

## DANGEROUS GOODS AUDIT FORM FOR AIR OPERATORS/SUB-CONTRACTORS

State Dangerous Goods Office responsible for co-ordination of the audit:

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### Audit Report For Dangerous Goods, Munitions Of War And Sporting Weapons in accordance with the requirements of ICAO Technical Instructions

**Name of Operator:** \_\_\_\_\_

**Inspector:** \_\_\_\_\_

**Date(s) of Inspection:** \_\_\_\_\_

**Location** \_\_\_\_\_

**Personnel involved** \_\_\_\_\_

**Aircraft Involved and Flight Number(s)** \_\_\_\_\_ (if applicable)

The Dangerous Goods Office of the Civil Aviation Authority of .....has completed this form following an audit. The objective of the audit was to demonstrate that the operator has procedures in place, on its own account and/or through its handling agent(s), to ensure the correct processing and handling of dangerous goods, Munitions of War and sporting weapons in accordance with the requirements of the current edition of the ICAO Technical Instructions

Below is a table of requirements that may apply to an operator and the areas that were included in the audit are indicated in the "Audited" column. Where a procedure was found not to be present, inadequate or where a procedure or requirement was not being complied with, this has been shown in the "Non-Conformity" column against the applicable requirement. Where the non-conformity box has not been marked, there was no evidence of a non-conformity at the time of the audit, or that the requirement did not apply to the operator.

Where a non-conformity has been indicated, you are required to take the appropriate action to ensure compliance with the applicable requirement is achieved and to advise the Dangerous Goods Office responsible for the oversight of the air operator by submission of a signed copy of the report. Unless otherwise stated, the references are as follows:

Below the table of findings are details of any additional observations made by the Inspector where, although not a finding, action is recommended:

The level associated with each non-conformity is to be classified:

**Level 1:** Means any significant non-compliance with the applicable requirements of the Technical Instructions, with the organisation's procedures and manuals or with the terms of an approval, certificate, specialised operation authorisation or with the content of a declaration which lowers safety or seriously hazards flight safety. **The approval, certificate or authorisation should be provisionally suspended in whole or part depending upon the extent of the level 1 finding until corrective action has been taken or, if not corrected the approval, certificate or authorisation should be revoked in whole or part as appropriate in accordance with the applicable legislation.**

**Level 2:** Means any non-compliance with the applicable requirements of the Technical Instructions or AIR-OPS, with the organisation's procedures and manuals or with the terms of an approval, certificate, specialised operation authorisation or with the content of a declaration, which could lower safety or hazard flight safety. The corrective action period granted by the NAA should be appropriate to the nature of the finding but in any case initially not more than three months.

**Level 3:** Means an observation intended to give background information. Level 3 must not include information suggesting non-compliance with the Technical Instructions requirements. No regulatory action is required to be taken in the event of a Level 3 finding.

Summary of Requirement	Reference(s)	Audited	Non-Conformity	Level	Details Of Non-Conformity (Continued below where necessary)
<b>Main Office - Operator or Sub-contractor – Operator's Management</b>					
Dangerous goods permissions, approvals or exemptions (held and correct)	Annex 6;14.3 Annex 6;4.2.1.6 & App.6.3	<input type="checkbox"/>	<input type="checkbox"/>		- Check the detained authorization (if appropriate for the State)
Provision of relevant manuals and instructions to cargo and operations staff (from the management to ops and cargo staff)	TI 7 ;4.2	<input type="checkbox"/>	<input type="checkbox"/>		- Check how manuals, instructions to staff, etc., are provided
Provision of information to handling agents (from the management to handling agents)	TI 7;4.2 & TI 7;4.1.1.b)	<input type="checkbox"/>	<input type="checkbox"/>		- Check how manuals, instructions to staff, etc., are provided
Information about dangerous goods contained in the Operations Manual / other manuals	TI 7;4.2,	<input type="checkbox"/>	<input type="checkbox"/>		- Check that the precise operator's information are provided, correctly and updated
Updated DG documentation used as reference (e.g. ICAO / IATA + all addenda & corrigenda)	TI 1;1.1.1 TI 1;1.2	<input type="checkbox"/>	<input type="checkbox"/>		- Check documentation used and its last edition (it could be dispatched eventually at the acceptance cargo point)
Procedures for reporting of DG accidents, incidents, undeclared / misdeclared dangerous goods as well as DG occurrences & liaison between handling agent and operator	TI 7;4.4 TI 7;4.5 TI 7;4.6	<input type="checkbox"/>	<input type="checkbox"/>		- Check arrangements put in place between operator and the handling agents in order to guarantee occurrence reports to the competent authorities, existing procedure for the sub-contractor, ...
Procedures for immediate notification to the emergency services and competent authority of DG on board an aircraft in event of aircraft accident/incident	TI 7;4.7	<input type="checkbox"/>	<input type="checkbox"/>		- Check the existence of the procedure in Ops Manual or any other document
Procedures for loading and stowing medical aid for a patient, and provision of information to handling agents	TI 1;1.1.5.1a) TI 1;1.1.5.2 to TI 1.1.5.4 TI 7;4.2	<input type="checkbox"/>	<input type="checkbox"/>		- Check procedure put in place by the operator's management (existence of a procedure manual or equivalent, ...)
Compliance with requirements for "combi" aircraft where main deck hold is not at least Class B (exemption/approval or prohibition) and provision of information to handling agents	TI 7;2.1	<input type="checkbox"/>	<input type="checkbox"/>		- Check conformity, if necessary (procedure manual, ...)

Summary of Requirement	Reference(s)	Audited	Non-Conformity	Level	Details Of Non-Conformity (Continued below where necessary)
Adequacy and standard of DG training for each type/kind of personal (categories, CBT, ...)	TI 1;4.1.2	<input type="checkbox"/>	<input type="checkbox"/>		- Check how the deadline of the training are monitored (tools put in place), validities and previous ones
Updating of ground staff training	TI 1;4.2.3	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked
Maintenance of Dangerous goods training records	TI 1;4.2.5	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked
DG training of security personal sub-contracted by, or on behalf the operator (for cargo, mail, ...)	TI 1;4.1.1g)	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked, if necessary

Summary of Requirement	Reference(s)	Audited	Non-Conformity	Level	Details Of Non-Conformity (Continued below where necessary)
<b>Warehouse (Operator or Sub-contractor) – Acceptance and Handling/Storage Point</b>					
Dangerous goods notices at the cargo acceptance point	TI 7;4.8	<input type="checkbox"/>	<input type="checkbox"/>		- Check the available notices, their conformity, ...
Updated DG documentation used as reference (e.g. ICAO / IATA + all addenda & corrigenda)	TI 1;1.1.1 TI 1;1.2	<input type="checkbox"/>	<input type="checkbox"/>		- Check documentation used and its last edition
Provision of relevant Manuals/Instructions to cargo and operations staff (operator's restrictions, variations, ...)	TI 7 ;4.2	<input type="checkbox"/>	<input type="checkbox"/>		- Check if relevant manuals, instructions to staff, etc., of the operator are properly provided
Provision of information to handling agents (operator's restrictions, variations, ...)	IT 7;4.2 et IT 7;4.1.1.b)	<input type="checkbox"/>	<input type="checkbox"/>		- Check if relevant manuals, instructions to staff, etc., of the operator are properly provided
Acceptance Check Adequacy and use of acceptance checklists	TI 7;1.3	<input type="checkbox"/>	<input type="checkbox"/>		- Check use and adequacy of acceptance checklists
Retention of acceptance check forms, dangerous goods transport documents (shipper's declarations) and NOTOCs	TI 7;4.11	<input type="checkbox"/>	<input type="checkbox"/>		- Check if these documents are retained during at least 3 months
Handling of DG packages (including orientation, Divisions 4.1 & 5.2, Class 7, ...) in the warehouse	TI 7;2.3 TI 7;2.13 TI 7;2.14	<input type="checkbox"/>	<input type="checkbox"/>		- Check if the packages are handled in an adequate manner (keep away from heat 4.1/5.2, Securisation Class 7, This side up orientation label,...)

Summary of Requirement	Reference(s)	Audited	Non-Conformity	Level	Details Of Non-Conformity (Continued below where necessary)
Preparation and building of pallets and ULDs with regard to segregation and separation of dangerous goods	TI 7;2.2 TI 7;2.9 Tables 7-1 & 7-2 (& TI 7;2.9)	<input type="checkbox"/>	<input type="checkbox"/>		- Check segregation/separation in compliance of the TI provisions
ULD marking and labelling) (Pallets, Containers,...)	TI 7;2.8	<input type="checkbox"/>	<input type="checkbox"/>		- Check if ULD (TAG) if any, are properly filed (e.g. with Class/Division)
Inspections for damage or leakage immediately prior to loading and immediately after unloading	TI 7;3	<input type="checkbox"/>	<input type="checkbox"/>		- Check that inspections are conducted
Procedures for removal of damaged or leaking packages from aircraft, inspection of aircraft for contamination and decontamination	TI 7;3	<input type="checkbox"/>	<input type="checkbox"/>		- Check that staff is aware of the applicable procedures
Completion of NOTOCs and provision to flight crew (including signing of form)	TI 7;4.1	<input type="checkbox"/>	<input type="checkbox"/>		- Check that the document is properly filed (signature, including all other provisions) (pre-establishment of NOTOC generally possible at the OPS)
Accessibility of information provided to pilot-in-command to appropriate personnel on the ground until after arrival of the flight	TI 7;4.1.1 b) TI 7;4.1.8	<input type="checkbox"/>	<input type="checkbox"/>		- Check accessibility (and tools put in place)
Accessibility of dangerous goods transport document / shipper's declarations during journey	TI 7;1.2.2 TI 7;1.2.3	<input type="checkbox"/>	<input type="checkbox"/>		- Check accessibility (and tools put in place)

Summary of Requirement	Reference(s)	Audited	Non-Conformity	Level	Details Of Non-Conformity (Continued below where necessary)
<b>Traffic OPS – Check-In – Sales</b>					
Dangerous goods <u>information</u> is presented to passengers at the point of ticket purchase, or prior to the check-in process	TI 7;5.1 TI 8;1.1.6 & 7	<input type="checkbox"/>	<input type="checkbox"/>		- Confirm that <u>information</u> is provided, e.g. at purchase ticket point, in the terminal areas (notices, display, internet modules, ...)
Procedures for dealing with and the reporting of passengers with dangerous goods that are not permitted (including liaison with security staff)	TI 7;4.5	<input type="checkbox"/>	<input type="checkbox"/>		- Check arrangements put in place between operator and the handling agents in order to guarantee occurrence reports to the competent authorities, existing procedure for the sub-contractor, ...
Dangerous goods notices at ticket sales desks, check-in desks and boarding areas	TI 7;5.1 & 2 TI 8;1.1.7	<input type="checkbox"/>	<input type="checkbox"/>		- Check <u>notices</u> presented or equivalent method used
Provision of information & instructions on DG permitted to be carried out by passengers to passenger handling staff	TI 7;4.2 & TI 7;6.1	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked (DG notices, manuals, leaflets, videos,...)
Procedures for loading and stowing a mobility aid (e.g. wheelchair) for a passenger (including notification to the commander)	TI 7;2.13 TI 8;1.1 Table 8-1, Item 4	<input type="checkbox"/>	<input type="checkbox"/>		- Check the existing procedure (check-in personal) for all type of battery powered mobility aid
Completion of information to flight crew (NOTOC or equivalent) (including the way of it is provided)	TI 7;4.1	<input type="checkbox"/>	<input type="checkbox"/>		- Check how this information is provided (signature or any other mean,...)
Procedures for carriage of sporting weapons and ammunition by passengers	TI 8;1.1 Table 8-1 Item 19	<input type="checkbox"/>	<input type="checkbox"/>		- Check the applied procedure

Summary of Requirement	Reference(s)	Audited	Non-Conformity	Level	Details Of Non-Conformity (Continued below where necessary)
<b>Aircraft – RAMP - Loading/Unloading and Conformity Operator's Crew</b>					
Inspections for damage or leakage immediately prior to loading and immediately after unloading	TI 7;3	<input type="checkbox"/>	<input type="checkbox"/>		- Check that inspections are conducted
Procedures for removal of damaged or leaking packages from aircraft, inspection of aircraft for contamination and decontamination	TI 7;3	<input type="checkbox"/>	<input type="checkbox"/>		- Check that staff is aware of the applicable procedures
Correct loading of dangerous goods (including segregation, securing and accessibility)	TI 7;2	<input type="checkbox"/>	<input type="checkbox"/>		- Check (if possible by observing) the adequate DG loading
Procedures for Cabin Crew/Handling Staff in case of transfer carry-on baggage to the hold to verify that the baggage contains no DG that are not permitted for carriage in the hold (e.g. spare lithium batteries)	TI 8;1.1.5 and Table 8-1	<input type="checkbox"/>	<input type="checkbox"/>		- Check that staff is aware of the applicable procedures (e.g. due to the size of the baggage, or missing place in the cabin)
Procedures for pilot-in-command to notify air traffic services in the event of an in-flight emergency	TI 7;4.3 TI 7;4.2	<input type="checkbox"/>	<input type="checkbox"/>		- Check the existing procedure
Emergency response guidance information on board aircraft	TI 7;4.9	<input type="checkbox"/>	<input type="checkbox"/>		- Check the available provisions (drill codes, measures to applied in case of an incident in the cabin/cockpit, ...)
Adequacy and standard of flight crew training	TI 1;4.1.2	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked

Summary of Requirement	Reference(s)	Audited	Non-Conformity	Level	Details Of Non-Conformity (Continued below where necessary)
Adequacy and standard of cabin crew training (including emergency response training)	TI 1;4.1.2	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked
Adequacy and standard of ground staff training (including emergency response training)	TI 1;4.1.2	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked
Maintenance of Dangerous goods training records	TI 1;4.2.5	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked
Currency of flight / cabin crew training	TI 1;4.2.3	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked
Training of security staff employed or assigned by the operator or agencies engaged in the security screening of passengers and crew and their baggage	TI 1;4.1.1g)	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked , if necessary
<b>Miscellaneous</b>					
Awareness of requirements by maintenance staff in respect of replacement equipment (eg COMAT) or unserviceable items and training (where applicable)	TI 1;2.2.2, TI 1;2.2.3 & TI 1;2.2.4	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked (ref. Training Note 2 Table 1-4)
Procedures for carriage of munitions of war (including permission, loading and notification to commander)	TI 1;1.1.3	<input type="checkbox"/>	<input type="checkbox"/>		- To be checked , if necessary (approval, exemption, ...)



Requirement reference	Details Of Non-Conformity (Continued from above table)

Additional Observations	
	Description
1	
2	
3	
4	
5	

Inspector's Signature

Date

Date

Responsible Personnel Involved

Signature \*

\* The signature of the involved responsible personnel is indicating that the non-conformities have been explained, but not necessarily that the responsible personnel or the operator agrees with these ones.