

# TOUR OPERATORS PROGRAM OF SAFETY

## Pre Audit Checklist 2020

Date: \_\_\_\_\_

Company: \_\_\_\_\_



**TOPS**  
Tour Operators Program of Safety

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_

FAX: \_\_\_\_\_

**Areas of Special Interest 2020:** For the 2020 areas of special interest, the auditor will assist with evaluation of the operator's SMS utilizing the information from the two SMS preaudit checklists. This is part of the implementation of the SMS requirement for TOPS operators and is advisory only for 2020. The SMS checklists will be in a separate document.

### *AREAS OF INTEREST:*

- WEBSITE AND PROGRAM MATERIAL DISPLAYED***
- KEY PERSONNEL***
- TRAINING PROGRAM AND AVAILABLE LITERATURE***
- SAFETY***
- FLIGHT OPERATIONS***
- FLIGHT COORDINATION***
- HELIPORTS***
- MAINTENANCE***
- MAINTENANCE PERSONNEL***
- MAINTENANCE AREAS***
- AIRCRAFT SERVICING***
- GROUND SUPPORT PERSONNEL***
- USE OF SUB CONTRACTED AIRCRAFT***
- MEDICAL PROGRAM***
- PREVIOUS DISCREPANCIES***

## ***WEBSITE AND PROGRAM MATERIAL DISPLAYED***

Program Poster Displayed. (Briefing area, ramp, etc.)

Yes  No

Website is updated with Program Link and Logo.

Yes  No

### ***KEY PERSONNEL***

CEO/President: \_\_\_\_\_

Director of Operations: \_\_\_\_\_

- How long in this position? \_\_\_\_\_
- How long with the company? \_\_\_\_\_

Director of Maintenance: \_\_\_\_\_

- How long in this position? \_\_\_\_\_
- How long with the company? \_\_\_\_\_

Chief Pilot: \_\_\_\_\_

- How long in this position? \_\_\_\_\_
- How long with the company? \_\_\_\_\_

Director of Safety: \_\_\_\_\_

- How long in this position? \_\_\_\_\_
- How long with the company? \_\_\_\_\_

Has management established clear tour operating standards in accordance with TOPS requirements and effectively communicated them to the staff?

Yes  No

Explain? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

# ***TRAINING PROGRAM AND AVAILABLE LITERATURE***

Does management ensure their air tour operations are coordinated with other operators flying in the same airspace?

Yes  No

Explain? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Has management established standards that would avoid any perception of a thrill ride, aerobatics, low flying or unnecessary abrupt maneuvers?

Yes  No

Explain? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Does management participate in an annual meeting with TOPS members and other tour operators to coordinate routes, position reporting, noise and safety procedures?

Yes  No

Has management established a human factors program?

Yes  No

Describe human factors training \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## ***SAFETY***

Does top management clearly communicate its commitment to safety throughout the organization and are they involved in the established safety program in an effective manner?

Yes  No

Is safety the primary standard by which air tours are conducted?

Yes  No

Qualifications of Safety Director: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Last safety course Safety Director attended and date: \_\_\_\_\_

\_\_\_\_\_

Does the company utilize an outside Safety Officer?

Yes  No

- If Yes, is an in-house safety person designated?

Yes  No

- Name: \_\_\_\_\_

- If Yes, is the Safety Program, the Safety contractor and the safety contract approved by TOPS?

- Name of contractor: \_\_\_\_\_

Has a Safety Management Program been established which satisfies the requirements of TOPS Program of Safety and contains an accident response plan?

Yes  No

Are ground support activities systematically monitored by the Safety Officer?

Yes  No

Are open lines of communication established to allow reporting of hazardous situations and submission of ideas and suggestions concerning safety?

Yes  No

Is a safety committee established wherein each department within the organization is represented?

Yes  No

Are regular quarterly meetings held?

Yes  No

Are minutes kept?

Yes  No

**SAFETY CONTINUED:**

Is there follow-up action?  Yes  No

Is top management involved?  Yes  No

Does the program cover Ground safety and Industrial safety?  Yes  No

Are safety publications received?  Yes  No

Are they current?  Yes  No

Are emergency drills held?  Yes  No

How often, and results? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

***FLIGHT OPERATIONS***

How many aircraft are operated for tours? List make(s) and model(s).  
\_\_\_\_\_

Who has overall operational control? \_\_\_\_\_

Does this person meet the requirements of Part 119 and are they in the operating manual?  
 Yes  No

Has anyone else been trained on the aspects of operation control and authorize to assume operational control if needed? Who?  Yes  No  
\_\_\_\_\_  
\_\_\_\_\_

List Bases where tour operations are conducted, Base Managers and Field Elevation.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are cockpit and flight procedures standardized regarding:

• Crew coordination?  Yes  No

• Inadvertent IMC recovery?  Yes  No

• Takeoff/enroute/approach and landing procedures?  Yes  No

- Turbulence?  Yes  No
- Emergencies?  Yes  No
- Electronic equipment?  Yes  No

Are passengers:

- Briefed?  Yes  No
- Escorted to and from the aircraft?  Yes  No
- Assisted with loading, seat belt fastening and any specific information relative to the aircraft and flight routine?  
 Yes  No
- Assisted upon landing by opening the door and deplaning?  Yes  No

**FLIGHT OPERATIONS CONTINUED:**

Are weather minimums in accordance with TOPS standards?  Yes  No

*Prevailing visibility in the scenic area must be three (3) miles or more  
Minimum of one (1) mile visibility is authorized for transitory situations where airspeed  
is limited to eighty (80) knots.*

*Minimum en route altitude of five hundred (500) feet AGL, except for ridgeline  
transitions or other legally required altitudes.*

Are any routes over water?  Yes  No

Are suitable (per the TOPS definition) landing sites available?  Yes  No

• If No, are the aircraft equipped with floats?  Yes  No

Are passengers required and briefed to wear personal floatation devices?  Yes  No

Do tour aircraft have required TOPS equipment installed?  Yes  No

• Aircraft Flotation devices (Required for Hawaii members)  Yes  No

• A slip skid indicator?  Yes  No

• A gyroscopic bank-and-pitch indicator?  Yes  No

• A gyroscopic direction indicator?  Yes  No

• A generator able to supply all probable combinations of continuous in-flight  
electrical loads for required equipment and for recharging the battery?  
 Yes  No

• At least one strobe?  Yes  No

For night flights:

• An anti-collision light system?  Yes  No

• Instrument lights?  Yes  No

• A flashlight having at least two “D” cells or equivalent?  Yes  No

Are TOPS Operational Standards published and complied with?  Yes  No

Are pre- and post-flight inspections conducted?  Yes  No

Do they conform to manufacturer and company requirements?  Yes  No

Are crews familiar with emergency exits and emergency equipment?  Yes  No

**FLIGHT OPERATIONS CONTINUED:**

- Is an Operations Policy Manual published?  Yes  No
- Are aircraft operating/owner's manuals available?  Yes  No
- Are aircraft checklists available, up to date, easily read and utilized?  Yes  No
- Is a method in place to assure proper weight and balance compliance?  Yes  No
- Are crew members scheduled for adequate crew rest?  Yes  No

***PILOTS***

Do pilots meet the minimum TOPS requirements?  Yes  No

- *1,000 hours as helicopter PIC.*
- *100 hours flying in typical terrain for which the pilot is hired, or completion of a training program specifically designed for those unique conditions.*
- *Company checkout in make and model including ground and flight training..*
- *Are thorough pilot background checks completed?*
- *Are pilots required to provide a FAA abstract of his/her certificate record, and drivers license record*

Does a training curriculum cover:

- Inadvertent IMC Avoidance and Recovery??  Yes  No
  - \**To include basic attitude training under the hood for:*
    - *Recovery from unusual attitudes*
    - *Demonstration of 180° turns with a descent and a climb.*
- Ground?  Yes  No
- Preflight procedures?  Yes  No
- Cockpit checklists?  Yes  No
- Use of the Flight Manual?  Yes  No
- Emergency egress and survival techniques?  Yes  No
- On board Passenger Briefing?  Yes  No
- Human Factors?  Yes  No

*Including, but not limited to: Aeronautical Decision Making (ADM)  
Crew Resource Management (CRM), and Fatigue Management.*



**FLIGHT OPERATIONS CONTINUED:**

- Avoidance of the Height Velocity Curve?  Yes  No
- Density Altitude?  Yes  No
- Hover in and out of ground effect?  Yes  No
- Loss of effective anti-torque thrust?  Yes  No
- Basic helicopter aerodynamics?  Yes  No
- Including, but not limited to:*
  - *Settling with power / Ground resonance / Dynamic rollover*
  - *Low speed flight / Auto-rotation characteristics / Ditching*
- Acting with Professionalism?  Yes  No
- Emergencies?  Yes  No
- Requalification training?  Yes  No
- Transition training?  Yes  No
- Differences training?  Yes  No
- Medical aspects of flight?  Yes  No
- First aid?  Yes  No
- Recurrent training?  Yes  No
- Aircraft and Systems?  Yes  No
- Meteorology?  Yes  No

Has a program been established that includes monthly/weekly refreshers and daily briefings?  Yes  No

Are training records maintained?  Yes  No

Is it emphasized to the pilot during training and on a regular basis, that flying the public for pleasure must be the highest calling with regard to safety, attention to detail, compliance with FAR's and company standards?  Yes  No

**FLIGHT OPERATIONS CONTINUED:**

Do all pilots possess FAA Rotorcraft Helicopter Instrument Ratings?  Yes  No

- If not, does management encourage non-instrumented rated pilots to acquire this rating?

Yes  No

Explain? \_\_\_\_\_

\_\_\_\_\_

Do pilots take written exams?  Yes  No

- Are exams changed periodically so pilots don't get the same quiz twice in succession?

Yes  No

Are training records reviewed at least annually?  Yes  No

Are procedures in effect for scheduling training and check rides?  Yes  No

Have flight instructors been observed in the past twenty four months?  Yes  No

Have check airmen been observed by the FAA in the past twenty-four months?  
 Yes  No

***FLIGHT COORDINATION***

Are Flight Following procedures used?  Yes  No

Describe flight following procedures \_\_\_\_\_

\_\_\_\_\_

Is two-way radio communication maintained when practical?  Yes  No

Does dispatch have an accident response plan available?  Yes  No

Date of last revision of accident response plan \_\_\_\_\_

Are Flight Following personnel responsible for emergency notification procedures?  
 Yes  No

Are overdue aircraft reaction procedures established and tested on an annual basis?  
 Yes  No

Is a training program for Flight Coordinators in effect?  Yes  No

Is training documented?  Yes  No

Does it include:

• Flight following procedures?  Yes  No

• Emergency notification procedures?  Yes  No

• Radio Communication procedures?  Yes  No

## ***HELIPORTS***

Are walkways clearly identified?  Yes  No

Are helicopter movements monitored and assisted in congested areas?  Yes  No

Heliport approval authority for company aircraft?  Yes  No

Are the following facilities available?

• Beacon?  Yes  No

• Visual wind indicator?  Yes  No

○ Is it lighted?  Yes  No

Is a daily heliport inspection made?  Yes  No

Is a checklist used?  Yes  No

Are heliports free of FOD?  Yes  No

Are appropriate and effective heliport security precautions in effect?  Yes  No

Is fire fighting equipment available?  Yes  No

Are personnel trained in fire fighting?  Yes  No

• Last training date: \_\_\_\_\_

Are fire prevention inspections conducted?  Yes  No

• Last inspection date: \_\_\_\_\_

Are the following services available?

- Fuel?  Yes  No
- Maintenance?  Yes  No
- Telephone?  Yes  No

## ***MAINTENANCE***

Are technical publications and manuals available?  Yes  No

*Including, but not limited to: General Maintenance Manual, Appropriate manuals for aircraft operated, Material Safety Data Sheets (MSDS), FAR's, TC Data Sheets, AD's, and Alert service bulletins issued by manufacturers*

- Are changes to publications and manuals tracked?  Yes  No

How? \_\_\_\_\_  
\_\_\_\_\_

- Are they utilized?  Yes  No

Do you have a Maintenance Quality Control Program in place?  Yes  No

If "Yes" briefly describe \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Does the program include a procedure when flight controls, and/or other critical flight systems, have received maintenance, removal or installation, that they are inspected by an additional maintenance technician or another trained and qualified flight crewmember prior to flight?

Yes  No

- Is formal documentation used to guarantee this procedure has taken place?  Yes  No

If "Yes" what forms of documentation are used? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- Are there instances or situations where this task would be difficult to comply with given the size or type of operations being conducted?  Yes  No

What, if any, additional procedures are in place to help eliminate the possibility of omitting critical maintenance steps?  Yes  No

If "Yes" what are these practices? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are aircraft discrepancies thoroughly written up?  Yes  No

Are there corrective actions for all maintenance write ups?  Yes  No

Is there an approved MEL/NEF program?  Yes  No

What is the policy on deferred items, and how are they tracked?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are time/life components being changed at proper intervals?  Yes  No

Is there a written Tool Control Policy in place regarding training, tracking, calibration, and accountability of tools?  
 Yes  No

If "Yes" briefly describe \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Is there a written Parts Program in place regarding the inspection, tagging and segregating aircraft parts?  
 Yes  No

If "Yes" briefly describe \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Is there a tracking program for AD's and SB's?  Yes  No

Do records agree with installed components?  Yes  No

Are the rotor blades painted in a high visibility scheme?  Yes  No

Are the aircraft equipped with pulsing landing/taxi lights and at least one strobe light?  
 Yes  No

**MAINTENANCE CONTINUED:**

How is seat belt serviceability inspected?

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Are aircraft properly equipped for the mission they perform?  Yes  No

• Passenger briefing Cards?  Yes  No

• Personal flotation devices?  Yes  No

• Emergency Floats?  Yes  No

Is adequate emergency equipment aboard the aircraft?  Yes  No

• ELT?  Yes  No

• First Aid Kit?  Yes  No

• Survival Equipment?  Yes  No

Are MMIR reports submitted?  Yes  No

***MAINTENANCE PERSONNEL***

Number and type of:

• Certificated A&P Mechanic \_\_\_\_\_

• Helper \_\_\_\_\_

• Cleaner \_\_\_\_\_

Is there more than one shift of mechanics?  Yes  No

If yes, what are your shift change procedures?

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Is there a duty time and rest periods policy?  Yes  No  
*(TOPS allows 14-hour duty day max)*

If yes, what is it? \_\_\_\_\_  
\_\_\_\_\_

Do maintenance technicians meet TOPS requirements?  Yes  No

*Three (3) years experience in helicopter maintenance, or  
Completed a factory training school for the make and model aircraft to be serviced.*

Does the mechanic/apprentice or assistant ratio meet TOPS requirements?  Yes  No

*No more than one (1) apprentice or assistant for each mechanic employed.*

Are mechanic applicants required to provide a FAA abstract of his/her certificate record,  
and drivers license record?

Yes  No

Does each maintenance technician receive at least eight (8) hours of technical training per  
year on the aircraft make and model used for tours?

Yes  No

**MAINTENANCE PERSONNEL CONTINUED:**

Has at least one technician been factory trained for each model of helicopter being  
maintained?

Yes  No

Has the technical department leader, or his/her designated representative, attended a factory  
training course in the last 3 years?

Yes  No

Do mechanics receive initial and recurrent training?

Yes  No

- Does this training include Human Factors training?

Yes  No

Is all training documented (including OTJ, factory and classwork)?

Yes  No

What kind of additional training do your mechanics receive? (ex. In house training, factory  
training, human factors, safety training, etc)

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***MAINTENANCE AREAS***

Are maintenance areas clean? (Including workshops,  
battery service rooms, engine clean rooms, etc.)

Yes  No

- Well lighted?

Yes  No

- Ventilated?

Yes  No

- Temperature controlled?

Yes  No

Is ground equipment available, serviceable, and stored properly?  Yes  No

Are there enough fire extinguishers and do they have a current monthly inspection tag?  Yes  No

Is a fire evacuation plan posted?  Yes  No

Is there a flammable storage area with posted "NO SMOKING" signs?  Yes  No

### ***AIRCRAFT SERVICING***

Is the fuel filtration system properly maintained and checked?  Yes  No  
How? \_\_\_\_\_  
\_\_\_\_\_

Is there a policy in place for inspecting fueling equipment and fuel prior to the first flight of each day to assure compliance with federal, state and company requirements as well as confirming fuel is free of contamination?  Yes  No

### ***GROUND SUPPORT PERSONNEL***

Is a training program for ground support personnel in effect?  Yes  No

Does it include:

- Helicopter Safety and awareness inside and outside the cabin?  Yes  No
- Passenger briefing?  Yes  No
- Loading and unloading passengers?  Yes  No
- Ground guiding and communication?  Yes  No
- Fueling procedures?  Yes  No
- Load manifesting?  Yes  No
- Ramp emergency procedures?  Yes  No
- Are ground support personnel properly trained?  Yes  No
- Is training documented?  Yes  No



## ***USE OF SUB CONTRACTED AIRCRAFT***

Company uses subcontracted tour aircraft?  Yes  No

*Operators that subcontract aircraft, personnel or both, shall require subcontractors to abide by TOPS standards. The subcontractors will be audited by the TOPS auditor to ensure compliance.*

Subcontractors meet TOPS standards described in the Program?  Yes  No

### ***MEDICAL PROGRAM***

Are appropriate first aid facilities available?  Yes  No

Is there a first aid training program?  Yes  No

- Date of last training: \_\_\_\_\_

### ***PREVIOUS DISCREPANCIES***

Are there any open discrepancies from the previous TOPS audit?  Yes  No

Explain \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_