1.2		If the operator allows refuelling while passengers are embarking, onboard, or disembarking, has it established procedures to ensure the criteria listed in IS-BAO 13.3.1.2.a through 13.3.1.2.c are satisfied during this operation?	DR			
13.3.1.3		<i>Has the operator established a policy prohibiting fuelling with the engines running (hot fuelling) while passengers are embarking, onboard, or disembarking? (Recommended Practice)</i>	DR			
13.3.2 Surface Contamination						
13.3.2.1		Has the operator developed policies and procedures to ensure that an aircraft does not take off or attempt to take off with frost, ice or snow adhering to any critical surface? <i>Note: These policies may allow for take-off with frost under the wing in the area of the fuel tanks if such operations are conducted in accordance with the aircraft manufactures instructions and authorized by the CAA.</i>	DR			
13.3.3 Cabin Baggage						
13.3.3.1		Has the operator established procedures to ensure adequate and secure stowage of all baggage carried onto an aircraft and transported in the passenger cabin?	DR			
13.3.4 (A) Personnel Qualified to Taxi Aeroplane						
13.3.4.1		(A) Has the operator established a process to ensure no individual will taxi an aeroplane unless that person is either a pilot appropriately qualified to operate that aeroplane, or a person duly authorized by the operator and trained to competency on all aerodrome operating procedures and aeroplane normal, abnormal and emergency operations related to taxiing the aeroplane?	DR			
13.3.5 (H) Helicopter Rotor Turning under Power						
13.3.5.1		(H) Has the operator established a procedure to ensure that a qualified individual will be at the controls of the helicopter whenever the rotor is turning under power?	DR			
13.3.5.2		(H) Does the operator provide appropriately specific training and procedures for all personnel, other than qualified pilots, who are likely to carry out the turning of a rotor under power?	DR EI			
13.3.6 Disposal of International Garbage						
13.3.6.1		Has the operator established a process to identify any existing restrictions on disposal of international garbage and to ensure compliance with such restrictions?	DR			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
13.4 - Flight Release and Flight Following						
13.4.1		Has the operator established a documented flight release process that meets the operation's needs considering the complexity and area of operations and satisfies the requirements detailed in IS-BAO 13.4.1.a through 13.4.1.e?	DR EI			
13.4.2		As part of the flight release process required in IS-BAO 13.4.1, has the operator established a crew scheduling process that satisfies the requirements specific in IS-BAO 13.4.2.a through 13.4.2.d?	DR EI			
13.4.3		<i>As part of its flight release process, has the operator established procedures to ensure the pilot-in-command has access to appropriate information concerning the search and rescue services in the area over which the aircraft will operate?</i> (Recommended Practice)	DR			
13.4.4		Has the operator established flight following procedures that satisfy the requirements specified in IS-BAO 13.4.4.a through 13.4.4.c?	DR EI			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
13.5 - Weather Minima						
13.5.1		Has the operator established a process to determine safe aerodrome or heliport operating minima to be observed, taking into account the aspects listed in IS-BAO 13.5.1.a through 13.5.1.d?	DR EI			
13.5.2		Has the operator established a policy prohibiting the continuation of a flight toward the aerodrome or heliport of intended landing unless the latest available meteorological information indicates that conditions at that aerodrome or heliport, or at least one destination alternate aerodrome or heliport, will, at the estimated time of arrival, be at or above the specified aerodrome or heliport operating minima?	DR			
13.5.3	Aerodrome Operating Minima					
	a.	Does the operator ensure that, unless permitted by both the State of Registry and State of Operation, an instrument approach is not continued below 300 m (1000 ft.) above the aerodrome elevation or into the final approach segment unless the reported visibility or controlling RVR is at or above the aerodrome operating minima?	DR			
	b.	Does the operator have policy and procedures to ensure that, if after entering the final approach segment or after descending below 300 m (1000 ft.) above the aerodrome/heliport elevation the reported visibility or controlling RVR falls below the specified minimum, the approach may be continued to DA/H or MDA/H, provided that the aircraft does not continue its approach-to-land beyond a point at which the limits of the aerodrome/heliport operating minima would be infringed?	DR			
	c.	<i>When the State of Registry and the State of Operation permit and the operator chooses to conduct the operation described in 13.5.3.a, does the operator have a policy, based on the operator's company risk assessment, describing the conditions under which it would authorize such an approach? (Recommended Practice)</i>	DR			
13.5.4		If the operator has authorization from the civil aviation authority in the State of Registry to conduct Category II or III operations, does the operator have a process to ensure compliance with all minimum requirements for such operations, to include the elements of IS-BAO 13.5.4.a through 13.5.4.d?	DR EI			
13.5.5		Has the operator established policies and procedures to ensure that crews will not commence a flight in known or expected icing conditions unless the aircraft is certificated and equipped for such conditions?	DR			
13.5.6		(H) VFR Helicopter Operations. Does the operator have a process to establish VFR weather limits for both day and night operations where standard VFR weather limits are not appropriate to the nature of the operations and/or the operating environment? <i>Note: Regulatory minimum requirements established by the State may not be sufficient to support a particular operation or suitable for best and safe practices. Operators/owners have the opportunity to establish meaningful weather minimums to aid the pilot in conducting safe operations.</i>	DR EI			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
13.6 - En Route Operations						
13.6.1 Use of Oxygen						
		<i>Note: IS-BAO Standards 13.6.1.1 and 13.6.1.2 apply to pressurized aircraft under abnormal or emergency situations as well as unpressurized aircraft.</i>				
13.6.1.1		Has the operator established policies and procedures to ensure that whenever the cabin pressure altitude is above 10,000 ft. (700 hPa) but not exceeding 13,000 ft. (620 hPa), each crew member shall wear an oxygen mask and use supplemental oxygen for any part of the flight at those altitudes that is more than 30 minutes in duration?	DR			
13.6.1.2		Has the operator established policies and procedures to ensure that whenever the cabin pressure altitude is above 13,000 ft. (620 hPa), each person onboard the aircraft shall wear an oxygen mask and use supplemental oxygen for the duration of the flight at those altitudes?	DR			
13.6.1.3		For aircraft that are not equipped with quick-donning oxygen masks, has the operator established a policy stating that the pilot at the flight controls shall don an oxygen mask when operating at or above FL 250?	DR			
13.6.1.4		<i>Does the operator have a policy stating that the pilot at the flight controls of an aircraft shall use an oxygen mask if the aircraft is operated above FL 410 or if one pilot leaves the flight deck for any reason above FL 350? (Recommended Practice)</i>	DR			
13.6.2 Aircraft Crew Seating Requirements						
13.6.2.1		Has the operator established a policy establishing seating requirements for all flight and cabin crew members that satisfies the requirements of IS-BAO 13.6.2.1.a through 13.6.2.1.c?	DR			
13.6.3 Microphones and Headsets						
13.6.3.1		Has the operator established a policy directing flight crew members to utilise headsets and communicate through boom microphones to the maximum extent practical to ensure effective communications, and at all times during critical phases of flight?	DR			
13.6.4 Flight Data Recorders and Cockpit Voice Recorders						
13.6.4.1		Has the operator established a policy stating that flight data and cockpit voice recorders shall not be disabled during flight time?	DR			
13.6.5 Discretionary Landing Authority						
13.6.5.1		(H) Has the operator established a policy clearly stating their support for any flight crew personnel that makes the decision to land the helicopter with due care if the continued safety of the flight is ever in question for any reason?	DR			
13.7 - Approach						
13.7.1		(A) Has the operator established a policy that defines stabilized approach criteria and requires the flight crew to execute a go-around or missed-approach if the aircraft deviates from these criteria unless the crew has previously planned and briefed an operationally required deviation?	DR			
13.7.2		<i>(A) Has the operator established a policy requiring flight crews to utilize approaches with a constant glide path to landing to the maximum extent practical? (Recommended Practice)</i>	DR			
13.7.3		Has the operator established policies and/or procedures to address the specific risks for aircraft on IFR flight plans transitioning to visual flight references, including circle-to-land procedures?	DR			
13.7.4		Has the operator established a policy that defines criteria for continuing an approach to a landing and that requires the flight crew to execute a go-around or missed approach if the aircraft deviates from these criteria unless the crew has previously planned and briefed an operationally required deviation?	DR			

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13.8 - Passengers						
13.8.1 Passenger Safety Briefing						
13.8.1.1		Has the operator established a policy stating that passengers shall receive a safety briefing appropriate to the passengers' needs, which covers at least the items specified in this section as applicable for the type of operation, and which satisfies the requirements specified in IS-BAO 13.8.1.1.a and 13.8.1.1.b?	DR			
13.8.1.2		Standard Safety Briefing - Has the operator established a process to ensure that, except under the conditions specified in 13.8.1.1.a or 13.8.1.1.b, passengers receive a standard safety briefing including at least the items detailed in IS-BAO 13.8.1.2.a through 13.8.1.2.e?	DR			
13.8.1.3		Emergency Operations - Does the operator have a policy stating that the PIC shall ensure that, in the event of an emergency, all passengers are given an emergency briefing, where circumstances permit, covering the items listed in IS-BAO 13.8.1.3.a through 13.8.1.3.h?	DR			
13.8.2		Passenger Safety Briefing Card - Has the operator established a process to make readily available to each passenger a passenger safety briefing card that contains, in printed and/or pictographic form, information on at least the safety features of the aircraft listed in IS-BAO 13.8.2.a through 13.8.2.d?	DR EI			
13.8.3		Has the operator established a policy on use of seat belts by passengers that satisfies the requirements specified in IS-BAO 13.8.3.a through 13.8.3.c?	DR			
13.8.4		For international operations, has the aircraft operator established procedures for disembarking passengers and crew members from the time they leave the aircraft until they are accepted for examination for entry into a State?	DR			
13.9 - Maintenance Check Flights						
13.9.1		<i>Has the operator established a process for the conduct of Maintenance Check Flights that addresses the aspects listed in IS-BAO 13.9.1.a through 13.9.1.d? (Recommended Practice)</i>	DR			
Comments, Observations, and Recommendations						

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities <i>(For Auditor Use Only)</i>
14. Aircraft Equipment Requirements						
14.1 - General						
14.1.1		Does the operator have a process to ensure that all aircraft are equipped in accordance with the applicable requirements and corresponding technical specifications prescribed by the State of Registry?	DR EI			
14.1.2		Does the operator have a process to ensure compliance with any additional equipment requirements specified by the State and/or airspace where operations are conducted?	DR EI			
14.2 - Operational Information and Documentation						
14.2.1		Does the operator have a process to ensure that valid and current revisions of all the documentation and information listed in IS-BAO 14.2.1.a through 14.2.1.o (in written or electronic form) are carried onboard the aircraft, and the operational information is accessible on the flight deck?	DR EI			
14.3 - Aircraft Systems Data Management						
14.3.1		Does the operator have a process to ensure that all applicable aircraft systems databases (e.g., navigation databases, GPWS/TAWS databases for aircraft equipped with ground proximity warning systems with predictive terrain hazard warning, etc.) are current?	DR EI			
14.4 - Minimum Equipment List						
14.4.1		Where a master minimum equipment list (MMEL) is established for the aircraft type, has the operator established a minimum equipment list (MEL), which will enable the pilot-in-command to determine whether a flight may be commenced or continued from any intermediate stop, should any instrument, equipment or systems become inoperative?	DR EI			
	a.	Is the MEL approved by the State of Registry of the aircraft and, if applicable, acceptable to the State of Operations?	EI			
	b.	Is the MEL appropriate to the specific configuration of the operator's aircraft?	EI			
	c.	Does the MEL contain any maintenance and operational procedures that may be required by the corresponding MMEL?	EI			

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14.5 - Electronic Flight Bag (EFB) Equipment						
14.5.1		If the operator uses any type of EFBs, has the operator: <i>Note: Refer to Chapter 14 Guidance for information on what constitutes EFB for the purposes of IS-BAO.</i>				
	a.	Assessed the safety risk(s) associated with each EFB function?	DR			
	b.	Established the procedures for the use of the device and each EFB Function?	DR			
	c.	Ensured that, in the event of an EFB failure, sufficient information is readily available to the flight crew for the safe conduct of the flight?	DR			
Comments, Observations, and Recommendations						

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities <i>(For Auditor Use Only)</i>
15. Aircraft Maintenance Requirements						
15.1 - Aircraft Maintenance Control / Aircraft Maintenance Management						
Every aircraft operator shall establish a system to control the maintenance of its aircraft which will ensure compliance with their State of Registry regulations, equipment configuration and maintenance requirements for selected airspace operations. For the purposes of this chapter, this system is referred to as the Maintenance Control System, and its minimum elements are listed in this Section 15.1.						
15.1.1 Maintenance Control System Documentation						
<p><i>Note: In several regions, regulatory frameworks allow for the approval of organizations by the competent authority specifically for the provision of maintenance control services (e.g. Continuing Airworthiness Management Organizations – CAMOs).</i></p> <p><i>An operator/owner/lessor may entirely or partly (sub)contract the maintenance control system for its aircraft to such approved organizations, provided the approved organization's processes conform to the corresponding standards and recommended practices of this Section. For the specific tasks that are under the responsibility of an approved organization, the operator / owner/lessor may then refer to the approved organization's documentation (e.g., Continuing Airworthiness Management Exposition – CAME) to demonstrate conformance to this Section.</i></p>						
15.1.1.1		Has the operator documented a maintenance control system that includes all items listed in Section 15.1 of the IS-BAO?	DR EI			
15.1.2 Maintenance Programme						
15.1.2.1		Has the operator documented a maintenance inspection schedule/programme, based on information made available by the State of Design, Type Certificate Holder/Supplemental Type Certificate Holder or by the organization responsible for the current approved type design and equipment configuration, to which compliance will be sustained as authorized by the State of Registry?	DR EI			
15.1.2.2		<p><i>Does the operator have a process to assess the performance of their maintenance control system and incorporate changes necessary to improve compliance, reliability and efficiency, and to reduce the risks related to maintenance activities?</i></p> <p>(Recommended Practice)</p> <p><i>Note: The use of Continuing Analysis and Surveillance Systems and industry reliability programme models may be used to collect data necessary to optimize maintenance schedules, supported by CAA approval when required.</i></p>	DR EI			
15.1.2.3		<p>Does the operator have a process to monitor, review and assess revisions in the manufacturer's/Type Certificate Holder's (TCH's) Instructions for Continued Airworthiness (ICA's) and/or regulatory requirements to ensure all current requirements are identified, and to incorporate such revisions in a timely manner?</p> <p><i>Note: Instructions for Continued Airworthiness (ICA's) may be documented in information such as scheduled maintenance task lists, maintenance manuals, illustrated parts manuals, fault isolation manuals, wiring diagrams, etc.</i></p>	DR EI			

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15.1.3 Manufacturer Service Information and CAA Airworthiness Directives						
15.1.3.1		Does the operator have a process to identify, assess and determine the requirements to implement newly issued aircraft service information and CAA Airworthiness Directives, as well as schedule incorporation/compliance in a timely manner?	DR EI			
15.1.4 Basic Empty Weight (BEW)						
15.1.4.1		Does the operator have a procedure to ensure that the Basic Empty Weight (BEW) of an aircraft is maintained, current and properly documented?	DR EI			
15.1.4.2		Does the operator have a process to ensure that any changes to the BEW of an aircraft are updated in all other documents, publications, software, avionics systems, and any other tools that are used for aircraft performance calculations?	DR EI			
15.1.5 Maintenance Tracking and Scheduling						
15.1.5.1		Has the operator established and maintained a maintenance tracking system/document for each specific aircraft it operates that includes, at a minimum, all the elements required by IS-BAO 15.1.5.1.a through 15.1.5.1.h?	DR EI			
15.1.5.2		Does the operator have a process to ensure that its maintenance tracking system/document is current with the current Type Certificate Holder's scheduled maintenance inspection requirements?	DR EI			
15.1.5.3		Does the operator have documented procedures to track and schedule the required maintenance for each specific aircraft it operates?	DR EI			

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15.1.6 Maintenance Agreements						
15.1.6.1		Does the operator have policies and processes to ensure that no person or organisation performs maintenance on an aircraft unless the person is an employee of the operator or has been authorized to perform the work under the terms of a written maintenance agreement or other form of authorization specified by the operator?	DR			
15.1.6.2		Does the operator have a procedure to provide a copy of the relevant manual section that details the maintenance control system requirements, or relevant portions thereof, to each person or organisation that performs or certifies work? <i>(For unscheduled work, temporary copies of the relevant portions of the manual section that details the maintenance control system, or any incorporated reference, may be sent electronically.)</i>	DR			
15.1.6.3		Does the operator have procedures in the company operations manual for flight crew to obtain and qualify aircraft maintenance services when away from home base? <i>Note: These procedures shall ensure that any person contracted to perform maintenance services on the operator's aircraft when away from home base are duly qualified and have the facilities, personnel competency, tools and equipment necessary to perform the required service. These procedures shall also include the review of the maintenance and related records to ensure the operator's technical dispatch requirements are met.</i>	DR			
15.1.7 Parts and Materials						
15.1.7.1		Does the operator have procedures to ensure that only parts and materials that meet the CAA's regulatory requirements and manufacturers' specifications are used in the performance of maintenance and elementary work/preventive maintenance or servicing?	DR EI			
15.1.7.2		If the operator procures spare parts and/or materials for use or inventory, does the operator have procedures to:				
	a.	Ensure all parts and materials are inspected upon receipt to verify serviceability and documentation validating traceability to approved sources;	DR EI			
	b.	Monitor the expiration dates of shelf-life limited materials and discard expired items;	DR EI			
	c.	Properly dispose unserviceable parts and materials;	DR EI			
	d.	Segregate serviceable and unserviceable parts and materials; and	DR EI			
	e.	Ensure compliance with any handling and special environmental storage requirements applicable to the part or material (e.g. sealants, paints, resins, rubber, flammable items such as lubricants, etc.)?	DR EI			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
15.1.8 Aircraft Records						
15.1.8.1		Does the operator have procedures to ensure that maintenance records on each aircraft operated are maintained in accordance with IS-BAO 15.1.8.1.a through 15.1.8.1.e?	DR EI			
15.1.9 Aircraft Technical Dispatch						
15.1.9.1		Does the operator have technical dispatch procedures to ensure that all items listed in IS-BAO 15.1.9.1 are satisfied?	DR EI			
15.1.10 Aircraft Defects						
15.1.10.1		Does the operator have procedures for:				
	a.	Recording aircraft defects;	DR EI			
	b.	Ensuring the rectification of defects in accordance with regulatory requirements and manufacturer's specifications; and	DR EI			
	c.	Detecting defects that recur and tracking those defects as recurring defects?	DR EI			
15.1.11 Communications with the CAA						
15.1.11.1		Does the operator of an aeroplane of a maximum certificated take-off mass in excess of 5 700 kg, or helicopter with a maximum certificated take-off mass in excess of 3 175kg, shall, as prescribed by the State of Registry, have a process to ensure the transmission of information resulting from maintenance and operational experience with respect to continuing airworthiness to the State of Registry, as required?	DR			
15.1.11.2		Has the operator identified the person(s) eligible to apply for a special flight permit or authorization for the operator's aircraft?	DR			
15.1.12 Management Control						
15.1.12.1		Has the operator authorized the person who is responsible for its maintenance control system to remove an aircraft from operation, where the removal is justified because of noncompliance with the requirements of national regulations or because of a threat to the safety of the aircraft, persons or property?	DR			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities <i>(For Auditor Use Only)</i>
15.2 - Performance of Aircraft Maintenance Inspections and Tasks						
15.2.1 Elementary Work or Preventive Maintenance						
15.2.1.1		For elementary work or preventive maintenance and aircraft servicing, has the operator: <i>Note: Elementary work or preventive maintenance means simple or minor maintenance operations and the replacement of small standard parts not involving complex assembly.</i>				
	a.	Identified those standards or maintenance data instructions (aircraft manufacturer, civil aviation authority, vendor, supplier or other) to be used;	DR			
	b.	Established procedures to confirm the use of regulatory information and technical data appropriate to the work performed; and	DR			
	c.	Documented the methods used to record the maintenance, elementary work/preventive maintenance or servicing performed, and to ensure the recording of any defects in the aircraft technical record?	DR EI			
15.2.2 Tools and Foreign Objects						
15.2.2.1		Does the operator have procedures to ensure the use of only properly calibrated tools in the performance of maintenance, elementary work/preventive maintenance or servicing?	DR EI			
15.2.2.2		Does the operator have procedures for a tool control programme designed to ensure tools, supplies, and test equipment are accounted for following maintenance performed on an aircraft?	DR EI			
15.2.2.3		Does the operator have procedures to assess for Foreign Object Damage (FOD) or accidental damage following maintenance performed on the aircraft?	DR EI			
15.2.3 Maintenance Personnel						
15.2.3.1		If the operator performs any maintenance or servicing tasks, does the operator have a process to ensure that aircraft maintenance or servicing personnel:				
	a.	Are certificated as specified in the State of Registry or State of Operator's regulations, as appropriate for the aircraft on which the person does work; and	DR EI			
	b.	Are trained and approved by the operator for the specific maintenance or servicing task?	DR EI			
15.2.3.2		If the operator performs any maintenance or servicing tasks, does the operator have policies and a process to ensure that no person signs a maintenance release unless, within the preceding 24 months, that person has had at least six months' experience in the inspection, servicing or maintenance of an aircraft or system in accordance with the privileges granted by the licence held?	DR EI			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
15.3 - Contracted Activities						
15.3.1 Outsourcing of the Maintenance Control System						
15.3.1.1		If the operator has partially or totally outsource the maintenance control tasks to an external entity such as an approved organisation (e.g., a CAMO), an individual, or an organization that does not require a specific approval from the competent authority, has the operator established procedures to ensure adequate oversight of the maintenance control system through its compliance monitoring system?	DR EI			
15.3.2 Outsourcing of Aircraft Maintenance Inspections / Tasks						
15.3.2.1		If the operator subcontracts the actual execution of some or all maintenance inspections/tasks to Approved Maintenance Organizations (AMOs), has the operator established procedures for proper oversight to ensure that the AMO conforms to the standards and recommended practices of Sections 8.1.7, 8.2, 12.1 and 15.2, and in areas where they do not conform, to identify these gaps and manage the associated risks in the operator's SMS?	DR EI			
Comments, Observations, and Recommendations						

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
OTAR Operator Appendix - Applicable to operators using the IS-BAO for regulatory compliance with the UK OTARs						
OT 1 General						
OT 1.1		Has the operator established a policy stating that the operator and its personnel shall allow a person authorised by the Governor of the Territory to board the aircraft unless in the opinion of the PIC, it is unsafe to do so?	DR			
OT 1.2	a.	Has the operator established a policy stating that the operator shall produce any documentation relating to aircraft operations and the safety of aircraft in flight when requested to do so by an authorised person?	DR			
	b.	Does that policy also state that the PIC shall produce to an authorised person, within a reasonable time, the required documentation to be carried in flight when requested?	DR			
OT 1.3		Does the operator have a policy and procedures to ensure that, when required for an aircraft registered in the Territory, information for the preparation and execution of a flight; reports; flight crew records; cabin crew records; records for other operational personnel; and, other specified records, shall be stored for the periods prescribed in Appendix 1 to 91.1265?	DR EI			
OT 4 ERP						
OT 4.1		For flights on which one or more flight recorder systems is required to be carried, has the operator established procedures to ensure flight recorders shall be de-activated upon completion of flight time following an accident or incident, and shall not be re-activated before their disposition as determined in accordance with OTAR Part 13, to preserve flight recorder records?	DR			
OT 7 Organization & Personnel Requirements						
OT.7.1		If Task Specialists are carried, does the operator assign duties and functions to be carried out in the event of an emergency?	DR			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
OT 8 Training and Proficiency						
OT 8.1		(Reserved)				
OT 8.2		When ACAS is fitted, has the operator established training requirements for each flight crew member on the use of the equipment and the avoidance of collisions?	DR EI			
OT 9 Occupational Health and Safety						
OT 9.1		Has the operator taken measures to:				
	a.	Assess the exposure to cosmic radiation when in flight of all crew members who are liable to be subject to cosmic radiation in excess of 1 millisievert (mSv) in any period of 12 months?	DR EI			
	b.	Take into account the assessed exposure when organising work schedules with a view to reducing the doses of highly exposed crew members?	DR EI			
	c.	Inform the crew members concerned of the health risks their work involves?	DR EI			
	d.	Retain assessments of exposure to cosmic radiation for the periods specified in 91.1265?	DR EI			
OT 9.2		Does the operator have procedures to ensure that the working schedules for female crew members, once they have notified the operator that they are pregnant, keep the equivalent dose to the foetus as low as can reasonably be achieved and in any case ensure that the dose does not exceed 1 mSv for the remainder of the pregnancy?	DR EI			
OT 9.3		For any flight operated above 49,000 feet:				
	a.	Has the operator established procedures for operating above 49,000 feet and for the use of monitoring equipment?	DR			
	b.	Has the operator established a policy requiring a descent to 49,000 feet or lower be initiated as soon as practicable if the limit values of cosmic radiation dose rate specified in the FOM are exceeded?	DR			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
OT 13 Flight Operations						
OT 13.1 Flight Planning and Pre-Flight Requirements						
OT 13.1.1		Has the operator established procedures to report any inadequacy of facilities observed in the course of operations to the authority responsible for them, without undue delay?	DR			
OT 13.1.2		Has the operator established procedures to ensure that the PIC, before commencing a flight, shall be familiar with the Aircraft Flight Manual (AFM), all placards, listings, operating limits, emergency equipment, crew assignments, procedures to be used for the use of normal and emergency equipment in an emergency situation?	DR			
OT 13.1.3	a.	Has the operator established procedures to ensure that an operational flight plan (OFP) is prepared and completed for every flight?	DR EI			
	b.	Do these procedures ensure that the contents and entries of the operational flight plan contain the items required by OTAR 125.1260(a)?	DR EI			
OT 13.1.4		(A) Has the operator established a process for the selection of a take-off alternate that ensures the selected aerodrome is located within the following flight times:				
	a.	For an aeroplane with two engines, one hour of flight time at a one-engine-inoperative cruising speed determined from the aircraft operating manual, calculated in ISA and still-air conditions using the actual take-off mass?	DR EI			
	b.	For an aeroplane with three or more engines, two hours of flight time at an all-engine operating cruising speed, determined from the aircraft operating manual, calculated in ISA and still-air conditions using the actual take-off mass?	DR EI			
OT 13.1.5		Has the operator established a policy requiring the pilot-in-command to request delay information from ATC when unanticipated circumstances may result in landing at the destination aerodrome with less than the final reserve fuel plus any fuel required to proceed to an alternate aerodrome or the fuel required to operate to an isolated aerodrome?	DR			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities (For Auditor Use Only)
OT 13.2 Flight release and flight following						
OT 13.2.1		Has the operator established the pilot-in-command's responsibility for operational control?	DR EI			
OT 13.3 Weather Minima						
OT 13.3.1		Has the operator established policies stating that the minimum RVR for take-off is 150m (Category A, B and C aeroplanes) or 200m (Category D aeroplanes), unless otherwise authorized by the Governor? <i>Note: Approvals for take-off below those limits may be issued by the Governor in accordance with OTAR Part 91 Subpart SPA.</i>	DR			
OT 13.4 En Route Operations						
OT 13.4.1		Has the operator established procedures and actions to follow on receiving Resolution Advisories from the ACAS II system?	DR			
OT 13.4.2		Has the operator established a policy and procedures for the PIC to ensure that each person on the aircraft shall occupy a seat or berth and fasten his/her safety belt, or restraining belt, or if equipped, shoulder harness or single diagonal shoulder belt, when the aircraft is flying at a height of less than 1,000 feet above the surface, unless operational requirements preclude such restraint and the procedures are approved by the Governor?	DR			
OT 13.4.3	a.	Has the Operator established procedures for the evaluation of, and dealing with travelers with a suspected communicable disease?	DR			
	b.	Do the procedures for reporting a communicable disease whilst in flight require the PIC to report to ATC the following: a) Aircraft identification b) Airport of Departure c) Airport of Destination d) ETA e) Persons on board f) Number of suspected cases g) If known, the nature of the Public Health risk	DR			

Ref.	Item	Requirement	Req. Elem	Conform (Y/N/NA)	Doc. & Ref. Number	Evidence of Implementation or of Non-Conformities <i>(For Auditor Use Only)</i>
OT 14 Aircraft Equipment Requirements						
OT 14.1 Operational Information and Documentation						
OT 14.1.1	a.	Does the operator have a process to maintain an accurate Journey Log Book or equivalent records that contain for each flight or series of flights: i. aircraft nationality and registration; ii. date; iii. names of crew members; iv. duty assignments of crew members; v. place of departure; vi. place of arrival; vii. time of departure; viii. time of arrival; ix. hours of flight; x. nature of flight (private, aerial work, scheduled or non-scheduled commercial air transport); xi. incidents and observations (if any); and xii. signature of person in charge. <i>Note: An aircraft journey log, or parts thereof, may not be required if the relevant information is available in other documentation.</i>	DR EI			
	b.	Does the process ensure that all entries are made concurrently and are permanent in nature?	DR EI			
Comments, Observations, and Recommendations						

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To check spelling in all editable fields of the protocols, click the hyperlink in cell C5 below.

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