

SeaPort Airlines
Juneau, AK
July 17, 2015
ANC15FA049

**NATIONAL TRANSPORTATION SAFETY BOARD
WASHINGTON, D.C.**

ATTACHMENT 18

Operational Control Internal Audit

8 Pages

Wings Internal Evaluation
Operational Control Star
(Using Section 2 MF Revision 11 Audit Points)

Conducted by: Kiley Murphy Company Program Manager: Troy McClanahan Date: April 10, 2010

Audit Point Question	Finding <i>The goal of evaluating the program is to determine if it was implemented as written and if it continues to meet the intent of Medallion Foundation current star criteria.</i>	Corrective Action (Person Assigned To)	Assigned Completion Date	Follow Up – Was Corrective Action Effective?
1. Has the program been implemented as written?	yes			
a. If yes, explain how you make this determination?	The Safety Officer audited the Risk Assessments. All current dispatchers have completed annual training and have signed training certificates.	Troy McClanahan will write memo telling pilots to make sure Operations initials Risk Assessments before flight departs.	4/30/10	Done 4/11/2010
b. If no, what was or is being done to correct the deficiency?				
2. Has Section 1 of the current Medallion Foundation audit point revision been incorporated into the Operational Control Program?	yes			
a. If yes, explain how you make this determination?	Audited some questions. Q# C.1. You can find in Policies and Procedures pg. 3 section G. Q# H.1. You can find in Policies and Procedures pg. 9 section L. 1.			
b. If no, what was or is being done to correct the deficiency?				

Wings Internal Evaluation
Operational Control Star
 (Using Section 2 MF Revision 11 Audit Points)

Conducted by: Kiley Murphy

Company Program Manager: Troy McClanahan

Date: April 10, 2010

Audit Point Question	Finding <i>The goal of evaluating the program is to determine if it was implemented as written and if it continues to meet the intent of Medallion Foundation current star criteria.</i>	Corrective Action (Person Assigned To)	Assigned Completion Date	Follow Up – Was Corrective Action Effective?
3. Is the company policy on shared decisions for operational control of company flights being followed?	yes			
a. If yes, please elaborate on how you know. For example, did you compare results from audits of the flight following records with written procedures? Did you interview personnel or review training records?	Observing operations. Audits of records.			
b. If no, please explain what corrective actions have been implemented.				
4. Are risk assessments for each flight being completed and retained in accordance with written procedures?	yes			
a. If yes, please provide supporting data that explains your answer.	Audits have been done on risk assessments.			
b. If no, why not?				

Wings Internal Evaluation
Operational Control Star
(Using Section 2 MF Revision 11 Audit Points)

Conducted by: **Kiley Murphy** Company Program Manager: **Troy McClanahan** Date: **April 10, 2010**

Audit Point Question	Finding <i>The goal of evaluating the program is to determine if it was implemented as written and if it continues to meet the intent of Medallion Foundation current star criteria.</i>	Corrective Action (Person Assigned To)	Assigned Completion Date	Follow Up – Was Corrective Action Effective?
5. If used, are consolidated risk assessments procedures being complied with?	n/a			
a. If yes, please provide supporting data that explains your answer.				
b. If not, why not?				
6. Are the pilots and flight followers following established procedures concerning shared decision-making?	yes			
a. If yes, please explain how you know.	Observation. Audits of risk assessments and seeing that they've been fixed.			
b. If no, what actions have been taken as a result of the "no" answer?				
7. Explain how the concept of "increased in risk requires an increase in management involvement" is incorporated into the program	Risk Assessments must be approved and/or signed by management depending on risk number.			

Wings Internal Evaluation
Operational Control Star
(Using Section 2 MF Revision 11 Audit Points)

Conducted by: Kiley Murphy

Company Program Manager: Troy McClanahan

Date: April 10, 2010

Audit Point Question	Finding <i>The goal of evaluating the program is to determine if it was implemented as written and if it continues to meet the intent of Medallion Foundation current star criteria.</i>	Corrective Action (Person Assigned To)	Assigned Completion Date	Follow Up – Was Corrective Action Effective?
8. Have all flight coordinators attended the Medallion Foundation Flight Risk Management or equivalent course? Note: training must be documented and retained for review by Medallion auditors during recurrent audits.	Yes, you can find certificates for Erica, Kiley and Jeffra in the Operations Personnel Training Records located in the dispatch office.			
9. What is the schedule for periodic reviews by the person responsible for the implementation of the program?	Audits are scheduled quarterly.			
10. What is the schedule for periodic reviews by senior management (chief pilot or higher)?	Scheduled Annual review by President. This has not been happening.	Dan Corson will talk to Rob McKinney about auditing all programs.	4/30/10	Done 4/26/10. Reviews will now be conducted by Senior Management based in Alaska.
11. Were program reviews conducted as scheduled?	No, there was a change in management which disrupted the audits. There will be a change in the master audit schedule so reviews are done by management.			
12. What feedback has senior management (chief pilot or higher) provided as a result of the reviews?				

Wings Internal Evaluation
Operational Control Star
(Using Section 2 MF Revision 11 Audit Points)

Conducted by: Kiley Murphy

Company Program Manager: Troy McClanahan

Date: April 10, 2010

Audit Point Question	Finding <i>The goal of evaluating the program is to determine if it was implemented as written and if it continues to meet the intent of Medallion Foundation current star criteria.</i>	Corrective Action (Person Assigned To)	Assigned Completion Date	Follow Up – Was Corrective Action Effective?
13. How often does the person with final authority over the program actually review the program and any associated audits?	Scheduled annually in the fourth quarter.			
14. Please explain how the company policy on shared decisions is enhancing safety and productivity?	Discussing weather and flight operations helps to make all pilots more aware of current conditions.			
15. Are records of each programmed flight, whether or not actually flown, retained for the period of time specified in the program?	Yes. Risk Assessments are kept for at least 90 days. It is not specified how long the dispatch board, weather and flight logs are kept for, but they are kept for years.			
16. Were program reviews documented?	Yes, in the master audit schedule and the quarterly audit record.			
17. Is there a record showing when senior management reviewed the program?	Yes, it's kept in the Master Audit Schedule.			
18. Have the daily flight records been audited to ensure compliance with the requirement for adequate completion of the risk assessments?	Yes, by the Safety Officer on 4/7/10			

Wings Internal Evaluation
Operational Control Star
(Using Section 2 MF Revision 11 Audit Points)

Conducted by: Kiley Murphy Company Program Manager: Troy McClanahan Date: April 10, 2010

Audit Point Question	Finding <i>The goal of evaluating the program is to determine if it was implemented as written and if it continues to meet the intent of Medallion Foundation current star criteria.</i>	Corrective Action (Person Assigned To)	Assigned Completion Date	Follow Up – Was Corrective Action Effective?
19. Have the pilot and flight coordinator training records been audited for currency?	Yes, training was completed on 3/16/10 and/or 3/30/10.			
a. If yes, what did you learn?	That all current pilots and dispatchers are current and qualified.			
b. If no, when will you audit these records?				
20. Have the icing awareness requirements in these audit points been complied with?	Yes.			
a. If yes, please elaborate on how you know	Pilot training is done annually. Records are kept by the Chief Pilot in the pilot training records. 207/208 training includes icing conditions and encounters.			
b. If no, please explain what has been done to correct the deficiency				
21. Were there any accidents that could be related to the functioning of the Operational Control Star Program in the past 12 months?	No accidents.			
a. Was a TapRoot investigation completed?				

Wings Internal Evaluation
Operational Control Star
(Using Section 2 MF Revision 11 Audit Points)

Conducted by: Kiley Murphy

Company Program Manager: Troy McClanahan

Date: April 10, 2010

Audit Point Question	Finding <i>The goal of evaluating the program is to determine if it was implemented as written and if it continues to meet the intent of Medallion Foundation current star criteria.</i>	Corrective Action (Person Assigned To)	Assigned Completion Date	Follow Up – Was Corrective Action Effective?
a. If so, please explain the issues and changes	More audits have been added to the Master Audit Schedule.			
b. Were the changes effective?	We have new star managers, so we'll see in the following months if audits are being conducted as scheduled. We anticipate that they will be.	Troy McClanahan will have conducted first 2 quarterly audits.	5/31/10	Completed 5/12/10
23. What changes have been made to the Operational Control program in the last 12 months?	Changes will be made this year.			
c. What prompted the change (internal audit, employee feedback, management program review, etc)?	The Director of Operations is no longer in charge of the program so there are many changes going to happen in the manual.	Troy McClanahan will write a new revision to the program.	5/31/10	Completed 4/11/10
d. What were the issues and changes?	A change in program oversight.			
e. Were the changes effective?	n/a			
24. What feedback has been received from the pilots and flight coordinators concerning the application of the shared decision making requirements?	Positive feedback. Better communications between pilot and flight follower. Everyone is more aware of weather conditions and surroundings.			

Wings Internal Evaluation
Operational Control Star
(Using Section 2 MF Revision 11 Audit Points)

Conducted by: **Kiley Murphy** Company Program Manager: **Troy McClanahan** Date: **April 10, 2010**

Audit Point Question	Finding <i>The goal of evaluating the program is to determine if it was implemented as written and if it continues to meet the intent of Medallion Foundation current star criteria.</i>	Corrective Action (Person Assigned To)	Assigned Completion Date	Follow Up – Was Corrective Action Effective?
e. Were the changes effective?	n/a			
24. What feedback has been received from the pilots and flight coordinators concerning the application of the shared decision making requirements?	Positive feedback. Better communications between pilot and flight follower. Everyone is more aware of weather conditions and surroundings.			
25. What feedback has been received from individuals receiving or conducting training?	Some pilots find it repetitive to fill out so many risk assessments but find the idea valuable.			
26. What feedback has senior management provided as a result of reviewing the program?	None.			