PART 21 SUBPART G PRODUCTION ORGANISATION APPROVAL COMPLIANCE CHECK LIST

**Survey Ref:**

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| **Applicant Name:** | **Approval Ref:** |
| **Address** | |
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| **Sites Assessed:** | |
| **Contact Names:** | **Tel No:** |
| **POATL Name:** | |
| **POAT Names:** | |
| **Exposition Title:** | **Exposition Ref:** |

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| **Compiled By:** | **Signed:** | **Date:** |

**Additional Information:**

Note:

Once completed to be passed to the POATL and will be included as part of the applicants compliance record. This checklist is required to be completed by the applicant initially as part of their readiness report.

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| **Design Links** |  |  |  |  |  |
| Does the applicant have suitably documented arrangements (see AMC No 2 to 21.A.133b&c) with a DOA to ensure satisfactory co-ordination including:- | 133b/c | No 2 to 133b/c |  |  |  |
| * the timely transfer of all airworthiness and design data | 133b/c | No 1 to 133b/c |  |  |  |
| * the responsibilities & procedures of the applicant for developing and validating manufacturing data against design & airworthiness data supplied. | 133b/c | No 1 to 133b/c |  |  |  |
| * the arrangements to assist the DOA with airworthiness matters (i.e., traceability of parts & processes, retrofitting, technical information, deviations etc.) | 133b/c 139b1 | No 1 to 133b/c |  |  |  |
| * Part 21 requirements such as 21.A.145b, 21.A165(c), (f)&(g) | 133b/c | No 1 to 133b/c |  |  |  |
| * the arrangements to assist the DOA in showing compliance prior to type certification | 133b/c | No 1 to 133b/c |  |  |  |
| * the procedures to deal adequately with non- conforming parts | 133b/c 139b1 | No 1 to 133b/c |  |  |  |
| * the procedures to ensure config. control of parts to enable determination & identification for conformity or airworthiness release | 133b/c | No 1 to 133b/c |  |  |  |
| * the transfer of design data eligibility and approval status in accordance with Part 21.A.4 | 133b/c4 | No 1 to 133b/c4 |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| * any agreement relating to Direct Delivery Authorisation, see also Part 21.A.4 | 133b/c4 | No 1 to 133b/c4 |  |  |  |
| * Identification of conformity or airworthiness release by virtue of certification authority approval of design data | 133b/c | No 1 to 133b/c |  |  |  |
| * Which persons or offices are responsible for controlling the above arrangements and associated data | 133b/c | No 1 to 133b/c |  |  |  |
| Is all necessary airworthiness and environmental data received from the CAA or design organisation | 145b1 |  |  |  |  |
| Is airworthiness and environmental data correctly incorporated into production data. | 145b2 | 145b2 |  |  |  |
| * Does the applicant have an adequate and effective procedure covering verification of production data with applicable airworthiness and design data? | 145b2 | 145b2 |  |  |  |
| * Is there an adequate and effective procedure to define traceability of such data to each product, part or appliance for the purpose of certifying safe operation and conformity | 145b2 | 145b2 |  |  |  |
| Is the above data kept up-to-date and made available to staff who need access to perform their duties | 145b3 |  |  |  |  |
| Are test specimens and prototype models made under controlled conditions | 165c | No 1 to 165c |  |  |  |
| Is there an adequately proceduralised internal ‘occurrence reporting system’ | 165e |  |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| Are there adequate procedures to ensure that released parts with deviations from applicable design data are reported to the TC or design approval holder in a timely manner and: | 165f1 |  |  |  |  |
| * are any of the above deviations which could lead to an unsafe condition reported to the Agency in an acceptable and timely manner (within 72 hours) | 165f2  3b |  |  |  |  |
| * when acting as a supplier to another POA, are the above reported to that POA in an acceptable and timely manner | 165f3 |  |  |  |  |
| Are there adequate & effective procedures for providing assistance to the holder of the TC or design approval in continuing airworthiness problems | 165g |  |  |  |  |
| Are the part marking requirements of Subpart Q incorporated into the applicable design data, including EPA marking if applicable | 804 |  |  |  |  |
| **Production Organisation Exposition** |  |  |  |  |  |
| Has a POE been furnished to the CAA and verified for compliance?  Does it reflect the organizations’ activities applicable to the scope of approval applied for | 143a |  |  |  |  |
| Is the POE amended as necessary to remain an up-to- date description of the organisation | 143b |  |  |  |  |
| Are copies of amendments supplied to the CAA | 143b |  |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| Changes to the organisation must be notified to the CAA as soon as practicable, including change to: the organisation structure; accountable manager; CAA Form 4 nominated manager; quality system or significant change to production capacity, methods or systems. | 147a | 147a |  |  |  |
| Changes in location of the manufacturing facilities must be notified to the CAA prior to the change and as soon as practicable. | 148 | 148 |  |  |  |
| Is the POE used as a basic working document | 165a | 165a |  |  |  |
| * Has the applicant made the POE available to those staff who require it to perform their work? | 165a | 165a |  |  |  |
| * Is there a distribution list for the POE | 165a | 165a |  |  |  |
| * Are sub-tier procedures referred to in the POE circulated to the level required for use. | 165a | 165a |  |  |  |
| * Are staff familiar with the POE & associated documents applicable to their tasks. | 165a | 165a |  |  |  |
| Is the production organisation maintained in accordance with the approved data and procedures | 165b |  |  |  |  |
| **Quality System** |  |  |  |  |  |
| Has the applicant established a quality system which includes the products, parts or appliances detailed in the scope of the organisation | 139a |  |  |  |  |
| * Is the quality system documented in a form which makes it easily available to personnel who need it to perform their duties | 139a | No1 to 139a |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| * Is the manager responsible for ensuring that the quality system is implemented identified | 139a | No1 to 139a |  |  |  |
| Are there adequate procedures for document issue, approval & change | 139b1 |  |  |  |  |
| Are there adequate procedures for work performed at any location other than the approved facilities | 139b1 |  |  |  |  |
| Are there adequate control procedures for any critical parts | 139b1 |  |  |  |  |
| Is there an adequately proceduralised independent quality assurance function to monitor compliance with, and adequacy of, the procedures of the quality system | 139b1  139b2 | No1 to 139b2 |  |  |  |
| * Is quality assurance independent of the functions which it monitors | 139b2 | No1 to 139b2 |  |  |  |
| * Are staff able to work without technical reliance on the monitored function | 139b2 | No1 to 139b2 |  |  |  |
| * Does the quality assurance function perform planned continuing and systematic evaluations or audits of factors which affect conformity,   airworthiness and safety of the product | 139b2 | No2 to 139b2 |  |  |  |
| * Does this evaluation include all elements of the quality system in order to show compliance with   subpart G | 139b2 | No2 to 139b2 |  |  |  |
| Are quality assurance results fed back to the manager responsible for the function to ensure adequate corrective action | 139b2 |  |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| Are quality assurance results fed back to the accountable manager to ensure adequate corrective action | 139b2 |  |  |  |  |
| Are there sufficient competent personnel | 145a | 145a |  |  |  |
| Are there adequate procedures for the completion and retention of records | 139b1 |  |  |  |  |
| Are records kept of all work in a form acceptable to the authority | 165d | 165d/h |  |  |  |
| Are there adequate & effective procedures for instituting an archiving system, including suppliers/partners/subcontractors’ data, used for the purposes of conformity release and continued airworthiness | 165h | 165d/h |  |  |  |
| **Personnel** |  |  |  |  |  |
| What is the name of the accountable manager | 145c1 | 145c1 |  |  |  |
| Are they aware of their responsibility to maintain the applicant’s organisation in accordance with the data and procedures identified in the POE | 145c1 |  |  |  |  |
| Has the authority been delegated in writing to another person | 145c1 | 145c1 |  |  |  |
| Do they have the necessary responsibility and authority to ensure production is performed to the required standard? | 145c1 | 145c1 |  |  |  |
| * Do they ensure that all necessary resources are available and properly used in order to produce in accordance with subpart G | 145c1 | 145c1 |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| Do they have the necessary knowledge and authority to respond to the CAA on production matters | 145c1 | 145c1 |  |  |  |
| Have a group of managers been identified as responsible to the accountable manager to ensure the organisation is, and remains, in compliance with the approval requirements | 145c2 | 145c2 |  |  |  |
| * do they report to, or have formally established direct access to, the accountable manager | 145c2 | 145c2 |  |  |  |
| * have their responsibilities and authority been clearly identified and detailed in procedures to other staff within the organisation | 145c2 | 145c2 |  |  |  |
| * have details been made available on CAA Form 4’s | 145c2 | 145c2 |  |  |  |
| * Is their knowledge, background and experience appropriate to their responsibilities | 145c2 | 145c2 |  |  |  |
| * Does the manager responsible for monitoring the organisations compliance with subpart G (quality manager) have direct access to the accountable manager | 145c2 | 145c2 |  |  |  |
| Do the procedures clearly identify the appropriate authority of staff at all levels | 145c3 |  |  |  |  |
| Is there full and effective co-ordination between staff relating to airworthiness and environmental data matters | 145c3 |  |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| Are there adequate resources and procedures with regard to personnel competence and qualification (part of the quality system) | 139b1  145a | 145a |  |  |  |
| **Certifying Staff** |  |  |  |  |  |
| Have certifying staff been clearly identified (CAA Form 1 signatories) | 145d1 |  |  |  |  |
| * Is their background & experience appropriate to discharge their responsibilities | 145d1 |  |  |  |  |
| * Is their number sufficient with regard to the complexity of the part and the production rate | 145d1 | 145d1 |  |  |  |
| * Is their knowledge and experience of the production processes adequate | 145d1 | 145d1 |  |  |  |
| * Is their knowledge of the approval requirements adequate to make releases | 145d1 | 145d1 |  |  |  |
| Has adequate training been included for certifying staff | 145d1 | 145d1 |  |  |  |
| Is the training updated with changes in the organisation and its technology and staff retrained as necessary | 145d1 | 145d1 |  |  |  |
| Does training include a feedback system to maintain currency of both staff and training | 145d1 | 145d1 |  |  |  |
| Are records available of all certifying staff detailing the following:- | 145d2 |  |  |  |  |
| a) Name | 145d2 | 145d2 |  |  |  |
| b) Date of birth | 145d2 | 145d2 |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| c) Basic training and standard attained | 145d2 | 145d2 |  |  |  |
| d) Specific training and standard attained | 145d2 | 145d2 |  |  |  |
| e) Continued training (as appropriate) | 145d2 | 145d2 |  |  |  |
| f) Experience | 145d2 | 145d2 |  |  |  |
| g) Scope of authorisation. | 145d2 | 145d2 |  |  |  |
| h) Date of first issue | 145d2 | 145d2 |  |  |  |
| i) Expiry date, if appropriate | 145d2 | 145d2 |  |  |  |
| j) Identification number of authorisation. | 145d2 | 145d2 |  |  |  |
| * Are the records for certifying staff detailed as a procedure in the quality system | 145d2 | 145d2 |  |  |  |
| * Are certifying staff records restricted to prevent unauthorised alteration | 145d2 | 145d2 |  |  |  |
| * Can certifying staff access their own records upon request | 145d2 | 145d2 |  |  |  |
| * Are records maintained for at least two years following cessation of the authorisation. | 145d2 | 145d2 |  |  |  |
| Are certifying staff provided with evidence of the scope of their authorisation | 145d3 |  |  |  |  |
| * Does the document style make clear the scope of the authorisation | 145d3 | 145d3 |  |  |  |
| * Is the authorisation document made available in a reasonable time | 145d3 | 145d3 |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| Are there adequate procedures for the issue of airworthiness certifications (CAA Form 1) | 139b1  163c |  |  |  |  |
| * Are CAA Form 1s completed in accordance with Part 21 Appendix I | App I |  |  |  |  |
| * Are they only signed by certifying staff | 163c | 163c |  |  |  |
| * Are copies of the CAA Form 1s held on file | 163c | 163c |  |  |  |
| Is it ensured that each product, part or appliance is complete, conforms to the approved design data and is in a condition for safe operation before issuing an CAA Form 1 for airworthiness | 165c2 | No 2, 4 to 165c2 |  |  |  |
| Is it ensured that each product, part or appliance is complete and conforms to the applicable design data before issuing an CAA Form 1 for conformity and is the reason for not releasing for airworthiness indicated | 165c3 | No 1, 4 to 165c3 |  |  |  |
| In the case of environmental requirements, it is determined for the completed engine that it is in compliance with emissions requirements on the date of manufacture and, for the completed aeroplane, that it is in compliance with CO2 emissions requirements on the date its first CofA is issued. | 165c2 | No 2, 4 to 165c2 |  |  |  |
| **Supplier Control** |  |  |  |  |  |
| Are there adequate procedures for vendor & subcontractor assessment, audit & control? | 139b1 |  |  |  |  |
| * Are external suppliers identified by the quality system | 139a | No2 to 139a |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| * Are external suppliers controlled by using the following techniques as appropriate to ensure conformity | 139a | No2 to 139a |  |  |  |
| * Qualification and auditing of the supplier’s system. | 139a | No2 to 139a |  |  |  |
| * Evaluation of capability to establish conformity to applicable design data | 139a | No2 to 139a |  |  |  |
| * First article inspection to verify conformity to applicable data | 139a | No2 to 139a |  |  |  |
| * Incoming inspection and test where appropriate | 139a | No2 to 139a |  |  |  |
| * A vendor rating system which gives confidence in performance and reliability | 139a | No2 to 139a |  |  |  |
| * Additional work, including inspection and checks needed to enable parts to be delivered as spares, which are not included in the normal production cycle. | 139a | No2 to 139a |  |  |  |
| * Supplier personnel satisfy the competency standards of the applicants’ quality system as appropriate | 139a | No2 to 139a |  |  |  |
| * Quality measurements are clearly identified by the supplier | 139a | No2 to 139a |  |  |  |
| * Supplier records and reports showing conformity are available for review and audit | 139a | No2 to 139a |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| * Does the applicant rely on suitable documentation (CAA Form 1) from suppliers with a POA and are they identified | 139a | No2 to 139a |  |  |  |
| * Is the control of buyer furnished equipment included in the Quality system | 139a | No2 to 139a |  |  |  |
| Are there adequate procedures for the verification of incoming materiel against applicable design data | 139b1 |  |  |  |  |
| Are there adequate procedures for handling, storage & packaging (by suppliers & internally)? | 139b1 |  |  |  |  |
| **Production** |  |  |  |  |  |
| Are there adequate procedures for identification and traceability | 139b1 |  |  |  |  |
| Are there adequate procedures for manufacturing processes | 139b1 |  |  |  |  |
| Are there adequate procedures for inspection and test  (including production flight test if applicable) | 139b1 |  |  |  |  |
| Are there adequate procedures for calibration of tools, jigs and test equipment (traceable to national standards) and are they implemented | 139b1  145a | 145a |  |  |  |
| Are adequate resources available to carrying out production under the scope of approval, with regard to:- | 145a |  |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| * Accommodation and working environment | 145a | 145a |  |  |  |
| * Equipment and tools | 145a | 145a |  |  |  |
| * Special processes and associated materials | 145a | 145a |  |  |  |
| * NDT, welding equipment and facilities | 145a | 145a |  |  |  |
| * Inspection and test equipment and facilities | 145a | 145a |  |  |  |
| * Competent personnel | 145a | 145a |  |  |  |
| Is there access and evidence of effective co- ordination between and within departments | 145a | 145a |  |  |  |
| **Aircraft Production** |  |  |  |  |  |
| If the applicant produces a complete aircraft, does the organisation have adequate & effective procedures for the production of a Statement of Conformity (CAA Form 52) to obtain an aircraft Certificate of Airworthiness & Noise Certificate | 163b |  |  |  |  |
| Are Statements of Conformity completed in accordance with Part 21 Appendix VII | App VII |  |  |  |  |
| Is it ensured that each completed Aircraft conforms to the type design and is in a condition for safe operation before issuing a Statement of Conformity | 165c | No 2 to 165c |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| Is it ensured that the items listed in GM No 3 to 21.A.165(c) are in place prior to issue of a Statement of Conformity | 165c | No 3 to 165c |  |  |  |
| If the applicant has applied for the privilege to maintain a complete aircraft, after completion but prior to delivery, under their subpart G approval are appropriate procedures available. | 163d  139b1 | 163d |  |  |  |
| Do the procedures clearly state the limitation of maintenance prior to operational rules requiring maintenance by an approved maintenance organisation | 163d | 163d |  |  |  |
| Where a Certificate of Release to Service is issued is it determined that the aircraft has had all necessary maintenance and is in a condition for safe operation | 165i |  |  |  |  |
| If the applicant/holder has applied for the privilege to issue Permit to Fly and approval of associated flight conditions under their subpart G approval are appropriate procedures available? | 163e | 163e |  |  |  |
| If the applicant/holder has not applied for privilege of approval of associated flight condition. Who is responsible for stating it? Are appropriate procedures/arrangements in place? | 163e | 163e |  |  |  |
| Where PtoF issued, are Flight Conditions determined and approved? | 163j  708, 710 |  |  |  |  |
| Where PtoF issued, is established compliance with 21.A711(b) and (d) before issuing PtoF to an aircraft? (Inspection of issued documents) | 163k  711(b,d) |  |  |  |  |

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| **Activity Areas Audited** | **Part 21A** | **AMC21A** | **POE / Proc.** | **Comments** | **Result** |
| Are changes and renewals of PtoF performed according to paragraphs 21.A.713 and 21.A.725? | 713, 725 | 713 |  |  |  |
| What period is used for issued PtoF? Is it in compliance with 21.A.723? | 723 |  |  |  |  |
| Are all conditions and restrictions associated with the PtoF satisfied and maintained? | 727 |  |  |  |  |
| Are all produced PtoF, flight conditions and associated supporting documents available to the Agency and retained? | 729 |  |  |  |  |