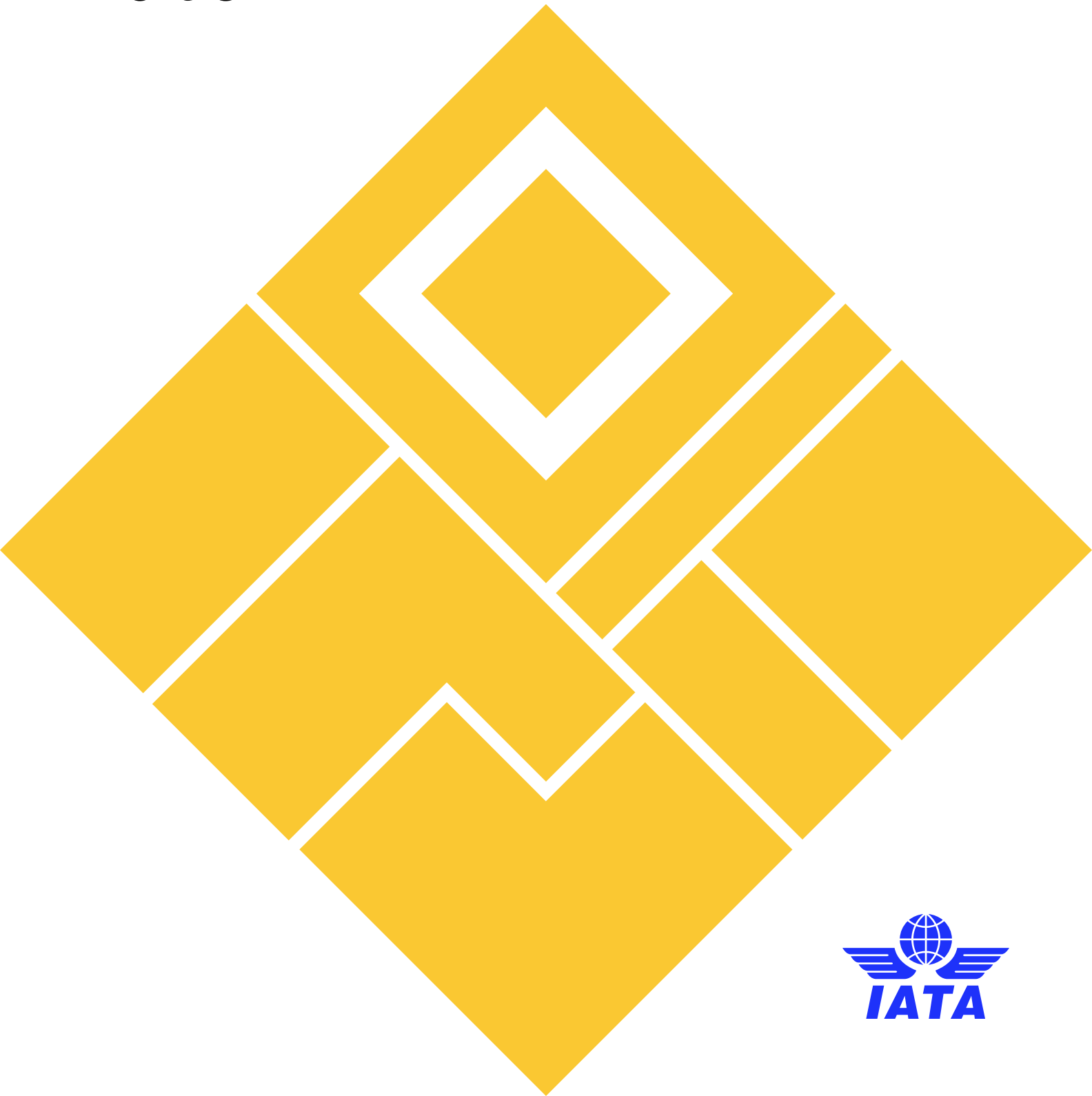


Effective 1 January 2025

# IOSA Standards Manual (ISM)

## Edition 17





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The screenshot displays the 'AUDIT PLAN VIEW' interface of the iQSMS system. The interface is divided into several sections:

- Left Sidebar:** Contains a 'Questionnaire' section with 110 questions, a 'Display-Filter' section with options for 'Open Questions', 'Questions with Findings', 'Bookmarked Questions', and 'Highlight Issues', and a list of questions (#001 to #007) with their respective standards (e.g., FLT 2.2.168, GRH 4.1.1, 145.A.85).
- Main Content Area:** Titled 'CONDUCT AUDIT', it shows details for 'Audit #ASQS-2022-FLT' and 'Ground Ops Audit 11/2021'. It includes a 'Status Quo' (13 Findings - 7 Open) and 'Progress' (70% completed). The central part displays a specific question (GRH 4.1.1) with its text and a table for 'Compliance Status - Finding Level' with options like 'Not Audited', 'Not Applicable', 'Documented', 'Not Documented', 'Implemented', and 'Not Implemented'. It also shows a 'Finding Level' dropdown set to 'Level 2' and a 'Due period & resulting date' (180 Days, 2023-06-30).
- Right Sidebar:** Contains an 'Auditor Comment' section with a text area and a 'Document References' section listing various documents (e.g., OM-A, Chapter 7.6.5, Chapter 8.9.2, Chapter 7.6.5, Chapter 11, Chapter 7.6.5, Chapter 7.6.5, Chapter 11).

AUDIT PLAN VIEW

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## ISM Seventeenth Edition

The following tables describe changes contained in Edition 17 of the IOSA Standards Manual (ISM 17).

The first table, titled ISM 17 Revision Highlights, describes significant changes in ISM 17. Subsequent tables describe individual changes in each of the ISM sections in relation to the current ISM Edition 16 Revision 3.

The second table, titled Summary–ISARPs Added/Eliminated (All Sections), displays the number of standards, recommended practices and tables added and/or eliminated in ISM 17. The added/eliminated provisions specific to each discipline are again identified with more detail at the beginning of the table for each of the respective ISM sections.

ISM 17 Revision Highlights	
Area(s) of Change	Description(s)
<b>INTRODUCTION</b>	
Notes	All <b>Notes</b> that had an effective date in September 2023 have been revised to align with the new ISM revision cycle and meet the ISM effective date of January of each year.
<b>[MA]</b> symbol	Added to 20 ORG ISARPs as well as 6 FLT ISARPs to identify them as part of the Maturity Assessment for Risk based IOSA.
Introduction	<ul style="list-style-type: none"> <li>• Maturity Assessment paragraph added for explanatory purposes.</li> <li>• New Section that provides a description of the Risk Based maturity Criteria, including current levels beyond conformity.</li> <li>• <b>[Eff]</b> symbol and explanatory notes relating to the Effectiveness Assessment Tool deleted as they are no longer required.</li> <li>• <b>[MA]</b> symbol introduced to identify those provisions that form part of the maturity Assessment under risk based IOSA.</li> </ul>
Symbols	Deleted all references to <b>[Eff]</b> and Effectiveness Assessment tool. Added new symbol for Maturity Assessment <b>[MA]</b> Criteria.
All 8 Sections	Deleted Auditing Effectiveness Assessment tool.
<a href="#">ORG 1.5.2</a>	<ul style="list-style-type: none"> <li>• Editorial, revised to enhance clarity.</li> </ul>
<a href="#">ORG 1.6.1</a>	<ul style="list-style-type: none"> <li>• New Standard (Upgrade from recommended practice) repeated provision for the selection process for outsourced Service providers.</li> <li>• GM enhanced for greater clarity.</li> <li>• <b>Note</b> introduced.</li> </ul>
<a href="#">ORG 1.1.10</a>	<ul style="list-style-type: none"> <li>• SMS Umbrella ISARP deleted as it is no longer required.</li> </ul>
<a href="#">ORG 2.2.4</a>	New recommended practice specifies requirements for operators who have a cargo aviation agreement, to develop a process to monitor the performance of those other operators that transport its cargo to ensure the operational safety and security needs of the Operator are being fulfilled.
<a href="#">ORG 3.1.5</a>	<ul style="list-style-type: none"> <li>• <b>[Eff]</b> symbol deleted.</li> <li>• Desired outcome, suitability criteria, deleted as no longer required.</li> </ul>
<a href="#">ORG 3.2.1</a>	<ul style="list-style-type: none"> <li>• <b>[Eff]</b> symbol deleted.</li> <li>• <b>Effectiveness tool deleted.</b></li> </ul>
<a href="#">ORG 3.4.1</a>	<ul style="list-style-type: none"> <li>• Note amended to advise upgrade date revised to 1 January 2026.</li> </ul>
<a href="#">ORG 4.1.1</a>	<ul style="list-style-type: none"> <li>• Revised to enhance clarity regarding review of management system.</li> <li>• <b>[SMS]</b> symbol deleted.</li> </ul>

ISM 17 Revision Highlights	
Area(s) of Change	Description(s)
ORG 4.4.1	<ul style="list-style-type: none"> <li>Section 4.4 Effectiveness deleted.</li> <li>ORG 4.4.1 deleted.</li> </ul>
<a href="#">ORG 1.1.1</a> <a href="#">ORG 1.2.1</a> <a href="#">ORG 1.2.2</a> <a href="#">ORG 1.3.1</a> <a href="#">ORG 1.4.1</a> <a href="#">ORG 1.4.2</a> <a href="#">ORG 1.6.1</a> <a href="#">ORG 2.1.1</a> <a href="#">ORG 2.1.7</a> <a href="#">ORG 2.1.9</a> <a href="#">ORG 2.2.1</a> <a href="#">ORG 3.1.1</a> <a href="#">ORG 3.1.2</a> <a href="#">ORG 3.1.5</a> <a href="#">ORG 3.2.1</a> <a href="#">ORG 3.3.1</a> <a href="#">ORG 3.5.1</a> <a href="#">ORG 4.1.1</a> <a href="#">ORG 4.2.1</a> <a href="#">ORG 4.3.1</a>	<ul style="list-style-type: none"> <li>Added <b>[MA]</b> symbol to identify them as part of the Maturity Assessment.</li> </ul>
<a href="#">FLT 1.11.1A</a>	<ul style="list-style-type: none"> <li>New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1).</li> <li><b>GM</b> revised for grammar correction.</li> </ul>
<a href="#">FLT 1.11.2 GM</a>	<ul style="list-style-type: none"> <li>Corrected reference to FLT 1.11.1A.</li> </ul>
<a href="#">FLT 1.11.3</a>	<ul style="list-style-type: none"> <li>Revised to make it conditional to enhance auditability.</li> </ul>
<a href="#">FLT 1.11.3 Guidance</a>	<ul style="list-style-type: none"> <li>Included further guidance available on IATA website.</li> </ul>
<a href="#">FLT 1.12.2</a>	<ul style="list-style-type: none"> <li><b>[Eff]</b> symbol deleted.</li> <li>Effectiveness Assessment tool deleted.</li> </ul>
<a href="#">FLT 2.1.1A, 2.1.2, 2.1.27, 2.1.35, 2.1.36 &amp; 3.4.3B</a>	<ul style="list-style-type: none"> <li>Added <b>[MA]</b> symbol to identify them as part of the Maturity Assessment.</li> </ul>
<a href="#">FLT 2.2.8</a>	<ul style="list-style-type: none"> <li>AA2 added “if applicable” after AQP/ATQP/EBT.</li> </ul>
<a href="#">FLT 2.2.16B</a>	<ul style="list-style-type: none"> <li>Deleted AA2 as AQP/ATQP/EBT not applicable for this ISARP.</li> </ul>
<a href="#">FLT 2.2.25</a>	<ul style="list-style-type: none"> <li>Conformance through “AQP/ATQP/EBT” changed to “NO” as the AQP/ATQP/EBT is only applicable to flight crew.</li> </ul>
<a href="#">FLT 2.2.27</a>	<ul style="list-style-type: none"> <li>Editorial punctuation.</li> </ul>
<a href="#">FLT 2.2.33</a>	<ul style="list-style-type: none"> <li>Included further guidance available on IATA website.</li> </ul>
<a href="#">FLT 2.2.37</a>	<ul style="list-style-type: none"> <li>Added 6<sup>th</sup> AA: Observed flight simulator operations (focus: training/evaluation in performing duties from either control seat).</li> </ul>
<a href="#">FLT 2.2.40</a>	<ul style="list-style-type: none"> <li>Added 6<sup>th</sup> AA: (Observed flight simulator operations (focus: training in flight crew incapacitation).</li> </ul>

ISM 17 Revision Highlights	
Area(s) of Change	Description(s)
FLT 2.4.2	<ul style="list-style-type: none"> <li>AA2 “PBN” replaced by “PBN/PBCS/RVSM/MNPS/NAT HLA/AMU”.</li> </ul>
FLT 3.4.3A	<ul style="list-style-type: none"> <li>ISARP cross related with CAB 3.1.4A revised for enhanced clarity regarding Fatigue related safety risks.</li> </ul>
FLT 3.4.3C	<ul style="list-style-type: none"> <li>Deleted Reference ORG 1.1.10 SMS Umbrella ISARP.</li> </ul>
FLT 3.11.17	<ul style="list-style-type: none"> <li>Revised and standardized transition levels to align with sterile cockpit provisions.</li> </ul>
FLT 3.11.50A	<ul style="list-style-type: none"> <li>Revised wording to increase accuracy.</li> </ul>
FLT 3.11.59A	<ul style="list-style-type: none"> <li>Standard; revised specifications for a stabilized approach policy and procedures and renamed FLT 3.11.59 using placeholder.</li> </ul>
FLT 3.11.59B	<ul style="list-style-type: none"> <li>Deleted and incorporated into FLT 3.11.59 with the SRA requirements contained in a new Table 2.9.</li> </ul>
3.11.50C	<p>For more information regarding access to the EGPWS database, refer to <a href="https://www.iata.org/contentassets/06377898f60c46028a4dd38f13f979ad/enhance-access-to-egpws-information---final-version.pdf">https://www.iata.org/contentassets/06377898f60c46028a4dd38f13f979ad/enhance-access-to-egpws-information---final-version.pdf</a>.</p>
FLT 3.11.69	<ul style="list-style-type: none"> <li>Reworded for accuracy regarding circling approaches.</li> </ul>
FLT Table 2.9	<ul style="list-style-type: none"> <li>Technical change: Wording deleted from FLT 3.11.59B has been addressed in the new Table FLT table 2.9. The table makes for simplified presentation of guidance for Safety Risk Assessment required by FLT 3.11.59.</li> </ul>
DSP 1.11.1A	<ul style="list-style-type: none"> <li>New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1).</li> </ul>
DSP 1.11.3	<ul style="list-style-type: none"> <li>Revised to make it conditional to enhance auditability.</li> </ul>
DSP 1.12.2	<ul style="list-style-type: none"> <li><b>[Eff]</b> symbol deleted.</li> </ul>
	<ul style="list-style-type: none"> <li>Effectiveness Assessment tool deleted.</li> </ul>
MNT 1.1.1	<ul style="list-style-type: none"> <li><b>GM</b> revised to clarify, enhance and align with applicable ORG provisions. (ORG 1.6.1).</li> </ul>
MNT 1.7.7	<ul style="list-style-type: none"> <li>Revised wording to for accuracy and added <b>(GM)</b>.</li> </ul>
	<ul style="list-style-type: none"> <li>Revised wording to clarify the intent.</li> </ul>
MNT 1.10.1	<ul style="list-style-type: none"> <li>Revised wording of sub-item (ii) to enhance clarity.</li> </ul>
MNT 1.10.4	<ul style="list-style-type: none"> <li>Rewording of guidance material to further clarify.</li> </ul>
MNT 1.11.1A	<ul style="list-style-type: none"> <li>New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1).</li> </ul>
	<ul style="list-style-type: none"> <li>GM revised for correction to grammar.</li> </ul>
MNT 1.12.2	<ul style="list-style-type: none"> <li><b>[Eff]</b> symbol deleted.</li> </ul>
	<ul style="list-style-type: none"> <li>Effectiveness Assessment tool deleted.</li> </ul>
Table 4.10	<ul style="list-style-type: none"> <li>Reworded to enhance clarity.</li> </ul>
Table 4.12(xv)	<ul style="list-style-type: none"> <li>Added clarification to the GM.</li> </ul>
MNT 4.6.1	<ul style="list-style-type: none"> <li>GM reworded to enhance clarity.</li> </ul>
MNT 4.6.4	<ul style="list-style-type: none"> <li>AA1 Revised to enhance clarity.</li> </ul>
MNT 4.11.1	<ul style="list-style-type: none"> <li>Reworded and revised to enhance clarity.</li> </ul>
CAB 1.11.2	<ul style="list-style-type: none"> <li><b>[Eff]</b> symbol deleted.</li> </ul>
	<ul style="list-style-type: none"> <li>Effectiveness Assessment tool deleted.</li> </ul>

ISM 17 Revision Highlights	
Area(s) of Change	Description(s)
CAB 3.1.7	<ul style="list-style-type: none"> <li>Added sub-item (v) to include accumulated fatigue considerations.</li> </ul>
CAB 3.1.4A	<ul style="list-style-type: none"> <li>Introduced the requirement of managing cabin crew fatigue related safety hazards using the SMS processes.</li> </ul>
CAB 3.1.4C	<ul style="list-style-type: none"> <li>Deleted reference to ORG 1.1.10 SMS umbrella ISARP.</li> </ul>
CAB 1.5.3	<ul style="list-style-type: none"> <li>GM updated to align with ORG 2.5.1.</li> </ul>
CAB 1.10.1A	<ul style="list-style-type: none"> <li>New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1).</li> </ul>
GRH 1.10.1A	<ul style="list-style-type: none"> <li>New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1).</li> </ul>
GRH 1.11.2	<ul style="list-style-type: none"> <li>[Eff] symbol deleted.</li> </ul>
	<ul style="list-style-type: none"> <li>Effectiveness Assessment tool deleted.</li> </ul>
GRH 3.1.1A	<ul style="list-style-type: none"> <li>Removed sub-item (i) d.</li> </ul>
GRH 3.1.1C	<ul style="list-style-type: none"> <li>New RP to incorporate the item removed from GRH 3.1.1A for the management of prohibited DG in baggage claim areas.</li> </ul>
GRH 3.1.3	<ul style="list-style-type: none"> <li>Improved verbiage (load in lieu of cargo). No content changes.</li> </ul>
GRH 3.2.6A	<ul style="list-style-type: none"> <li>Removed the requirement to remove the loading bridge “immediately” after the cabin doors are closed (alignment with IGOM).</li> </ul>
GRH 3.2.7	<ul style="list-style-type: none"> <li>Revised and simplified language for communications with flight crew for air start procedures with ASU (alignment with IGOM).</li> </ul>
GRH 3.4.10	<ul style="list-style-type: none"> <li>Improved verbiage (added “transported as cargo” also after the conditional statement). No content changes.</li> </ul>
GRH 3.4.11	<ul style="list-style-type: none"> <li>Improved verbiage (added “transported as cargo” also after the conditional statement). No content changes.</li> </ul>
GRH 3.4.15	<ul style="list-style-type: none"> <li>Improved verbiage (oversized in lieu of outsized). No content changes.</li> </ul>
CARGO OPERATIONS CGO	
Applicability	<ul style="list-style-type: none"> <li>Editorial changes for section CGO to provide clarity.</li> </ul>
	<ul style="list-style-type: none"> <li>Removal of the term ‘loading’ except to mean ‘cargo stacking/ULD build-up’, and ‘transporting’ to refer to ‘ground transport.’</li> </ul>
	<ul style="list-style-type: none"> <li>‘ULD build-up’ is only part of the overall ULD handling, it was therefore changed to ‘ULD handling’ with typical examples of tasks in the GM as applicable.</li> </ul>
CGO 1.1.1	<ul style="list-style-type: none"> <li>Deleted “revenue” to improve applicability.</li> </ul>
CGO 1.1.2	<ul style="list-style-type: none"> <li>Deleted “revenue” to improve applicability.</li> </ul>
CGO 1.6.1	<ul style="list-style-type: none"> <li>Reworded to enhance clarity as indicated in the “applicability” section of CGO.</li> </ul>
	<ul style="list-style-type: none"> <li>GM reworded for clarity.</li> </ul>
	<ul style="list-style-type: none"> <li>AA revised for clarity.</li> </ul>
CGO 1.6.2	<ul style="list-style-type: none"> <li>Guidance list of IATA Cargo publications and other relevant publications has been updated,</li> </ul>
	<ul style="list-style-type: none"> <li>‘...small packages...’ deleted.</li> </ul>
CGO 1.6.3	<ul style="list-style-type: none"> <li>AA revised to include the words “as cargo”.</li> </ul>

ISM 17 Revision Highlights	
Area(s) of Change	Description(s)
CGO 1.6.4	<ul style="list-style-type: none"> <li>Revised for accuracy.</li> <li>AA revised to include handling of ULDs.</li> <li>GM references updated to include W&amp;B Manual.</li> </ul>
CGO 1.10.1A	<ul style="list-style-type: none"> <li>New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1).</li> </ul>
CGO 1.11.2	<ul style="list-style-type: none"> <li>Deleted “revenue” to improve applicability.</li> <li>GM revised to include lithium batteries and acceptance of special loads.</li> <li><b>[Eff]</b> symbol deleted.</li> <li>Effectiveness Assessment tool deleted.</li> <li><b>GM:</b> introduced changes in GM (added potential hazards).</li> </ul>
CGO 1.2.1	<ul style="list-style-type: none"> <li>Deleted “revenue” to improve applicability.</li> </ul>
CGO 3.5.1	<ul style="list-style-type: none"> <li>Revised to incorporate ULD management including regulations and limitations.</li> <li>AA1 and 4 revised for reference correctness.</li> <li>GM revised to refer to Weight and balance manual.</li> </ul>
CGO 2.1.1	<ul style="list-style-type: none"> <li>Sub-item (ii) revised to include ULDs, recurrent training frequency and a reference to CGO 2.2.4.</li> </ul>
CGO 2.1.2	<ul style="list-style-type: none"> <li>GM alignment with DGR 1.5, from which the Table 1.5.A has been deleted;</li> <li>added the DG CBTA training guidance source reference;</li> <li>added an alignment with ULD CBTA training requirements in ULDR 1.6.</li> </ul>
CGO 2.2.1 & 2.2.2	<ul style="list-style-type: none"> <li>GM revised to include the DG CBTA training guidance source reference.</li> </ul>
CGO 2.2.3	<ul style="list-style-type: none"> <li>Changed ‘loading’ to ‘build-up’ to clarify that ‘loading’ here doesn’t mean loading of ULD on aircraft but ULD build-up.</li> <li>Revised AA1, 3 &amp; 4 to use the words “build-up.”</li> <li>GM revised to include DG CBTA training Guidance source document.</li> </ul>
CGO 2.2.4	<ul style="list-style-type: none"> <li>New recommended practice to introduce the ULD training requirements.</li> </ul>
CGO 2.2.4	<ul style="list-style-type: none"> <li>Renamed CGO 2.2.4B.</li> </ul>
CGO 3.1.1	<ul style="list-style-type: none"> <li>Guidance revised to ensure that interline cargo complies with the applicable requirements of all the participating operators.</li> </ul>
CGO 3.1.3	<ul style="list-style-type: none"> <li>Revised to include “and/or ULDs” for the calibration of weighing scales.</li> <li>AA revised to also include “and/or ULDs.”</li> <li>GM revised to include reference to ICHM 9.4.6.</li> </ul>
CGO 3.1.4	<ul style="list-style-type: none"> <li>GM revised to include segregation requirements and for clarity.</li> </ul>
CGO 3.2.4	<ul style="list-style-type: none"> <li>Added sub-item (iv) regarding ULD serviceability.</li> </ul>
CGO 3.2.5	<ul style="list-style-type: none"> <li>Revised to include ULD tag for DG.</li> <li>GM revised to include reference to AHM 420 and for clarity.</li> <li>AA1 revised to include ULD tag.</li> </ul>

ISM 17 Revision Highlights	
Area(s) of Change	Description(s)
CGO 3.2.10	<ul style="list-style-type: none"> <li>Revised to include segregation of DG.</li> <li>AA revised to include segregation of DG from other cargo.</li> <li>GM revised to include segregation of DG from other cargo.</li> </ul>
CGO 3.2.14	<ul style="list-style-type: none"> <li>Revised sub-item (viii) and changed “offload” to unload.”</li> <li>Sub-item (x) revised to include ULD ID Codes as optional information.</li> </ul>
Section 3.3 Heading	<ul style="list-style-type: none"> <li>Heading change “Live Animals, Perishables and Healthcare shipments”.</li> </ul>
CGO 3.3.1	<ul style="list-style-type: none"> <li>Revised to include healthcare shipments in the condition of the ISARP.</li> <li>AA1 &amp; 3 revised to include “healthcare shipments.”</li> <li>GM revised to include “healthcare shipments”, packaging and temperature control guidance.</li> </ul>
CGO 3.3.5	<ul style="list-style-type: none"> <li>New RP Revised to contain the contents of the old 3.4.2.</li> <li>The previous 3.4.2 is moved to be listed under section 3.3 as healthcare pharmaceutical products are part of ‘Special Cargo’.</li> </ul>
CGO 3.4.1	<ul style="list-style-type: none"> <li>Revised to include other special cargo including human remains.</li> <li>GM revised to include reference to IATA Compassionate Transportation Manual (CTM).</li> <li>Revised to ensure that ‘human remains’ and ‘outsized/heavy cargo’ are not combined together.</li> </ul>
CGO 3.4.2	<ul style="list-style-type: none"> <li>Deleted.</li> <li>Contents and intent of 3.4.2 incorporated into 3.3.5.</li> </ul>
CGO 3.5.1	<ul style="list-style-type: none"> <li>Revised to add typical ULD handling activities.</li> <li>Corrected to refer to ULD handling requirements and instructions which are contained in OM/ULDR/ICHM to ensure all the WBM compliance and limitations are not exceeded).</li> <li>GM revised to refer to weight and balance manual.</li> <li>AA revised with corrected references to OM and ICHM.</li> </ul>
CGO 3.5.2	<ul style="list-style-type: none"> <li>Revised to add typical ULD handling activities.</li> <li>Corrected to refer to ULD handling requirements and instructions which are contained in OM/ULDR/ICHM to ensure all the WBM compliance and limitations are not exceeded).</li> <li>GM revised to refer to weight and balance manual.</li> <li>AA revised to correct ULD acceptance and handling procedures.</li> </ul>
CGO 3.5.3	New Recommended Practice added to emphasize the importance of ULD storage requirements due to the fact that ULDs often got damaged due to improper storage equipment/facilities.
CGO Section 3.6	<ul style="list-style-type: none"> <li>New Section dedicated to <b>Special Loads</b>.</li> </ul>
CGO 3.6.1	<ul style="list-style-type: none"> <li>Dedicated section for ‘Special Loads’ is to avoid mixing of ‘Other Special Cargo and Human Remains’.</li> <li>‘Note that ‘Special Load’ is aircraft specific, therefore it’s very important for the Operator to have procedures based on specific aircraft WBM in the OM.</li> </ul>
SEC Applicability Section SEC 1.1.1	<ul style="list-style-type: none"> <li>In the applicability and In the General Guidance to enhance clarity.</li> <li>Capitals for SeMS in the ISARP and</li> </ul>



ISM 17 Revision Highlights	
Area(s) of Change	Description(s)
	<ul style="list-style-type: none"> <li>Several adjustments in the Guidance for consistency with IRM and to enhance clarity.</li> <li>Capitals for National Civil Aviation Security Program (NCASP).</li> </ul>
SEC 1.1.3	<ul style="list-style-type: none"> <li>Guidance reviewed for alignment with ICAO Annex 17 references, consistency with new ICAO standards (AOSP/SSP).</li> </ul>
SEC 1.2.1	<ul style="list-style-type: none"> <li>Guidance reviewed for alignment with ICAO Annex 17 references, consistency with new ICAO standards (AOSP/SSP).</li> </ul>
SEC 1.3.1	<ul style="list-style-type: none"> <li>Revised for: <ul style="list-style-type: none"> <li>Consistency with IRM</li> <li>specific to operational security functions</li> <li>Consistency with new SEC 1.11.3</li> <li>guidance application of SeMS for outsourced services</li> </ul> </li> </ul>
SEC 1.5.2	<ul style="list-style-type: none"> <li>Revised to correct a typo.</li> </ul>
SEC 1.6.4	<ul style="list-style-type: none"> <li>Added guidance Reference to SEC 1.11.3 and general editing for clarity.</li> </ul>
SEC 1.11.1A	<ul style="list-style-type: none"> <li>New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1).</li> <li>Guidance revised to include more references.</li> </ul>
Sec 1.11.1B	<ul style="list-style-type: none"> <li>Guidance reviewed to reflect references to SGHA, SLA and AHM.</li> </ul>
SEC 1.11.2	<ul style="list-style-type: none"> <li>Guidance Reference to SEC 1.11.3.</li> </ul>
SEC 1.11.3	<ul style="list-style-type: none"> <li>New recommended Practice and new guidance to require Follow-up of surveys on the scope of outsourced security ISARPs that require the introduction of SeMS key elements for External Service Providers (ESPs).</li> </ul>
SEC 1.11.4	<ul style="list-style-type: none"> <li>Revised auditor actions to include operational security functions.</li> </ul>
SEC 1.12.1	<ul style="list-style-type: none"> <li>Revised guidance for accuracy.</li> <li>Editorial revision to enhance clarity.</li> </ul>
SEC 2.1.1	<ul style="list-style-type: none"> <li>Revised to ensure consistency with SeMS key elements.</li> <li>Guidance reviewed for clarity.</li> </ul>
SEC 2.1.2	<ul style="list-style-type: none"> <li>Guidance Revised to correct Typo and to ensure consistency with SeMS elements.</li> <li>Corrected reference to SEC 1.11.3.</li> </ul>
SEC 2.1.4	<ul style="list-style-type: none"> <li>Revised to ensure Consistency with IRM.</li> <li>Guidance Corrected reference to SEC 1.11.3.</li> </ul>
SEC 2.1.6	<ul style="list-style-type: none"> <li>Guidance revised for enhanced clarity.</li> </ul>
SEC 2.1.8	<ul style="list-style-type: none"> <li>Clarification of the scope and intent of the ISARP.</li> <li>GM revised to enhance clarity.</li> <li>Auditor actions revised to align with main provision.</li> </ul>
SEC 3.1.1	<ul style="list-style-type: none"> <li>Clarification of the scope of the ISARP.</li> <li>GM revised to enhance clarity and to reference ICAO Annex 17.</li> <li>Auditor actions revised to align with main provision.</li> </ul>
SEC 3.1.3	<ul style="list-style-type: none"> <li>Guidance revised to enhance clarity and to align with main provision.</li> </ul>



<b>ISM 17 Revision Highlights</b>	
<b>Area(s) of Change</b>	<b>Description(s)</b>
<a href="#">SEC 3.4.1</a>	<ul style="list-style-type: none"><li>• Guidance revised to enhance clarity regarding screening equipment.</li></ul>
<a href="#">SEC 3.4.3</a>	<ul style="list-style-type: none"><li>• Guidance revised for accuracy.</li></ul>
<a href="#">SEC 3.5.1</a>	<ul style="list-style-type: none"><li>• Guidance revised for clarity and to be gender neutral.</li></ul>
<a href="#">SEC 3.6.1</a>	<ul style="list-style-type: none"><li>• Guidance revised Reference to GHR 3.7.</li></ul>
<a href="#">SEC 3.6.2</a>	<ul style="list-style-type: none"><li>• AA revised for removal of bag reconciliation.</li></ul>
	<ul style="list-style-type: none"><li>• Guidance revised for enhanced clarity.</li></ul>
<a href="#">SEC 3.6.6</a>	<ul style="list-style-type: none"><li>• Guidance revised for enhanced clarity and to align with IRM.</li></ul>
<a href="#">SEC 3.7.1</a>	<ul style="list-style-type: none"><li>• Guidance revised to reference CGO 3.7 and GRH 3.7.</li></ul>
<a href="#">SEC 3.8.1</a>	<ul style="list-style-type: none"><li>• Deleted reference to the IATA Security Manual reference (discontinued).</li></ul>

Summary–Additions/Eliminations (All Sections)	
Standards Eliminated 4	<ul style="list-style-type: none"> <li>• Total four (4) <ul style="list-style-type: none"> <li>◦ ORG 1.1.10</li> <li>◦ ORG 4.4.1</li> <li>◦ FLT 3.11.59B</li> <li>◦ CGO 3.4.2</li> </ul> </li> </ul>
Standards/Specifications Suspended NIL	None
Standards Added Upgrade from RP 10	<ul style="list-style-type: none"> <li>• Total ten (10) <ul style="list-style-type: none"> <li>◦ ORG 1.6.1</li> <li>◦ FLT 1.11.1A</li> <li>◦ FLT 3.11.59</li> <li>◦ FLT Table 2.9</li> <li>◦ DSP 1.11.1A</li> <li>◦ MNT 1.11.1A</li> <li>◦ CAB 1.10.1 A</li> <li>◦ GRH 1.10.1A</li> <li>◦ CGO 1.10.1A</li> <li>◦ SEC 1.11.1A</li> </ul> </li> </ul>
Recommended Practices Eliminated 9	<ul style="list-style-type: none"> <li>• Total nine (9) <ul style="list-style-type: none"> <li>◦ ORG 1.6.1</li> <li>◦ FLT 1.11.1A</li> <li>◦ DSP 1.11.1A</li> <li>◦ MNT 1.11.1A</li> <li>◦ CAB 1.10.1 A</li> <li>◦ GRH 1.10.1A</li> <li>◦ CGO 1.10.1A</li> <li>◦ CGO 3.4.2</li> <li>◦ SEC 1.11.1A</li> </ul> </li> </ul>
Recommended Practices Added 6	<ul style="list-style-type: none"> <li>• Total six (6) <ul style="list-style-type: none"> <li>◦ ORG 2.2.4</li> <li>◦ GRH 1.1.1C</li> <li>◦ CGO 2.2.5</li> <li>◦ CGO 3.3.5</li> <li>◦ CGO 3.5.3</li> <li>◦ SEC 1.11.3</li> </ul> </li> </ul>
Tables Eliminated	None
Tables Added	<ul style="list-style-type: none"> <li>• Total one (1) <ul style="list-style-type: none"> <li>◦ FLT table 2.9</li> </ul> </li> </ul>

Introduction	
Summary of Revisions	
Area Changed	Description of Change(s)
Group Revisions (These are changes applied throughout this section but not shown below as individual changes)	<ul style="list-style-type: none"> <li>Editorial changes: correction of grammatical discrepancies addition/deletion of commas, periods, hyphens, apostrophes, semicolons or spaces</li> <li>Editorial update of numerous references to other provisions and to external documents</li> </ul>
4 Applicability of ISARPs, for CGO section	<ul style="list-style-type: none"> <li>Technical change: non-revenue cargo is addressed in the same way as revenue cargo for the purposes of acceptance, handling, and securing.</li> <li>Functions extended to include ULD handling (e.g., ULD serviceability check, build-up/break-down, ground transport, transfer, and storage);</li> </ul>
5 Explanation of ISARPs, Notes, Tables and Symbols	<ul style="list-style-type: none"> <li>Technical change: description of the Maturity Criteria used for Risk Based IOSA Audits</li> <li>Description of the <b>[Eff]</b> symbol deleted; symbol no longer required.</li> </ul>

Section 1 (ORG)	
Summary of Revisions	
Standards Eliminated	<ul style="list-style-type: none"> <li>Two (2) ORG 4.4.1 (The whole of Section 4.4) ORG 1.1.10</li> </ul>
Standards Added	<ul style="list-style-type: none"> <li>One (1) ORG 1.6.1</li> </ul>
Recommended Practices Eliminated	<ul style="list-style-type: none"> <li>One (1) ORG 1.6.1 upgraded to a standard</li> </ul>
Recommended Practices Added	<ul style="list-style-type: none"> <li>One (1) ORG 2.2.4</li> </ul>
Revisions	
Area Changed	Description of Change(s)
Group Revisions	<ul style="list-style-type: none"> <li>Technical changes: revision/update of references to individual ORG provisions resulting from introduction of Maturity Assessment criteria and the elimination of the effectiveness tool.</li> <li>Editorial changes: correction of grammatical discrepancies, minor typos, addition/deletion of commas, periods, hyphens, apostrophes, semicolons or spaces and update of references as required</li> </ul>
Applicability Box	<ul style="list-style-type: none"> <li>Editorial change: wording revised for simplification</li> </ul>
General Guidance	<ul style="list-style-type: none"> <li><b>[MA]</b> symbol added to those ISARPs that form part of the Maturity Assessment for Risk Based IOSA</li> <li><b>Note</b> introduced</li> </ul>
ORG 1.1.1	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 1.2.1	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 1.2.2	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 1.3.1	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 1.4.1	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>

ORG 1.4.2	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 1.6.1	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 1.6.1	<ul style="list-style-type: none"> <li>Technical change: New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (repeated in all Sections)</li> <li>Technical change: New explanatory <b>Note</b> for cases where there is only one service provider or the selection is not directly controlled by the Operator.</li> </ul>
ORG 1.6.1 Guidance	<ul style="list-style-type: none"> <li>Technical change: Rewording of last paragraph to give further guidance in cases where the selection process in the main provision would not be applicable. Typically it would be at a location where there is only one service provider available (e.g. station monopoly, government/authority-provided services). It would also not apply if an operator has no control over external service providers (e.g. when wet leasing aircraft to another operator, or if the authority designates specific providers to be used.</li> </ul>
ORG 1.1.10	<ul style="list-style-type: none"> <li>Technical change: Standard deleted as it is no longer required</li> </ul>
ORG 2.1.7	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 2.1.9	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 2.2.1	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 2.2.4	<ul style="list-style-type: none"> <li>Technical change: New recommended practice which specifies requirements for operators who transport cargo under commercial aviation agreements, to develop a process to monitor the performance of those other operators that transport its cargo to ensure the operational safety and security needs of the Operator are being fulfilled.</li> </ul>
ORG 2.2.4 guidance	<ul style="list-style-type: none"> <li>Technical change: Guidance provided for new recommended practice regarding typical considerations of oversight for cargo ACMI or capacity purchase agreements.</li> </ul>
ORG 3.1.1	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 3.1.2	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 3.1.5	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 3.1.5	<ul style="list-style-type: none"> <li>Editorial change: <b>[Eff]</b> symbol deleted.</li> <li>Technical change: Effectiveness Assessment tool deleted as it is no longer required under the Risk Based IOSA audit methodology and is replaced by Maturity Assessment for selected ISARPs</li> </ul>
ORG 3.2.1	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 3.3.1	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>

ORG 3.4.1	<ul style="list-style-type: none"> <li>Editorial change: Note amended to revise upgrade date to align with new ISM revision cycle.</li> </ul>
ORG 4.1.1	<ul style="list-style-type: none"> <li>Technical change: Rewording to enhance accuracy regarding the required review of management system. Old wording was “shall have a process to review the management system....” And new wording is “shall ensure the management system is reviewed.....”</li> <li>Editorial change: <b>[SMS]</b> symbol deleted.</li> <li>Editorial change: Rewording of last sentence by starting with the word “The” instead of the old “A”</li> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 4.3.1	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
ORG 4.4.1	<ul style="list-style-type: none"> <li>Technical change Section 4.4 regarding Effectiveness deleted.</li> <li>Technical Change: ORG 4.4.1 deleted as it was the umbrella ISARP for demonstrating effective implementation of ISARPs with the <b>[Eff]</b> designator. It is no longer required under the Risk Based IOSA audit methodology and is replaced by Maturity Assessment for selected ISARPs.</li> </ul>

Section 2 (FLT)	
Summary of Revisions	
Standards Eliminated	<ul style="list-style-type: none"> <li>One (1)</li> <li>FLT 3.11.59B</li> </ul>
Standards Added	<ul style="list-style-type: none"> <li>Three (3)</li> <li>FLT 3.11.59 (placeholder used)</li> <li>FLT 1.11.1A</li> <li>Table 2.9</li> </ul>
Recommended Practices Eliminated	<ul style="list-style-type: none"> <li>One (1)</li> <li>FLT 3.11.1A upgraded to a standard</li> </ul>
Recommended Practices Added	<ul style="list-style-type: none"> <li>NIL (0)</li> </ul>
Revisions	
Area Changed	Description of Change(s)
Group Revisions (These are changes applied throughout this section but not shown below as individual changes)	<ul style="list-style-type: none"> <li>Technical changes: revision/update of ISARPs that were changed in ORG due to the upgrade recommended practice(s) and the removal of the tools for auditing effectiveness.</li> <li>Editorial changes: universal revision to correct references to other IOSA documents such as IRM, other ISM ISARPs and ICAO annexes.</li> <li>Editorial changes: correction of grammatical discrepancies; addition/deletion of commas, periods, hyphens, apostrophes, semicolons or spaces.</li> </ul>
Applicability Box	<ul style="list-style-type: none"> <li>No changes</li> </ul>
General Guidance	<ul style="list-style-type: none"> <li>No changes</li> </ul>

FLT 1.11.1A	<ul style="list-style-type: none"> <li>Technical change: New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1)</li> </ul>
FLT 1.11.1A Guidance	<ul style="list-style-type: none"> <li>Editorial change: Corrected typo by adding “s” to the word “need” for the sentence to read “The process needs to be applied only one time.....”</li> </ul>
FLT 1.11.3	<ul style="list-style-type: none"> <li>Technical change: rewording to make the recommended practice conditional by adding “If the Operator utilizes products for flight operations relevant to the safety and security of aircraft operations that are purchased or otherwise acquired from an external vendor or supplier....”</li> </ul>
FLT 1.12.2	<ul style="list-style-type: none"> <li>Description could be consistent with the ones in ORG. Editorial change: <b>[Eff]</b> symbol deleted.</li> <li>Technical change: Effectiveness Assessment tool deleted as it is no longer required under the Risk Based IOSA audit methodology and is replaced by Maturity Assessment for selected ISARPs</li> </ul>
FLT 1.12.2 Auditor Actions	<ul style="list-style-type: none"> <li>Editorial change to fifth auditor action by adding the word “taken” for clarity</li> </ul>
FLT 2.1.1A	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
FLT 2.1.2	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
FLT 2.1.27	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
FLT 2.1.35	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
FLT 2.1.36	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>
FLT 2.2.8 Auditor Actions	<ul style="list-style-type: none"> <li>Technical change: Rewording for second auditor action by adding “if applicable” after EBT to enhance auditing accuracy.</li> </ul>
FLT 2.2.16B auditor actions	<ul style="list-style-type: none"> <li>Technical change: Deleted second auditor action relating to AQP/ATQP/EBT for recurrent training for operations in the vicinity of volcanic ash. This was done for consistency with conformance applicability table in the main provision where conformance through AQP/AQTP/EBT is not possible.</li> </ul>
FLT 2.2.37 auditor actions	<ul style="list-style-type: none"> <li>Technical change: Rewording of last auditor action relating to flight simulator observation to include focus on training/evaluation in performing duties from either control seat</li> </ul>
FLT 2.2.40 auditor actions	<ul style="list-style-type: none"> <li>Technical change: Rewording of last auditor action relating to flight simulator observation to include focus on training in flight crew incapacitation</li> </ul>
FLT 2.4.2 auditor actions	<ul style="list-style-type: none"> <li>Technical change: Rewording of second auditor action relating to flight simulator observation to include focus on continuing qualification/recurrent schedule for training and evaluation in PBN/PBCS/RVSM/MNPS/NAT HLA/AMU</li> </ul>
FLT 3.4.3A	<ul style="list-style-type: none"> <li>Technical change: wording revised; specification addresses the management of accumulated flight crew fatigue in sub-item (i) to include the words “while managing fatigue hazards using the SMS processes that are in place for managing safety hazards in general, and/or”</li> </ul>
FLT 3.4.3B	<ul style="list-style-type: none"> <li>Technical change: Added new symbol <b>[MA]</b> to identify the provision as part of the risk based IOSA Maturity Assessment</li> </ul>

FLT 3.4.3C	<ul style="list-style-type: none"> <li>Technical change: Deleted reference to ORG 1.1.10 SMS umbrella ISARP</li> </ul>
FLT 3.11.17	<ul style="list-style-type: none"> <li>Technical change: Rewording of sub-item (iii) to read as follows: "The mandatory use of headsets and boom or throat microphones for communication with ATC below the transition level/altitude or 10,000 ft AGL, whichever is higher;"</li> </ul>
FLT 3.11.38 Guidance	<ul style="list-style-type: none"> <li>Guidance reworded to introduce turbulence awareness tools</li> </ul>
FLT 3.11.50A	<ul style="list-style-type: none"> <li>Technical change: wording added (last sentence)".. increasing <i>the</i> recognition/response time <i>available</i> in the event of an unintentional conflict with terrain." To improve accuracy of the provision</li> </ul>
FLT 3.11.59A	<ul style="list-style-type: none"> <li>Editorial change: provision deleted and content incorporated into placeholder for FLT 3.11.59</li> </ul>
FLT 3.11.59	<ul style="list-style-type: none"> <li>Editorial change: New Standard formed from combining FLT 3.11.59A and FLT 3.11.59B to improve auditability of the provisions for stabilized approach criteria.</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: wording revised to enhance accuracy of specifications for stabilized approaches.</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: addition of a <b>Note</b> to require that stabilized approach policy and associated implementation shall be subjected to the Operator's safety risk management (SRM) processes and safety performance monitoring to ensure an acceptable level of safety risk is achieved and maintained</li> </ul>
FLT 3.11.59 guidance	<ul style="list-style-type: none"> <li>Editorial change: rewording to remove references to FLT 3.11.59A and/or FLT 3.11.59B and to reflect Table 2.9.</li> </ul>
FLT 3.11.59B	<ul style="list-style-type: none"> <li>Editorial change: Deleted and contents incorporated int FLT Table 2.9</li> </ul>
Table 2.9	<ul style="list-style-type: none"> <li>New Table to</li> </ul>
FLT 3.11.60	<ul style="list-style-type: none"> <li>Editorial change: rewording of sub-item (ii) reference as FLT 3.11.59</li> </ul>
FLT 3.11.60 guidance	<ul style="list-style-type: none"> <li>Editorial change: rewording in the fourth paragraph (first bullet point) to reference FLT 3.11.59</li> </ul>
FLT 3.11.69	<ul style="list-style-type: none"> <li>Editorial changes: Rewording of sub-item (ii) to reference FLT 3.11.59 and FLT 3.11.60</li> </ul>
FLT 3.11.69 guidance	<ul style="list-style-type: none"> <li>Technical change: rewording of second paragraph to read: ".....prevention of Controlled Flight into Terrain (CFIT), Loss of control in Flight (LOC) and runway excursions." For greater accuracy</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: Rewording of third paragraph to include: 'Circling approach guidance. procedures and associated implementation are subjected to the Operator's safety risk management (SRM) processes and safety performance monitoring.'</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: Rewording of last bullet point to read "The size of the containment area based on the criteria used to design the approach and ensure obstacle clearance (e.g., PANS-OPS, TERPs")</li> </ul>
	<ul style="list-style-type: none"> <li>Editorial change: Revision of bullet points 7 and 8 to reference FLT 3.11.59 and FLT 3.11.60 respectively</li> </ul>
FLT Table 2.9	<ul style="list-style-type: none"> <li>Technical change: FLT Table 2.9 added for simplified presentation of relevant Risk Assessment Requirements for Stabilized Approach Policy</li> </ul>

Section 3 (DSP)	
Summary of Revisions	
Standards Eliminated	<ul style="list-style-type: none"> <li>None (0)</li> </ul>
Standards Added	<ul style="list-style-type: none"> <li>One (1) DSP 1.11.1</li> </ul>
Recommended Practices Eliminated	<ul style="list-style-type: none"> <li>One (1) DSP 1.11.1 Upgraded to a standard</li> </ul>
Recommended Practices Added	<ul style="list-style-type: none"> <li>None(0)</li> </ul>
Tables added	<ul style="list-style-type: none"> <li>None (0)</li> </ul>
Revisions	
Area Changed	Description of Change(s)
Group Revisions (These are changes applied throughout this section but not shown below as individual changes)	<ul style="list-style-type: none"> <li>Technical changes: revision/update of ISARPs that were changed in ORG due to the upgrade recommended practice(s) and the removal of the tools for auditing effectiveness.</li> </ul>
	<ul style="list-style-type: none"> <li>Editorial changes: universal revision to correct references to other IOSA documents such as IRM, other ISM ISARPs and ICAO annexes.</li> </ul>
	<ul style="list-style-type: none"> <li>Editorial changes: correction of grammatical discrepancies; addition/deletion of commas, periods, hyphens, apostrophes, semicolons or spaces.</li> </ul>
General Guidance	<ul style="list-style-type: none"> <li>Technical change: Added regularity and efficiency of the flight to align with ICAO definition of operational control</li> </ul>
DSP 1.11.1A	<ul style="list-style-type: none"> <li>Technical change: New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1)</li> </ul>
DSP 1.11.3	<ul style="list-style-type: none"> <li>Technical change: Rewording to make the ISARP conditional to enhance auditing accuracy</li> </ul>
DSP 1.12.2	<ul style="list-style-type: none"> <li>Editorial change: <b>[Eff]</b> symbol deleted.</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: Effectiveness Assessment tool deleted as it is no longer required under the Risk Based IOSA audit methodology and is replaced by Maturity Assessment for selected ISARPs</li> </ul>



Section 4 (MNT)	
Summary of Revisions	
Standards Eliminated	<ul style="list-style-type: none"> <li>None</li> </ul>
Standards Added	<ul style="list-style-type: none"> <li>One (1) MNT 1.11.1A</li> </ul>
Recommended Practices Eliminated	<ul style="list-style-type: none"> <li>One (1) MNT 1.11.1A upgraded to a standard</li> </ul>
Recommended Practices Added	<ul style="list-style-type: none"> <li>None</li> </ul>
Revisions	
Area Changed	Description of Change(s)
Group Revisions (Changes that are applied multiple times throughout this section but are not shown individually below)	<ul style="list-style-type: none"> <li>Technical changes: revision/update of ISARPs that were changed in ORG due to the upgrade recommended practice(s) and the removal of the tools for auditing effectiveness.</li> <li>Editorial changes: correction of grammatical discrepancies, minor typos; addition/deletion of commas, periods, hyphens, apostrophes, semicolons or spaces</li> </ul>
Applicability Box	<ul style="list-style-type: none"> <li>None</li> </ul>
General Guidance	<ul style="list-style-type: none"> <li>None</li> </ul>
MNT 1.1.1 Guidance	<ul style="list-style-type: none"> <li>Editorial change: guidance reworded for enhanced clarity of the intent</li> </ul>
MNT 1.7.7	<ul style="list-style-type: none"> <li>Technical change: wording revised to improve accuracy to first sentence to read “makes available relevant”...and deleted “issues” regarding the MMM.</li> <li>Symbol for (GM) added</li> </ul>
MNT 1.7.7 Guidance	<ul style="list-style-type: none"> <li>Technical change: new guidance added to support the revisions made to the main provision</li> </ul>
MNT 1.10.1	<ul style="list-style-type: none"> <li>Editorial changes: wording in sub-spec (ii) revised to read “operational” for enhanced clarity</li> </ul>
MNT 1.10.4	<ul style="list-style-type: none"> <li>Editorial changes: Added (GM) symbol to support new guidance material.</li> </ul>
MNT 1.10.4 guidance	<ul style="list-style-type: none"> <li>Technical change: reference to ORG 2.1.9 for clarification regarding “qualified personnel”</li> </ul>
MNT 1.11.1A	<ul style="list-style-type: none"> <li>Technical change: New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1)</li> </ul>
MNT 1.11.1A Guidance	<ul style="list-style-type: none"> <li>Editorial change: grammatical correction to read “needs to”</li> </ul>
MNT 1.12.2	<ul style="list-style-type: none"> <li>Editorial change: <b>[Eff]</b> symbol deleted.</li> <li>Technical change: Effectiveness Assessment tool deleted as it is no longer required under the Risk Based IOSA audit methodology and is replaced by Maturity Assessment for selected ISARPs</li> </ul>
MNT 4.6.1 Guidance	<ul style="list-style-type: none"> <li>Technical change: Rewording for greater clarity regarding acceptable accommodation types for different types of maintenance activities.</li> </ul>
MNT 4.6.4 Auditor Actions	<ul style="list-style-type: none"> <li>Editorial change: hyphenated “shelf-life” in first auditor action</li> </ul>

MNT 4.11.1	<ul style="list-style-type: none"> <li>Technical change: Rewording by using the words “procedures for controlling and documenting the calibration....”</li> <li>Editorial change: Rewording for corrections to grammar</li> </ul>
MNT Table 4.10	<ul style="list-style-type: none"> <li>Technical change: wording added to align grammar and language to MNT 4.11.1 regarding tooling and calibration</li> </ul>

Section 5 (CAB)	
Summary of Revisions	
Standards Eliminated	<ul style="list-style-type: none"> <li>None</li> </ul>
Standards Added	<ul style="list-style-type: none"> <li>One (1) CAB 1.10.1A</li> </ul>
Recommended Practices Eliminated	<ul style="list-style-type: none"> <li>One (1) CAB 1.10.1A upgraded to a standard</li> </ul>
Recommended Practices Added	<ul style="list-style-type: none"> <li>One (1): CAB 3.2.4A</li> </ul>
Revisions	
Area Changed	Description of Change(s)
Group Revisions (Changes that are applied multiple times throughout this section but are not shown individually below)	<ul style="list-style-type: none"> <li>Technical changes: revision/update of ISARPs that were changed in ORG due to the upgrade recommended practice(s) and the removal of the tools for auditing effectiveness</li> <li>Editorial changes: correction of grammatical discrepancies, minor typos; addition/deletion of commas, periods, hyphens, apostrophes, semicolons or spaces</li> </ul>
Applicability Box	<ul style="list-style-type: none"> <li>None</li> </ul>
General Guidance	<ul style="list-style-type: none"> <li>None</li> </ul>
CAB 1.5.3 guidance	<ul style="list-style-type: none"> <li>Technical change: guidance for the repeated ISARP reworded to align with ORG 2.5.1</li> </ul>
CAB 1.10.1A	<ul style="list-style-type: none"> <li>Technical change: New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1)</li> </ul>
CAB 1.10.1A guidance	<ul style="list-style-type: none"> <li>Editorial change: rewording to correct sentence construction and grammar.</li> </ul>
CAB 1.11.2	<ul style="list-style-type: none"> <li>Editorial change: <b>[Eff]</b> symbol deleted. bullet Technical change: Effectiveness Assessment tool deleted as it is no longer required</li> </ul>
CAB 3.1.4A	<ul style="list-style-type: none"> <li>Technical change: Rewording to incorporate the requirement of managing cabin crew fatigue related safety hazards by adding the words “while managing fatigue hazards using the SMS processes that are in place for managing safety hazards in general.....”</li> </ul>
CAB 3.1.7	<ul style="list-style-type: none"> <li>Technical change: Rewording to include a new sub-item (v) intended to enhance operator management of accumulated fatigue situations.</li> </ul>
CAB 3.1.4C	<ul style="list-style-type: none"> <li>Technical change: Deleted reference to ORG 1.1.10 SMS Umbrella ISARP.</li> </ul>

Section 6 (GRH)	
Summary of Revisions	
Standards Eliminated	<ul style="list-style-type: none"> <li>None</li> </ul>
Standards Added	<ul style="list-style-type: none"> <li>One (1) GRH 1.10.1A</li> </ul>
Recommended Practices Eliminated	<ul style="list-style-type: none"> <li>One (1) GRH 1.10.1A upgraded to a standard</li> </ul>
Recommended Practices Added	<ul style="list-style-type: none"> <li>One (1) GRH 3.1.1C</li> </ul>
Revisions	
Area Changed	Description of Change(s)
Group Revisions (Changes that are applied multiple times throughout this section but are not shown individually below)	<ul style="list-style-type: none"> <li>Technical changes: revision/update of ISARPs that were changed in ORG due to the upgrade recommended practice(s) and the removal of the tools for auditing effectiveness.</li> <li>Editorial changes: correction of grammatical Editorial changes: correction of grammatical discrepancies, minor typos; addition/deletion of commas, periods, hyphens, apostrophes, semicolons or spaces</li> </ul>
Applicability Box	<ul style="list-style-type: none"> <li>None</li> </ul>
General Guidance	<ul style="list-style-type: none"> <li>None</li> </ul>
GRH 1.5.3 Guidance	<ul style="list-style-type: none"> <li>Editorial change: grammatical correction to guidance material</li> </ul>
GRH Section 1.8	<ul style="list-style-type: none"> <li>Editorial change: Placeholder deleted to align with standards development principles.</li> </ul>
GRH 1.10.1A	<ul style="list-style-type: none"> <li>Technical change: New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1)</li> </ul>
GRH 1.10.1A guidance	<ul style="list-style-type: none"> <li>Editorial change: rewording to correct sentence construction and grammar.</li> </ul>
GRH 1.11.2	<ul style="list-style-type: none"> <li>Editorial change: <b>[Eff]</b> symbol deleted. bullet Technical change: Effectiveness Assessment tool deleted as it is no longer required under the Risk Based IOSA audit methodology and is replaced by Maturity Assessment for selected ISARPs</li> </ul>
GRH 3.1.1A	<ul style="list-style-type: none"> <li>Technical change: Rewording to delete Sub-item (i) (d) ....” In baggage claim areas”</li> </ul>
GRH 3.1.1C	<ul style="list-style-type: none"> <li>Technical change: New RP to incorporate the item removed from GRH 3.1.1A for the management of prohibited DG in baggage claim areas</li> </ul>
GRH 3.1.1C Guidance	<ul style="list-style-type: none"> <li>Technical change: New Guidance and new auditor actions incorporated to support the new recommended practice</li> </ul>
GRH 3.1.3	<ul style="list-style-type: none"> <li>Technical change: wording changed from “cargo” to “loads” for accuracy of sub-item (iii)</li> </ul>
GRH 3.1.3 Guidance	<ul style="list-style-type: none"> <li>Editorial change: correction to the RM reference to Mobility Aid.</li> </ul>
GRH 3.2.6A	<ul style="list-style-type: none"> <li>Technical changes: Rewording to remove the word “immediately” in sub-item (iii) to enhance accuracy..</li> </ul>
GRH 3.2.7	<ul style="list-style-type: none"> <li>Editorial changes: Sub-item (iv) revised for simplification of language for communication with flight crew for air start procedures with ASU in alignment with IGOM</li> </ul>
GRH 3.4.10	<ul style="list-style-type: none"> <li>Editorial change: Improved verbiage (added “transported as cargo” after the conditional statement).</li> </ul>
GRH 3.4.11	<ul style="list-style-type: none"> <li>Editorial change: Improved verbiage (added “transported as cargo” after the conditional statement).</li> </ul>

GRH 3.4.15	<ul style="list-style-type: none"> <li>Editorial change: Technical change: Improved verbiage by using the word “oversized” (after the conditional statement).</li> </ul>
GRH 3.4.15 Guidance	<ul style="list-style-type: none"> <li>Editorial change: Technical change: Improved verbiage by using the word “oversized” (after the conditional statement). To the guidance and second and third auditor actions. For consistency with the main provision</li> </ul>

Section 7 (CGO)	
Summary of Revisions	
Standards Eliminated	<ul style="list-style-type: none"> <li>None</li> </ul>
Standards Added	<ul style="list-style-type: none"> <li>One (1) CGO 1.10.1A</li> </ul>
Recommended Practices Eliminated	<ul style="list-style-type: none"> <li>One (1) CGO 1.10.1A upgraded to a standard</li> </ul>
Recommended Practices Added	<ul style="list-style-type: none"> <li>Four (4) CGO 2.2.4, 2.2.5, 3.3.5 and 3.6.1</li> </ul>
Revisions	
Area Changed	Description of Change(s)
Group Revisions (Changes that are applied multiple times throughout this section but are not shown individually below)	<ul style="list-style-type: none"> <li>Technical changes: revision/update of ISARPs that were changed in ORG due to the upgrade of recommended practice(s) and the removal of the tools for auditing effectiveness</li> <li>Editorial changes: correction of grammatical discrepancies, minor typos; addition/deletion of commas, periods, hyphens, apostrophes, semicolons or spaces</li> </ul>
Applicability Box	<ul style="list-style-type: none"> <li>Editorial change: explanatory reading to enhance understanding that, non-revenue cargo is addressed in the same way as revenue cargo for the purposes of acceptance, handling, and securing.</li> <li>Editorial change: Rewording to functions within the scope of cargo operations to include ULD handling. With explanatory examples</li> </ul>
General Guidance	<ul style="list-style-type: none"> <li>None</li> </ul>
CGO 1.1.1	<ul style="list-style-type: none"> <li>Technical change: wording revised by deleting “revenue” to encompass all cargo rather than only revenue cargo</li> </ul>
CGO 1.1.2	<ul style="list-style-type: none"> <li>Technical change: wording revised of the condition changed to encompass all cargo rather than only revenue cargo.</li> </ul>
CGO 1.2.1	<ul style="list-style-type: none"> <li>Technical change: wording revised by deleting “revenue” to encompass all cargo rather than only revenue cargo</li> </ul>
CGO 1.6.1	<ul style="list-style-type: none"> <li>Technical changes: wording revised/re-structured for consistency with Table 7.1 regarding acceptance, handling and securing of cargo</li> </ul>
CGO 1.6.1 guidance	<ul style="list-style-type: none"> <li>Editorial change: rewording of guidance and third auditor action for consistency with main provision and to confirm that the provision is equally applicable to an operator that transports non-revenue cargo</li> </ul>
CGO 1.6.2 guidance	<ul style="list-style-type: none"> <li>Editorial changes: wording in guidance to update all references for consistency with IRM, ICHM, LAR, PCR, TCR, ULDR and ULD</li> </ul>
CGO 1.6.3 auditor actions	<ul style="list-style-type: none"> <li>Editorial change: wording revised for first auditor action to include the words “as cargo”</li> </ul>
CGO 1.6.4	<ul style="list-style-type: none"> <li>Editorial change: wording revised in main provision (last word) and changed to “handled” for accuracy.</li> </ul>
CGO 1.6.4 guidance	<ul style="list-style-type: none"> <li>Editorial changes: explanatory wording revised to refer to the requirements of the applicable Weight and Balance Manual</li> </ul>

	<ul style="list-style-type: none"> <li>Auditor actions (first and last) reworded for wording consistency with main provision</li> </ul>
CGO 1.10.1A	<ul style="list-style-type: none"> <li>Technical change: New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1)</li> </ul>
CGO 1.10.1A guidance	<ul style="list-style-type: none"> <li>Editorial change: rewording to correct sentence construction and grammar</li> </ul>
CGO 1.1.12	<ul style="list-style-type: none"> <li>Editorial change: <b>[Eff]</b> symbol deleted.</li> <li>Technical change: Effectiveness Assessment tool deleted as it is no longer required</li> </ul>
CGO 1.11.2 Guidance	<ul style="list-style-type: none"> <li>Technical change: Rewording to enhance accuracy for first and fourth bullet points</li> </ul>
CGO 1.11.3 Guidance	<ul style="list-style-type: none"> <li>Editorial: wording revised for greater clarity.</li> </ul>
CGO 1.11.5	<ul style="list-style-type: none"> <li>Editorial: corrected grammatical error</li> </ul>
CGO 2.1.1	<ul style="list-style-type: none"> <li>Technical change: added reference to CGO 2.2.4 added and scope of training expanded to include ULD</li> </ul>
CGO 2.1.2 Guidance	<ul style="list-style-type: none"> <li>Technical changes: wording revised to address deletion of DGR Table 1.5A and to update links for job functions and CBTA for training requirements.</li> </ul>
CGO 2.2.1 Guidance	<ul style="list-style-type: none"> <li>Editorial change: wording revised to correct abbreviations and links to other source documents)</li> </ul>
CGO 2.2.2 Guidance	<ul style="list-style-type: none"> <li>Editorial change: wording revised to correct abbreviations and links to other source documents</li> </ul>
CGO 2.2.3	<ul style="list-style-type: none"> <li>Technical change: Rewording to correct terminology for consistency by using the words “ULD build-up)</li> </ul>
CGO 2.2.3 Auditor Actions	<ul style="list-style-type: none"> <li>Technical changes: wording to correct terminology to the first, third and last auditor actions by using the words “ULD build-up”</li> </ul>
CGO 2.2.3	<ul style="list-style-type: none"> <li>Editorial change: wording revised to correct abbreviations and use the words “ULD Build-up”</li> </ul>
CGO 2.2.4	<ul style="list-style-type: none"> <li>Technical changes: wording revised to address the training requirements for personnel assigned to handle ULDs, including personnel of service providers.</li> <li>Technical change: recurrent training at 24 months</li> <li>Technical change: New <b>Note</b> added to require that operators use their own safety risk assessment processes to decide on a longer or shorter recurrent training interval for specific functions.</li> </ul>
CGO 2.2.4	<ul style="list-style-type: none"> <li>Technical change: Added new (last) auditor action to Examine records of risk assessments if a period different from the provision is applied for recurrent training.</li> </ul>
CGO 2.2.4 Guidance	<ul style="list-style-type: none"> <li>Technical change: All guidance is newly incorporated to support the main provision.</li> </ul>
CGO 2.2.5	<ul style="list-style-type: none"> <li>New Recommended practice to require a process to ensure personnel assigned to operate equipment are trained and qualified to operate the equipment associated with their duties.</li> </ul>
CGO 3.1.1 Guidance	<ul style="list-style-type: none"> <li>Editorial change: explanatory wording to explain the typical characteristics of interline cargo.</li> </ul>
CGO 3.1.3	<ul style="list-style-type: none"> <li>Technical change: Rewording to include ULDs in the requirement for weighing using calibrated scales.</li> </ul>
CGO 3.1.3 Guidance	<ul style="list-style-type: none"> <li>Editorial Change: included reference to ICHM 9.4.6 bullet</li> </ul>
CGO 3.1.3 Auditor Actions	<ul style="list-style-type: none"> <li>Editorial Change: First Auditor Action revised to include ULDs</li> </ul>

CGO 3.1.4 guidance	<ul style="list-style-type: none"> <li>Editorial Change: Explanatory wording added for enhanced clarity bullet</li> </ul>
CGO 3.2.4	<ul style="list-style-type: none"> <li>Technical change: Added a new sub-item (iv) to require confirmation of the serviceability of ULDs</li> </ul>
CGO 3.2.5	<ul style="list-style-type: none"> <li>Technical change: Rewording to require ULDs containing dangerous goods, which require a hazard label, have a ULD tag for dangerous goods.</li> </ul>
CGO 3.2.5 Guidance	<ul style="list-style-type: none"> <li>Editorial change: added references for AHM 420 to address ULD tags for dangerous goods</li> </ul>
CGO 3.2.5 Auditor actions	<ul style="list-style-type: none"> <li>Technical change: First auditor action requires identification of ULD tag in accordance with applicable requirements.</li> </ul>
CGO 3.2.10	<ul style="list-style-type: none"> <li>Editorial change: Rewording to enhance clarity regarding separation/segregation of dangerous goods</li> </ul>
CGO 3.2.10 Guidance	<ul style="list-style-type: none"> <li>Editorial change: Rewording to enhance clarity regarding separation/segregation of dangerous goods</li> </ul>
CGO 3.2.5 Auditor Actions	<ul style="list-style-type: none"> <li>Editorial change: Rewording to enhance clarity regarding separation/segregation of dangerous goods to first auditor action.</li> </ul>
CGO 3.2.14	<ul style="list-style-type: none"> <li>Technical change: Rewording to include a new sub-item (x) to require procedures for information communication regarding ULD Identification Codes, if applicable.</li> </ul>
	<ul style="list-style-type: none"> <li>Editorial change: Rewording for sub-item (viii) to read "airport of unloading" to enhance clarity.</li> </ul>
3.3 Section Heading	<ul style="list-style-type: none"> <li>Technical change: Heading changed to read Live Animals, Perishables and Healthcare Shipments</li> </ul>
CGO 3.3.1	<ul style="list-style-type: none"> <li>Technical change: Rewording to include healthcare products in the condition of the ISARP,</li> </ul>
CGO 3.3.1 Guidance	<ul style="list-style-type: none"> <li>Technical change: Rewording to add operator handling responsibilities for Perishable/Healthcare, packaging and temperature control.</li> </ul>
CGO 3.3.1 Auditor Actions	<ul style="list-style-type: none"> <li>Editorial change: first Auditor action reworded to include identification of healthcare acceptance/handling procedures.</li> </ul>
CGO 3.3.5	<ul style="list-style-type: none"> <li>Technical Change: New recommended practice, associated guidance material and auditor actions to require procedures for acceptance and handling in accordance with Temperature Control Regulations (TCR) and regulations.</li> </ul>
CGO 3.4.1	<ul style="list-style-type: none"> <li>Technical change: Rewording to include human remains as special cargo.</li> </ul>
CGO 3.4.1 Guidance Material	<ul style="list-style-type: none"> <li>Technical Change: Reference made to IATA Compassionate Transportation Manual (CTM),</li> </ul>
	<ul style="list-style-type: none"> <li>Deleted obsolete guidance regarding over-sized cargo.</li> </ul>
CGO 3.5.1	<ul style="list-style-type: none"> <li>Technical Change to include serviceability checks of ULDs, reference to IATA Cargo Handling Manual and Weight and Balance Manual to ensure operating limitations are not exceeded</li> </ul>
CGO 3.5.1 Guidance	<ul style="list-style-type: none"> <li>Editorial change to include compliance requirements for Weight and Balance Manual</li> </ul>
CGO 3.5.1 Auditor Actions	<ul style="list-style-type: none"> <li>Technical change First and last auditor actions reworded to include WBM and ICHM</li> </ul>
CGO 3.5.2	<ul style="list-style-type: none"> <li>Technical change to require ULDs to meet safety requirements as specified in the OM and WBM</li> </ul>
CGO 3.5.2 Guidance	<ul style="list-style-type: none"> <li>Editorial Change: Reference made to ULDR and ICHM regarding the use of ULDs and ULD accessories</li> </ul>



CGO 3.5.3	<ul style="list-style-type: none"> <li>Technical Change: New recommended practice with associated guidance and auditor actions to require cargo terminals to be equipped with appropriate ULD storage facilities.</li> </ul>
Section 3.6	<ul style="list-style-type: none"> <li>Technical Change: New Section 3.6 titled “Special Loads”</li> </ul>
CGO 3.6.1	<ul style="list-style-type: none"> <li>Technical change: New recommended practice with associated guidance and auditor actions to require procedures to ensure that special loads are handled in accordance with standards in OM and WBM</li> <li>Technical change: Explanatory <b>Note</b> giving more references regarding handling and securing of special loads</li> </ul>
CGO Table 7.1	<ul style="list-style-type: none"> <li>Technical change:</li> <li>Rewording of sub-item (iii) to include Healthcare products and valuable cargo.</li> <li>subitem (iii) (g) amended to add Special Loads including offset/overhanging/over-sized/overweight/sharp or piercing/unusually shaped/concentrated/wheeled/tall rigid cargo and/or non-CLS restrained ULD (Floating Pallet)</li> </ul>

Section 8 (SEC)	
Summary of Revisions	
Standards Eliminated	<ul style="list-style-type: none"> <li>None</li> </ul>
Standards Added	<ul style="list-style-type: none"> <li>One (1) SEC 1.11.1A</li> </ul>
Recommended Practices Eliminated	<ul style="list-style-type: none"> <li>One (1) SEC 1.11.1(A) Upgraded to a standard</li> </ul>
Recommended Practices Added	<ul style="list-style-type: none"> <li>One (1) SEC 1.11.3</li> </ul>
Revisions	
Area Changed	Description of Change(s)
Group Revisions (Changes that are applied multiple times throughout this section but are not shown individually below.)	<ul style="list-style-type: none"> <li>Technical changes: revision/update of ISARPs that were changed in ORG due to the upgrade recommended practice(s) and the removal of the tools for auditing effectiveness.</li> <li>Editorial changes: correction of grammatical discrepancies, minor typos; addition/deletion of commas, periods, hyphens, apostrophes, semicolons or spaces</li> </ul>
Applicability box	<ul style="list-style-type: none"> <li>Technical Changes: Reference SEC 1.2.1 added</li> <li>Technical change: Explanatory note added; states “security provisions applicable to operators, and their contracted external service providers, are not limited to this Section 8 and the lists of interlinked ISARPs cross-referenced in different ISM sections are available in the Tables and Mandatory Observations of the IOSA Audit Handbook (IAH).</li> </ul>
General Guidance	<ul style="list-style-type: none"> <li>Technical change: Reference to the Mandatory Observation (MO16) checklists.</li> <li>Technical change: Reference to the IAH</li> </ul>
SEC 1.1.1	<ul style="list-style-type: none"> <li>Technical change: wording revised for Capitalization of SeMS</li> </ul>
SEC 1.1.1 Guidance	<ul style="list-style-type: none"> <li>Technical change: second bullet point under (“senior management and corporate commitment”) deleted the word “department”</li> <li>Editorial change: words “a manual or other” deleted and replaced by “an”</li> </ul>

	<ul style="list-style-type: none"> <li>• Technical change: “National” added to “Civil Aviation Security Program” (capitalized), the Acronym (NCASP) included and plural possibility of “state” included by addition of (s)</li> <li>• Technical change: Deleted the word “Manual” after AOSP</li> </ul>
SEC 1.1.3 Guidance	<ul style="list-style-type: none"> <li>• Technical change: Reference to ICAO Annex 17 (amendment 18, 2022) for the definition of Security Culture</li> <li>• Technical change: wording of second bullet point expanded by adding “and encouraging adoption by the Operator’s service providers”</li> <li>• Technical change: penultimate paragraph deleted the superfluous word “but”</li> </ul>
SEC 1.2.1 Guidance	<ul style="list-style-type: none"> <li>• Technical change: wording added to provide expanded explanatory information regarding the naming of the naming of the Operator’s security program</li> <li>• Technical change: explanatory wording added (1<sup>st</sup> sub-spec) that supplementary Station Procedures may take the form of “local” AOSP that should now be referred to as SSP.</li> <li>• Technical change: explanatory wording (4<sup>th</sup> sub-spec) relating to letters of acknowledgement, and approvals from state of operator/registry and required SSP.</li> <li>• Technical change: Wording added (final paragraph) to reference the ICAO Aviation Security Manual (Doc 8973) Chapter 15 (public abstract on: <a href="https://www.icao.int/Security/SFP/Pages/AOSP-and-SSP.aspx">https://www.icao.int/Security/SFP/Pages/AOSP-and-SSP.aspx</a>).</li> </ul>
SEC 1.3.1	<ul style="list-style-type: none"> <li>• Technical change: word “operational” added to (sub-item (ii))</li> </ul>
SEC 1.3.1 Guidance	<ul style="list-style-type: none"> <li>• Technical change: wording added “Operators should also consider applying SeMS as a criteria for outsourced security service providers (see SEC 1.11.3)”</li> </ul>
SEC 1.5.2	<ul style="list-style-type: none"> <li>• Editorial: correction of Typo (AOSP)</li> </ul>
SEC 1.6.4 Guidance	<ul style="list-style-type: none"> <li>• Technical change: wording added to include IRM reference for definitions of “Outsourcing” and “Operational Security Function”</li> <li>• Technical change: Reference to SEC 1.11.3 added</li> </ul>
SEC 1.11.1A	<ul style="list-style-type: none"> <li>• Technical change: New Standard (Upgraded from recommended practice) to specify process requirement for the selection of outsourced service providers (aligned with ORG 1.6.1).</li> <li>• Technical change: explanatory wording added to sub-item (ii) and include specific SeMS key elements.”</li> </ul>
SEC 1.11.1A Guidance	<ul style="list-style-type: none"> <li>• Technical change: added reference to new recommended practice SEC 1.11.3.</li> <li>• Additional Guidance can be found in Airport Handling Manual (AHM) 621 and 803, IATA SeMS Manual and ISAGO Standards Manual (GOSM).</li> <li>• Technical change: rewording to include reference to abbreviation of (SGHA) and Service Level Agreement (SLA)</li> <li>• Technical change: rewording specific references to IATA Airport Handling manual as (AHM) 810/811 and AHM 803)</li> </ul>
SEC 1.11.1B Guidance	<ul style="list-style-type: none"> <li>• Editorial change: Expanded reference to SGHA and SLA contained in AHM 810/811 and AHM 803</li> </ul>
SEC 1.11.2 Guidance	<ul style="list-style-type: none"> <li>• Technical change: wording added to provide information on the typical conformity levels of ISAGO providers and references SEC 1.11.3 criteria</li> </ul>



SEC 1.11.3	<ul style="list-style-type: none"> <li>Technical change: New recommended practice, Auditor Actions and Guidance to make provision for ensuring that security service providers have a security management system (SeMS) that includes specific key elements:</li> </ul>
SEC 1.1.4 Auditor Actions	<ul style="list-style-type: none"> <li>Editorial change wording revised (first AA) for consistency with revised wording in provision to specify the identification of operational security functions</li> </ul>
SEC 1.12.1 guidance	<ul style="list-style-type: none"> <li>Editorial change: sentence construction for enhanced clarity</li> </ul>
SEC 2.1.1	<ul style="list-style-type: none"> <li>Editorial change: rewording of sub-item (i) for accuracy</li> </ul>
SEC 2.1.1 guidance	<ul style="list-style-type: none"> <li>Technical change rewording to include reference to, SeMS elements contained in SEC 1.1.1 which can be included in the training and assessment of competencies.</li> </ul>
SEC 2.1.2 guidance	<ul style="list-style-type: none"> <li>Technical change: rewording to include the requirement for security service providers to be effective at all stations and to ensure that they have knowledge and understanding of relevant security requirements and how to apply them in operational functions.</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: rewording to include reference to, SeMS elements contained in SEC 1.11.3, which can be included in the training and assessment of competencies</li> </ul>
SEC 2.1.4	<ul style="list-style-type: none"> <li>Technical change: rewording for clarity to include the word “operational”</li> </ul>
SEC 2.1.4 guidance	<ul style="list-style-type: none"> <li>Technical change: rewording to include the words reference to SeMS elements contained in SEC 1.11.3, which can be included in the training and assessment of competencies</li> </ul>
SEC 2.1.6 guidance	<ul style="list-style-type: none"> <li>Editorial change: included the word “and” in third bullet point for clarity</li> </ul>
SEC 2.1.8	<ul style="list-style-type: none"> <li>Technical change: Rewording to require that security awareness training raises awareness of security threats and personnel contribute to prevention and reporting of security incidents</li> </ul>
SEC 2.1.8 auditor actions	<ul style="list-style-type: none"> <li>Editorial change: wording revised (second AA) for consistency with revised wording in provision to focus on awareness of security threats.</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: added new third AA to focus on training including procedures for reporting of security occurrences and security incidents</li> </ul>
SEC 2.1.8 guidance	<ul style="list-style-type: none"> <li>Technical change: Rewording to include a list of examples to show the possible content of security awareness training.</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: Explanatory wording as guidance for operators with multiple security awareness courses for specific functional areas.</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: references updated to include suggestions for more information</li> </ul>
SEC 3.1.1	<ul style="list-style-type: none"> <li>Technical change: Rewording to include requirements for a screening system to prevent unauthorized access and the introduction of unauthorized items in the security restricted area.</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: rewording sub-item (i) to include “screening”</li> </ul>
SEC 3.1.1 auditor actions	<ul style="list-style-type: none"> <li>Technical change: Auditor Action 1 and 2 rewording to include screening</li> </ul>
SEC 3.1.1 guidance	<ul style="list-style-type: none"> <li>Technical change: Rewording to add explanatory remarks relating to screening methods capable of detecting explosives</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: Reference to ICAO annex 17 added</li> </ul>

SEC 3.1.3	<ul style="list-style-type: none"> <li>Technical change Rewording to delete “and security screening measures as mandated by the state” regarding access control measures required of the operators</li> </ul>
SEC 3.1.3 guidance	<ul style="list-style-type: none"> <li>Technical change rewording for consistency with revised wording in main provision.</li> </ul>
SEC 3.4.1 guidance	<ul style="list-style-type: none"> <li>Technical change Rewording to change the word “required” to “recommended” regarding screening equipment</li> </ul>
SEC 3.4.3 guidance	<ul style="list-style-type: none"> <li>Technical change: deleted the word “sterile” and inserted new words “security restricted area” regarding transfer passengers</li> </ul>
SEC 3.5.1 guidance	<ul style="list-style-type: none"> <li>Editorial change: Rewording first bullet point to use the word “gender” for the identification of a deportee</li> </ul>
SEC 3.6.1 guidance	<ul style="list-style-type: none"> <li>Technical change: reference to GRH 3.7</li> </ul>
SEC 3.6.6 Auditor Actions	<ul style="list-style-type: none"> <li>Technical change: rewording second auditor action to remove “focus: process for ensuring passenger baggage reconciliation”</li> </ul>
SEC 3.6.6 guidance	<ul style="list-style-type: none"> <li>Technical change: rewording by adding “as accompanied or unaccompanied” related to screening of baggage.</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: rewording to add “on that flight by the operator”</li> </ul>
	<ul style="list-style-type: none"> <li>Technical change: added reference to the IATA Reference Manual (IRM) for the definition of Baggage Reconciliation</li> </ul>
SEC 3.7.1	<ul style="list-style-type: none"> <li>Editorial change: added the symbol for guidance material <b>(GM)</b></li> </ul>
SEC 3.7.1 guidance	<ul style="list-style-type: none"> <li>Technical change: rewording to add reference to CGO 3.7 and GRH 3.7.4</li> </ul>
SEC 3.8.1 guidance	<ul style="list-style-type: none"> <li>Technical change: deleted reference to the IATA Security Manual</li> </ul>

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## Introduction

### 1 Purpose

The IOSA Standards Manual (ISM) is published in order to provide the IOSA standards, recommended practices (ISARPs), associated guidance material and other supporting information necessary for an operator to successfully prepare for an audit.

The ISM is the sole source of assessment criteria to be used by auditors when conducting an audit against the ISARPs.

The ISM may also be used as a guide for any operator desiring to structure its operational management and control systems in conformity with the latest industry operational practices.

### 2 Structure

The ISM is organized as follows:

- [Section 1](#) → Organization and Management System (ORG);
- [Section 2](#) → Flight Operations (FLT);
- [Section 3](#) → Operational Control and Flight Dispatch (DSP);
- [Section 4](#) → Aircraft Engineering and Maintenance (MNT);
- [Section 5](#) → Cabin Operations (CAB);
- [Section 6](#) → Ground Handling Operations (GRH);
- [Section 7](#) → Cargo Operations (CGO);
- [Section 8](#) → Security Management (SEC).

Each section in this Manual is assigned an associated 3-letter identifier (in parentheses above). The reference number for every standard or recommended practice within a section includes the specific 3-letter identifier for that section (e.g. [ORG 1.1.1](#)).

### 3 Sources for IOSA Standards and Recommended Practices (ISARPs)

The safety and security requirements published in the Annexes to the Convention on International Civil Aviation (ICAO Annexes) are the primary source for specifications contained in the ISARPs. Safety and security requirements in the ICAO Annexes used as the basis for ISARPs are those that are applicable either directly or indirectly to the air operator.

### 4 Applicability of ISARPs

#### **Applicability Guidance**

To provide guidance to operators, an Applicability box is found at the beginning of each section of this manual. Within the box is a general description of the applicability of the ISARPs contained in the section.

The applicability of individual standards or recommended practices is always determined by the auditor. As a means to assist with the interpretation of individual application, many ISARPs begin with a *conditional phrase* as described below.

#### **Systemic Applicability**

When making a determination as to the applicability of individual ISARPs, it is important to take into account operations (relevant to the individual standard or recommended practice) that are conducted within stations and locations throughout the operator's network.

### **Aircraft Applicability**

**Note:** The term aircraft as used throughout the ISM refers to fixed wing aircraft (airplane, aeroplane).

The ISARPs as published in this version of the ISM are applicable only for the audit of an operator that *operates* a minimum of one (i.e. one or more) multi-engine, two-pilot aircraft with a maximum certificated takeoff mass in excess of 5,700 kg (12,566 lb) to conduct:

- Passenger flights with or without cabin crew.
- Cargo flights with or without the carriage of passengers or supernumeraries.

ISARPs may not be applied or used for the Audit of an operator that **either**:

- Does not *operate* a minimum of one aircraft as specified above, **or**
- Has *all* aircraft operations conducted by another operator.

ISARPs may not be applied or used for the Audit of operations that are conducted with:

- Aircraft that have a maximum certificated takeoff mass of 5,700 kg (12,566 lb) or less;
- Single engine aircraft;
- Piston engine aircraft;
- Single pilot aircraft;
- Helicopters;
- Seaplanes.

During an audit, ISARPs are applied only to those aircraft that are of the type authorized in the Air Operator Certificate (AOC) and used in commercial passenger and/or cargo operations. Certain ISARPs are also applicable to non-commercial operations, and such application is indicated in a note that is part of the standard or recommended practice.

Other owned or leased aircraft that are *not* of the type authorized in the AOC and/or not used in commercial air transport operations will not be evaluated during an audit. However, the existence of such aircraft will be referenced with an explanation in the IOSA Audit Report (IAR).

### **Systems and Equipment Applicability**

Aircraft that meet the above-specified aircraft applicability criteria are assessed for conformity with the applicable aircraft and cabin systems and equipment specifications contained in ISM Section 4 (MNT), [Table 4.11](#) to [Table 4.14](#).

## **5 Explanation of ISARPs**

ISARPs contained in this manual have been developed for use under the IOSA program and contain the operational criteria upon which the audits are based. ISARPs are *not* regulations.

### **ISARPs Identifiers**

All ISM provisions (i.e. the ISARPs) are preceded by an identifier that consists of the three-letter section abbreviation and a string of three numbers separated by two decimal points (e.g. [ORG 1.1.1](#)).

Stabilization of the ISARPs identifiers is an important goal, primarily for facilitating use of the ISARPs by operators, auditors and others, but also for the purpose of ensuring an accurate statistical basis. Therefore, when revising the ISM, every effort is made to minimize any re-numbering of the ISARPs.

In certain instances, new provisions must be inserted into an existing series of ISARPs. Normally this is done when it is important that the new provision has a logical locational relationship with another existing provision. When this occurs, an additional upper-case letter is attached to the identifier of the applicable provisions as the means of avoiding the re-numbering of other ISARPs that follow in the series.

For example, when a new FLT provision was developed to address AQP/ATQP, its logical location was immediately following the existing FLT 2.1.1, which contains the core flight crew training program specifications. The new provision was inserted immediately under FLT 2.1.1, and the two provisions became [FLT 2.1.1A](#) and [FLT 2.1.1B](#). The addition of upper-case letters to the identifiers of those two provisions precluded the need to renumber all of the other ISARPs that follow in that series.

### Standards

**IOSA Standards** are specified systems, policies, programs, processes, procedures, plans, sets of measures, facilities, components, types of equipment or any other aspect of operations under the scope of IOSA that have been determined to be an operational necessity, and with which an operator will be expected to be in conformity at the conclusion of an audit.

Standards always contain the word “shall” (e.g. “The Operator shall have a process...”) in order to denote that conformance by an operator being audited is a requirement for IOSA registration.

During an audit, determination of nonconformity with specifications contained in an IOSA Standard results in a Finding, which in turn results in the generation of a Corrective Action Report (CAR).

To close a Finding, an operator will develop a Corrective Action Plan (CAP), and then implement corrective action in accordance with the CAP.

### Recommended Practices

**IOSA Recommended Practices** are specified systems, policies, programs, processes, procedures, plans, sets of measures, facilities, components, types of equipment or any other aspects of operations under the audit scope of IOSA that have been determined to be operationally desirable, but conformance is optional by an operator. Recommended Practices always contain the italicized word “*should*” (e.g. “The Operator *should* have a policy...”) to denote conformance is optional.

During an audit, a determination of nonconformity with specifications contained in an IOSA Recommended Practice results in an Observation, which in turn results in the generation of a CAR.

An operator is not obliged to close an observation with corrective action but, as a minimum, must provide the root cause analysis (RCA) portion of the CAP. However, if an operator chooses to close an Observation, it will require subsequent implementation of corrective action in the same manner as is required to close a Finding.

### Conditional Phrase

Certain provisions (i.e. standards or recommended practices, or sub-specifications within certain provisions), begin with a conditional phrase. The conditional phrase states the conditions (one or more) that serve to define the applicability of the provision or sub-specification to the individual operator being audited. A conditional phrase begins with the words “If the Operator...”

When assessing an operator against a provision or sub-specification that begins with a conditional phrase, the Auditor will first determine if an operator meets the condition(s) stated in the conditional phrase. If the operator meets the stated condition(s), the provision or sub-specification is applicable to the operator and must be assessed for conformance. If the operator does not meet the condition(s), the provision or sub-specification is not applicable to that operator, and such non-applicability will then be recorded as N/A.

### Parallel Conformity Option (PCO)

A Parallel Conformity Option (PCO) may be included in a limited number of provisions in this ISM. A PCO provides an optional means for an operator to be in conformity with an IOSA provision that contains a basic operational specification (typically derived from ICAO standards), which, due to technical, logistical regulatory or other relevant factors, cannot be implemented by a large segment of the industry.

Where a PCO is included in an IOSA provision, it will be clearly identified by a **[PCO]** symbol and described in an informational note (see Notes and Symbols below). If the PCO has an expiration date, the note will also include the expiration date.

Within a provision, the basic operational specification(s) will always be stated first and the identifiable PCO specification(s) will immediately follow thereafter.

Each PCO is subject to approval under the IOSA Standards Change Management Process. If a PCO includes an expiration date, such date will be reviewed on a regular basis to determine if an extension is required. Such review will include an investigation of industry capability to meet the basic operational specification. At the point it can be determined the industry will have the capability to meet the basic operational specification, a PCO will be allowed to expire.

### Notes, Tables and Symbols

An **italicized Note** within a provision contains information relevant to the specification(s) in the provision and is an integral part of the provision.

A **Conformance Applicability (CA) Table** within a provision indicates how factors or aspects relevant to the specifications in the provision must be addressed or satisfied by an operator to be in conformity with the provision. The CA table is an integral part of the provision.

An **[SMS]** symbol in bold text following the last sentence of an IOSA provision indicates the provision specifies one or more of the elements of a safety management system (SMS). (SMS is addressed in [subsection 8](#) below.)

A **[PCO]** symbol in bold text following a sub-specification within or the last sentence of an IOSA provision identifies a parallel conformity option (PCO).

A **(GM)** symbol in bold text following the last sentence of an IOSA provision indicates the existence of associated guidance material. (Guidance Material is addressed in [subsection 6](#) below.)

△ An **[MA]** symbol in bold following the last sentence of an IOSA provision indicates that the provision is identified as being part of the Risk-based IOSA Maturity Assessment and will be subject to the related audit methodology for such provisions.

A ► symbol at the end of an individual standard or recommended practice in [Section 1 \(ORG\)](#) indicates the specific provision is repeated almost verbatim in one or more of the other seven sections of the ISM.

A ◀ symbol at the end of a provision in [Sections 2–8](#) indicates the specific provision is also contained in [Section 1 \(ORG\)](#) and has been repeated almost verbatim.

A ▲ symbol is the identifier for a paragraph that immediately follows a provision and designates the provision as eligible for the application of Active Implementation. (Active Implementation is addressed in [subsection 7](#) below.)

### **Special Review Suspension**

IATA, upon request from an appropriate industry source, may subject the technical specifications within an IOSA standard to a special review in accordance with the IOSA Standards Special Review Process. Such process is defined in Section 1 of the IOSA Program Manual (IPM).

When a special review is conducted, the IOSA standard or certain sub-specifications within the IOSA standard are put under suspension until the special review has been completed.

When a new edition of the ISM is published while a special review is in progress, the suspended IOSA standard or sub-specification(s) within the IOSA standard will be identified with either of the following, as appropriate:

- ***(This standard is currently suspended in accordance with the IOSA Standards Special Review Process),*** or
- ***(This sub-specification is currently suspended in accordance with the IOSA Standards Special Review Process).***

## **6 Guidance Material**

Guidance material is informational in nature and supplements or clarifies the meaning or intent of certain ISARPs. ISARPs that are self-explanatory do not have associated guidance material.

Guidance material is designed to ensure a common interpretation of specifications in ISARPs and provide additional detail that assists an operator to understand what is required in order to achieve conformity. Where applicable, guidance material also presents examples of acceptable alternative means of achieving conformity.

Guidance material associated with an individual standard or recommended practice is co-located with the relevant provision and is preceded by the bold sub-heading **Guidance**.

Additionally, some guidance material relates to an entire ISM section or to a specific grouping of provisions within a section. Such guidance stands alone in an appropriate location and is preceded by the bold heading **General Guidance**.

Audit specifications are contained only in the ISARPs, and never in the guidance material.



## 7 Operational Audit

During an audit, an operator is assessed against the ISARPs contained in this manual. To determine conformity with any standard or recommended practice, an auditor will gather evidence to assess the degree to which specifications are *documented* and *implemented* by the operator. In making such an assessment, the following information is applicable.

### **Documented**

*Documented* shall mean the specifications in the ISARPs are published and accurately represented by an operator in a controlled document. A controlled document is subject to processes that provide for positive control of content, revision, publication, distribution, availability and retention.

Documentation is necessary for an operator to ensure systems, programs, policies, processes, procedures and plans are implemented in a standardized manner, and to further ensure such standardized implementation is sustained on an on-going basis. Documentation provides the standards that govern the way personnel perform tasks within the management system and in operations. Such documented standards are necessary for an operator to:

- Provide continuity in the flow of information to personnel;
- Ensure personnel are properly trained;
- Conduct evaluations (e.g. audits, inspections, performance assessments).

### **Implemented**

*Implemented* shall mean the specification(s) in the ISARPs are established, activated, integrated, incorporated, deployed, installed, maintained and/or made available, as part of the operational system, and is (are) monitored and evaluated, as necessary, to ensure the desired outcome is being achieved.

The continuity of implementation is directly linked to documentation. To ensure standardization within the management system and in the conduct of operations, an operator must ensure specified systems, programs, policies, processes, procedures and plans are implemented as published in its controlled documents.

The requirement for specifications to be documented and implemented by an operator is inherent in ISARPs unless indicated otherwise.

### **Mandatory Observations**

- △ Mandatory Observations are conducted during an Audit as a means of collecting evidence that may, or may not, complement factual evidence that has already been (or will be) collected during the course of the Audit. These observations are normally conducted using checklists supplied by IATA, which are attached to the ISM as an Appendix. The applicability and use of the MO checklists is described in the IPM and the IAH.

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### **Inactive Approved Operations**

It is not unusual for an operator to elect not to conduct certain types of operations for which it has regulatory approval (e.g. transport of dangerous goods). In such cases, IOSA provisions with specifications that address such inactive operations would not be applicable to the operator during an Audit *if it is stated clearly in a controlled document (e.g. Operations Manual) that the specified operations are not conducted by the operator.*

### **Outsourced Operational Functions**

Where an operator has chosen to outsource operational functions specified in IOSA provisions to external service providers, conformity with those provisions will be based on evidence provided by the operator that demonstrates acceptable processes are in place (i.e. processes that are documented and implemented) for monitoring such external service providers to ensure fulfillment of applicable operator and regulatory requirements affecting the safety and security of operations. Auditing is recommended as an effective method for an operator to monitor external service providers.



**Active Implementation (AI)**

Certain ISARPs may be designated as eligible for the application of Active Implementation (AI), which is a concept that permits an operator to be in conformity with a standard based on a demonstration of active and real progress toward completion of an acceptable Implementation Action Plan (IAP). Provisions eligible for AI are identified by a ▲ symbol (see **Notes and Symbols** above).

An acceptable IAP defines and maps out the satisfaction of all requirements for an operator to achieve conformity with the designated IOSA Standard. As a minimum, an acceptable IAP shall specify:

- A detailed schedule of all work or activities necessary to complete the IAP;
- The equipment, components, material or other physical resources necessary to complete the IAP;
- A series of milestone dates against which progress toward completion of the plan can be measured;
- A date when the plan is projected to be completed.

Designation of any IOSA Standard for the application of AI will always be predicated on an up-front risk analysis that indicates application of AI would not pose an unacceptable safety risk. Additionally, such designation may include prerequisite conditions that must be satisfied by an operator in order to be eligible for AI.

An IOSA Standard that has been designated for application of AI will be clearly identified in this manual, along with prerequisite conditions, if any.

To conform to a standard based on AI, an operator must be able to provide evidence that execution of an acceptable IAP is underway and material or physical progress toward completion of the plan is consistent with the planned schedule, as measured against published milestones. If applicable, an operator must also demonstrate satisfaction of any associated prerequisite conditions.

An operator that provides only an IAP without other demonstrable evidence of having materially or physically begun execution of the plan does not meet the criteria for conformance based on AI.

☐ **Maturity Assessment**

The maturity model is intended to determine the degree to which an operator's safety relevant systems and programs are robust, suitable, and effective. The maturity assessment is a shift from the legacy compliance assessment which determines compliance with the standards but does not verify how advanced an operator is in implementing them.

An important aspect of the newly instituted Risk Based IOSA is the Maturity Assessment. Tool which is used for applicable ISARPs. To assess Desired Outcome, Suitability Criteria, and criteria for Maturity Levels. Current levels, beyond conformity are Established, Mature, and Leading.

Maturity Assessment standards and recommended practices are identified by a bold **[MA]** symbol immediately following any other symbols that are required following the last sentence of the provision, and preceding the final symbol of guidance material **(GM)**.

☐ **Risk Based Audit**

An audit methodology where the audit planning is driven by the combination of risk profile and safety performance; and execution focuses on the management of risk, in addition to ensuring conformity for individual operator audit scope.

## 8 Safety Management System (SMS)

The components and elements of an SMS for air operators are published in the ICAO Framework for Safety Management Systems (SMS) as published in ICAO in Annex 19. Guidance supporting the Framework may be found in the ICAO Safety Management Manual (SMM), Doc 9859. All SMS components and elements contained in the ICAO Framework are addressed in the ISARPs.

Specific SMS requirements for an operator will always be mandated by the State in accordance with its individual State Safety Plan (SSP).

SMS standards and recommended practices are identified by a bold **[SMS]** symbol immediately following the last sentence of the provision. An operator that is audited and found to be in conformity with all *standards* (not recommended practices) identified by the **[SMS]** symbol is considered to have a *baseline SMS* in place.

Such baseline SMS might not meet the SMS requirements of all states because certain states, in accordance with their individual SSP, could add requirements above those contained in the ICAO framework. Additionally, some states might mandate operators to implement SMS using a multi-phase approach. In either case, having the basic SMS elements implemented in accordance with the IOSA standards should facilitate compliance with individual state SMS requirements.

**Note:** *The term safety as used in the ISM includes the management of both safety and/or security risks that have the potential to affect aircraft operations.*

## 9 IOSA Documentation System

The ISM is used in association with the following related manuals:

- IOSA Program Manual (IPM);
- IATA Reference Manual for Audit Programs (IRM);
- IOSA Audit Handbook (IAH).

The IPM, ISM, IRM and IAH comprise the IOSA documentation system.

## 10 English Language

English is the official language of the IOSA Program; documents comprising the IOSA Documentation System are written in International English\* in accordance with IATA policy.

The IPM requires auditors to ensure the English language version of this ISM and/or IOSA Checklists is always used as the basis for a final determination of conformity or nonconformity with ISARPs during the conduct of an audit. Versions of the ISM or IOSA Checklists that have been translated into another language are subject to misinterpretation; therefore, any translated IOSA document is considered an unofficial reference.

\* Refer to the IRM for the definition of *International English*.

\* The official reference for International English in accordance with IATA policy is the online Merriam-Webster Dictionary (<http://www.merriam-webster.com>).

## 11 Manual Revisions

Revisions to the ISM are developed and issued in accordance with the IOSA Standards Change Management process, which is published in the IOSA Program Manual (IPM).

The ISM is normally revised annually. In accordance with IATA policy, a revision to the ISM will always result in a new *edition* of the ISM.

The time period between the issuance of a new edition of the ISM and the effective date of such new edition is typically eight full months.

Should critical issues arise that affect the content of the ISM, a revision to the current edition of the ISM will be drafted.

## 12 Modification Status

All changes in this document are listed in the revision highlights table. For easier orientation, the following symbols identify any changes made within each section:

- Addition of a new item.
- △ Change to an item.
- ⊗ Deletion of an item.

## 13 Conflicting Information

### ***IOSA Documentation System***

Manuals within the IOSA documentation system are not revised concurrently, thus creating the potential for conflicting information in different IOSA manuals. If there are inconsistencies between the IOSA documentation, namely the ISM, IPM and IAH, IATA should be contacted for clarification and correction.

## 14 Definitions and Abbreviations

The IATA Reference Manual for Audit Programs (IRM) contains the Glossary of Terms and the List of Abbreviations that are associated with the IOSA program.

## 15 IOSA Documents and Forms

IOSA documents and forms that are referenced in this manual are available for download on the IOSA website (<http://www.iata.org/iosa>).

## 16 Authority

The IOSA program operates under the authority of IATA, as directed by the Director General.

## Section 1 — Organization and Management System (ORG)

### Applicability

[Section 1](#) addresses the organization and management system of an operator for the purpose of ensuring the safety and security of aircraft operations.

Individual ORG provisions or sub-specifications within an ORG provision that:

- Do not begin with a conditional phrase are applicable to all operators unless determined otherwise by the Auditor.
- Begin with a conditional phrase (“If the Operator...”) are applicable if the operator meets the condition(s) stated in the phrase.

Many ORG provisions are repeated in one or more other sections of the ISM (as indicated by the ► symbol). Refer to the IOSA Audit Handbook for information relevant to the proper internal auditing of repeated ORG ISARPs.

[ORG 2.1.4](#) in this section is applicable only to an operator that is currently on the IOSA Registry and is being audited for the purpose of registration renewal.

### General Guidance

Definitions of technical terms used in this ISM [Section 1](#), as well as the meaning of abbreviations and acronyms are found in the IATA Reference Manual for Audit Programs (IRM).

## 1 Management and Control

### 1.1 Management System Overview

#### ORG 1.1.1

The Operator shall have a management system that has continuity throughout the organization and ensures control of operations and management of safety and security outcomes. **[MA] (GM) ►**

#### Auditor Actions

- ☐ **Identified/Assessed** organizational management system structure.
- ☐ **Assessed** status of conformity with all other ORG management system ISARPs.
- ☐ **Coordinated** to verify status of conformity with management system ISARPs in all operational areas.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Operations, Operator, Organogram, Safety (Operational), Security (Aviation) and State.

A management system is documented in controlled company media at both the corporate and operational levels. Manuals or controlled electronic media are acceptable means of documenting the management system.

Documentation provides a comprehensive description of the scope, structure and functionality of the management system and depicts lines of accountability throughout the organization, as well as authorities, duties, responsibilities and the interrelation of functions and activities within the system for ensuring safe and secure operations.

Acceptable means of documentation include, but are not limited to, organograms (organization charts), job descriptions and other descriptive written material that define and clearly delineate the management system.

Documentation also reflects a functional continuity within the management system that ensures the entire organization works as a system and not as a group of independent or fragmented units (i.e., silo effect).

An effective management system is fully implemented and functional with a clear consistency and unity of purpose between corporate management and management in the operational areas.

The management system ensures compliance with all applicable standards and regulatory requirements. In addition to internal standards and regulations of the State, an operator may also be required to comply with authorities that have jurisdiction over operations that are conducted over the high seas or within a foreign country.

#### ORG 1.1.2

The Operator shall identify one senior management official as the accountable executive (AE) who is accountable for performance of the management system as specified in [ORG 1.1.1](#) and:

- (i) Irrespective of other functions, is accountable on behalf of the Operator for the implementation and maintenance of the safety management system (SMS) throughout the organization;
- (ii) Has the authority to ensure the planning and allocation of resources necessary to manage safety and security risks to aircraft operations;
- (iii) Has overall accountability for ensuring operations are conducted in accordance with conditions and restrictions of the Air Operator Certificate (AOC), and in compliance with applicable regulations and standards of the Operator. **[SMS] (GM)**

#### Auditor Actions

- ☐ **Identified** senior management official designated as the AE for the conduct of operations.
- ☐ **Examined** management system structure and organizational lines of accountability.
- ☐ **Examined** job description of designated AE (focus: accountability/responsibilities are as specified in the standard).
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Accountability, Accountable Executive (AE), Air Operator Certificate (AOC), Authority, Aircraft Operations, Responsibility, Operations Manual (OM), Safety Management System (SMS), Safety Risk Management and Senior Management.

The requirement for an AE is an element of the Safety Policy and Objectives component of the SMS framework.

The designation of an AE means the accountability for operational quality, safety and security performance is placed at a level in the organization having the authority to take action to ensure the management system is effective. Therefore, the AE is typically the chief executive officer (CEO), although, depending on the type and structure of the organization, it could be a different senior official (e.g. chairperson/member of the board of directors, company owner).

The AE has the authority, which includes financial control, to make policy decisions, provide adequate human and physical resources, resolve operational quality, safety and security issues and, in general, ensure necessary system components are in place and functioning properly.

In terms of resources, the AE would have the overall responsibility for ensuring, not only adequate numbers of personnel, but also that positions within the SMS are filled by personnel in accordance with [ORG 1.5.3](#). Additionally, the AE would be responsible for ensuring the SMS is provided with adequate facilities, workspace equipment and supporting services as specified in [ORG 1.5.2](#).

In an SMS, the AE would typically have:

- Ultimate responsibility and accountability for the safety of the entire operation together with the implementation and maintenance of the SMS;
- Responsibility for ensuring the SMS is properly implemented in all areas of the organization and performing in accordance with specified requirements.

The AE also is responsible for ensuring the organization is in compliance with requirements of applicable authorities (i.e. regulations), as well as its own policies and procedures, which may exceed existing regulations or address areas that are not regulated (e.g. ground handling operations). An operator's policies and procedures are typically published in its Operations Manual (OM).

To ensure that the operator continues to meet applicable requirements, the AE might designate a manager with the responsibility for ensuring activities of the operator are monitored for compliance with the applicable regulatory requirements, as well as any additional requirements as established by the operator, and that these activities are being carried out properly under the supervision of the head of relevant functional areas.

Expanded guidance may be found in the ICAO SMM, Document 9859.

### ORG 1.1.3

If required by the State of the Operator (hereinafter, the State), the Operator shall have post holders within the management system that are acceptable to the Authority and have the responsibility for ensuring, in their respective defined operational areas:

- (i) The management of safety and security risks to aircraft operations;
- (ii) Operations are conducted in accordance with conditions and restrictions of the AOC, and in compliance with applicable regulations and standards of the Operator. **(GM) ►**

#### Auditor Actions

- ☐ **Identified** post holders accountable for the conduct of operations.
- ☐ **Examined** management system structure and organizational lines of accountability.
- ☐ **Examined** job descriptions of all post holders throughout the organization (focus: accountability/responsibilities are as specified in the standard).
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Post Holder.

Managers in such positions might be referred to as post holders, directors or another title as specified by each State.

### ORG 1.1.4

The Operator shall designate a manager who is responsible for the implementation, maintenance and day-to-day administration of the SMS throughout the organization on behalf of the AE and senior management. **[SMS] (GM)**

#### Auditor Actions

- ☐ **Identified** designated manager for day-to-day administration and oversight of the SMS.
- ☐ **Examined** SMS organizational structure.
- ☐ **Examined** job description of SMS manager (focus: assigned responsibility for organizational implementation of SMS).
- ☐ **Interviewed** SMS manager and/or designated representative.
- ☐ **Other Actions** (Specify)

#### Guidance

The requirement for a manager that focuses on the administration and oversight of the SMS on behalf of the AE is an element of the Safety Policy and Objectives component of the SMS framework.

The individual assigned responsibility for organizational implementation of an SMS is ideally a management official that reports to the AE. Also, depending on the size, structure and scope of an operator's organization, as well as the complexity of its operations, such individual may be assigned functions in addition to those associated with the SMS manager position provided those functions do not result in a conflict of interest.

The title assigned to the designated manager will vary for each organization. Regardless of title, the manager is the designated organizational focal point for the day-to-day development, administration and maintenance of the SMS (i.e. functions as the SMS *champion*). It is important that such manager has the necessary degree of authority when coordinating and addressing safety matters throughout the organization.

Whereas the designated manager has responsibility for day-to-day oversight of the SMS, overall accountability for organizational safety rests with the AE. Likewise, post holders (refer to [ORG 1.1.3](#)) or operational managers always retain the responsibility (and thus are accountable) for ensuring safety in their respective areas of operations.

**Note:** Depending on the size of an operator's organization and the complexity of its operations, the responsibilities for implementation and maintenance of the SMS (i.e. fulfillment of the SMS manager role) may be assigned to one or more persons.

Expanded guidance may be found in the ICAO SMM, Document 9859.

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## 1.2 Management Commitment

### ORG 1.2.1

The Operator shall have a corporate safety policy that reflects the organizational commitment to safety, including the promotion of a positive safety culture. Such policy shall be communicated throughout the organization and include the following:

- (i) A statement about the provision of the necessary resources for the implementation of the safety policy;
- (ii) A commitment to the continual improvement of the organization and the management system;
- (iii) A commitment to a periodic review of the policy to ensure its continued relevance to the organization. **[SMS] [MA] (GM)**

△

### Auditor Actions

- ☐ **Identified/Assessed** corporate safety policy (focus: organizational commitment to safety/provision of necessary resources).
- ☐ **Interviewed** AE, SMS manager and/or designated management representative.
- ☐ **Examined** examples of corporate communication: (focus: safety policy communicated throughout organization).
- ☐ **Coordinated** to verify communication of safety policy in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Quality Management System (QMS).

The requirement for an operator to have a defined safety policy is an element of the Safety Policy and Objectives component of the SMS framework.

The policy of an operator reflects the commitment of senior management to ensuring continual measurement and evaluation as well as the implementation of changes that improve the management system and the culture. Ideas for improvement may come from internal and external sources. Therefore, the organization would be constantly monitoring all sources and willing to make changes as necessary to keep the management system refreshed and strongly focused on improving operational quality, safety and security performance.

The safety policy typically also reflects the commitment of senior management to ensure:

- Compliance with applicable regulations and standards of the Operator;
- The management of safety and security risks to aircraft operations;
- The promotion of safety and security awareness;
- Continual improvement of operational performance;



- Regular review of safety performance indicators by senior management;
- Regular analysis of malfunctions or undesirable operational results;
- Follow-up of corrective actions and their effectiveness in improving operational performance.

An SMS, as well as a Quality Management System (QMS) and Security Management System (SeMS), are integrated components of an operator's overall management system and would typically be subjected to protocols for continual improvement in accordance with the operator's policy.

The corporate safety policy may be documented in the OM or other controlled document. To enhance effectiveness, the policy is communicated and made visible throughout the organization through the dissemination of communiqués, posters, banners and other types of media in a form and language that can be easily understood. To ensure continuing relevance, the corporate policy is typically reviewed for possible update a minimum of every two years.

Consistent with the structure and complexity of the operator's organization, the corporate safety policy may be issued as a stand-alone policy or combined with the safety reporting policy specified in [ORG 1.2.2](#).

Expanded guidance may be found in the ICAO SMM, Document 9859.

## ORG 1.2.2

The Operator shall have a corporate safety reporting policy that encourages personnel to report hazards to aircraft operations and, in addition, defines the Operator's policy regarding disciplinary action, to include:

- (i) Types of operational behaviors that are unacceptable;
- (ii) Conditions under which disciplinary action would not apply **[SMS] [MA] (GM)**

### Auditor Actions

- ☐ **Identified/Assessed** corporate safety reporting policy (focus: personnel urged to report operational hazards; definition of disciplinary policy/potential disciplinary actions).
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Coordinated** to verify implementation of safety reporting in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Just Culture.

The requirement for an operator to have a safety reporting policy is an element of the Safety Policy and Objectives component of the SMS framework.

Safety reporting is a key aspect of SMS hazard identification in the management of risk.

Such a policy is typically documented in operations manuals or other controlled documents.

Consistent with the structure and complexity of the operator's organization, the safety reporting policy may be issued as a stand-alone policy or combined with the safety policy that is specified in [ORG 1.2.1](#).

A safety reporting policy encourages and perhaps even provides incentive for individuals to report hazards and operational deficiencies to management. It also assures personnel that their candid input is highly desired and vital to safe and secure operations.

It is important that the operator provides appropriate protections to encourage personnel to report what they see or experience. For example, enforcement action may be waived for reports of errors or, under certain circumstances, even rule breaking. It should be clearly stated that reported information will be used solely to support the enhancement of safety. The intent is to promote an effective reporting culture and proactive identification of potential safety deficiencies.

An effective reporting culture exists when personnel have confidence that their reports are used to improve operational safety by learning from mistakes and system flaws, and thus improve the safety of operations. To that end, an operator's safety reporting policy would typically incorporate the principles of Just Culture.



The safety reporting policy is typically reviewed periodically to ensure continuing relevance to the organization.

Refer to [ORG 3.1.2](#) and [3.1.3](#), both of which address operational safety reporting.

## ORG 1.2.3

The Operator shall have a policy that informs operational personnel throughout the organization of their responsibility to comply with the applicable laws, regulations and procedures in all locations where operations are conducted.

### Auditor Actions

- ☐ **Identified/Assessed** corporate compliance policy (focus: requirement for organizational compliance with applicable laws/regulations/procedures by operational personnel).
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Coordinated** to verify implementation of compliance policy in all operational areas.
- ☐ **Other Actions** (Specify)

## 1.3 Roles and Responsibilities

### ORG 1.3.1

The Operator shall ensure the management system defines the safety accountability, authorities and responsibilities of management and non-management personnel throughout the organization, and specifies:

- (i) The levels of management with the authority to make decisions regarding risk tolerability with respect to the safety and/or security of aircraft operations;
- (ii) Responsibilities for ensuring operations are conducted in accordance with applicable regulations and standards of the Operator;
- (iii) Lines of safety accountability throughout the organization, including direct accountability for safety and/or security on the part of senior management. **[SMS] [MA] (GM) ►**

**Note:** *Conformity with this ORG provision is possible only when the Operator is in conformity with all repeats of this provision in other ISM sections.*

### Auditor Actions

- ☐ **Identified/Assessed** defined safety accountability/authorities/responsibilities for management/non-management personnel (focus: definitions apply to personnel throughout the organization).
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Coordinated** to verify defined accountability/authorities/responsibilities in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of IOSA Audit Handbook (IAH) and Risk Tolerability.

The definition of authorities and responsibilities of management and non-management personnel is an element of the Safety Policy and Objectives component of the SMS framework.

In the context of the management system, the following typically apply:

- Accountability is the obligation to accept ultimate responsibility and be answerable for decisions and policies, and for the performance of applicable functions, duties, tasks or actions. Accountability may not be delegated.
- Authority is the delegated power or right to command or direct activities, and to make decisions.
- Responsibility is the obligation to execute or perform assigned functions, duties, tasks and/or actions. Responsibility may be accompanied by an appropriate level of delegated authority.

In the context of an SMS, the assignment of responsibility to individual personnel means such personnel are ultimately accountable for safety performance, whether at the overall SMS level

(accountable executive) or at specific product and/or process levels (other applicable members of management).

An effective management system ensures that responsibilities, and thus accountability, for safety and security are allocated to relevant management and non-management personnel that perform safety- or security-related functions, or that have a defined role in either the SMS or the SeMS. Responsibilities and accountability are typically defined in the functional job description for such personnel and are designed to flow from corporate senior management into all operational areas of the organization.

Responsibilities and accountability are normally described and communicated in a manner that ensures a clear understanding throughout the organization. Organization charts, or organograms, are typically used to depict the functional reporting system of an organization, and thus are an acceptable means for defining the flow (or “lines” as depicted on an organogram) of responsibilities and accountability within the management system.

Management positions critical to operational safety or security may require enhanced job descriptions or terms of reference that reflect specialized requirements inherent in certain key positions. Such specialized requirements would include any delegation of authority exercised by personnel on behalf of an authority (e.g. designated or authorized flight examiner).

Compliance with regulatory requirements, as well as internal policies and procedures, is an essential element of a safe and secure operational environment. The responsibility for ensuring compliance with both regulatory and internal requirements is specified and assigned within the management system. Job descriptions, terms of reference and operating manuals are examples of appropriate locations for documenting management system responsibilities.

Refer to the IAH for information that identifies repeats of this ORG provision in other ISM sections.

Expanded guidance may be found in the ICAO SMM, Document 9859.

## ORG 1.3.2

The Operator shall have a process or procedure for the delegation of duties within the management system that ensures managerial continuity is maintained when operational managers including, if applicable, post holders are unable to carry out work duties. **(GM) ►**

### Auditor Actions

- ☐ **Identified/Assessed** processes for management system delegation of duties (focus: processes maintain managerial continuity during periods when corporate/operational managers are unable to perform work duties).
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Coordinated** to verify processes for management system delegation of duties in all operational areas.
- ☐ **Examined** example(s) of delegation of duties when managers have been unable to perform work duties.
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is for an operator to have a process or procedure that ensures a specific person (or perhaps more than one person) is identified to assume the duties of any operational manager that is or is expected to be, unable to accomplish assigned work duties. An operator may have nominated deputies in place or a process for ensuring the appointment of a temporary replacement.

For the purpose of this provision, the use of telecommuting technology and/or being on call and continually contactable are acceptable means for operational managers to remain available and capable of carrying out assigned work duties.

A notification of such delegation of duties may be communicated throughout the management system using email or other suitable communication medium.

## ORG 1.3.3

The Operator shall ensure a delegation of authority and assignment of responsibility within the management system for liaison with regulatory authorities, original equipment manufacturers and other operationally relevant external entities. **(GM) ►**

### Auditor Actions

- ☐ **Identified** corporate management individuals with authority for liaison with regulators/other external entities.
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Interviewed** selected manager(s) with authority for liaison with regulators/other external entities.
- ☐ **Coordinated** to identify managers with authority for liaison with external entities in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

To ensure the communication and coordination with external entities is consistent and appropriate, liaison with operationally relevant external entities is normally controlled through the delegation of authority and assignment of responsibility to specifically named management personnel. Such authorities and responsibilities would normally be included in the job descriptions of the applicable managers.

## 1.4 Safety Performance

### ORG 1.4.1

The Operator shall have a process to define safety objectives. Such safety objectives shall:

- (i) Reflect the Operator's commitment to maintain or continuously improve the overall effectiveness of the SMS;
  - (ii) Be communicated throughout the organization;
  - (iii) Be periodically reviewed to ensure they remain relevant and appropriate to the Operator.
- [SMS] [MA] (GM)**

### Auditor Actions

- ☐ **Identified/Assessed** organizational program for setting safety objectives.
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected safety objectives currently valid.
- ☐ **Examined** selected records/documents that identify tracking of safety objectives.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Safety Assurance and Safety Objective.

Defining safety objectives is an element of the Safety Policy and Objectives component of the SMS framework.

Safety objectives provide direction to the operator's safety management activities and would therefore be consistent with the safety policy that sets out the organization's high-level safety commitment.

A safety objective is a high-level statement that typically expresses a desired safety outcome that is to be achieved over a defined period of time (e.g. one year).

Expanded guidance may be found in the ICAO SMM, Document 9859.



## ORG 1.4.2

The Operator shall have processes for setting safety performance indicators (SPIs) and, as applicable, safety performance targets (SPTs) as means to monitor its safety performance, the achievement of its safety objectives and to validate the effectiveness of safety risk controls. **[SMS] [MA] (GM) ►**

**Note:** *Conformity with this ORG provision is possible only when the Operator is in conformity with all repeats of this provision in other ISM sections.*

### Auditor Actions

- ❑ **Identified/Assessed** organizational program for setting SPIs and SPTs (focus: program defines/requires development/application of SPIs; measures used to track/monitor operational safety performance/validate safety risk controls).
- ❑ **Interviewed** SMS manager and/or designated management representative(s).
- ❑ **Examined** selected SPIs and SPTs (focus: SPIs/SPTs are aligned with safety objectives and are being used to monitor operational performance).
- ❑ **Examined** selected records/documents that identify tracking of SPIs and SPTs (focus: tracking used to assess/monitor operational safety performance, assess/validate risk control effectiveness).
- ❑ **Coordinated** to verify implementation of SPIs and SPTs in all operational areas.
- ❑ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Safety Performance Indicator (SPI) and Safety Performance Target (SPT).

Setting SPIs in support of the operator's safety objectives is an element of the Safety Assurance component of the SMS framework.

SPIs and SPTs are used by an operator to track and compare its operational performance against the achievement of its safety objectives and to focus attention on the performance of the organization in managing operational risks and maintaining compliance with relevant regulatory requirements.

SPTs define short-term and medium-term safety performance management desired achievements. They act as 'milestones' that provide confidence that the organization is on track to achieving its safety objectives and provide a measurable way of verifying the effectiveness of safety performance management activities. The setting of SPTs is normally accomplished after considering what is realistically achievable and, where historical trend data are available, the recent performance of the particular SPI.

It is not always necessary or appropriate to set or define SPTs as there could be some SPIs that are better monitored for trends rather than against a targeted number. Safety reporting is an example of when having a target could either discourage people not to report (if the target is not to exceed a number) or to report trivial matters to meet a target (if the target is to reach a certain number).

In addressing operational performance, meaningful indicators might focus on lower level (i.e. lower consequence) occurrences or conditions that are considered by the operator to be precursors to more serious events. SPIs may be specific to a certain area of operations or may be broad and apply to the entire system.

In addressing compliance, meaningful indicators, as a minimum, would focus on compliance with significant regulatory requirements (as determined by the operator) in all operational areas.

SPIs may be set in almost any operations or maintenance area and are usually expressed as a reduction in the rate or number of specifically identified occurrences or conditions.

Some possible examples of operational occurrences or conditions, listed by operational discipline, that could be monitored using SPIs include:

- Flight operations (e.g. takeoff and landing tail strikes, unsatisfactory line or training evaluations, unstabilized approaches, runway incursions/excursions);
- Operational control (e.g. flight diversions due to fuel);

- Engineering and maintenance (in-flight engine shutdowns, aircraft component/equipment failures, diversions due to maintenance errors, damage caused by maintenance);
- Cabin operations (inadvertent slide deployments);
- Ground handling (aircraft damages due to vehicles or equipment);
- Cargo operations (dangerous goods spills);
- Operational security (unauthorized interference or access events).

Refer to the IAH for information that identifies repeats of this ORG provision in other ISM sections. Expanded guidance may be found in the ICAO SMM, Document 9859.

## 1.5 Resource Management

### ORG 1.5.1

The Operator shall ensure the management system includes planning processes for operations which:

- (i) Define desired operational safety and security objectives;
- (ii) Address operational resource allocation requirements;
- (iii) Take into account requirements originating from applicable external sources, including regulatory authorities and original equipment manufacturers. **(GM)**

**Note:** The definition of desired safety objectives as specified in item (i) shall take into account and be consistent with the Operator's safety policy.

#### Auditor Actions

- ☐ **Identified/Assessed** planning processes for operations (focus: planning includes defining operational safety/security goals/objectives, allocates necessary resources).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected planning records/documents (focus: planning addresses internal/external operational safety/security objectives/requirements).
- ☐ **Coordinated** to verify planning processes take into account all operational areas.
- ☐ **Other Actions** (Specify)

#### Guidance

Management system planning processes are necessary to ensure sufficient resources are in place to meet internal operational safety and security requirements, as well as to meet requirements from external sources, such as regulatory authorities and equipment manufacturers. Resource requirements would typically be determined through risk assessment, management review or other management processes.

Planning processes typically result in the generation of goals, objectives or other types of performance measures that would represent the operational safety and security outcomes an operator plans for and desires to achieve.

Defined safety objectives reflect the service provider's commitment to maintain or continuously improve the overall effectiveness of its SMS, and typically form the basis for the setting of SPIs (see [ORG 1.4.1](#) and [1.4.2](#)).

Planning processes may be part of, or associated with, the budgetary process, which typically take place prior to the start of a calendar or fiscal year and involve decisions that result in a plan for capital and operating expenditures to support operations.

Expanded guidance regarding the setting of safety objectives may be found in the ICAO SMM, Document 9859.

### ORG 1.5.2

The Operator shall ensure existence of the facilities, workspace, equipment and supporting services, as well as work environment, necessary to satisfy operational safety and security requirements. **(GM)** ►

**Note:** Conformity with this ORG provision and repeats in other ISM sections does not require specifications to be documented by the Operator.

### Auditor Actions

- ☐ **Observed/Assessed** physical resources/services (focus: adequacy to meet operational needs).
- ☐ **Interviewed** AE or designated management representative(s).
- ☐ **Coordinated** to verify adequacy of physical resources/services in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

The management system would identify, typically through policy, risk assessment, management review or other means, the infrastructure and resource requirements that would be necessary to deliver safe and secure operations, to include operations and maintenance support facilities, services and equipment appropriate for the area, such as:

- Buildings, workspaces and associated utilities;
- Facilities for people in the organization;
- Support equipment, including tools, hardware and software;
- Support services, including transportation and communication.

A suitable work environment satisfies human and physical factors and considers:

- Safety rules and guidance, including the use of protective equipment;
- Workplace location(s);
- Workplace temperature, humidity, light, air flow;
- Cleanliness, noise or pollution.

Implementation of this provision (i.e. adequacy of physical resources, work environment) is typically assessed through observations made by auditors during the course of the on-site audit.

### ORG 1.5.3

The Operator shall have a selection process for management and non-management positions within the organization that require the performance of functions relevant to the safety or security of aircraft operations. Such process shall ensure candidates are selected on the basis of knowledge, skills, training and experience appropriate for the position. **(GM) ►**

### Auditor Actions

- ☐ **Identified/Assessed** standards/processes for hiring/selection of management/non-management personnel (focus: safety/security positions relevant to aircraft operations are filled by personnel with qualifications appropriate for position).
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Interviewed** selected personnel that perform safety/security functions relevant to aircraft operations.
- ☐ **Coordinated** to verify implementation of personnel selection standards/processes in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

Prerequisite criteria for each position, which would typically be developed by the operator, and against which candidates would be evaluated, ensure personnel are appropriately qualified for management system positions and operational roles in areas of the organization critical to safe and secure operations.



**ORG 1.5.4**

The Operator shall ensure personnel who perform functions relevant to the safety or security of aircraft operations are required to maintain competence on the basis of continued education and training and, if applicable for a specified position, continue to satisfy any mandatory technical competency requirements. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** standards/processes for maintaining competency of personnel in functions relevant to safety/security of aircraft operations (focus: standards specify continuing education/training, meeting technical requirements).
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Coordinated** to verify application of competency standards.
- ☐ **Other Actions** (Specify)

**Guidance**

Positions or functions within an airline organization considered 'operationally critical' are those that have the potential to affect operational safety or security. This definition includes management positions and any positions or functions that may affect the airworthiness of aircraft.

Typically, training programs are implemented to ensure personnel throughout the organization are qualified and competent to perform individual duties.

Some management positions within airline operations may require an individual to maintain a technical competency as a requirement for being assigned to the position. For example, it may be specified that certain management positions within Flight Operations may only be filled by individuals who are qualified flight crew members. Similar situations could exist within Cabin Operations, Engineering and Maintenance or other operational disciplines.

In such cases, the job description specifies the requirement for maintaining technical competency, and adequate opportunity is provided to fulfill the requirement.

**ORG 1.5.5**

The Operator shall have a policy that addresses the use of psychoactive substances by personnel that perform operational functions and, as a minimum:

- (i) Prohibits the exercise of duties while under the influence of psychoactive substances;
- (ii) Prohibits the problematic use of psychoactive substances;
- (iii) Requires that all personnel who are identified as engaging in problematic use of psychoactive substances are removed from operational functions;
- (iv) Conforms to the requirements of the Authority, if applicable. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** policy that addresses use of psychoactive substances by operational personnel.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** operational personnel (focus: familiarity with psychoactive substance policy).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of Biochemical Testing, Psychoactive Substance and Problematic Use of Substances.

Personnel that perform operational safety and security functions as specified in this provision refers to persons in all operational disciplines who perform a function that, if performed improperly, could endanger the safety of aircraft operations. This includes operational personnel in all areas (flight crew, cabin crew, flight dispatch personnel (FOO/FOA), maintenance, ground handling, cargo, security).

Operators subject to laws or regulations of the State that preclude the publication of a psychoactive substance prohibition policy as specified in this provision may demonstrate an equivalent method of ensuring that personnel engaging in problematic use of psychoactive substance abuse do not exercise their duties and are removed from safety-critical functions.

Re-instatement to safety-critical duties could be possible after cessation of the problematic use and upon determination that continued performance of such duties is unlikely to jeopardize safety.

Some of the specifications of this provision related to flight and cabin crews may be addressed through implementation of a scheduling policy in accordance with [FLT 3.4.2](#) and [CAB 3.1.7](#).

Examples of other subjects that might be addressed in a comprehensive and proactive policy include:

- Education regarding the use of psychoactive substances;
- Identification, treatment and rehabilitation;
- Employment consequences of problematic use of psychoactive substances;
- Biochemical testing;
- Requirements of ICAO and the Authority.

Additional guidance may be found in the ICAO Manual on Prevention of Problematic use of Substances in the Aviation Workplace (Doc 9654-AN/945).

## ORG 1.5.6

The Operator *should* have a policy that requires personnel who perform operational functions critical to the safety of aircraft operations to be physically and medically fit for duty. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** policy that requires personnel in operational functions critical to the safety of aircraft operations to be physically/medically fit for duty (focus: methods used to determine physical/medical fitness).
- ☐ **Interviewed** AE or designated management representative(s).
- ☐ **Coordinated** to verify policy is implemented in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Operational Function (Aircraft Operations).

## ORG 1.5.7

The Operator *should* have a procedure to ensure screening or testing for psychoactive substances is performed on prospective operational personnel, unless such screening or testing is performed or prohibited by the State.

### Auditor Actions

- ☐ **Identified/Assessed** procedure used for screening/testing operational personnel for psychoactive substances.
- ☐ **Interviewed** the responsible manager(s) in operational areas.
- ☐ **Examined** selected records of screening/testing for psychoactive substances.
- ☐ **Other Actions** (Specify)

## 1.6 Outsourcing Management

### ORG 1.6.1

If the Operator has external service providers conduct outsourced operational functions, the Operator shall ensure a service provider selection process is in place that ensures:

- (i) Relevant safety and security selection criteria are established;
- (ii) Service providers are evaluated against such criteria prior to selection. **[MA] (GM) ►**



- **Note:** This provision would not apply in cases where there is only a single provider, or the selection is not directly controlled by the Operator.

## Auditor Actions

- **Identified/Assessed** selection process for external service providers.
- **Interviewed** manager and/or designated management representative(s).
- **Examined** selected records/documents that demonstrate application of the selection process.
- **Coordinated** to verify implementation of selection process in all operational areas.
- **Other Actions** (specify)

## Guidance

The intent of this provision is for an operator to define relevant safety and security criteria for use in the evaluation and potential selection of service providers. This is the first step in the management of external service providers and would take place prior to the operator signing an agreement with a provider. The process need be applied only once leading up to the selection of an individual service provider. The specified evaluation would typically be done as part of a tendering process once one or more potential service providers have been identified for consideration and are being vetted.

The provision specifies relevant safety and security selection criteria, but an operator would always have the discretion to include additional selection criteria that might not be directly related to the safety or security of the services to be provided.

The selection process would normally be applied when there is a need for a new service provider, such as when opening a new destination or outsourcing a service that has previously been performed using internal resources. It might also be applied when the term of an existing service provider contract is about to expire and one or more replacement providers are being considered for a new agreement.

The focus of the selection process is on the contracted services with a provider over an extended time period as specified in an agreement. It is possible that there could be the need for an ad-hoc selection process should an existing provider be unable to deliver contracted services due to unplanned or unexpected circumstances (e.g. unable to deliver the contracted services due to loss of accreditation, financial problems, labor disruption). In such case, an alternative process might be required because there is a lack of time to carry out the full process as specified.

- △ Also, the specified selection process might have limited value, or would not be applicable, at a location where there is only one service provider available (e.g. station monopoly, government/authority-provided services). Further, it would not apply if an operator has no control over external service providers (e.g. when wet leasing aircraft to another operator, or if the authority designates specific providers). In such situations, the operator would need to apply sound risk management to determine whether its safety and security requirements will be satisfied by the only available service provider should it choose to continue conducting operations at the location.

## ORG 1.6.2

The Operator shall have processes to ensure a contract or agreement is executed with external service providers that conduct outsourced operational functions for the Operator. Such contract or agreement shall identify specific documented requirements that can be monitored by the Operator to ensure the safety and/or security of operations are being fulfilled by the service provider. **(GM) ►**

## Auditor Actions

- **Identified/Assessed** processes for contract/agreement production/execution with external service providers that conduct outsourced operations, maintenance security functions.
- **Interviewed** responsible manager(s).
- **Examined** selected outsourcing contracts/agreements (focus: inclusion of or reference to specific requirements applicable to service providers).

- ☐ **Coordinated** to verify implementation of service provider contract/agreement processes in applicable operational areas.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Outsourcing and Service Level Agreement (SLA).

An operator would always retain full responsibility for ensuring an outsourced operational function is performed properly by an external provider, even if such provider is the parent organization or an affiliate of the operator.

A contract or agreement is necessary to ensure details of the operational functions to be performed by the external service provider are formally documented. The contract or agreement not only sets forth commercial terms, but also specific safety and/or security requirements pertaining to the services the provider is expected to perform. These requirements typically form the basis for the monitoring of the service provider by the operator.

Examples of specific documented requirements could include the following:

- Processes or procedures from the operator's own documentation system (e.g. operational manuals, working instructions) that can be included in the contract by reference.
- Infrastructure, resource or certification requirements (e.g. number of personnel, certification standards for equipment, support equipment standards).
- SPIs that specify a maximum number of occurrences or deviations), which could be based on the operator's own SPIs in accordance with [ORG 1.4.2](#).

The structure of contracts or agreements will vary with individual operators and, depending on such structure, defined specific requirements may or may not be contained in any of the contractual documents. When the specific requirements are not contained in the contract, they may be defined (in technical terms) in a controlled document that is part of the operator's documentation system, and then conveyed to the provider (perhaps periodically) in a manner that ensures understanding. Such controlled documents are typically identified in the contract by reference.

**Note:** For the purpose of this provision, the contract or agreement as specified above may comprise multiple parts, including the basic document that sets forth legal and commercial terms and, as applicable, other associated documents that state terms or conditions of service (e.g. appendices, addenda, service level agreement).

## 1.7 Emergency Response

### ORG 1.7.1

The Operator shall have a corporate emergency response plan (ERP) for the central management and coordination of all activities necessary to respond to a major aircraft accident or other type of adverse event that results in fatalities, serious injuries, considerable damage and/or a significant disruption of aircraft operations. **[SMS] (GM)**

## Auditor Actions

- ☐ **Identified/Assessed** corporate emergency response plan (ERP) (focus: plan suitable for organizational response to major aircraft accident/other adverse event).
- ☐ **Interviewed** designated ERP manager.
- ☐ **Coordinated** to verify implementation of ERP in all operational areas.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Emergency Response Plan (ERP) and Public Health Emergency.

Emergency response planning is an element of the Safety Policy and Objectives component of the SMS framework.

An emergency (or crisis) response plan is based upon an assessment of risk appropriate to the size and type of operations, and includes consideration of a major aircraft accident and other potential, aircraft and/or non-aircraft events that would require a full corporate emergency response.

In some states, emergency or crisis response is assumed by a governmental authority rather than by the operator. In such case, an emergency response plan focuses on and addresses interaction with and/or participation in the governmental response to an emergency or crisis.

As a best practice, an operator might consider defining in its ERP an appropriately coordinated response to a public health emergency.

An effective ERP includes industry best practices and ensure community expectations are addressed. Additionally, an ERP:

- Specifies general conditions for implementation;
- Provides a framework for an orderly implementation;
- Ensures proper coordination with external entities at all potential locations (refer to [ORG 1.7.4](#));
- Addresses all potential aspects of an event, including casualties;
- Ensures regulatory requirements associated with specific events are satisfied;
- Provides a scenario for the transition back to normal operations;
- Ensures regular practice exercises as a means to achieve continual improvement (refer to [ORG 1.7.8](#) and [ORG 1.7.9](#)).

IATA provides a guide for use by operators in addressing a public health emergency. Such document, titled Emergency Response Plan and Action Checklist, may be found at <http://www.iata.org/whatwedo/safety/health/Pages/diseases.aspx>.

## ORG 1.7.2

The Operator shall have a designated manager with appropriate qualifications and authority to manage and be responsible for the development, implementation and maintenance of the corporate ERP. **(GM)**

### Auditor Actions

- ☐ **Identified** designated corporate ERP manager.
- ☐ **Examined** job description of ERP manager (focus: background/duties/responsibilities).
- ☐ **Interviewed** corporate ERP manager.
- ☐ **Other Actions** (Specify)

### Guidance

The exact title of the manager designated as responsible for the corporate ERP may vary depending on the organization.

In order to manage a corporate ERP, an individual's qualifications would typically include training and background experience that ensures the requisite knowledge in emergency response principles. Such experience and knowledge is necessary, even though various ERP functions are typically delegated to designated personnel throughout the management system.

## ORG 1.7.3

If the Operator has individual departmental or station emergency response plans within the organization, the Operator shall ensure such individual plans are coordinated with the overall corporate emergency response plan under the ERP manager. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process(es) for coordinating departmental/station ERPs.
- ☐ **Interviewed** designated corporate ERP manager.
- ☐ **Examined** ERP for selected stations (focus: station ERP is coordinated with corporate ERP).
- ☐ **Other Actions** (Specify)

### Guidance

Certain operational departments might have individual ERPs, especially where departments are located remotely (e.g. maintenance or cargo). Likewise, station ERPs might be individually tailored to meet varying requirements at each station. Therefore, coordination is always required to ensure each individual ERP within an operator's organization contains or addresses the applicable common elements of the corporate ERP.

#### ORG 1.7.4

The Operator shall ensure the ERP as specified in [ORG 1.7.1](#) includes provisions for the appropriate coordination with the emergency response plans of other applicable organizations relevant to the particular event or crisis. **[SMS] (GM)**

### Auditor Actions

- ☐ **Identified/Assessed** ERP transition processes (focus: plan includes transition from normal-emergency/and emergency-normal operations; coordination with relevant external organizations).
- ☐ **Interviewed** designated corporate ERP manager.
- ☐ **Other Actions** (Specify)

### Guidance

Coordination of emergency response planning is an element of the Safety Policy and Objectives component of the SMS framework.

An ERP typically defines:

- Coordination procedures for action by key personnel;
- External entities that will interact with the organization during emergency situations;
- ERPs of external entities that will require coordination;
- Method(s) of establishing coordination with external ERPs.

Expanded guidance may be found in the ICAO SMM, Document 9859.

#### ORG 1.7.5

The Operator shall have published procedures and assigned responsibilities to ensure a coordinated execution of the corporate ERP. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedures/responsibilities for execution of corporate ERP.
- ☐ **Interviewed** designated corporate ERP manager.
- ☐ **Coordinated** to verify procedures/assigned responsibilities for ERP execution in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

Personnel are typically assigned with specific responsibilities throughout the organization for the implementation of procedures associated with the ERP. Such responsibilities and procedures might include:

- Assemblage of required personnel;
- Travel arrangements, as required;
- Provision of facilities, equipment and other resources;
- Humanitarian and other assistance to individuals involved in the event, as required;
- Management of continuing normal operations;
- Control of areas impacted by the event, as applicable;
- Liaison with relevant authorities and other external entities.

The following areas would normally be considered in developing plans for liaison with external entities associated with any event:

- Fire;
- Police;
- Ambulance;
- Coast guard and other rescue agencies;
- Hospitals and other medical facilities;
- Medical specialists;
- Civil aviation or defense agencies;
- Poison control centers;
- Chemical or radiation specialists;
- Environmental agencies;
- Insurance companies.

Additionally, contact and arrangements are typically made with certain operational business partners, including code share and wet lease operators.

#### ORG 1.7.6

The Operator shall have a process in the ERP to provide an accurate manifest to the appropriate authorities in the event of an aircraft accident. Such manifest shall list crew members, passengers and cargo, to include dangerous goods.

##### Auditor Actions

- ☐ **Identified/Assessed** ERP process for providing accurate manifest to authorities in the event of aircraft accident.
- ☐ **Interviewed** designated corporate ERP manager.
- ☐ **Identified** specific person/function with assigned responsibility for providing accurate manifest to authorities in the event of aircraft accident.
- ☐ **Other Actions** (Specify)

#### ORG 1.7.7

The Operator *should* ensure all personnel with responsibilities under the ERP are appropriately trained and qualified to execute applicable procedures. **(GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** training/qualification program for ERP personnel.
- ☐ **Interviewed** designated corporate ERP manager.
- ☐ **Examined** training curriculum for ERP personnel (focus: training subjects appropriate for role in ERP).
- ☐ **Examined** selected training/qualification records of ERP personnel (focus: completion of ERP training).
- ☐ **Other Actions** (Specify)

##### Guidance

Refer to the IRM for the definition of Family Assistance.

Training for personnel with responsibilities under the ERP could be conducted externally or in-house by an operator's own qualified staff, and would typically include drills, desktop exercises, and/or simulations. Attendees typically include both management and operational personnel from the headquarters and, as applicable to the operator's structure, station locations.

Ideally, specific and/or personalized training would also be conducted for key senior managers (e.g. CEO).

Training programs are generally tailored for personnel based on the role performed under the ERP. Typically, persons involved in family assistance and crisis communications, as well as members of the corporate emergency response group or committee (as applicable), would be required to complete ERP training.

The curriculum for ERP training normally includes general subjects associated with emergency response management, as well as role-specific subjects that address issues associated with:

- Family assistance/special assistance;
- Cultural sensitivity;
- Telephone enquiry;
- Team call-out and assembly;
- Crash site discipline;
- Effects retrieval.

### ORG 1.7.8

The Operator shall ensure the corporate ERP is rehearsed periodically to:

- (i) Familiarize personnel with responsibilities and procedures;
- (ii) Ensure ready functionality of all equipment and facilities;
- (iii) Expose deficiencies in the plan and its execution, and ensure such deficiencies are addressed. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** plan for corporate ERP rehearsal (focus: definition of rehearsal type/schedule; rehearsals include use of applicable personnel/facilities/equipment).
- ☐ **Interviewed** designated corporate ERP manager.
- ☐ **Examined** selected records of ERP rehearsals (focus: implementation/completion of ERP rehearsals).
- ☐ **Other Actions** (Specify)

#### Guidance

The ERP typically has provisions that ensure all aspects of the ERP are rehearsed or practiced at regular intervals, and practice exercises include the involvement of all personnel that would be called upon during an actual emergency or crisis situation. In some locations, the extent of ERP rehearsals might be limited by the relevant authority. In such cases, a modified rehearsal that ensures overall ERP readiness in accordance with the specifications stated in this provision is acceptable.

Rehearsal of an ERP typically results in the discovery of, and thus an opportunity to correct, deficiencies in the plan. Such deficiencies could include outdated contact information (e.g. names, telephone numbers, email addresses) and/or plan execution discrepancies (e.g. organizational changes, personnel turnover).

The results of rehearsals or practice exercises are normally recorded and analyzed, and then used as the basis for continual improvement of the plan (refer to [ORG 1.7.9](#)).

### ORG 1.7.9

The Operator *should* have a process for a detailed debriefing and critique whenever the ERP is executed, either as a rehearsal or in response to an actual event. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** process for debriefing/critique after execution of ERP (focus: debriefing/critique part of actual/rehearsed ERP implementation).
- ☐ **Interviewed** designated corporate ERP manager.
- ☐ **Examined** selected records of detailed debriefing/critique after rehearsal/actual ERP activation.
- ☐ **Other Actions** (Specify)



**Guidance**

Such process ensures vital information is communicated to regulatory authorities, corporate management, operational personnel and the local community whenever the ERP is activated, whether for an actual event or for a rehearsal.

If recommendations for corrective action or other changes result from activation of the plan, there is typically a process for providing a de-briefing to relevant internal and external entities to ensure awareness and consideration of such recommendations.

**ORG 1.7.10**

The Operator *should* have the ready availability of a facility for use as an emergency management center (EMC) with sufficient space, furnishings and equipment to successfully manage the execution of the corporate ERP.

**Auditor Actions**

- ☐ **Observed/Assessed** emergency management center (focus: adequate space/furnishings/equipment to manage ERP and associated resources).
- ☐ **Interviewed** designated corporate ERP manager.
- ☐ **Other Actions** (Specify)

**ORG 1.7.11**

The Operator *should* have procedures under the corporate ERP that ensure a central coordination and control of all communications with external entities. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** ERP procedures for central coordination/control of communications with external entities.
- ☐ **Interviewed** designated corporate ERP manager.
- ☐ **Other Actions** (Specify)

**Guidance**

A vital aspect of an effective ERP is ensuring a controlled and consistent message to external entities, especially the news media. The ERP would typically include the designation of an individual or group as the central point of control for all external communication. Additionally, authorization and responsibilities would be assigned to certain personnel within the organization to act as the point(s) of contact for communication with specified external entities.

**ORG 1.7.12**

The Operator *should* have procedures and resources immediately available under the corporate ERP that provide for, in the event of an emergency:

- (i) The establishment of command posts (CPs) at line stations or remote locations;
- (ii) A telephone enquiry center capable of handling the potential volume of calls expected with emergency events;
- (iii) Dedicated equipment and material necessary for successful execution of the corporate ERP;
- (iv) The dispatch, on short notice, of humanitarian teams to appropriate location(s) to attend to individuals in need of assistance;
- (v) Assistance to passengers, crew and their families. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** resources available under corporate ERP (focus: local command posts; adequate communication capability; humanitarian personnel/teams; passenger/crew/family assistance).
- ☐ **Interviewed** designated corporate ERP manager.

- ☐ **Observed** examples of resources available in the event of ERP activation.
- ☐ **Other Actions** (Specify)

## Guidance

In addition to a centralized EMC as specified in [ORG 1.7.10](#), one or more CPs (normally on standby mode) may be established at or near the crisis site. Other resources would typically include, as a minimum:

- Adequate office furnishings and supplies;
- Necessary communications equipment (e.g. computers, telephones, printers, facsimile);
- Required reference documents (e.g. emergency response checklists and procedures, company manuals, airport emergency plans, telephone lists).

Assistance to families typically requires dedicated policies and procedures, as well as the resources necessary to provide family notification and satisfy the critical aspects of logistical support (e.g. transportation, lodging, meals, security, communications, and incidental expenditures).

Refer to the following documents for detailed guidance that addresses family assistance:

- ICAO Doc 9859, Safety Management Manual (SMM).
- ICAO Circular 285, Guidance on Assistance to Aircraft Accident Victims and Their Families.
- ICAO Doc 9998, Policy on Assistance to Aircraft Accident Victims and their Families.

## 2 Assurance, Monitoring and Documentation Control

### 2.1 Quality Assurance

#### ORG 2.1.1

The Operator shall have a quality assurance program that provides for the auditing of the management system of operations and maintenance functions to ensure the organization is:

- (i) Complying with applicable regulations and standards;
- (ii) Satisfying stated operational needs;
- (iii) Identifying areas requiring improvement;
- (iv) Identifying hazards to operations;
- (v) Assessing the effectiveness of safety risk controls. **[SMS] [MA] (GM) ►**

**Note:** If the quality assurance audit function is performed by an external organization, the Operator, as the AOC holder, shall be responsible for ensuring the quality assurance program is in conformity with the specifications of this provision.

**Note:** Conformity with this ORG provision is possible only when the Operator is in conformity with all repeats of this provision in other ISM sections.

## Auditor Actions

- ☐ **Identified/Assessed** quality assurance program (focus: role/purpose within organization/SMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management system/operational areas).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Interviewed** quality assurance program manager.
- ☐ **Interviewed** selected operational managers (focus: interface with quality assurance program).
- ☐ **Examined** selected audit reports (focus: audit scope/process/organizational interface).
- ☐ **Coordinated** to verify implementation of quality assurance audit program in all operational areas.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Audit, Group Company and Quality Assurance.



The quality assurance program comprises two complementary functions: To monitor an operator's compliance with relevant regulations and standards, as well as to evaluate and continually improve operational safety performance. Such functions are elements of the Safety Assurance component of the SMS framework.

In some organizations the quality assurance program may have a different name (e.g. internal audit program, internal evaluation program).

In certain circumstances, an operator may have the quality assurance audit function performed by an external organization. This typically occurs when the operator is affiliated with one or more other organizations in a Group Company. However, an operator might also choose to simply outsource the quality assurance audit function to a qualified external service provider that is not part of or associated with a Group Company. In both cases, the operator, as the AOC holder, has the ultimate responsibility for ensuring the quality assurance program meets the needs of its organization in accordance with the specifications of this standard.

A robust quality assurance program ensures a scope of auditing that encompasses all areas of the organization that impact operational quality in terms of safety and/or security. Operational functions include flight operations, operational control/flight dispatch, maintenance operations, cabin operations, ground handling and cargo operations.

This provision is designed to permit flexibility in the implementation of the quality assurance program. The structure and organization of the program within an operator's management system, whether centralized, non-centralized or a combination thereof, is at the discretion of the operator in accordance with its corporate culture and regulatory environment.

An effective audit program includes:

- Audit initiation, including scope and objectives;
- Planning and preparation, including audit plan and checklist development;
- Observation and gathering of evidence to assess documentation and implementation;
- Analysis, findings, actions;
- Reporting and audit summary;
- Follow-up and close out.

To ensure auditors gather sufficient evidence to produce realistic assessments during an audit, the program typically includes guidance that defines the various sampling techniques that are expected to be used by auditors in the evidence collection phase of the audit.

The audit process typically includes a means whereby the auditor and responsible personnel from the audited area have a comprehensive discussion and reach agreement on the findings and corresponding corrective actions. Clear procedures are established to resolve any disagreement between the auditor and audited area. All action items require follow-up to ensure closeout within an appropriate period of time.

Refer to the IAH for information that identifies repeats of this ORG provision in other ISM sections.

#### **ORG 2.1.2**

The Operator shall appoint a manager with appropriate qualifications, authority and independence that is responsible for:

- (i) The performance of the quality assurance program;
- (ii) Ensuring communication and coordination with operational managers in the management of operational risk;
- (iii) Dissemination of information to management and non-management operational personnel as appropriate to ensure an organizational awareness of relevant quality assurance issues and results. **(GM)**

**Note:** If the Operator outsources operational functions to an external service provider, the use of the external service provider's quality assurance program manager for the purpose of conforming to the specifications of this provision shall be considered a conflict of interest, unless the Operator and the external service provider are both affiliates within the same Group Company.

### Auditor Actions

- ☐ **Identified** quality assurance program manager.
- ☐ **Examined** job description of quality assurance program manager (focus: qualifications/duties/responsibilities).
- ☐ **Interviewed** quality assurance program manager.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Quality Assurance Manager.

The designated manager (or multiple managers if an operator does not have a centralized program) is appointed to oversee the implementation of the activities and processes associated with the quality assurance program.

The exact title of the manager(s) designated as responsible for the quality assurance program may vary depending on the organization.

Operational managers have direct responsibility for the safety and security of operations, and therefore always have the authority to develop and implement corrective action as necessary to address audit findings in their respective areas of operations.

The manager of the quality assurance program is “operationally independent” in a manner that ensures objectivity is not subject to bias due to conflicting responsibilities.

To be effective, an individual designated as manager of the quality assurance program has appropriate qualifications for the position, which may include:

- Formal training or certification as a quality auditor;
- Relevant operational and auditing experience;
- Formal training in risk management.

Quality assurance audit activities may be centrally controlled or controlled within each relevant operational function as long as independence is maintained. Typically, the manager of the quality assurance program has direct lines of communication to senior management to ensure the efficient reporting of safety and security issues, and to ensure such issues are appropriately addressed.

An effective quality assurance program includes the dissemination of appropriate information for the purpose of maintaining an ongoing awareness of quality assurance results that might affect compliance, operational safety or security or identify opportunities for improvement. As an example, such information might include a summary of audit program results such as finding, causation, risk, error trends and opportunities for continuous improvement.

The method of dissemination is commensurate with the target audience and the size of the organization. Typical means could include periodic briefings or presentations, or the issuance of magazines, newsletters or bulletins in either an electronic or paper form.

In certain circumstances, an operator may have the quality assurance audit function performed by an external organization (see guidance for [ORG 2.1.1](#)). In such cases, the operator will still ensure its quality assurance program has a manager in accordance with the specifications of this standard.

### ORG 2.1.3 (Intentionally open)

### ORG 2.1.4

If the Operator is on the IOSA Registry, the Operator shall ensure the quality assurance program as specified in [ORG 2.1.1](#) provides for the auditing of the IOSA Standards and Recommended Practices (ISARPs) a minimum of once during the IOSA registration period. For internal audits of the ISARPs, the Operator shall have processes that ensure:

- (i) The effective edition of the IOSA Standards Manual (ISM) is used;
- (ii) Auditor Actions are accomplished by auditors;
- (iii) Recording and retention of information associated with the internal audit of individual ISARPs as specified in [Table 1.2. \(GM\)](#)

**Note:** If a new edition of the ISM becomes effective before the last 5 months of the Operator's IOSA registration period, the Operator shall take into account all changes that might require additional auditing (e.g. new or significantly revised ISARPs).

## Auditor Actions

- ☐ **Identified/Assessed** processes that ensure auditing of all ISARPs during the IOSA registration period.
- ☐ **Identified/Assessed** internal audit processes/procedures (focus: use of effective ISM edition; auditors accomplish Auditor Actions).
- ☐ **Interviewed** quality assurance program manager.
- ☐ **Interviewed** selected internal auditors.
- ☐ **Examined** selected records (database, procedural documents) of audits performed against ISARPs (focus: effective ISM edition used, all specified information included, Auditor Actions accomplished).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Auditor Actions, IOSA Operator, IOSA Registration Period and Registration Renewal Audit.

The currently effective edition of the ISM is used for auditing of the ISARPs during the first 19 months of the IOSA registration period. Use of an ISM edition that becomes effective in the final five (5) months of the operator's registration period is optional.

The accomplishment of Auditor Actions as specified in item (ii) is necessary to ensure internal auditors gather the necessary evidence to determine whether (or not) a standard or recommended practice is documented and implemented by the operator.

Table 1.2, as specified in item (iii), includes a note that refers to procedural documents. An example of a procedural document is an audit checklist in which all specified audit information associated with the audit of the individual ISARPs is recorded, including accomplishment of the Auditor Action steps. IATA continues to provide a template in the form of a spreadsheet to record all required information as specified in ORG 2.1.4 and Table 1.2.

To the extent possible, auditing of the ISARPs should be spread out over the full registration period rather than waiting to conduct all auditing just prior to the registration renewal audit.

Refer to the IAH for information relevant to auditing of the ISARPs under the quality assurance program.

## ORG 2.1.5

The Operator shall have an audit planning process and sufficient resources to ensure audits are:

- (i) Scheduled at intervals to meet regulatory and management system requirements;
- (ii) Conducted within the scheduled interval. **(GM) ►**

## Auditor Actions

- ☐ **Identified/Assessed** quality assurance audit planning process (focus: audits planned/scheduled/conducted in accordance with applicable internal/external requirements).
- ☐ **Identified/Assessed** audit resources (focus: availability of sufficient (auditors/other resources to accomplish audit plan).
- ☐ **Interviewed** quality assurance program manager.
- ☐ **Crosschecked** audit plan with selected audit reports (focus: audits conducted in accordance with audit plan).
- ☐ **Coordinated** to verify implementation of audit plan in all operational areas.
- ☐ **Other Actions** (Specify)

## Guidance

The planning process produces a schedule of the audit modules to be conducted within the planning period (e.g. calendar year) and reflect the status of each audit module, to include the applicable audit interval (e.g. 12, 24, 36 months), the date of the previous audit and the scheduled due date for the next audit.

The planning process would typically include provisions for re-scheduling or deferral of audits in accordance with the operator's program limitations.

Refer to the IAH for information relevant to planning associated with auditing of the ISARPs.

### ORG 2.1.6

The Operator shall ensure the audit planning process defines the scope of each audit, as appropriate for the area being audited, and also:

- (i) Includes audit objectives that address ongoing compliance with regulatory requirements, Operator standards and other applicable regulations, rules and standards;
- (ii) Considers relevant operational safety or security events that have occurred;
- (iii) Considers results from previous audits, including the effectiveness of corrective action that has been implemented. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** quality assurance audit planning process (focus: audits planned/scheduled/completed in order to meet applicable internal/external requirements).
- ☐ **Interviewed** quality assurance program manager.
- ☐ **Examined** selected audit plans (focus: audit scope/objectives defined; operational events/previous audits considered).
- ☐ **Crosschecked** audit plan with selected audit reports (focus: audits conducted in accordance with audit plan).
- ☐ **Other Actions** (Specify)

## Guidance

The audit scope refers to the breadth of operational disciplines or operational areas covered by an audit and therefore will vary depending on the focus area for each audit (e.g. flight dispatch function, dangerous goods handling, ramp handling operations, line maintenance activities).

Audit objectives define tangible achievements expected to result from an audit, normally expressed as a statement of intent (e.g. to determine compliance with regulatory requirements, to establish conformity with operator standards, to assess conformity with IOSA standards, to determine efficiency of operations).

To be effective, auditors prepare for an audit of a particular area of operations by:

- Conducting research into any relevant incidents or irregularities that may have occurred;
- Reviewing reports from previous audits.

Refer to the IAH for information relevant to planning associated with auditing of the ISARPs.

### ORG 2.1.7

The Operator shall have a process for addressing findings that result from audits conducted under the quality assurance program, which ensures:

- (i) Identification of root cause(s);
- (ii) Development of corrective action as appropriate to address findings;
- (iii) Implementation of corrective action in appropriate operational area(s);
- (iv) Evaluation of corrective action to determine effectiveness. **[MA] (GM) ►**



**Auditor Actions**

- ☐ **Identified/Assessed** process for addressing quality assurance audit findings.
- ☐ **Interviewed** quality assurance program manager.
- ☐ **Examined** selected audit reports/records (focus: identification of root cause, development/implementation of corrective action, follow-up to ensure effectiveness).
- ☐ **Coordinated** to verify implementation of audit findings process in all operational areas.
- ☐ **Other Actions** (Specify)

**Guidance**

Certain audit findings might fall under the category of hazards to operations. In such cases, the hazard would be subject to the risk assessment and mitigation process in the development of corrective action.

Refer to the IAH for information relevant to auditing under the quality assurance program.

**ORG 2.1.8**

The Operator shall ensure the quality assurance program uses auditors that are impartial and functionally independent from the operational activities to be audited. **(GM)**

**Note:** *If the Operator outsources operational functions to an external service provider and uses auditing as the process to monitor the external service provider as specified in [ORG 2.2.1](#) and [2.2.2](#), the use of the external service provider's auditors to perform such auditing shall be considered a conflict of interest, unless the Operator and the external service provider are both affiliates within the same Group Company.*

**Auditor Actions**

- ☐ **Identified/Assessed** quality assurance auditor administration program (focus: definition of impartial/functionally independent as applied to quality assurance program auditors; policies/procedures in place that ensure auditor impartiality/functional independence).
- ☐ **Interviewed** quality assurance program manager (focus: application or policies/procedures that ensure auditor impartiality/functional independence).
- ☐ **Interviewed** selected quality assurance auditors (focus: verification of functional independence during assigned audit activities).
- ☐ **Crosschecked** selected audit reports (focus: auditors are functionally independent from the activities audited).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Group Company.

A quality assurance program is independent in a manner that permits the scheduling and conduct of audits as deemed appropriate for the size and scope of operations. Functional independence ensures auditors are not put in a position where their objectivity may be subject to bias due to conflicting responsibilities.

A code of conduct may be used to enhance the impartiality and independence of auditors. An effective auditor code of ethics would require auditors:

- To act in a strictly trustworthy and unbiased manner in relation to both the organization to which they are employed, contracted or otherwise formally engaged and any other organization involved in an audit performed by them or by personnel under their direct control;
- To disclose to their employer any relationship they may have with the organization to be audited before undertaking any audit function in respect of that organization;
- Not to accept any gift, commission, discount or any other profit from the organization audited, from their representatives, or from any other interested person nor knowingly allow personnel for whom they are responsible to do so;

- Not to disclose the findings, or any part of them, nor to disclose any other information gained in the course of the audit to any third party, unless authorized in writing by both the auditee and the audit organization, if applicable;
- Not to act in any way prejudicial to the reputation or interest of the audit organization; and
- In the event of any alleged breach of this code, to co-operate fully in any formal enquiry procedure.

An auditor may be considered functionally independent from the operational activities to be audited when he/she is not responsible for the activity being audited (at the time of the audit). For example, a flight crew member may audit line flight operations from the flight deck jump seat as an independent observer (supernumerary) but may not do so when functioning as part of the operating crew (or functioning as an augmenting crew member).

Refer to the IAH for information relevant to auditor qualification and independence.

## ORG 2.1.9

The Operator shall have a training and qualification program that ensures auditors that conduct auditing under the quality assurance program as specified in [ORG 2.1.1](#):

- (i) Have the knowledge, skills and work experience needed to effectively assess areas of the management system and operations that will be audited;
- (ii) Maintain an appropriate level of current audit experience;
- (iii) Complete initial and continuing auditor training that provides the knowledge and understanding necessary to effectively conduct audits against:
  - (a) Applicable regulations and standards;
  - (b) If the Operator is currently on the IOSA Registry, the ISARPs.
- (iv) Are evaluated on a periodic basis. **[MA] (GM)**

**Note:** Sub-specification (iii) (b) is applicable only to auditors that may be assigned to conduct internal auditing against the ISARPs.

### Auditor Actions

- ☐ **Identified/Assessed** auditor training and qualification program.
- ☐ **Interviewed** quality assurance program manager.
- ☐ **Examined** selected individual auditor records (focus: completion of initial/continuing qualification/periodic evaluations, in accordance with program standards).
- ☐ **Interviewed** selected quality assurance auditors (focus: verification of initial/continuing qualifications).
- ☐ **Crosschecked** selected audit reports/records (focus: currency of auditors).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is for the operator to have a program that ensures all auditors that conduct auditing under its quality assurance program, including internal auditor personnel (e.g. employees) or external auditor personnel (e.g. consultants), are trained, evaluated and qualified in accordance with the criteria specified in this standard.

The delivery of auditor training and evaluation under the operator's program may be accomplished by the operator or by an external party (or a combination of both) as long as all auditors that conduct auditing under the operator's quality assurance program are trained, evaluated and qualified in accordance with the criteria specified in this standard.

Internationally recognized standards published in ISO 19011 provide a reliable guide for the training and/or certification of auditors used in the quality assurance program.

For all auditors that conduct auditing of the management system, and of operations and maintenance functions for the operator under its quality assurance program as specified in [ORG 2.1.1](#), training and qualification typically addresses the following subject areas:

- Application of audit principles, procedures and techniques;



- Planning and organizing work effectively;
- Conducting the audit within the agreed timescale;
- Prioritizing and focusing on matters of significance;
- Collecting information (i.e. audit evidence) through effective interviewing, listening, observing and examination of documents, records and data;
- Understanding the appropriateness and consequences of using sampling techniques for auditing;
- Verifying the accuracy of collected information;
- Confirming the sufficiency and appropriateness of audit evidence to support audit findings and conclusions;
- Assessing those factors that can affect the reliability of the audit findings and conclusions;
- Using work documents to record audit activities;
- Preparing audit reports;
- Maintaining the confidentiality and security of information;
- Communicating effectively, either through personal linguistic skills or through an interpreter.

For those auditors assigned to conduct auditing against the ISARPs as specified in [ORG 2.1.4](#), training and qualification typically addresses the following additional subject areas:

- IOSA program overview;
- IOSA documentation;
- Understanding the role of the ICAO annexes as the primary source of specifications contained in the ISARPs;
- Reading and understanding the ISARPs;
- IOSA quality assurance requirements ([ORG subsection 2.1](#));
- Auditor Actions;
- Mandatory observations;
- Root cause analysis;
- Auditing ORG and repeated ORG ISARPs;
- Auditing SMS;
- Auditing quality assurance;
- Assessing outsourced operational functions.

Refer to the IAH for information relevant to the training and qualification of auditors that assess conformity with the ISARPs.

## 2.2 External Monitoring

### ORG 2.2.1

The Operator shall have processes to monitor external service providers that conduct outsourced operational functions for the Operator to ensure requirements that affect the safety and/or security of operations are being fulfilled. **[MA] (GM) ►**

**Note:** *IOSA or ISAGO registration as the only means to monitor is acceptable provided the Operator obtains the latest of the applicable audit report(s) through official program channels and considers the content of such report(s).*

#### Auditor Actions

- ☐ **Identified/Assessed** processes for monitoring external service providers that conduct outsourced operational functions.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures provider is fulfilling applicable safety/security requirements).

- ☐ **Coordinated** to verify implementation of service provider monitoring in applicable operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

An operator has a responsibility to ensure outsourced operational functions are conducted in a manner that meets its own operational safety and security requirements. A monitoring process is necessary to satisfy that responsibility, and such process would be applicable to any external service provider that conducts outsourced operational functions, including the parent organization or a separate affiliate of the operator.

In some regulatory jurisdictions, there may be a regulatory control process that permits certain organizations to meet rigorous standards and become approved to conduct outsourced operations or maintenance for an operator. Such regulatory control process would be an acceptable means for meeting the specification of this provision if it can be demonstrated by the operator that the regulatory control process:

- Includes ongoing monitoring of the approved service providers;
- Such monitoring is sufficiently robust to ensure the approved service providers fulfill the operational requirements of the operator on a continuing basis.

Achieving and maintaining IOSA and/or ISAGO registration is a way for an external service provider to demonstrate fulfillment of requirements that affect the safety and/or security of operations. Thus, an operator's process that requires such service providers to maintain IOSA and/or ISAGO registration would generally be acceptable as a method of monitoring.

Using the IOSA and/or ISAGO programs to satisfy the specifications in this provision would require that an operator has access, preferably unrestricted access, to all information and data provided by the respective registration programs. Such access would be subject to receiving the relevant authorizations for individual reports. This type of monitoring would include a regular review of the registry site(s) to identify any potential annotations or restrictions that might have been placed on an operator's or provider's registration.

Using IOSA and ISAGO as described would also require an operator to request relevant audit reports through proper and official program channels. For IOSA this would require requesting an IAR through IATA and for ISAGO it would require participation in the ISAGO program. A review of the information contained in the audit report(s) would ideally complement and/or supplement any additional monitoring measures an operator is applying to ensure the service provider is fulfilling all relevant requirements. For example, combining the information from the report(s) with a risk assessment would be one option to have acceptable assurance that all requirements are fulfilled.

To ensure effective monitoring, consideration is given to a range of internal and external methods for use in the oversight of external service providers. Methods might include auditing, systematic review and risk assessment of reported hazards and/or occurrences, monitoring of performance output (KPIs), reporting and governance processes; monitoring and analysis of targeted risk areas, as well as the establishment of an effective two-way communication link with the service provider.

Under certain circumstances, operational functions may be involuntarily removed from an operator and conducted by a governmental or quasi-governmental authority that is not under the control of the operator (e.g. passenger or baggage security screening at some airports). Under such circumstances, the operator would have a process to monitor output of the function being conducted by the authority to ascertain desired results are being achieved.

If an operator is part of a Group Company and has management and/or operational functions performed by an affiliate organization that is part of the same Group Company, an operator may demonstrate monitoring of the external organization by processes that ensure functions performed by the affiliate organization for the operator are:

- Subjected to auditing under the quality assurance program of the affiliate organization;
- Continually satisfying the needs of the operator.



## ORG 2.2.2

The Operator *should* include auditing as a process for the monitoring of external service providers in accordance with [ORG 2.2.1. \(GM\)](#) ►

### Auditor Actions

- ☐ **Identified/Assessed** auditing processes used for monitoring external service providers that conduct outsourced operational functions.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records/reports resulting from auditing of service providers (focus: audit process ensures provider is fulfilling applicable safety/security requirements).
- ☐ **Coordinated** to verify implementation of service provider auditing in applicable operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is for an operator to use, as deemed appropriate for the situation, auditing as one of the processes for satisfying the requirement for monitoring external service providers (as specified in [ORG 2.2.1](#)).

Both IOSA and ISAGO are audit programs, so, where applicable, the use of IOSA or ISAGO registration could be considered as an audit process for the purpose of monitoring external service providers.

## ORG 2.2.3

The Operator shall have a process that provides for the auditing of other operators that transport passengers of the Operator under a commercial aviation agreement. Such process shall ensure the following with respect to the audit of other operators:

- (i) The audit is conducted against and requires conformity with applicable ICAO standards;
- (ii) An initial audit is conducted prior to the commencement of the above-specified passenger transport operations;
- (iii) A subsequent audit is conducted during every 24-month period following commencement of the above-specified passenger transport operations. **(GM)**

**Note:** A commercial aviation agreement as specified in this standard includes the following:

- ACMI Lease (wet lease) Agreement
- Capacity Purchase Agreement (CPA)
- Code Share Agreement
- Damp Lease Agreement

**Note:** The specifications of this standard shall be applicable to the Operator if it has transported its passengers on another operator under any of the specified commercial aviation agreements during the most recent IOSA registration period.

**Note:** IOSA registration indicates an operator is in conformity with all applicable ICAO standards and thus is acceptable as the audit of another operator as specified in this provision provided the Operator obtains the latest applicable audit report(s) through official program channels and considers the content of such report(s).

### Auditor Actions

- ☐ **Identified/Assessed** process for monitoring safety/security performance of external operators that transport passengers of the Operator.
- ☐ **Interviewed** responsible managers.
- ☐ **Examined** plan/methods for monitoring applicable other operators (focus: includes all operators that transport the operator's passengers under a commercial aviation agreement).

- ❑ **Examined** selected monitoring reports of other operators (focus: monitoring process ensures the other operator is fulfilling applicable safety/security requirements).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of ACMI Lease Agreement, Capacity Purchase Agreement (CPA), Code Share Agreement, Damp Lease Agreement, IOSA Registration Period and Wet Lease Agreement.

The intent of this provision is for an operator to have a process that provides for the auditing of any other operator with which it has entered or will enter into a commercial aviation agreement to transport its passengers on flights conducted by the other operator. Such audit verifies that the other operator meets applicable ICAO standards and may be conducted either by the operator or by a third party that is acceptable to the operator.

Another operator that is on the IOSA Registry has already been audited and found to meet applicable ICAO safety standards. Therefore, conformity with this standard does not require an operator to provide for an additional audit of another operator that is on the IOSA Registry as long as such registration is maintained by the other operator and any registration annotations have been taken into consideration by the operator.

Applicable ICAO standards as specified in item (i) are those standards contained in Annexes 1, 6, 8, 17, 18 and 19 that would be applicable to the other operator being audited.

A complete cross-reference list of ICAO-IOSA standards may be found at [www.iata.org/iosa](http://www.iata.org/iosa).

❑

## ORG 2.2.4

If the Operator transports cargo with other operators under a commercial aviation agreement, the Operator *should* have a process to monitor the performance of those other operators that transport its cargo. Such monitoring process *should* ensure the operational safety and security needs of the Operator are being fulfilled.

**Note:** A commercial aviation agreement as specified in this recommendation includes the following:

- ACMI Lease (wet lease) Agreement
- Capacity Purchase Agreement (CPA)
- Damp Lease Agreement

**Note:** IOSA or ISSA registration is acceptable as part of the Operator's monitoring process, when such registration is included in or combined with a risk assessment of the other operator(s).

## Auditor Actions

- ❑ **Identified/Assessed** process for monitoring safety/security performance of external operators that transport cargo of the Operator.
- ❑ **Interviewed** responsible manager(s).
- ❑ **Examined** plan/methods for monitoring applicable other operators (focus: includes all operators that transport the operator's cargo under a commercial aviation agreement).
- ❑ **Examined** selected monitoring reports of other operators (focus: monitoring process ensures the other operator is fulfilling applicable safety/security requirements).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of ACMI Lease Agreement, Capacity Purchase Agreement (CPA), Damp Lease Agreement, and Wet Lease Agreement.

The intent of this provision is for an operator to have a process that provides for the monitoring of any other operator with which it has entered or will enter into a commercial aviation agreement to transport its cargo on flights conducted by the other operator.

Another operator that is on the IOSA or ISSA Registry has already been audited and found to meet applicable safety standards. Therefore, the monitoring of another operator could consist of verifying IOSA/ISSA Registry and monitoring any registration annotations.

## 2.3 Product Control

### ORG 2.3.1

The Operator *should* have processes to ensure equipment or other operational products relevant to the safety or security of aircraft operations that are purchased or otherwise acquired from an external vendor or supplier meet the product technical requirements specified by the Operator prior to being used in the conduct of operations or aircraft maintenance. **(GM) ►**

#### Auditor Actions

- ☐ **Identified/Assessed** processes for ensuring acquired operational products meet technical requirements.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected product acceptance records (focus: acquired products meet applicable technical requirements).
- ☐ **Coordinated** to verify product acceptance processes implemented in applicable operational areas).
- ☐ **Other Actions** (Specify)

#### Guidance

This provision applies only to *products* that are purchased or otherwise acquired from an external supplier or vendor. Whereas purchasing might be the most typical means of acquiring such products, other means might be also be used (e.g. lease, barter).

This provision does not apply to outsourced *operational functions* or *services* that are provided by an external organization or service provider (this is addressed in [ORG 1.6.1](#) and [1.6.2](#)).

This provision does not apply to electronic navigation data products used in flight (e.g. FMS database) or for operational control (e.g. flight planning database). The acquisition of such navigation data products requires control procedures, as specified in [Sections 2 \(FLT\)](#) and [3 \(DSP\)](#).

Following are some examples of products that could have a negative effect on operations if put into service with substandard quality (i.e. the operator's technical standards are not met).

- Training devices (e.g. simulators, door mock-ups);
- Cabin safety cards or videos;
- Cabin service carts or trolleys;
- Onboard safety equipment (e.g. PBE, life jackets);
- Ground support equipment;
- Operational software, databases (non-navigation);
- Security screening equipment;
- Unit load devices (ULDs).

Part of the process is a method for identifying products that have a direct effect on the safety or security of operations.

To ensure technical specifications are met, a process may focus on the supplier, the product or a combination of both.

The process may include an evaluation of suppliers, with the selection of suppliers based on their ability to supply products in accordance with the operator's requirements and technical specifications.

The use of formal industry supplier audit or evaluation programs is one means for assessing the abilities of suppliers to deliver quality products, such as the Coordinating Agency for Supplier Evaluation (CASE).

Implementation of a rigorous receiving inspection process (or equivalent activity) provides another means of verifying that operationally critical products meet specified technical requirements prior to such products being put into service.

## 2.4 Data Management

### ORG 2.4.1

The Operator shall have an electronic database to ensure the effective management of information and data associated with audits conducted under the quality assurance program as specified in [ORG 2.1.1](#) and [ORG 2.1.4](#). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** electronic database for management of quality assurance audit data.
- ☐ **Interviewed** quality assurance program manager.
- ☐ **Examined** selected database records (focus: content includes information/data specified in [ORG 2.1.4](#) and [Table 1.2](#)).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Database.

A database would typically include, as a minimum, the following information associated with each audit:

- Details of each planned and conducted audit
  - Area/entity audited;
  - Status of the audit (planned, conducted, re-scheduled, completed);
  - Date of audit;
  - Objective, scope and criteria;
  - Auditor name.
- Non-conformity details:
  - Root cause(s);
  - Corrective action(s) implemented;
  - Assignment of responsibility;
  - Closure and acceptance details.

### ORG 2.4.2

The Operator *should* have an electronic database to ensure effective management of data derived from the hazard identification and risk assessment and mitigation programs. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** flight safety analysis program database.
- ☐ **Interviewed** flight safety analysis program manager.
- ☐ **Observed** demonstration of flight safety analysis program database functionality.
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is for an operator to have an electronic database that permits an operator to manage information and data associated with aircraft operations in a manner that results in the identification of hazards and the provision of information to operational managers as specified in [ORG 3.1.1](#).

The type and complexity of such database will vary according to the size and scope of the organization.

### ORG 2.4.3

The Operator *should* have a process to ensure reports of safety and security occurrences are submitted to IATA for inclusion in the Incident Data Exchange (IDX). Such reports *should* be

submitted in accordance with the formal IDX reporting process and include incidents and reports from:

- (i) Flight operations;
- (ii) Cabin operations;
- (iii) Ground handling operations;
- (iv) Engineering and Maintenance. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** process for reporting incidents to IATA for inclusion in IDX.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** the agreement between the Operator and IATA for participation in IDX.
- ☐ **Examined** selected reports submitted to IATA.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of IATA Incident Data Exchange (IDX).

The IATA IDX is a quality source of defensible data to support analyses and production of performance and benchmarking indicators for use in the management of all operations, to include flight operations, cabin operations, and ground handling operations.

Reports submitted to IDX will be assembled and integrated in a manner that permits, through statistical analysis, the identification of trends and contributing factors associated with safety and security events.

IDX participants that regularly submit reports benefit by gaining access to the aforementioned analytical results. Failure to submit reports will result in participants being excluded from the program.

The assurance of data quality and overall database integrity requires data to be submitted by participants in a uniform and consistent manner. Therefore, IDX will require a strict reporting taxonomy, including associated definitions and assumptions.

Reporting guidelines and other information can be found online at the IATA Global Aviation Data Management page (<https://www.iata.org/en/services/statistics/gadm/>).

#### ORG 2.4.4

The Operator *should* participate in and supply data to an aggregated Flight Data Sharing Program that is applied to aircraft in its fleet with a certified take-off mass in excess of 20,000 kg (44,092 lbs). As a minimum, such program should:

- (i) Have a signed agreement with the program participants (member airlines) on how their data will be utilized;
- (ii) Provide a means for participants to securely transfer their flight data;
- (iii) Be non-punitive and offer adequate safeguards for the de-identification of all data received from participants;
- (iv) Disseminate de-identified information to participants on emerging trends and areas of interest to global aviation safety;
- (v) Not use data for the purposes of investigation of the performance of individual participants.

#### Auditor Actions

- ☐ **Identified/Assessed** process for the secure transfer of data.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** the agreement between the Operator and participating operators on how the data would be utilized.
- ☐ **Examined** selected de-identified reports.
- ☐ **Other Actions** (Specify)

## Guidance

Acceptable flight data sharing programs include, but are not limited to the IATA Flight Data Exchange (FDX) or any State-run, aggregated data sharing programs such as ASIAS, Data 4 Safety etc.

An aggregated flight data sharing program is a de-identified database of flight data collected from multiple participants and processed for the purposes of improvement of aviation safety through the identification of areas of safety concern and risk. Such programs also enable participants undertake comparative analysis on global or regional specific performance.

A state-run aggregated flight data sharing program is one undertaken by a competent aviation state body in a specific country e.g. The Federal Aviation Administration (FAA), European Aviation Safety Agency (EASA).

## 2.5 Documentation System

### ORG 2.5.1

The Operator shall have a system for the management and control of documentation and/or data used directly in the conduct or support of operations. Such system shall ensure documentation:

- (i) Meets all required elements specified in [Table 1.1](#);
- (ii) Contains legible and accurate information;
- (iii) Is presented in a format appropriate for use in operations. **(GM)** ►

### Auditor Actions

- ☐ **Identified/Assessed** system(s) for management/control of content/format of operational documentation/data used in operational control system.
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected parts of the OM (focus: legibility/accuracy/format; approval as applicable).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Documentation, Electronic Documentation and Paper Documentation.

The primary purpose of document control is to ensure necessary, accurate and up-to-date documents are available to those personnel required to use them, to include, in the case of outsourced operational functions, employees of external service providers.

Examples of documents that are controlled include, but are not limited to, operations manuals, checklists, quality manuals, training manuals, process standards, policy manuals, and standard operating procedures.

Documentation received from external sources would include manuals and other types of relevant documents that contain material that is pertinent to the safety of operations conducted by the operator (e.g. regulations, operating standards, technical information and data).

An electronic system of document management and control is an acceptable means of conformance. Within such a system, document files are typically created, maintained, identified, revised, distributed, accessed, presented, retained and/or deleted using computer systems (e.g. a web-based system). Some systems specify immediate obsolescence for any information or data that is downloaded or otherwise extracted (e.g. printed on paper) from the electronic files.

Document control might include:

- Retention of a master copy;
- Examination and approval prior to issue;
- Review and update, to include an approval process;
- Version control (electronic documents);
- Identification of revision status;
- Identification and retention of revisions as history;



- Identification and retention of background or source references as history;
- Distribution to ensure appropriate availability at points of use;
- Checking of documents to verify they remain legible and readily identifiable;
- As required, identification, update, distribution and retention of documents of external origin;
- As applicable, identification and retention of obsolete documents;
- As applicable, disposal of documents.

Additionally, control of operational manuals might include:

- Assignment of an individual with responsibility for approval for contents;
- A title page that generally identifies the operational applicability and functionality;
- A table of contents that identifies parts and sub-parts;
- A preface or introduction outlining the general contents of the manual;
- Reference numbers for the content of the manual;
- A defined distribution method and identification of recipients;
- Identification of responsibility for authorizing the manual;
- A record of revisions, both temporary and permanent;
- A list of effective pages within the manual;
- Identification of revised content.

Each “loose” documented procedure that is not held within a manual typically includes:

- A title page that identifies the operational applicability and functionality;
- Identification of the date(s) of issue and date of effectiveness;
- Reference numbers for the content;
- A distribution list;
- Identification of responsibility for authorizing the document.

#### ORG 2.5.2 (Intentionally open)

#### ORG 2.5.3

The Operator *should* have a documentation system that ensures operations, maintenance and security manuals are centrally managed or coordinated under a corporate scheme of document hierarchy. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** central system for management/control of content/format of operational documentation/data (focus: common standards for documentation/data control in all areas of operations).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined/Compared** selected operational documents (focus: standardized documents consistent with central system standards).
- ☐ **Other Actions** (Specify)

#### Guidance

A centrally controlled or coordinated system ensures a standardized documentation product throughout the organization. Ideally, all documents conform to a corporate standard, thus ensuring an organization-wide consistency in documentation philosophy, format and presentation of content.

#### ORG 2.5.4

The Operator shall have SMS documentation, including a manual, that describes:

- (i) The safety policy and objectives;
- (ii) SMS requirements;
- (iii) SMS processes and procedures;

- (iv) Accountability, authorities and responsibilities for SMS processes and procedures. **[SMS] (GM)**

**Note:** An SMS manual may be in the form of a stand-alone document or may be integrated with other organizational documents (or documentation) maintained by the Operator.

### Auditor Actions

- ☐ **Identified/Assessed** SMS documentation (focus: description of overall organizational management of safety).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected parts of SMS documentation (focus: content includes safety policy/objectives; describes/defines accountability/responsibilities for safety processes/procedures in all areas of operations).
- ☐ **Coordinated** to verify SMS documentation in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

SMS documentation is an element of the Safety Policy and Objectives component of the SMS framework.

SMS documentation is typically scaled to the size and complexity of the organization and describes both the corporate and operational areas of safety management to show continuity of the SMS throughout the organization. Typical documentation would include a description of management positions and associated accountability, authorities, and responsibilities within the SMS.

To ensure personnel throughout the organization are informed, SMS documentation includes a description of the operator's approach to safety management. Such descriptive information would be contained in a manual and presented in a manner that ensures the SMS information is clearly identifiable. The exact title and structure of such manual may vary with each operator.

Depending on the size, structure and scope of an operator's organization, as well as the complexity of its operations, SMS documentation may be in the form of stand-alone documents or may be integrated into other organizational documents.

Requirements for SMS documentation will vary according to the individual state safety program (SSP).

SMS documentation typically addresses:

- Scope of the SMS;
- Safety policy and objectives;
- Safety accountability;
- Key safety personnel;
- Documentation control procedures;
- Coordination of emergency response planning;
- Hazard identification and risk management schemes;
- Safety assurance;
- Safety performance monitoring;
- Safety auditing (safety and quality auditing may be combined);
- Management of change;
- Safety promotion;
- Outsourced services.

Expanded guidance may be found in the ICAO SMM, Document 9859.



## 2.6 Records System

### ORG 2.6.1

The Operator shall have a system for the management and control of operational records to ensure the content and retention of such records is in accordance with requirements of the Authority, as applicable, and to ensure operational records are subjected to standardized processes for:

- (i) Identification;
- (ii) Legibility;
- (iii) Maintenance;
- (iv) Retrieval;
- (v) Protection, integrity and security;
- (vi) Disposal, deletion (electronic records) and archiving. **(GM) ►**

**Note:** The operational records system specified in this standard shall also include the management and control of SMS operational records.

#### Auditor Actions

- ☐ **Identified/Assessed** system for management/control of operational records (focus: system includes standardized processes as specified in standard).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected examples of operational records.
- ☐ **Coordinated** to verify implementation of records management/control processes in all operational areas.
- ☐ **Other Actions** (Specify)

#### Guidance

The system addresses the management and control of all records associated with operations, which includes personnel training records, and also includes any other records that document the fulfillment of operational requirements (e.g. aircraft maintenance, operational control, operational security).

SMS operational records substantiate the ongoing operation of the operator's SMS and may be managed and controlled within either a centralized or standalone records system. SMS operational records typically include or provide a record of the following:

- Hazards register and hazard/safety reports;
- SPIs, SPTs and related charts;
- Completed safety risk assessments;
- SMS internal reviews or audits;
- SMS/safety training;
- SMS/safety committee meeting minutes.

### ORG 2.6.2

If the Operator uses an electronic system for the management and control of records, the Operator shall ensure the system provides for a scheduled generation of backup record files. **(GM) ►**

#### Auditor Actions

- ☐ **Identified/Assessed** process for scheduled backup of electronic operational records (focus: system defines schedule for periodic file backup).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Coordinated** to verify applicable backup process is implemented in all operational areas.
- ☐ **Other Actions** (Specify)

## Guidance

Maintaining records in electronic files is a reliable and efficient means of short and long-term storage. The integrity of this type of record-keeping system is ensured through secure, safe storage and backup systems.

In an electronic records system, record files are managed and controlled (i.e. created, maintained, identified, updated, accessed, retained and deleted) using computer systems, programs and displays (e.g. a web-based system).

To preclude the loss of records due to hardware or software failures, an electronic system is programmed to create backup files on a schedule that ensures records are never lost. Typically, an electronic system provides for file backup on a daily basis.

Where necessary, the look and feel of electronic records is similar to that of a paper record.

The retention period for records is defined by the operator and, if applicable, will always be in accordance with requirements of the Authority.

Hardware and software, when updated or replaced, is retained to enable retrieval of old records.

## 3 Risk Management

### 3.1 Hazard Identification

#### ORG 3.1.1

The Operator shall have a hazard identification program that is implemented and integrated throughout the organization and includes a combination of reactive and proactive methods of hazard identification. **[SMS] [MA] (GM) ►**

**Note:** *Conformity with this ORG provision is possible only when the Operator is in conformity with all repeats of this provision in other ISM sections.*

#### Auditor Actions

- ☐ **Identified/Assessed** organizational safety hazard identification program (focus: program identifies hazards to aircraft operations; describes/defines method(s) of safety data collection/analysis).
- ☐ **Identified/Assessed** cross-discipline process for safety hazard identification (focus: all operational disciplines participate in process).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected records/documents that illustrate organizational integration (focus: coordinated involvement of all operational disciplines in hazard identification process).
- ☐ **Examined** selected examples of hazards identified through data collection/analysis.
- ☐ **Coordinated** to verify implementation of safety hazard identification program in all operational areas.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Hazard (Aircraft Operations) and Safety Risk.

Hazard identification is an element of the Safety Risk Management component of the SMS framework.

The methods used to identify hazards will typically depend on the resources and constraints of each particular organization. Some organizations might deploy comprehensive, technology-intensive hazard identification processes, while organizations with smaller, less complex operations might implement more modest hazard identification processes. Regardless of organizational size or complexity, to ensure all hazards are identified to the extent possible, hazard identification processes are necessarily formalized, coordinated and consistently applied on an on-going basis in all areas of the organization where there is a potential for hazards that could affect aircraft operations.

To be effective, reactive and proactive processes are used to acquire information and data, which are then analyzed to identify existing or predict future (i.e. potential) hazards to aircraft operations.

Examples of processes that typically yield information or data for hazard identification are shown in the list below. The most common type of process associated with each example is shown in parentheses, although some could be used both:

- Confidential or other reporting by personnel (proactive);
- Investigation of accidents, incidents, irregularities and other non-normal events (reactive);
- Flight data analysis (proactive);
- Observation of flight crew performance in line operations and training (proactive);
- Quality assurance and/or safety auditing (proactive);
- Safety information gathering or exchange (external sources).

Processes would be designed to identify hazards that might be associated with organizational business changes (e.g. addition of new routes or destinations, acquisition of new aircraft type(s), the introduction of significant outsourcing of operational functions).

Typically, hazards are assigned a tracking number and recorded in a log or database. Each log or database entry would normally include a description of the hazard, as well as other information necessary to track associated risk assessment and mitigation activities.

Refer to the IAH for information that identifies repeats of this ORG provision in other ISM sections. Expanded guidance may be found in the ICAO SMM, Document 9859.

## ORG 3.1.2

The Operator shall have an operational safety reporting system that is implemented throughout the organization in a manner that:

- (i) Encourages and facilitates personnel to submit reports that identify safety hazards, expose safety deficiencies and raise safety concerns;
- (ii) Ensures mandatory reporting in accordance with applicable regulations;
- (iii) Includes analysis and management action as necessary to address safety issues identified through the reporting system. [SMS] [MA] (GM) ►

**Note:** *Conformity with this ORG provision is possible only when the Operator is in conformity with all repeats of this provision in other ISM sections.*

### Auditor Actions

- ☐ **Identified/Assessed** organizational operational safety reporting system (focus: system urges/facilitates reporting of hazards/safety concerns; includes analysis/action to validate/address reported hazards/safety concerns).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** records of selected operational/safety reports (focus: analysis/follow-up to identify/address reported hazards/safety concerns).
- ☐ **Coordinated** to verify implementation of operational safety reporting system in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

Safety reporting is a key aspect of SMS hazard identification and risk management.

Frontline personnel, such as flight or cabin crew members and maintenance technicians, are exposed to hazards and face challenging situations as part of their everyday activities. An operational reporting system provides such personnel with a means to report these hazards or any other safety concerns so they may be brought to the attention of relevant managers.

To build confidence in the reporting process and encourage more reporting, an acknowledgement of receipt is typically provided to each person that submits a report.

An effective system provides for a review and analysis of each report to determine whether a real safety issue exists, and if so, ensure development and implementation of appropriate action by responsible management to correct the situation.

Refer to [ORG 1.2.2](#), which specifies a corporate safety reporting policy and addresses the importance of having an effective reporting culture to ensure the proactive identification of potential safety deficiencies.

Refer to the IAH for information that identifies repeats of this provision in other ISM sections.

Expanded guidance may be found in the ICAO SMM, Document 9859.

### ORG 3.1.3

The Operator *should* have a confidential safety reporting system that is implemented throughout the organization in a manner that encourages and facilitates the reporting of events, hazards and/or concerns resulting from or associated with human performance in operations. **(GM) ►**

#### Auditor Actions

- ☐ **Identified/Assessed** organizational confidential safety reporting system (focus: system urges/facilitates reporting of events/hazards/safety concerns caused by humans; reporters are assured confidentiality; includes analysis/action to validate/address reported hazards/safety concerns).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** records of selected confidential safety reports (focus: assurance of confidentiality, analysis/follow-up to identify/address reported hazards/safety concerns).
- ☐ **Crosschecked** to verify implementation of confidential safety reporting system in all operational areas.
- ☐ **Other Actions** (Specify)

#### Guidance

The specified confidential safety reporting system is sometimes referred to as a Confidential Human Factors (or Incident) Reporting System.

The success of a confidential safety reporting system depends on two fundamentals:

- The ability of the organization to assure absolute protection of a report submitted by any individual;
- The level to which individuals within the organization exercise their freedom to report actual or potential unsafe conditions or occurrences.

In certain states, information submitted under a pledge of confidentiality could be subject to laws protecting such information. Therefore, an operator would typically have procedures in place to protect report confidentiality (e.g. de-identification).

There is a difference between confidential reporting and anonymous reporting. Confidential reporting is the preferred system because it permits feedback to the reporter in response to the report. Not only is the reporter entitled to an explanation, but also such feedback provides excellent incentive for the submission of future reports.

The effectiveness of a confidential safety reporting system is determined by a basic requirement for safeguarding safety and risk information. Typically, individuals will continue to provide information only when there is confidence that such information will be used only for safety purposes and will never be compromised or used against them.

An effective confidential safety reporting system might typically include:

- A process that provides absolute protection of confidentiality;
- An articulated policy that encourages reporting of hazards and human errors in operations;
- A shared responsibility between the individual flight and cabin crew members (or, if applicable, respective professional associations) and the organization to promote a confidential safety reporting system;
- A tracking process of action taken in response to reports;

- A process to provide feedback to the reporter;
- A communication process for ensuring flight and cabin crew members, as well as other relevant personnel, are informed of potential operating hazards through dissemination of de-identified report information.

## ORG 3.1.4

The Operator *should* have a program for the systematic acquisition and analysis of data from observations of flight crew performance during normal line operations. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** line operations monitoring program (focus: observations of flight crew performance on routine line flights; trained/qualified non-evaluation observers; acquisition/analysis of data from observations of identification of operational threats/errors/risk; production of data/recommendations used to mitigate risk).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** line operations observer(s) and data analyst(s).
- ☐ **Examined** selected line monitoring program reports (focus: analysis of observation data; identification of flight safety hazards; recommendations to mitigate risk).
- ☐ **Other Actions** (Specify)

### Guidance

If implemented, line monitoring would be considered a *proactive* hazard identification activity in an SMS.

A line operations monitoring program is a completely different activity from line evaluation (or line checking) of the flight crew. Line operations monitoring cannot be accomplished in conjunction with any type of operational evaluation of the flight crew.

Under this program, flight crew performance in a normal line environment is observed from the flight deck jump seat by individuals who have been specially selected and trained. Observers, with the cooperation of the flight crew, systematically gather operational data that can be analyzed and used to make real improvements to certain areas of the operation. Observers are particularly aware of, and record, threats and errors that occur in the operating environment.

The Line Operations Safety Audit (LOSA) is a well-known and successful example of a normal line operations monitoring program.

An acceptable program would have the following characteristics:

- A planned and organized series of observations of flight crew performance during normal line flights is typically conducted a minimum of once during every four-year period.
- Observations are conducted on regular and routine line flights, and the flight crew is advised and clearly understands that normal line monitoring is not an evaluating, training or checking activity. The flight crew would be expected to operate as if the observer were not there.
- There is mutual support and cooperation from both the management of the operator and flight crew members (through their professional association, if applicable).
- Participation from the flight crew is voluntary; observations are not conducted unless permission is received from the flight crew.
- Data collected from observations are confidential, de-identified and used for safety enhancement purposes only. Data from an observation are never permitted to be used for disciplinary action unless there is evidence of willful misconduct or illegal activity.
- Procedures are in place to ensure data from observations are retained in a way that ensures effective security.
- Objectives of observations are clearly defined, and collected data are always used to address specific issues that affect flight safety.
- Observers are specifically selected and trained (calibrated) to ensure a high level of consistency and standardization in the data being collected. Observers are objective, impartial and have a high level of integrity.

- There is a process in place to ensure data collected from observations are subjected to analysis from appropriately diverse subject matter experts to ensure consistency and accuracy.
- Data derived from observations are analyzed and presented in a manner that identifies potential weakness and permits the operator to develop appropriate action(s) that will enhance specific aspects of the operation.
- Results from the monitoring program, including the corrective action plan, are communicated to flight crew members.

Expanded guidance may be found in the ICAO SMM, Document 9859.

## ORG 3.1.5

The Operator shall have a process to identify changes within or external to the organization that have the potential to affect the level of safety risks associated with aircraft operations, and to manage risks that may arise from or are affected by such changes in accordance with [ORG 3.1.1](#) and [ORG 3.2.1](#).

[SMS] [MA] (GM)

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### Auditor Actions

- ☐ **Identified/Assessed** organizational change management process (focus: process identifies/assesses internal/external changes to determine operational safety risk).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected records/documents that show processing of internal/external changes (focus: assessment of changes to determine safety risk; actions taken to implement/revise new/existing risk controls).
- ☐ **Coordinated** to verify implementation of change management process in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Change Management.

Change management is an element of the Safety Assurance component of the SMS framework and is considered a proactive hazard identification activity in an SMS.

Safety risk management requires an operator to have a formal process to identify hazards that may affect aircraft operations. Hazards may exist in ongoing aircraft operations or be inadvertently introduced whenever internal or external changes occur that could affect aircraft operations. In such cases, hazard identification as specified in [ORG 3.1.1](#) and safety risk assessment and mitigation as specified in [ORG 3.1.2](#) (both are repeated in other ISM sections) are integral elements of an operator's change management process.

A change management process is normally designed to ensure risk management is applied to any internal or external change that has the potential to affect an operator's established operational processes, procedures, products, equipment and services. The change management process typically takes into account the following three considerations:

- **Criticality.** Criticality assessments determine the systems, equipment or activities that are essential to the safe operation of aircraft. While criticality is normally assessed during the system design process, it is also relevant during a situation of change. Systems, equipment and activities that have higher safety criticality are reviewed following change to make sure that corrective actions can be taken to control potentially emerging safety risks.
- **Stability of systems and operational environments.** Changes might be planned and under the direct control of the operator. Examples of such changes include organizational growth or contraction, the expansion of products or services delivered, or the introduction of new technologies. Changes might also be unplanned and external to the operator, such as changing economic cycles, labor unrest and changes to the political, regulatory or operating environments.



- **Past performance.** Past performance of critical systems and trend analyses in the safety assurance process is typically employed to anticipate and monitor safety performance under situations of change. The monitoring of past performance will also assure the effectiveness of corrective actions taken to address safety deficiencies identified as a result of audits, evaluations, investigations or reports.

Expanded guidance may be found in the ICAO SMM, Document 9859.

## 3.2 Risk Assessment and Mitigation

### ORG 3.2.1

The Operator shall have a safety risk assessment and mitigation program that includes processes implemented and integrated throughout the organization to ensure:

- (i) Hazards are analyzed to determine corresponding safety risks to aircraft operations;
- (ii) Safety risks are assessed to determine the requirement for risk mitigation action(s);
- (iii) When required, risk mitigation actions are developed and implemented in operations. **[SMS] [MA] (GM) ►**

**Note:** Conformity with this ORG provision is possible only when the Operator is in conformity with all repeats of this provision in other ISM sections.

### Auditor Actions

- ☐ **Identified/Assessed** organizational safety risk assessment/mitigation program (focus: hazards analyzed to identify/define risk; risk assessed to determine appropriate action; action implemented/monitored to mitigate risk).
- ☐ **Identified/Assessed** cross-discipline process for risk assessment/mitigation (focus: all operational disciplines participate in process).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected records/documents that illustrate organizational integration (focus: coordinated involvement of all operational disciplines in risk assessment/mitigation program).
- ☐ **Examined** selected examples of risk assessment/risk mitigation action(s).
- ☐ **Coordinated** to verify implementation of safety risk assessment/mitigation in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Risk Register, Safety Risk, Safety Risk Assessment (SRA), Safety Risk Management and Safety Risk Mitigation.

Risk assessment and mitigation is an element of the Safety Risk Management component of the SMS framework.

To be completely effective, a risk assessment and mitigation program would typically be implemented in a manner that:

- Is active in all areas of the organization where there is a potential for hazards that could affect aircraft operations;
- Has some form of central coordination to ensure all existing or potential hazards that have been identified are subjected to risk assessment and, if applicable, mitigation.

The safety risks associated with an identified existing or potential hazard are assessed in the context of the potentially damaging consequences related to the hazard. Safety risks are generally expressed in two components:

- Likelihood of an occurrence;
- Severity of the consequence of an occurrence.

Typically, matrices that quantify safety risk acceptance levels are developed to ensure standardization and consistency in the risk assessment process. Separate matrices with different risk acceptance criteria are sometimes used to address long-term versus short-term operations.

A risk register is often employed for the purpose of documenting risk assessment information and monitoring risk mitigation (control) actions.

Refer to the IAH for information that identifies repeats of this ORG provision in other ISM sections. Expanded guidance may be found in the ICAO SMM, Document 9859.

## ORG 3.2.2

The Operator *should* have a process for safety data analysis with the purpose of predicting future risks associated with hazards to aircraft operations. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** organizational safety risk assessment/mitigation program (focus: process for analysis of safety data to predict future risks).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected results of data analysis performed to predict future risks.
- ☐ **Examined** examples of action(s) taken to address future risks identified from safety data analysis.
- ☐ **Other Actions** (Specify)

### Guidance

The analysis of safety data could include probability or predictive analytical methods whereby information is extracted from historical and current data and then used to predict trends and behaviour patterns. Patterns found in historical data can help identify emerging risks and opportunities. Whereas the unknown event of interest is in the future, predictive analysis can be applied to any type of unknown in the past, present or future. The core of predictive analysis relies on capturing relationships between variables from past occurrences and exploiting them to predict the unknown outcome. If electronic systems are used, they may allow users to model different scenarios of risks or opportunities with different outcomes. This enables decision makers to assess the decisions they can make in the face of different unknown circumstances and to evaluate how they can effectively allocate limited resources to areas where the highest risks or best opportunities exist.

## 3.3 Flight Data Analysis (FDA)



### ORG 3.3.1

If the Operator conducts flights with aircraft that have a maximum certified takeoff mass in excess of 27,000 kg (59,525 lb), the Operator shall have a flight data analysis (FDA) program that requires a systematic download and analysis of electronically recorded flight data from applicable aircraft in its fleet. The FDA program shall be non-punitive and be integrated in the Operator's SMS. **[SMS] [MA] (GM)**

**Note:** *Conformity with this provision is possible only when the Operator is also in conformity with [ORG 3.3.3](#), [3.3.4](#) and [3.3.5](#).*

### Auditor Actions

- ☐ **Identified/Assessed** FDA program (focus: program is non-punitive and is applied to aircraft in the fleet with a MCTOM greater than 27 000 kg).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Interviewed** FDA program manager.
- ☐ **Assessed** processes/systems for download of electronically recorded flight data (focus: usable program data is downloaded from all applicable aircraft types in the operator's fleet).
- ☐ **Assessed** status of conformity with [ORG 3.3.3](#), [3.3.4](#) and [3.3.5](#).



- ❑ **Observed** FDA program resources and activities.
- ❑ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Flight Data Analysis (FDA) Program.

The FDA program fits into the Safety Assurance (safety performance monitoring/measuring) and Safety Risk Management (hazard identification) components of the SMS framework.

A systematic download and analysis of electronically recorded aircraft flight data would typically include:

- Systems on applicable aircraft that:
  - Capture flight data and permit rapid download through use of an optical disc/PC or equivalent, or
  - Capture and automatically transmit encrypted aircraft data through a ground link to a ground station.
- A ground system that transforms raw digital flight data into a usable form of information that can then be verified, processed and categorized for analysis;
- One or more ground stations (usually a desk top computer loaded with the appropriate software) to permit the analysis of flight data to identify deviations from expected performance;
- A secure database that protects and permits retention, retrieval and use of program data (e.g. data mining, research, event development).

In addition to the above, an FDA program might include optional flight animation software that provides a visual simulation of actual flight events.

The practice of analyzing recorded data from routine flight operations is a cornerstone in support of an operator's accident prevention programs. Rather than reacting to serious incidents, an effective FDA program enables a proactive identification of safety hazards associated with flight operations.

An FDA program is also used for:

- Routine flight operational measurements;
- Incident investigations;
- As applicable, continuing airworthiness.

A key element in developing an FDA program is gaining the support of flight crew members. Such support is typically achieved through a policy and/or procedures and a formal agreement that lays out the conditions for ensuring the program is non-punitive and downloaded flight data is de-identified and secure. If applicable, such policy and/or procedures would typically be set forth in a formal agreement with the association that represents flight crew members.

It is important that the FDA program clearly defines the meaning of a non-punitive environment and that relevant program participants, particularly flight crew members:

- Have a clear understanding of the types of operational behaviors that are unacceptable, and the conditions under which disciplinary action would or would not apply.
- Are provided with enough information about the process to ensure a perception of fair treatment in accordance with program policy and procedures.
- Have confidence that non-punitive principles will be applied in the treatment of events identified under the FDA program.

An effective FDA program typically includes assurance that:

- Flight data and other relevant information are analyzed thoroughly such that, as far as reasonably practicable, all relevant factors associated with an event are identified, not just the action or inaction of specific individuals.
- Investigation of FDA events focuses on systemic issues that might influence behaviors, rather than on individual actions.

- Individuals involved in the investigation of an event will be treated fairly based on the quality of their behavioral choices.
- Factual details of an event are provided to relevant operational managers for an objective review of all factors involved.

All or certain specific elements of the FDA program might be outsourced to an external service provider; however, the operator would retain overall responsibility for the maintenance of the program.

The most comprehensive approach to flight data analysis would include not only the systematic download and analysis of recorded aircraft flight data, but also acquisition, correlation and analysis of other information derived from operational safety reports, regulatory authorities, investigative bodies, OEMs and other operators.

Further guidance may be found in the following source documents:

- ICAO Doc 9859, Safety Management Manual, and ICAO Doc 10000, Manual on Flight Data Analysis Programmes (FDAP).
- CASA CAAP SMS-4(0), Guidance on the establishment of a Flight Data Analysis Program (FDAP)—Safety Management Systems (SMS).
- FAA Advisory Circular AC No: 120-82, Flight Operational Quality Assurance.
- UK CAA CAP 739, Flight Data Monitoring.

Refer to [ORG 3.3.5](#), which addresses the integration of the FDA program in an operator's SMS.

### ORG 3.3.2

The Operator *should* have a flight data analysis (FDA) program in accordance with [ORG 3.3.1](#) that is applied to aircraft in its fleet with a certified takeoff mass in excess of 20 000 kg (44,092 lb). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** FDA program (focus: program is non-punitive and is applied to aircraft in fleet with MCTOM greater than 20 000 kg).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Interviewed** FDA program manager.
- ☐ Assessed processes/systems for download of electronically recorded flight data (focus: usable data are downloaded from all applicable aircraft types in the operator's fleet).
- ☐ **Other Actions** (Specify)

#### Guidance

An FDA program for aircraft with a certified takeoff mass in excess of 20 000 kg (44,092 lb) but less than 27,000 kg (59,525 lb), will typically contain processes and procedures as specified in [ORG 3.3.3](#), [3.3.4](#) and [3.3.5](#).

### ORG 3.3.3

If the Operator has an FDA program in accordance with [ORG 3.3.1](#), the Operator shall ensure such program has processes for:

- (i) Interpretation and analysis of flight and aircraft technical data;
- (ii) Flight crew liaison, including permission and responsibility for confidential discussions with flight crew members involved in events highlighted by FDA;
- (iii) Data collection that comprises data that are representative of all aircraft operations for each applicable fleet type;
- (iv) Dissemination of de-identified information to relevant operational personnel;
- (v) Training and qualification of personnel as appropriate to perform assigned program functions. **(GM)**

**Auditor Actions**

- ☐ **Identified** FDA program processes (focus: program includes all required processes).
- ☐ **Interviewed** FDA program manager.
- ☐ **Examined** FDA program job descriptions (focus: tasks/qualifications appropriate for program functions performed).
- ☐ **Assessed** processes for interpretation/analysis of flight/aircraft technical data (focus: data format and qualifications of personnel appropriate for interpretation/analysis of FDA data).
- ☐ **Identified flight crew liaison process.**
- ☐ **Assessed** data collection process(es) (focus: data collected is representative of all applicable aircraft operations).
- ☐ **Examined** selected records that reflect FDA data dissemination.
- ☐ **Assessed** training and qualification processes (focus: personnel are appropriately trained and qualified for program functions performed).
- ☐ **Other Actions** (Specify)

**Guidance**

Responsibilities within FDA program processes may be shared among individuals based on the size and complexity of an operator's organization.

FDA program processes may be outsourced to external service providers, but the operator is always responsible for the performance of the program.

The intent of items (i) and (ii) is that functions in program processes are performed by personnel that have experience, skills and/or capabilities appropriate for the function(s) performed:

Personnel that provide interpretation and analysis of flight technical data are typically flight crew members that have an in-depth understanding of the operator's aircraft types, operating procedures, routes and airports.

Personnel that provide interpretation and analysis of aircraft technical data typically have maintenance engineering and/or appropriated maintenance technical experience and are familiar with the operator's power plant/structures/systems departments, information sources/requirements and engineering monitoring programs.

Personnel that perform flight crew liaison (i.e. the "gatekeeper" function) would typically have integrity, good judgement and the trust of both flight crew members and company management.

The intent of item (v) is a training and qualification program that ensures personnel are competent to perform assigned duties and functions within the FDA program. Personnel would typically complete initial training prior to the performance of any program functions and subsequent recurrent training to ensure continued competency.

Refer to [ORG 3.3.4](#), which addresses the management and protection of program data and information.

**ORG 3.3.4**

If the Operator has an FDA program in accordance with [ORG 3.3.1](#), the Operator shall have standards for the management and protection of program data and information that define:

- (i) Methods for ensuring the integrity and validity of downloaded flight data;
- (ii) Policies and procedures for data de-identification and confidentiality;
- (iii) Methods for maintaining and presenting event and exceedance information for trend analysis;
- (iv) Policies and procedures for data retention, retrieval and archiving;
- (v) Processes for assessing and improving data management policies, methods and procedures. **(GM)**.

### Auditor Actions

- ☐ **Assessed** FDA program data management/protection (focus: program standards define all aspects of management and protection of data).
- ☐ **Interviewed** FDA program manager.
- ☐ **Examined** selected records/examples of data management/protection (focus: policies/methods/procedures consistent with program standards for ensuring effective data management/protection).
- ☐ **Other Actions** (Specify)

### Guidance

Effective management and protection of FDA program data and information is needed to ensure the success, and perhaps even the survival, of an FDA program.

FDA data de-identification is a critical aspect of protection and therefore is normally well defined in program standards. The operator will typically provide a clear statement that assures the nondisclosure of flight crew individuals associated with or linked to FDA events, except when it can be determined there is an unacceptable safety risk if specific action regarding the flight crew is not taken.

In general, a successful FDA program requires the establishment of an acceptable level of trust between management and its flight crews. Therefore, the safety intent of the FDA program will be clearly documented so it is understood by all participants, and the conditions of use and protection of program data and information will be explicitly defined in a formal agreement involving the operator's management, representatives of its flight crews and the participating regulatory authority.

More detailed information regarding FDA program data management and protection may be found in the source documents referenced in the guidance associated with [ORG 3.3.1](#).

### ORG 3.3.5

If the Operator has an FDA program in accordance with [ORG 3.3.1](#), the Operator shall have processes to ensure program findings (e.g. hazards, adverse events and trends, airworthiness issues) are coordinated with relevant operational areas of the organization for further validation and assessment, and for a determination of appropriate follow-up action. Such coordination and follow-up action shall be accomplished within the SMS as follows:

- (i) Hazard identification and safety risk assessment and mitigation in accordance with [ORG 3.1.1](#) and [ORG 3.2.1](#).
- (ii) Event investigation in accordance with [ORG 3.5.1](#) and [ORG 3.5.2](#).
- (iii) Continuing airworthiness assessment in accordance with Maintenance Management Manual (MMM) procedures as specified in [MNT 1.7.1](#) and [Table 4.3. \(GM\)](#)

### Auditor Actions

- ☐ **Identified/Assessed** organizational safety risk assessment/mitigation program (focus: process for analysis of safety data to predict future risks).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected results of data analysis performed to predict future risks.
- ☐ **Examined** examples of action(s) taken to address future risks identified from safety data analysis.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to standards in ICAO Annex 6, which specify an FDA program as part of an operator's SMS. The primary aim of an FDA program is the continuous improvement of the operator's overall safety performance. Therefore, the FDA program, which functions to monitor and measure flight safety performance, is integrated in the Safety Assurance component of the operator's SMS.

The FDA program is also used for safety hazard identification and, as such, is integrated in the Risk Management component of the operator's SMS. Within an SMS there are typically multiple systems used as sources for hazard identification (e.g. accident/incident investigation, operational safety reporting, change management). Therefore, risk management processes are integrated in the operator's SMS to ensure an efficient use of resources and processes, and, where possible, to eliminate or reduce duplicated processes.

Refer to ICAO Doc 9859, Safety Management Manual, and ICAO Doc 10000, Manual on Flight Data Analysis Programmes (FDAP), for more detailed information regarding integration of the FDA program into the operator's SMS.

## 3.4 Specific Risk Assessments

### ORG 3.4.1

The Operator *should* have a policy and procedures for the transport of items in the cargo compartment, which include the conduct of a specific safety risk assessment. Such risk assessment should, as a minimum, include consideration of the following factors:

- (i) Hazards associated with the properties of the items to be transported;
- (ii) Capabilities of the operator;
- (iii) Operational considerations (e.g. area of operations, diversion time);
- (iv) Capabilities of the aircraft and its systems (e.g. cargo compartment fire suppression capabilities);
- (v) Containment characteristics of unit load devices;
- (vi) Packing and packaging;
- (vii) Safety of the supply chain for items to be transported;
- (viii) Quantity and distribution of dangerous goods items to be transported. **(GM)**

**Note:** Mitigation resulting from the safety risk assessment should ensure, to an acceptable level of risk, that in the event of a fire involving items in the cargo compartment, such fire will be detected and sufficiently suppressed or contained by the aircraft cargo compartment fire protection system until a safe landing can be made.

△ **Note:** Effective 1 January, 2026, this recommended practice will be upgraded to a standard; IOSA registration will require conformance by the Operator.

### Auditor Actions

- ☐ **Identified/Assessed** policy and procedures for the transport of items in the cargo compartment: (focus: policy and procedures include safety risk assessment for all items).
- ☐ **Identified/Assessed** process for risk assessment/mitigation (focus: includes involvement of applicable operational disciplines; assessment considers all specified factors; mitigation measures are developed).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** records/documents that illustrate the safety risk assessment process for selected cargo compartment items (focus: all applicable disciplines involved; all specified factors considered; risk mitigation measures developed and integrated in the appropriate operational disciplines).
- ☐ **Coordinated** to verify safety risk mitigation measures for items are implemented in the appropriate operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of COMAT (Company Material).

The intent of this provision is the management of risks associated with the transport of items that, either individually or collectively, might produce a fire that could exceed the cargo compartment fire suppression capabilities demonstrated during aircraft certification (e.g. lithium batteries).

The term 'items' as specified in this provision includes all of the following:

- Cargo (including COMAT and stores);
- Passenger and crew checked baggage;
- Mail;
- Onboard equipment used in the transport of cargo, baggage, or mail (e.g. unit load devices).

The safety risk assessment specified in this provision is not intended to be conducted by the operator on a flight-by-flight basis, but rather conducted initially to establish a baseline risk rating for all types of items that might be transported in the cargo compartment of aircraft during normal operations.

If an operator deviates from the operations that defined the initial risk assessment, then such assessment would be revisited or updated to ensure new hazards have not been introduced by the change in operations. And, even if there are no changes to operations, the risk assessment would be revisited periodically as part of the operator's overall safety management activities to proactively mitigate safety risks before they result in an accident or serious incident.

The type of goods that an operator routinely accepts for transport can directly affect the considerations for hazard identification. For example, an operator that *primarily* transports live animals and perishables (e.g. flowers, fresh food) could reasonably conclude that the risk of a fire, which is a possible consequence of some hazards, is lower than the transport of general cargo. Likewise, the transport of cargo that is itself a potential ignition source would pose a higher risk of fire than the transport of general cargo.

Operators carrying COMAT would have procedures that control the type, quantity, and packaging of such items to be transported. Special procedures, similar to those required for special cargo, would be needed to transport some items of COMAT.

As specified in item (vii), a safety risk assessment would consider the possibility of hazards that might result from or be associated with the supply chain of items that will be transported in the cargo compartment of the operator's aircraft. The process of moving items from origin to destination (i.e. the supply chain) is often very complex. Items might be handled by different entities with varying responsibilities (e.g. shippers, postal operators, freight forwarders, ground handlers, air operators) and could include different modes of transport (e.g. sea, road, rail) as well as different flights. In addition, there could be regional variances in performance that raise the hazard probability.

Therefore, to identify the probability of hazards associated with the supply chain process, an operator might consider an analysis of data that can indicate the possibility of any of the following:

- Damage to items through any part of the supply chain;
- Shippers deliberately or unintentionally offering dangerous goods for transport without declaring them;
- Shippers improperly classifying, packing, marking or labelling dangerous goods;
- Freight forwarders accepting undeclared dangerous goods from shippers;
- Dangerous goods prohibited in the mail;
- Passengers carrying prohibited dangerous goods in baggage.

It is the responsibility of the aircraft design approval holders to provide core technical information to operators regarding the technical capabilities of the elements of the aircraft related to fire detection and suppression/extinguishing as required by the applicable certification requirements. The operator can conduct an effective safety risk assessment on the transport of items in a cargo compartment only if there is a full understanding of the performance capability of the cargo compartment systems, as well as the overall aircraft systems, to handle any identified hazard associated with a particular item.

More detailed information may be found in ICAO Doc 10102, Guidance for Safe Operations Involving Aeroplane Cargo Compartments.



### 3.5 Occurrence Handling

#### ORG 3.5.1

The Operator shall have a process for the investigation of aircraft accidents and incidents, to include reporting of events in accordance with requirements of the State. **[SMS] [MA] (GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** accident investigation process (focus: process includes compliance with regulatory accident/incident reporting requirements; output includes final report with recommendations).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected accident and incident reports (focus: investigation identifies operational safety hazards, produces recommendations to prevent recurrence/mitigate risk).
- ☐ **Other Actions** (Specify)

##### Guidance

Accident and incident investigation is considered a *reactive* hazard identification activity in an SMS.

A primary purpose of accident and incident investigation is hazard identification, which is an element of the Safety Risk Management component of the SMS framework.

Investigations typically result in a report that describes the factors that contributed to the event, which is then made available to responsible senior operational managers to permit them to evaluate and implement appropriate corrective or preventive action.

An effective investigation process typically includes:

- Qualified personnel to conduct investigations (commensurate with operation size);
- Procedures for the conduct of investigations;
- A process for reporting investigative results;
- A system for implementing any corrective or preventive action;
- An interface with relevant external investigative authorities (when applicable);
- A process for the dissemination of information derived from investigations.

To ensure awareness among operational personnel, information derived from investigations is disseminated to relevant areas throughout the organization.

In the event of a major accident, an operator responds to and possibly participates in an investigation in accordance with provisions contained in ICAO Annex 13. Such capability requires an operator to maintain an ongoing interface with relevant investigative authorities to ensure preparedness in the event a major accident occurs.

Expanded guidance may be found in the ICAO SMM, Document 9859.

#### ORG 3.5.2

The Operator shall have a process for identifying and investigating irregularities and other non-routine operational occurrences that might be precursors to an aircraft accident or incident. **[SMS] (GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** process for identification/investigation of irregularities/non-routine occurrences (focus: process output includes final report with recommendations).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected irregularity/non-routine occurrence reports (focus: process identifies operational safety hazards, produces recommendations to mitigate risk).
- ☐ **Other Actions** (Specify)



### Guidance

Investigation of operational irregularities is considered a *reactive* hazard identification activity in an SMS.

A primary purpose of investigating non-routine operational occurrences is hazard identification, which is an element of the Safety Risk Management component of the SMS framework.

The investigation of irregularities or non-routine occurrences is a hazard identification activity. Minor events, irregularities and occurrences occur often during normal operations, many times without noticeable consequences. Identifying and investigating certain irregular operational occurrences can reveal system weaknesses or deficiencies that, if left un-checked, could eventually lead to an accident or serious incident. These types of events are referred to as *accident precursors*.

A process to monitor operations on a regular basis permits the identification and capture of information associated with internal activities and events that could be considered precursors. Such events are then investigated to identify undesirable trends and determine contributory factors.

The monitoring process is typically not limited to occurrences, but also includes a regular review of operational threats and errors that have manifested during normal operations. Monitoring of normal operations can produce data that further serve to identify operational weaknesses and, in turn, assist the organization in developing system solutions.

As with the investigation of accidents and serious incidents, the investigation of minor internal occurrences results in a report that is communicated to relevant operational managers for analysis and the possible development of corrective or preventive action.

Expanded guidance may be found in the ICAO SMM, Document 9859.

## 3.6 Cybersecurity Risk Management

### ORG 3.6.1

The Operator *should* ensure critical information and communications technology systems and data used in operations and maintenance functions are identified and, in accordance with risk management principles, appropriate measures are developed and implemented to protect them from unlawful interference. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** definition of critical information and communications technology systems and data.
- ☐ **Interviewed** manager and/or designated management representative(s).
- ☐ **Examined** selected records/documents that demonstrate application of the process.
- ☐ **Coordinated** to verify implementation of process in all operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

The protection of critical technology systems and data from unlawful interference will typically include a risk management process to ensure:

- Critical information and communications technology systems and data used in operations and maintenance functions are identified;
- Threats relevant to the identified assets are analyzed to determine corresponding risks to operations and maintenance functions;
- Risks are assessed to determine, develop and implement the required risk mitigation measures or actions.

Examples of communications technology systems and data used in operations and maintenance functions could include the following:

- Flight planning/dispatch systems and data used to support it
- Load control systems and data
- Aircraft performance calculation systems and data
- Reservation/DCS systems
- Baggage reconciliation systems
- EFB (Electronic Flight Bag)
- Aircraft maintenance systems/MCS
- Training and scheduling/rostering systems
- Communication systems/ACARS
- Navigation systems

The process of risk assessment, which is established at the operations life cycle and maintenance level, would include the following steps:

- Define how to identify the risks that could cause the loss of confidentiality, integrity, and/or availability of your critical information and/or data.
- Define how to identify the risk owners for each risk.
- Define criteria for assessing consequences and assessing the likelihood of the occurrence.
- Define how the risk will be calculated.
- Define criteria for accepting risks.
- Risk owners accept the residual risks and approve the risk treatment plan.

The identification and categorization of critical information and communications technology systems and data would be based on an impact analysis. Once this step is completed, each identified asset would go through the evaluation of threats against it, the development of security requirements and the selection of security controls that will protect it.

The selection of security controls, which support technical, operational and management security performance requirements and are within the confidentiality, integrity, and availability (CIA) context, would ideally follow relevant guidance where available.

After implementation of the selected security controls, the operator would continue to assess cyber threats relative to the identified assets, determine any residual risks to aircraft operations and determine the need for additional mitigating actions to supplement or replace existing security controls.

Refer to [SEC 4.1.1](#) for expanded information related to cybersecurity and cybersecurity threats to civil aviation.

## 4 Improvement and Promotion, Training

### 4.1 Management Review



#### ORG 4.1.1

The Operator shall ensure the management system is reviewed at intervals not exceeding one year to ensure its continuing suitability, adequacy and effectiveness in the management and control of operations and associated risks. The review shall include assessing opportunities for improvement and the need for changes to the system, including, but not limited to:

- (i) Organizational structure;
- (ii) Defined safety objectives;
- (iii) Reporting lines, authorities, responsibilities;
- (iv) Policies, processes and procedures;



- (v) Allocation of resources;
- (vi) Identification of training needs. **[MA] (GM)**

## Auditor Actions

- ☐ **Identified/Assessed** corporate management review process (focus: process identifies organizational opportunities for changes/improvement to management system).
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Examined** selected records of management review meetings.
- ☐ **Examined** selected examples of output from management review process (focus: changes implemented to improve organizational performance).
- ☐ **Other Actions** (Specify)

## Guidance

Management review is a necessary element of a well-managed company that provides a medium through which organizational control and continual improvement can be delivered. To be effective, a formal management review takes place on a regular basis, typically once or more per year. The management review would focus on the entire management system, including the assessment of the effectiveness of the SMS processes.

The management review would typically be conducted by a strategic committee of senior management officials that are familiar with the workings and objectives of the management system. If the review of the SMS is conducted separately, such committee is typically referred to as a Safety Review Board (SRB), which is a very high level, strategic committee chaired by the AE and composed of senior managers, including senior line managers responsible for functional areas in operations (e.g. flight operations, engineering and maintenance, cabin operations).

To ensure frontline input as part of the review process, an operator would form multiple units of specially selected operational personnel (e.g. managers, supervisors, frontline personnel) that function to oversee safety in areas where operations are conducted. Such units are typically referred to as Safety Action Groups (SAGs), which are tactical committees that function to address implementation issues in frontline operations to satisfy the strategic directives of the SRB.

An appropriate method to satisfy this requirement is a periodic formal meeting of senior executives. The agenda of the meeting would typically include a general assessment of the management system to ensure all defined elements are functioning effectively and producing the desired operational safety outcomes consistent with defined safety objectives.

Senior management ensures deficiencies identified during the management review are addressed through the implementation of organizational changes that will result in improvements to the management system.

Input to the management review process would typically include:

- Results of audits;
- Findings from operational inspections and investigations;
- Operational feedback;
- Incidents and near-miss reports;
- Changes in regulatory policy or civil aviation legislation;
- Process performance and organizational conformance;
- Status of corrective and preventative actions;
- Results from implementation or rehearsal of the emergency response plan (ERP);
- Follow-up actions from previous management reviews;
- Feedback and recommendations for management system improvement;
- Regulatory violations.

Output from the management review process would typically include decisions and actions related to:

- Improvement of the processes throughout the management system;
- Safety and security requirements;
- Resource needs.

The management review is a formal process, which means documentation in the form of meeting schedules, agendas and minutes are produced and retained. Additionally, the output of the management review process would normally include action plans for changes to be implemented within the system where deemed appropriate.

Examples of strategies that might improve the overall effectiveness of the management review process include:

- Integrating the management review meeting into other performance review meetings;
- Scheduling management review meetings frequently enough to ensure any action that might be required is timely;
- Ensuring senior managers understand their responsibilities as part of the review process;
- Ensuring action items resulting from meetings are documented and progress is tracked;
- Ensuring there is always a responsible name associated with action items.

Expanded guidance related to review of the SMS may be found in the ICAO SMM, Document 9859.

#### ORG 4.1.2

The Operator shall have a process to ensure significant issues arising from quality assurance and risk management are subject to management review in accordance with [ORG 4.1.1](#). **[SMS] (GM) ►**

**Note:** *Conformity with this provision is possible only when the Operator is in conformity with all repeats of this provision in other ISM sections.*

#### Auditor Actions

- ☐ **Identified/Assessed** corporate management review process (focus: quality assurance and risk management issues are included in the management review process).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Interviewed** quality assurance program manager.
- ☐ **Examined** selected records/documents of management review (focus: specific issues/changes identified/implemented to improve quality assurance and risk management programs).
- ☐ **Coordinated** to verify management review of significant quality assurance issues in all operational areas.
- ☐ **Other Actions** (Specify)

#### Guidance

Management review supports safety performance monitoring and continuous improvement of the SMS, which are elements of the Safety Assurance component of the SMS Framework.

Such review permits senior management to consider quality assurance and risk management issues that have the potential to affect the safety of operations and then ensure appropriate corrective or preventive actions are implemented and are being monitored for effectiveness in preventing accidents and incidents.

Refer to the IAH for information that identifies repeats of this ORG provision in other ISM sections.

#### ORG 4.1.3

The Operator shall have processes to monitor and assess its SMS processes in order to maintain or continually improve the overall effectiveness of the SMS. **[SMS] (GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** SMS review process (focus: processes for monitoring and assessing SMS to maintain/improve safety performance).
- ☐ **Interviewed** AE and/or designated management representative(s).

- ☐ **Examined** selected examples of output from SMS review process (focus: changes implemented to maintain/improve organizational safety performance).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Safety Assurance, Safety Action Group (SAG) and Safety Review Board (SRB).

Safety performance monitoring and measurement is an element of the Safety Assurance component of the SMS framework.

Monitoring and assessing the effectiveness of SMS processes would normally be the function of a strategic committee of senior management officials that are familiar with the workings and objectives of the SMS. Such committee is typically referred to as a Safety Review Board (SRB), which is a very high-level, strategic committee chaired by the AE and composed of senior managers, including senior line managers responsible for functional areas in operations (e.g. flight operations, engineering and maintenance, cabin operations).

To ensure frontline input as part of the SMS review process, an operator would form multiple units of specially selected operational personnel (e.g. managers, supervisors, frontline personnel) that function to oversee safety in areas where operations are conducted. Such units are typically referred to as Safety Action Groups (SAGs), which are tactical committees that function to address implementation issues in frontline operations to satisfy the strategic directives of the SRB.

Expanded guidance may be found in the ICAO SMM, Document 9859.

## 4.2 Safety Communication

### ORG 4.2.1

The Operator shall have a system that enables effective communication of safety and operational information throughout the management system and in all areas where operations are conducted. Such system shall ensure:

- (i) Personnel maintain an awareness of the SMS;
- (ii) Safety-critical information is conveyed;
- (iii) External service providers are provided with information relevant to operations conducted.

**[SMS] [MA] (GM) ►**

## Auditor Actions

- ☐ **Identified/Assessed** organizational communication system (focus: safety and operational information is communicated throughout the organization and to relevant external service providers).
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Examined** examples or records of information communication.
- ☐ **Interviewed** selected management system personnel.
- ☐ **Coordinated** to verify implementation of communication system in all operational areas.
- ☐ **Other Actions** (Specify)

## Guidance

Safety communication is an element of the Safety Promotion component of the SMS framework.

An effective communication system ensures the exchange of operational and safety-related information throughout all areas of the organization and includes senior managers, operational managers and front-line personnel.

To be totally effective, the communication system would also include external organizations that conduct outsourced operational functions. Communication with external service providers would typically be limited to information that is pertinent and relevant to the provider's services delivered to the operator. It would be at the operator's discretion to define the extent and content of such communication and the delivery method(s) to be used.

Methods of internal communication will vary according to the size and scope of the organization. However, to be effective, methods are as uncomplicated and easy to use as is possible and facilitate the reporting of operational deficiencies, hazards or concerns by operational personnel.

Specific methods of communication between management and operational personnel could include:

- Email, Internet;
- Safety or operational reporting system;
- Communiqués (e.g. letters, memos, bulletins);
- Publications (e.g. newsletters, magazines).

If email is used as an official medium for communication with operational personnel, the process is typically formalized by the operator to ensure control and effectiveness.

The general intent of safety communication is to foster a positive safety culture in which all employees receive ongoing information on safety issues, safety metrics, specific hazards existing in the workplace and initiatives to address known safety issues. Such communication typically conveys safety-critical information, explains why particular actions are taken to improve safety and why safety procedures are introduced or changed.

Information and issues relevant to safety performance are typically derived from various sources such as, but not limited to, the quality assurance/flight safety analysis programs, operational safety reporting and accident/incident investigations.

Expanded guidance may be found in the ICAO SMM, Document 9859.

## 4.3 Training

### ORG 4.3.1

The Operator shall have a program that ensures its personnel are trained to understand SMS responsibilities and competent to perform associated duties. The scope of such training shall be appropriate to each individual's involvement in the SMS. **[SMS] [MA] (GM) ►**

**Note:** The specifications of this provision are applicable to personnel of the Operator.

**Note:** Conformity with this ORG provision is possible only when the Operator is in conformity with all repeats of this provision in other ISM sections.

#### Auditor Actions

- ☐ **Identified/Assessed** SMS training program (focus: program ensures training for the operator's personnel as appropriate to individual SMS involvement).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected SMS training curricula/syllabi (focus: personnel are trained to understand SMS responsibilities and to perform associated SMS duties).
- ☐ **Examined** selected management/non-management personnel training records (focus: completion of SMS training relevant to individual involvement in the SMS).
- ☐ **Coordinated** to verify SMS training is implemented in all operational areas.
- ☐ **Other Actions** (Specify)

#### Guidance

SMS training is an element of the Safety Promotion component of the SMS framework.

Within an operator's organization there are personnel that perform duties that are directly or indirectly related to the safety of aircraft operations. All such personnel thus have an involvement in the operator's SMS. This applies to management and non-management personnel in frontline operational positions and could also include others that perform certain administrative functions. The intent of this provision is for the operator to have a program that ensures personnel are trained and competent to perform their SMS duties. Such program would include training for support staff, operational personnel, managers and supervisors, senior managers and the accountable executive.

The content of safety training is appropriate to each individual's involvement in the SMS and typically includes or addresses some or all of the following subject areas:



- Organizational safety policies, goals and objectives;
- Organizational safety roles and responsibilities related to safety;
- Organizational SMS processes and procedures;
- Basic safety risk management principles;
- Safety reporting systems;
- Human factors.

Recurrent training would be offered at the option of the operator to ensure personnel maintain continuing competency in SMS duties. If offered, such training would typically focus on changes to SMS policies, processes and procedures as well as any specific safety issues relevant to the organization.

An operator may use various methods to verify if personnel are competent to perform their duties at the conclusion of the training. The methods used would be solely at the discretion of the operator and would typically be based on the depth and detail of the training provided. Such methods may include a combination of the following:

- Including knowledge checks during the training modules;
- Performing Q&A sessions at the conclusion of a module or training session;
- Including practical exercises with feedback;
- Observing the staff member during the performance of SMS duties;
- Administering an oral or written test;

Refer to the IAH for information that identifies repeats of this ORG provision in other ISM sections. Expanded guidance may be found in the ICAO SMM, Document 9859.

### ORG 4.3.2

If the Operator outsources operational functions to external service providers, the Operator *should* have a program that ensures personnel of external service providers are trained to understand SMS responsibilities and perform associated duties. The scope of such training *should* be appropriate to individual involvement in the Operator's SMS. **[SMS] (GM) ►**

**Note:** The specifications of this provision are applicable to personnel of an external service provider that performs operational functions for the Operator.

**Note:** Conformity with this ORG recommended practice is possible only when the Operator is in conformity with all repeats of this recommended practice in other ISM sections.

### Auditor Actions

- ☐ **Identified/Assessed** SMS training program (focus: program ensures training for personnel of external service providers as appropriate to individual SMS involvement).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected outsourcing contracts/agreements (focus: inclusion of requirement of SMS training for service provider personnel).
- ☐ **Examined** selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures personnel of service providers have completed SMS training).
- ☐ **Coordinated** to verify SMS training for external service provider personnel is implemented in applicable operational areas.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Operational Function.

SMS training is an element of the Safety Promotion component of the SMS framework.

If an operator outsources operational functions, it would typically define initial and recurrent training standards to ensure training of service provider personnel is consistent with and meets the requirements of its own SMS.



Recurrent training for personnel of providers, although recommended, would be specified at the option of the operator.

Training in accordance with this provision may be conducted by the operator, or by the service provider or other organization as long as the content and delivery of such training satisfies the SMS requirements of the operator.

The scope and content of such training would typically take into account the following:

- Training required for personnel that would perform the same operational function within the operator's organization;
- Individual personnel function(s) as related to the operator's SMS;
- Exposure and/or involvement of the provider's personnel to the operational environment;
- SMS elements the service provider already has in place.

Based on a risk assessment and considering the above factors, an operator may conclude that SMS training is not required for personnel of providers that perform certain operational functions.

An operator might consider any of the following options as means for ensuring personnel of service providers complete training that satisfies the requirements of its own SMS:

- If a service provider has an SMS, accept the service provider's SMS training;
- If a service provider has an SMS, specify training in addition to that of the service provider (i.e. gap training) as applicable to ensure its own SMS requirements are satisfied;
- Have applicable personnel of service providers complete the operator's own SMS training;
- Deliver targeted or specific SMS training to personnel of service providers (e.g. hazard recognition, use of the operational safety reporting system).

Refer to the IAH for information that identifies repeats of this ORG provision in other ISM sections.

⊗

**Table 1.1–Documentation System Specifications**

**As specified in ORG 2.5.1**, the Operator shall have a system for the management and control of documentation and/or data used directly in the conduct or support of operations. Such system shall comprise the elements specified below.

**Note:** Refer to the IRM for the definitions of Documentation, Electronic Documentation and Paper Documentation.

Elements		Documentation Types		
		Type 1	Type 2	Type 3
(i)	Identification of the version and effective date of relevant documents and/or data.	Recommended	Recommended	Required <sup>Note</sup>
(ii)	Identification of the title and, if applicable, sub-titles of relevant documents and/or data.	Recommended	Recommended	Required <sup>Note</sup>
(iii)	Distribution and/or dissemination that ensures all users are provided relevant documents and/or data on or before the effective date: (a) Throughout appropriate areas of the organization; (b) To external service providers that conduct outsourced operational functions.	Required <sup>Note</sup>	Required <sup>Note</sup>	Required <sup>Note</sup>
(iv)	Definition of the specific media type(s) designated for presentation or display of the controlled version of relevant documents and/or data.	Required <sup>Note</sup>	Required <sup>Note</sup>	Required <sup>Note</sup>
(v)	Definition of documentation and/or data that is considered to be reproduced and/or obsolete.	Required <sup>Note</sup>	Required <sup>Note</sup>	Required <sup>Note</sup>
(vi)	Review and revision to maintain the currency of relevant documents and/or data.	Required <sup>Note</sup>	Required <sup>Note</sup>	Required <sup>Note</sup>
(vii)	Retention that ensures access to the content of relevant documents and/or data for a minimum period as defined by the Operator.	Required <sup>Note</sup>	Required <sup>Note</sup>	Required <sup>Note</sup>
(viii)	Provision for a scheduled backup by copying and archiving relevant documents and/or data, to include validation of the documents or data being backed up.	Required <sup>Note</sup>	Required <sup>Note</sup>	Required <sup>Note</sup>
(ix)	Identification and allocation of documentation access/user and modification rights.	Required <sup>Note</sup>	Required <sup>Note</sup>	Required <sup>Note</sup>
(x)	Dissemination and/or accessibility of documentation received from external sources such as regulatory authorities and original equipment manufacturers.	Required <sup>Note</sup>	Required <sup>Note</sup>	Required <sup>Note</sup>
(xi)	Identification of requirement for regulatory approval and/or acceptance.	Required <sup>Note</sup>	Required <sup>Note</sup>	Required <sup>Note</sup>

**Note:** Required for conformity with ORG 2.5.1.

**Table 1.2–Required Internal Audit Information**

As specified in [ORG 2.1.4](#), the Operator shall ensure the following information associated with the internal audit of individual ISARPs is recorded and retained:

- (i) The alpha-numeric identifier;
- (ii) Appropriate documentation reference(s) (from the Operator's documentation system);
- (iii) Auditor name(s);
- (iv) Audit date(s);
- (v) Auditor Actions accomplished by auditor(s) to provide evidence of implementation;
- (vi) If applicable, a description of non-conformance(s) and:
  - (a) The root cause(s) of non-conformance(s);
  - (b) The corrective action(s) implemented to address non-conformance(s).
- (vii) If applicable, a description of non-applicability (N/A);
- (viii) The current status of conformance (documented and implemented). **GM**

**Note:** The above-specified audit information may be retained in the Operator's electronic database as specified in [ORG 2.1.4](#) and [ORG 2.4.1](#), or in controlled procedural documents.

## Section 2 — Flight Operations (FLT)

### Applicability

[Section 2](#) addresses safety and security requirements for flight operations, and is applicable to an operator that uses two-pilot, multi-engine aircraft with a maximum certificated takeoff mass in excess of 5,700 kg (12,566 lbs.) to conduct:

- Passenger flights with or without cabin crew;
- Cargo flights with or without the carriage of passengers or supernumeraries.

Additionally, the IOSA standards and recommended practices (ISARPs) in [Section 2](#) are applicable only to those aircraft that are of the type authorized in the Air Operator Certificate (AOC) and used in commercial passenger and/or cargo operations unless applicability is extended to encompass non-commercial operations as stated in a note immediately under the body of the provision.

Individual FLT provisions or sub-specifications within a FLT provision that:

- Do not begin with a conditional phrase are applicable unless determined otherwise by the Auditor.
- Begin with a conditional phrase (“If the Operator...” ) are applicable if the operator meets the condition(s) stated in the phrase.

Certain flight crew training ISARPs in [sub-section 2](#) contain a Conformance Applicability (CA) table, which is an integral part of the standard or recommended practice. Refer to the ISM Introduction for a description of a Conformance Applicability (CA) table.

Where an operator outsources flight operations functions to external service providers, an operator retains responsibility for ensuring the management of safety in the conduct of such operations and must demonstrate processes for monitoring applicable external service providers in accordance with [FLT 1.11.2](#).

Some cabin safety specifications applicable to functions or equipment within the scope of flight operations are located in [Section 5 \(CAB\)](#) of this manual.

### General Guidance

The definitions of technical terms used in this ISM [Section 2](#), as well as the list of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

## 1 Management and Control

### 1.1 Management System Overview

#### FLT 1.1.1

The Operator shall have a management system for the flight operations organization that ensures control of flight operations and the management of safety and security outcomes. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** management system structure for flight operations.
- ☐ **Interviewed** manager(s) of flight operations.
- ☐ **Assessed** status of conformity with all other FLT management system ISARPs.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Operations and Operator.

The specifications of this provision ensure the management system for the flight operations organization addresses the elements of operational safety and security specifically related to flight operations. Safety and security management at this operational level typically occurs within the greater context of the operator's overall or corporate safety and/or security management plan. For

example, the overall requirements for security of the flight deck would typically be specified in an operator's security plan, but the actual operational management of flight deck security would occur under the supervision of flight operations and flight operations personnel (e.g., development of procedures, training of personnel, following procedures).

Refer to Guidance associated with [ORG 1.1.1](#) located in ISM Section 1.

#### FLT 1.1.2

The Operator shall have one or more designated managers in the flight operations organization that, if required, are post holders acceptable to the Authority, and have the responsibility for ensuring:

- (i) The management and supervision of all flight operations activities;
- (ii) The management of safety and security risks to flight operations;
- (iii) Flight operations are conducted in accordance with conditions and restrictions of the Air Operator Certificate (AOC), and in compliance with applicable regulations and standards of the Operator. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified** designated/nominated managers for flight operations.
- ☐ **Examined** job description of manager for flight operations (focus: authority/accountabilities/responsibilities for flight operations organization).
- ☐ **Interviewed** responsible manager of flight operations.
- ☐ **Interviewed** other managers in flight operations.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Accountability, Authority, Post Holder and Responsibility.

The term “manager” is generic; the actual title associated with such positions will vary with each operator.

In some states the individual that fills certain key managerial positions within the flight operations organization must be nominated and then either accepted or approved by the Authority as specified in [ORG 1.1.3](#). Managers in such positions might be referred to as post holders, directors or another title as specified by each State. The specification in item ii) ensures the manager for the flight operations organization is accountable to senior management for the elements of operational safety and security specifically related to the conduct or supervision of flight operations. Safety and security management at this operational level typically occurs within the greater context of the operator's overall or corporate safety and/or security management plan. For example, the overall requirements for security of the flight deck would typically be specified in an operator's security plan, but the actual operational management of flight deck security would occur under the supervision of flight operations and flight operations personnel (i.e. development of procedures, training of personnel, following procedures). In this example, in order to conform to the specifications of item ii), the manager of the flight operations organization would be accountable to senior management for ensuring the day to day security of the flight deck.

Refer to [ORG 1.1.3](#) located in ISM Section 1.

## 1.2 State Requirements

#### FLT 1.2.1

The Operator shall have a valid Air Operator Certificate (AOC) or equivalent document issued by the State of the Operator (hereinafter, the State) that authorizes the Operator to conduct commercial air transport operations in accordance with specified conditions and limitations. The AOC and/or associated documents shall include:

- (i) Operator identification (name and location);
- (ii) Date of issue and period of validity;
- (iii) Description of types of operations authorized;

- (iv) Type(s) of aircraft authorized for use;
- (v) Authorized areas of operation or routes;
- (vi) Exemptions, deviations and waivers (listed by name);
- (vii) Special authorizations/approvals as required by the Authority, to include, as applicable:
  - (a) Low visibility operations (LVO);
  - (b) CAT II and/or III approaches;
  - (c) Automatic landing, head-up display (HUD) or equivalent displays, vision systems operations and associated operational credit(s) granted (if such systems are used to gain operational benefit);
  - (d) Use of GPS to conduct any approach;
  - (e) ETOPS/EDTO, as applicable, including the applicable threshold/maximum diversion times established for each particular aircraft and engine combination;
  - (f) RVSM operations;
  - (g) MNPS/NAT HLA operations;
  - (h) Area of Magnetic Unreliability (AMU);
  - (i) Basic RNAV/RNP operations;
  - (j) AR navigation specifications for PBN operations;
  - (k) Performance-Based Communication and Surveillance (PBCS) operations;
  - (l) Transport of dangerous goods as cargo;
  - (m) Electronic Flight Bag (EFB) operations. **(GM)**

### Auditor Actions

- ☐ **Identified** the documents that authorize the Operator to conduct commercial air transport operations in accordance with conditions and limitations specified by the State.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** AOC (focus: information is current and relevant to the Operator).
- ☐ **Crosschecked** AOC against OM (focus: authorizations/limitations consistent with operations conducted by Operator).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Low Visibility Operations (LVO) and North Atlantic Track High Level Airspace (NAT HLA).

Refer to the IRM for the definitions of Electronic Flight Bag (EFB), Vision Systems, ETOPS, Extended Diversion Time Operations (EDTO), Head-up Display (HUD), Minimum Navigation Performance Specifications (MNPS/NAT HLA), PBN Navigation Specification AR (Authorization Required), Reduced Vertical Separation Minima (RVSM), Required Navigation Performance (RNP) and State.

The specifications of this provision require the conditions and limitations of any State-approved or State-accepted air transport operations, conducted by the operator, to be described in the AOC, AOC equivalents and/or associated documents.

The AOC is produced (by the State) in a manner consistent with local conditions for State approval or acceptance. This should not preclude the operator from describing authorized operations, including conditions and limitations for such operations, in associated documents and in a manner consistent with the specifications of this provision. Such documents typically include the OM or any operational document that describes the conditions and limitations of authorized operations.

The exemptions, deviations, waivers and special authorizations in specifications vi) and vii) may be described in State-approved or State-accepted documents other than the AOC.

Operators subject to laws or regulations of the State that prevent the issuance of an AOC consistent with the specifications of this provision and/or prohibit the description of authorized operations in a

manner consistent with the specifications of this provision may demonstrate an equivalent method of ensuring the specifications of this provision are satisfied.

The period of validity is designated on the AOC or determined by reference to the dates of issuance and expiration.

The specification in item vii) e) refers to aircraft operated on routes where the diversion time from any point on the route to an enroute alternate airport exceeds the threshold time but is within the maximum diversion time as established by the State.

### 1.3 Accountability, Authorities and Responsibilities

#### FLT 1.3.1

The Operator shall ensure the flight operations management system defines the safety accountability, authorities and responsibilities of management and non-management personnel that perform functions relevant to the safety or security of aircraft operations in areas of the flight operations organization specified in [FLT 1.3.2](#). The management system shall also specify:

- (i) The levels of management with the authority to make decisions regarding risk tolerability with respect to the safety and/or security of flight operations;
- (ii) Responsibilities for ensuring operations are conducted in accordance with applicable regulations and standards of the Operator;
- (iii) Lines of accountability throughout flight operations, including direct accountability for safety and/or security on the part of flight operations senior management. **[SMS] (GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** defined safety/security accountability/authorities/responsibilities for management/non-management personnel in flight operations (focus: definitions apply to personnel throughout flight operations).
- ☐ **Interviewed** responsible manager in flight operations.
- ☐ **Examined** job descriptions of selected management/non-management personnel (focus: definition of accountability/authorities/responsibilities for roles/positions in flight operations).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure operational personnel required to perform functions relevant to the safety and security of aircraft operations are identified, their accountability, authorities and responsibilities are defined by the operator and communicated throughout the flight operations organization. Additionally, the provision addresses, as a minimum, the accountability, authorities and responsibilities of the relevant management and non-management flight operations personnel specified in [FLT 1.3.2](#).

Refer to Guidance associated with [ORG 1.3.1](#), located in ISM Section 1, for expanded information regarding accountability, authority and responsibility as applicable to management and non-management personnel.

#### FLT 1.3.2

The Operator shall delegate authority and assign responsibility for the management and supervision of specific areas of the organization relevant to the flight operations management system, to include, as a minimum:

- (i) Fleet operations;
- (ii) Line operations;
- (iii) Documentation control;
- (iv) Flight crew training;
- (v) Operations engineering;
- (vi) Flight crew scheduling;
- (vii) Accident prevention and flight safety;



- (viii) Human resources;
- (ix) Quality assurance;
- (x) Security. **(GM)**

### Auditor Actions

- ☐ **Identified** positions with authority/responsibility for management/supervision of the specified areas of flight operations.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** job description for selected management positions (focus: authority/responsibility for management of the specified areas of flight operations).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Flight Crew and Operations Engineering.

The specification in:

- Item i) refers to the management of policies, rules, procedures and instructions governing specific aircraft.
- Item ii) refers to the management of policies, rules, procedures and instructions governing flight crew.
- Item vii) could also be referred to as the flight safety program.
- Item viii) refers to the provision of Human Resources including management staff, support staff, administrative staff and flight crew.

### FLT 1.3.3

The Operator shall have a process or procedure for the delegation of duties within the flight operations management system that ensures managerial continuity is maintained when operational managers including, if applicable, post holders are unable to carry out work duties. **(GM) ◀**

### Auditor Actions

- ☐ **Identified/Assessed** processes for flight operations management system delegation of duties (focus: processes maintain managerial continuity during periods when managers are absent).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** example(s) of delegation of duties due to absence of managers.
- ☐ **Other Actions** (Specify)

### Guidance

The operational managers subject to the specifications of this provision include, as a minimum, managerial personnel, as defined by the operator or Authority, required to ensure control and supervision of flight operations.

The intent of this provision is for an operator to have a process or procedure that ensures a specific person (or perhaps more than one person) is identified to assume the duties of any operational manager that is or is expected to be, for any reason, unable to accomplish assigned work duties.

For the purpose of this provision, the use of telecommuting technology and/or being on call and continually contactable are acceptable means for operational managers to remain available and capable of carrying out assigned work duties.

Refer to the guidance associated with [ORG 1.3.2](#), located in ISM Section 1, which addresses the performance of work duties and the use of telecommuting technology and/or being on call and continually contactable.

### FLT 1.3.4

The Operator shall ensure a delegation of authority and assignment of responsibility within the flight operations management system for liaison with regulatory authorities, original equipment manufacturers and other external entities relevant to flight operations. **(GM) ◀**

**Auditor Actions**

- ☐ **Identified** positions within flight operations with authority/responsibility for liaison with regulators/other external entities.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected flight operations manager(s) with authority for liaison external entities.
- ☐ **Examined** job description for selected management positions (focus: authority/responsibility for liaison with external entities).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to Guidance associated with [ORG 1.3.3](#) located in ISM Section 1 regarding the need to coordinate and communicate with external entities.

The specifications of this provision are intended to ensure ongoing compliance with regulations, organizational standards and other applicable rules and requirements.

**FLT 1.3.5** (Intentionally open)**FLT 1.3.6**

The Operator shall assign responsibility to the pilot-in-command (PIC) for:

- (i) The safety of all crew members, passengers and/or cargo on board the aircraft when the doors are closed;
- (ii) The operation and safety of the aircraft from the moment the aircraft is ready to move for the purpose of taking off until the moment it finally comes to rest at the end of the flight and the engine(s) are shut down;
- (iii) Ensuring checklists are complied with. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** documents that assign responsibilities to the PIC.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** flight/cabin crew members.
- ☐ **Observed** line flight and flight simulator operations (focus: PIC demonstrates responsibility for safety of flight; ensures compliance with checklists).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure that the specified responsibilities are assigned to the PIC and such assignment is evident in Operator policies or procedures.

Specifications in item i) and ii) may be satisfied by policies documented in, or referenced in, the OM that assign responsibilities to the PIC in a manner consistent with regulations of the State and the intent of the provision. Slight variations in the wording of policies are permissible if the periods of responsibility as specified in each item are addressed by the operator's policies.

For example, an operator could assign responsibility to the PIC for the safety of passengers from the time they board the aircraft until they deplane. Such policy would satisfy this provision because it exceeds the period of PIC responsibility as specified in this provision.

The specification in item iii) may be satisfied by any policy or combination of policies that assign the responsibility for compliance with standard operating procedures to the PIC.

### FLT 1.3.7

The Operator shall ensure, for the duration of each flight, one pilot is designated to act as PIC. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** documents that describe flight crew composition and/or succession of command.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** flight crew members.
- ☐ **Observed** line flight operations (focus: designation of primary PIC).
- ☐ **Other Action** (Specify)

#### Guidance

The specification of this provision is satisfied if one pilot is designated to act as PIC, regardless of crew configuration or en route crew changes.

The operator may choose to address the specification of this provision as part of a plan for succession of command in accordance with [FLT 1.3.8](#).

### FLT 1.3.8

The Operator shall ensure the duties and responsibilities of flight crew members, to include a plan for succession of command, are defined and described in the OM. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM description of flight crew composition and/or succession of command.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** flight crew members.
- ☐ **Observed** line flight operations (focus: flight crew responsibilities/duties performed as defined).
- ☐ **Other Action** (Specify)

#### Guidance

Refer to the IRM for the definition of Flight Crew Member.

### FLT 1.3.9

The Operator shall have a policy to address willful and deliberate violation of flight operations organizational policies and/or procedures by flight operations personnel. **(GM)**

#### Auditor Actions

- ☐ **Identified** policy that addresses willful/deliberate violation of flight operations policies/procedures by flight operations personnel.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected records of willful/deliberate violations (focus: policy is implemented in a consistent manner).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Controlled Document.

Appropriate policy regarding procedure violations typically includes NAA intervention, committee for case review (operator, trade union or mixed) and/or equivalent types of action.

The specification of this provision is applicable to flight operations personnel and is not restricted only to flight crew.

The policy may be documented or referenced in the OM or reside in another controlled document that is available to the flight crew.

**FLT 1.3.10**

If the Operator uses supernumeraries in the passenger cabin or supernumerary compartment of an aircraft that are required for the safety of operations, the Operator *should* have policies and procedures that:

- (i) Define and describe duties or responsibilities assigned to such personnel that are related to safety;
- (ii) Ensure such supernumeraries do not impede flight crew members in the performance of their duties;
- (iii) If a cabin crew is used, ensure supernumeraries do not impede cabin crew members in the performance of their duties. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** policies/procedures that define and address the use of supernumeraries.
- ☐ **Examined** defined duties and responsibilities for supernumeraries.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected supernumerary training curricula and records.
- ☐ **Observed** line flight operations (focus: control/role/use of supernumeraries).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of Cabin Crew, Cabin Crew Member, Passenger, Supernumerary and Supernumerary Compartment. The definition of Supernumerary further defines and includes examples of supernumeraries, including those that are required for the safety of operations.

This provision is applicable only to supernumeraries that are required for safety of operations in accordance with [FLT 2.2.44](#), which would include appropriately qualified fire watch/firefighting personnel in the cabin of aircraft being used to transport cargo in the passenger cabin, without passengers. The intent is to ensure:

- Supernumeraries required for the safety of operations on board an aircraft during commercial or non-commercial operations are aware of (through training, briefing or other means) safety roles, responsibilities and duties;
- Specific duties and responsibilities assigned to supernumeraries that are related to safety are appropriately defined;
- Supernumeraries are prepared to assist, but will not interfere with, qualified crew members in the performance their duties.

Supernumeraries that are not required for the safety of operations would typically be made aware of safety-related roles or responsibilities via a briefing, announcement or other applicable means as specified in subsections [3.8](#), [3.13](#) and [3.14](#).

**1.4 Communication and Coordination****FLT 1.4.1**

The Operator shall have a system that enables effective communication of relevant safety and operational information throughout the flight operations management system and in all areas where flight operations are conducted. Such system shall ensure:

- (i) Personnel maintain an awareness of the SMS;
- (ii) Safety-critical information is conveyed;
- (iii) If applicable, external service providers are provided with information relevant to operations conducted. **[SMS] (GM) ◀**

### Auditor Actions

- ☐ **Identified/Assessed** communication system(s) in flight operations (focus: capability for communicating information relevant to operations within the flight operations organization).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** examples of information communication/transfer in flight operations.
- ☐ **Interviewed** selected non-management operational personnel in flight operations.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 4.2.1](#) located in ISM Section 1.

#### FLT 1.4.2

The Operator shall have a process to ensure issues that affect operational safety and security are coordinated among personnel with expertise in the appropriate areas within the flight operations organization and relevant areas outside of flight operations, to include, as appropriate:

- (i) Accident prevention and flight safety;
- (ii) Cabin operations;
- (iii) Engineering and maintenance;
- (iv) Operations engineering;
- (v) Operational control/flight dispatch;
- (vi) Human resources;
- (vii) Ground handling, cargo operations and dangerous goods;
- (viii) Manufacturers, (AFM/AOM, operational and safety communication);
- (ix) Regulatory agencies or authorities. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** operational safety and security coordination process(es).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected evidence of internal/external coordination.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Aircraft Operating Manual (AOM) and Approved Flight Manual. Some examples of issues that could affect operational safety and security include aircraft modifications, new equipment, new destinations/routes, or regulatory changes.

The specifications of this provision are satisfied if an operator can demonstrate that a process exists within the flight operations organization that ensures necessary internal and external coordination.

The coordination processes specified in this provision may occur during meetings or other means of liaison (e.g. email, memos, conference call).

The specification in item iv) refers to coordination with the following or other appropriate categories of personnel:

- The operations engineering manager or other person responsible for defining, producing, customizing and distributing aircraft performance data;
- The manager responsible for defining, producing, customizing and/or distributing route and airport instructions or information, Notices to Airmen (NOTAMs) and Flight Management System (FMS) databases, if applicable;
- The operations engineering manager or other person in charge of aircraft equipment specification.

The specification in item iv) typically includes coordination on the following operational safety issues:

- Fleet and cross-fleet standardization;
- Flight deck layout;
- Aircraft avionics, instrumentation, equipment and/or components in accordance with the provisions of [FLT 4.3.1](#).

The specification in item vi) refers to coordination with respect to staffing necessary to meet operator requirements.

#### FLT 1.4.3

The Operator shall have a process to ensure the dissemination of safety-critical operational information to appropriate personnel within and external to the flight operations organization, to include:

- (i) Airworthiness Directives (ADs);
- (ii) Manufacturer bulletins;
- (iii) Flight crew bulletins or directives;
- (iv) NOTAMs. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** process that ensures the dissemination of safety-critical operational information.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** frontline personnel.
- ☐ **Examined** selected evidence of information dissemination.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Airworthiness Directive, Flight Crew Bulletin and NOTAM.

The intent of this provision is to ensure a process is in place to disseminate safety critical information to personnel that require it.

## 1.5 Provision of Resources

#### FLT 1.5.1

The Operator shall have the necessary facilities, workspace, equipment and supporting services, as well as work environment, to satisfy flight operations safety and security requirements. **(GM)** ◀

**Note:** *Conformity with this provision does not require specifications to be documented by the Operator.*

#### Auditor Actions

- ☐ **Observed/Assessed** physical resources and services (focus: adequacy to meet flight operations needs).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Other Actions** (Specify)

#### Guidance

The specifications of this provision refer to the infrastructure and resource requirements that would be necessary to deliver safe and secure flight operations, to include flight operations and support facilities, services and equipment.

Refer to Guidance associated with [ORG 1.5.2](#) located in ISM Section 1.

The specifications of this provision do not apply to the aircraft interior.

Implementation of this standard (i.e. adequacy of physical resources, work environment) is typically assessed through observations made by the auditor(s) during the course of the on-site audit.

### FLT 1.5.2

The Operator shall have a selection process for management and non-management positions within the organization that require the performance of functions relevant to the safety or security of aircraft operations. Such process shall ensure candidates are selected on the basis of knowledge, skills, training and experience appropriate for the position. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** standards and processes for selection of flight operations personnel in functions relevant to safety and security of aircraft operations.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** personnel that perform flight functions relevant to the safety or security of aircraft operations.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to Guidance associated with [ORG 1.5.3](#) located in ISM Section 1.

The operational positions subject to the specifications of this provision typically include:

- Management personnel required to ensure control and supervision of flight operations in accordance with [FLT 1.1.1](#) as defined by the operator or Authority;
- Management personnel assigned the responsibility for the management and supervision of specific areas of the organization relevant to flight operations in accordance with [FLT 1.3.2](#).

Flight crew member knowledge, skill and experience requirements are in accordance with [FLT 1.5.3](#), [1.5.4](#), and [1.5.5](#).

Flight crew member training requirements are in accordance with the applicable provisions contained in [Subsection 2, Training and Qualification](#).

### FLT 1.5.3

The Operator shall have a process to ensure candidates, prior to being employed as flight crew members, are screened for the purpose of determining if they possess the requisite certifications, skills, competencies and other attributes required by the Operator and/or State. Such process, as a minimum, shall include procedures for reviewing and/or assessing:

- (i) Technical and non-technical competencies and skills, to include interpersonal skills;
- (ii) Aviation experience;
- (iii) Credentials and licenses;
- (iv) Medical fitness;
- (v) Security background;
- (vi) Common language(s) fluency. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the process/criteria used for pre-employment screening of flight crew member candidates.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected flight crew candidate screening records.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Air Traffic Control (ATC).



The specification in:

- Item i) refers to technical competencies and skills that will vary with the requirements of the position in which the flight crew member will be employed. For example, an ab initio pilot will not necessarily have flying skills but will possess other skills and/or attributes necessary to succeed in training.
- Item iii) typically includes verification of authenticity of licenses.
- Item iv) could be assessed by a flight operations management interview, Human Resource interview and/or the conduct of a psychological analysis.
- Item vi) is applicable unless such check is performed or prohibited by the State.
- Item vii) refers to aviation English language fluency (where required for Air Traffic Control (ATC) communications) and sufficient fluency in the designated common language(s) necessary for ensuring effective communication (see [FLT 3.1.1](#)).

#### FLT 1.5.4

The Operator shall have a process for screening candidates for the position of PIC, to include, if applicable, ensuring a prerequisite minimum level of line experience that is acceptable to the Authority. **(GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** the processes used for screening of candidates for the position of PIC.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected PIC candidate screening records.
- ☐ **Other Actions** (Specify)

##### Guidance

The specifications of this provision refer to a screening process for direct hire or upgrade to PIC. Such screening occurs prior to a pilot being assigned duties as PIC and typically includes:

- Training records review;
- Management recommendations and/or review board;
- Training department recommendations and/or review board;
- Verification of minimum experience acceptable to the Authority;
- Any other screening requirements in accordance with the needs of the operator or requirements of the Authority.

#### FLT 1.5.5

The Operator shall have criteria and processes for the selection of instructors, evaluators and line check airmen, to include a minimum experience level in line operations that is acceptable to the Operator and/or the State. **(GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** instructor/evaluator/line check airman selection criteria and processes.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected instructor/evaluator/line check airman candidate screening records.
- ☐ **Other Actions** (Specify)

##### Guidance

The intent of this provision is to ensure instructors and evaluators are selected in a manner consistent with the overall objectives of an operator's training program. To achieve this aim, selection criteria and processes would typically include:

- Confirmation that a minimum level of experience has been attained;
- A review of the training records of potential selectees;
- Recommendations from Flight Operations management and/or the training department.

## 1.6 Documentation System

### FLT 1.6.1

The Operator shall have a system for the management and control of documentation and/or data used directly in the conduct or support of operations. Such system shall ensure documentation:

- (i) Meets all required elements specified in [Table 1.1](#);
- (ii) Contains legible and accurate information;
- (iii) Is presented in a format appropriate for use in operations. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** system(s) for management and control of documentation/data used in flight operations (focus: applicable system elements as specified in [ORG Table 1.1](#); management/control of OM, Training Manual, other specified documents and the onboard library).
- ☐ **Interviewed** responsible manager in flight operations.
- ☐ **Examined** selected parts of the OM/other documents/data used in flight operations.
- ☐ **Interviewed** person(s) responsible for flight operations documentation management/control process(es).
- ☐ **Traced** life of selected OM or Training Manual revision from inception to publication to obsolescence.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Documentation, Electronic Documentation, Ground Proximity Warning System (GPWS), Master Minimum Equipment List (MMEL), Minimum Equipment List (MEL), Onboard Library and Operations Manual (OM) and Paper Documentation.

Refer to [ORG 2.5.1](#) and associated Guidance and [Table 1.1](#), located in ISM Section 1.

Internal operational documents are subject to management, and control.

External documents that are customized and redistributed for use by an operator are subject to management and control. One such example is the MMEL produced by an aircraft manufacturer and subsequently customized by the operator and distributed to operational personnel as the MEL.

Documents received from external sources:

- Are managed by the operator and controlled by the issuing entity;
- Include applicable regulations and associated documents, original manufacturer's manuals and documents and/or data produced externally for the operator;
- Typically include dangerous goods documents, route and airports charts, FMS databases, GPWS terrain and obstacle databases, airport analysis data, weight/mass and balance data and performance data.

Refer to [FLT 1.6.3](#) for the description of additional external documents subject to management and/or control.

Required manuals and documents may be carried on board by the flight crew. Also, maintenance of the manuals and documents carried on board by the flight crew may be delegated to the flight crew.

Required onboard manuals and documents may also be contained in an EFB device or system used in accordance with [FLT 3.5.3](#).

This provision refers to any organized system for documentation retention that contains current manuals, regulatory publications and other essential documents associated with flight operations.

### FLT 1.6.2 (Intentionally open)

**FLT 1.6.3**

The Operator shall ensure the system for the management and control of flight operations documentation as specified in [ORG 2.5.1](#) and [Table 1.1](#) addresses, as a minimum, the following documents from external sources:

- (i) As applicable, regulations of the State and of the other states or authorities relevant to operations;
- (ii) As applicable, relevant ICAO Standards and Recommended Practices (SARPS), manuals, regional supplementary procedures and/or circulars;
- (iii) Airworthiness Directives (ADs);
- (iv) As applicable, Aeronautical Information Publications (AIP) and NOTAMS;
- (v) State-approved or State-accepted Aircraft Flight Manuals (AFM);
- (vi) Manufacturer's Aircraft Operating Manuals (AOMs), including performance data, weight and balance data/manuals, checklists and MEL/CDL;
- (vii) As applicable, other manufacturer's operational communications. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** system(s) for management and control of documentation and data used in flight operations (focus: system includes management/control of specified documents from external sources).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected documents from external sources (focus: application of management/control elements).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of Aeronautical Information Publication (AIP), Aircraft Operating Manual (AOM), Approved Flight Manual (AFM), Airworthiness Directive (AD), Configuration Deviation List (CDL), Master Minimum Equipment List (MMEL), Minimum Equipment List (MEL), State Acceptance and State Approval.

The specification in item i) refers to applicable regulations imposed on an operator by the State, which issues the Air Operator Certificate (AOC), and other states and/or authorities that actively regulate foreign operators or have jurisdiction over international operations conducted by the operator. This may be done through the issuing of an Operational Specification (OPS SPEC) or specific state legislation.

The specification in item ii) refers to applicable ICAO standards, recommended practices, supplemental procedures and/or guidance material made applicable to the operations of the operator by any states or authority with jurisdiction over the operations of the operator. Applicable authorities typically include those authorities that have jurisdiction over international operations conducted by an operator over the high seas or over the territory of a state that is other than the State of the Operator.

The specification in item ii) also refers to applicable ICAO standards and/or recommended practices that are referenced in the operator's documentation.

The specification for the manufacturer's AFM in item v) may be replaced by an Aircraft Operating Manual (AOM) customized by the manufacturer for the specific use in flight operations by an operator.

The specification in item vi) refers to bulletins or directives distributed by the manufacturer for the purposes of amending aircraft technical specifications and/or operating procedures.

The specification in item vii) refers to operational communications received from the manufacturer of equipment that is installed on the airplane, typically from the manufacturers of the engines, components and safety equipment.

**FLT 1.6.4** (Intentionally open)

**FLT 1.6.5** (Intentionally open)

### FLT 1.6.6

The Operator shall ensure documents that comprise the onboard library, as specified in [Table 2.1](#), are carried on board the aircraft for each flight and located in a manner that provides for access by the flight crew. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the document that describes the onboard library.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: content/accessibility of onboard library).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to [Table 2.1](#) for specifications related to accessing performance calculations via telecom systems (e.g. ACARS) in lieu of onboard documentation.

## 1.7 Operations Manual

### FLT 1.7.1

The Operator shall have an Operations Manual (OM) for the use of personnel in the flight operations organization, which may be issued in separate parts, and which contains or references the policies, procedures, checklists and other guidance or information necessary for compliance with applicable regulations, laws, rules and Operator standards. As a minimum, the OM shall be managed and controlled in accordance with [FLT 1.6.1](#), define the content of the onboard library and be in accordance with specifications contained in [Table 2.2](#). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** operational documents that comprise the OM.
- ☐ **Identified** external documents referenced in the OM that contain operational information used by flight crew.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected parts of OM (focus: contents in accordance with [Table 2.2](#)).
- ☐ **Observed** line flight and flight simulator operations (focus: flight crew use/interpretation of OM and related checklists).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure the flight crew will find all information necessary to perform its functions within the OM, or within another document that is referenced in the OM. The OM is identified as a source of operational information approved or accepted for the purpose by the operator or the State.

Guidance and procedures in the OM enable the flight crew to comply with the conditions and limitations specified in the AOC.

### FLT 1.7.2

The Operator shall ensure information in the OM pertaining to flight crew duties and responsibilities is published in the designated common language(s), as specified in [FLT 3.1.1](#). **(GM)**

#### Auditor Actions

- ☐ **Identified** common language(s) designated in accordance with [FLT 3.1.1](#).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected parts of OM that address flight crew duties.
- ☐ **Observed** line flight operations (focus: OM crew duties/responsibilities published in designated common language).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is that the OM is published in a common language designated by the operator, which ensures all flight crew members are able to understand information that pertains to their duties and responsibilities. Additionally, if the OM is published in more than one designated language, to ensure there is harmonization between language versions of the OM pertaining to flight crew duties and responsibilities, which eliminate the possibility of differences in understanding or interpretation.

**FLT 1.7.3** (Intentionally open)**FLT 1.7.4**

The Operator shall have a process to develop and establish procedures and checklists for use by the flight crew. Such process shall ensure:

- (i) Human factors principles are observed in the design of the OM, checklists and associated procedures;
- (ii) The specific parts of the OM relevant to flight crew are clearly identified and defined;
- (iii) If applicable, any differences from procedures and checklists provided by the manufacturer(s) are based on operational considerations. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** process used to develop flight crew checklists and procedures.
- ☐ **Identified** specific parts of OM relevant to flight crew.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: flight crew use/interpretation of OM and related checklists).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Human Factors Principles.

The intent of this provision is to ensure procedures and checklists are developed in a manner that ensures they are useable, identifiable and consistent with manufacturer specifications. Any deviations from manufacturer procedures or checklists are typically based on operational concerns identified by the operator.

Human factors principles in document design and checklist usage typically address the following:

- Preparation of documentation in a useable format for information presentation, at the appropriate reading level and with the required degree of technical sophistication and clarity.
- Improving user performance through the use of effective and consistent labels, symbols, colors, terms, acronyms, abbreviations, formats and data fields.
- Ensuring the availability and usability of information to the user for specific tasks, when needed, and in a form that is directly usable.
- Designing operational procedures for simplicity, consistency and ease of use.
- Enabling operators to perceive and understand elements of the current situation and project them to future operational situations.
- Minimizing the need for special or unique operator skills, abilities, tools or characteristics.
- Assessing the net demands or impacts upon the physical, cognitive and decision-making resources of the operator, using objective and subjective performance measures.
- The specification in item ii) ensures the relevant sections of the OM are clearly identified as the OM can, in some instances, include sections published for flight operations personnel other than flight crew. As such, all OM sections need not be provided to the flight crew (e.g., training syllabi are usually restricted to training/checking personnel).

Refer to [FLT 1.6.1](#) for specifications applicable to all flight operations documentation, including the OM.

## 1.8 Records System

### FLT 1.8.1

The Operator shall have a system for the management and control of flight operations records to ensure the content and retention of such records is in accordance with requirements of the Authority, as applicable, and to ensure operational records are subjected to standardized processes for:

- (i) Identification;
- (ii) Legibility;
- (iii) Maintenance;
- (iv) Retrieval;
- (v) Protection, integrity and security;
- (vi) Disposal, deletion (electronic records) and archiving. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** system for management/control of operational records in flight operations (focus: system includes standardized processes as specified in standard).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected flight operations records.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to guidance associated with [ORG 2.6.1](#) located in ISM Section 1.

### FLT 1.8.2

The Operator shall ensure the system for the management and control of flight operations records as specified in [FLT 1.8.1](#) includes retention, for a period of time determined by the Operator or the Authority, of records that document:

- (i) The fulfillment of flight crew qualification requirements, as specified in [Table 2.3](#);
- (ii) Successful and unsuccessful flight crew evaluations, as specified in [FLT 2.1.28](#). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the management and control system for operational records in flight operations.
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Examined** selected flight crew qualification records (focus: fulfillment of requirements in [Table 2.3](#), successful/unsuccessful flight crew evaluations).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is for an operator, as a minimum, to record completion of the flight crew qualification activities specified in i) and ii), and to retain the specified records for a period of time acceptable to the Authority.

### FLT 1.8.3

If the Operator uses an electronic system for the management and control of flight operations records, the Operator shall ensure the system provides for a scheduled generation of backup record files. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** process for backup of electronic flight operations records (focus: system defines schedule for periodic file backup).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected record(s) of backup files for electronic records.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 2.6.2](#) located in ISM Section 1.

## 1.9 (Intentionally open)

## 1.10 Quality Assurance Program

### FLT 1.10.1

The Operator shall have a quality assurance program that provides for the auditing and evaluation of the flight operations management system and operational functions at planned intervals to ensure the organization is:

- (i) Complying with applicable regulations and standards;
- (ii) Satisfying stated operational needs;
- (iii) Identifying areas requiring improvement;
- (iv) Identifying hazards to operations;
- (v) Assessing the effectiveness of safety risk controls. **[SMS] (GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** quality assurance program in flight operations (focus: role/purpose within organization/SMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management/operational areas).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Interviewed** selected operational managers (focus: interface with quality assurance program).
- ☐ **Examined** selected flight operations audit reports (focus: audit scope/process/organizational interface).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Quality Assurance (QA).

The specifications of this provision would typically apply to periodic audits of the training organization and program, whether training is conducted by the operator or outsourced to an external service provider.

Audits would normally be conducted at intervals that meet the requirements of the operator and/or the Authority.

Refer to Guidance associated with [ORG 2.1.1](#) located in ISM Section 1 for typical audit program requirements.

### FLT 1.10.2

The Operator shall have an audit planning process and sufficient resources to ensure audits of flight operations functions are:

- (i) Scheduled at intervals to meet regulatory and management system requirements;
- (ii) Conducted within the scheduled interval. **(GM) ◀**



### Auditor Actions

- ☐ **Identified/Assessed** quality assurance audit planning process in flight operations (focus: audits planned/scheduled/conducted in accordance with applicable internal/external requirements).
- ☐ **Identified/Assessed** audit resources (focus: availability of sufficient auditors/other resources to accomplish audit plan).
- ☐ **Interviewed** Quality Assurance Program Manager.
- ☐ **Crosschecked** audit plan with selected audit reports, to verify adherence to plan (focus: audits conducted in accordance with audit plan).
- ☐ **Other Actions** (Specify)

### Guidance

Intervals of surveillance activities typically vary, depending on the operator.

Previous outcomes would typically be considered by the operator when determining audit intervals.

Refer to Guidance associated with [ORG 2.1.5](#) located in ISM Section 1.

### FLT 1.10.3

The Operator shall have a process to ensure significant issues arising from flight operations quality assurance and risk management are subject to management review in accordance with [ORG 4.1.1. \[SMS\] \(GM\)](#) ◀

### Auditor Actions

- ☐ **Identified/Assessed** process for management review of flight operations quality assurance issues (focus: continual improvement of quality assurance program).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected records/documents of management review of flight operations quality assurance program issues (focus: specific issues/changes identified and implemented to improve quality assurance program).
- ☐ **Other Actions** (Specify)

### Guidance

Significant issues are typically defined by the operator and are regarded as those issues that could impact the safety, security and/or quality of flight operations.

Refer to [ORG 4.1.1](#), [ORG 4.1.2](#) and associated guidance located in ISM Section 1.

### FLT 1.10.4

The Operator shall have a process for addressing findings that result from audits conducted under the quality assurance program, which ensures:

- (i) Identification of root cause(s);
- (ii) Development of corrective action as appropriate to address findings;
- (iii) Implementation of corrective action in appropriate areas of flight operations;
- (iv) Evaluation of corrective action to determine effectiveness. **(GM)** ◀

### Auditor Actions

- ☐ **Identified/Assessed** process for addressing/closing flight operations audit findings.
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected audit reports/records (focus: identification of root cause, development/implementation of corrective action, follow-up to evaluate effectiveness).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 2.1.7](#) located in ISM Section 1.

## 1.11 Quality Control of Outsourced Operations and Products

△

### FLT 1.11.1A

If the Operator has external service providers conduct outsourced flight operations functions, the Operator shall ensure a service provider selection process is in place that ensures:

- (i) Relevant safety and security selection criteria are established;
- (ii) Service providers are evaluated against such criteria prior to selection. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** selection process for external service providers.
- ☐ **Interviewed** responsible manager in flight operations.
- ☐ **Examined** selected records/documents that demonstrate application of the selection process.
- ☐ **Other Actions** (specify)

#### Guidance

△

The intent of this provision is for an operator to define relevant safety and security criteria for use in the evaluation and potential selection of flight operations service providers. This is the first step in the management of external service providers and would take place prior to the operator signing an agreement with a provider. The process needs to be applied only once leading up to the selection of an individual service provider.

Refer to Guidance associated with [ORG 1.6.1](#) located in ISM Section 1.

### FLT 1.11.1B

If the Operator has external service providers conduct outsourced flight operations functions, the Operator shall have a process to ensure a contract or agreement is executed with such external service providers. Contract(s) or agreement(s) shall identify the application of specific documented requirements that can be monitored by the Operator to ensure requirements that affect the safety or security of flight operations are being fulfilled by the service provider. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** processes for contract/agreement production/execution with external service providers that conduct outsourced flight operations functions.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected flight operations outsourcing contracts/agreements (focus: inclusion of or reference to specific requirements applicable to external service providers).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Operational Function (Aircraft Operations) and Outsourcing.

This provision only addresses flight operations functions that are outsourced to external service providers. An example of an operational function relevant to flight operations that could be conducted by external organizations is flight crew training.

Refer to Guidance associated with [ORG 1.6.2](#) located in ISM Section 1.

### FLT 1.11.2

If the Operator has external service providers conduct outsourced flight operations functions, the Operator shall have a process to monitor such external service providers to ensure requirements that affect the safety or security of flight operations are being fulfilled. **(GM)** ◀

**Note:** IOSA registration as the only means to monitor is acceptable provided the Operator obtains the latest of the applicable audit report(s) through official program channels and considers the content of such report(s).

## Auditor Actions

- ❑ **Identified/Assessed** processes used for monitoring external flight operations service providers (focus: monitoring process ensures provider fulfils applicable safety/security requirements).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** selected records/reports resulting from monitoring of flight operations service providers (focus: monitoring process ensures provider fulfils applicable safety/security requirements).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 2.2.1](#) located in ISM Section 1.

The intent of this provision is to ensure operators that outsource flight operations functions to external service providers as specified in [FLT 1.11.1A](#) have processes in place to monitor such providers in accordance with the specifications of this provision.

An example of an operational function relevant to flight operations that could be conducted by external organizations is flight crew training.

Examples of outsourced security functions related to flight operations include aircraft/flight deck security sweeps and the transmission of threat information to operators or aircraft.

Auditing is typically a preferred process for the monitoring and control of external organizations.

### FLT 1.11.3

If the Operator utilizes products for flight operations relevant to the safety and security of aircraft operations that are purchased or otherwise acquired from an external vendor or supplier (other than electronic data products as specified in [FLT 4.2.6](#) and [FLT 4.2.7](#)), the Operator *should* have processes to ensure such products meet the technical requirements specified by the Operator prior to being used in the conduct of operations. **(GM)** ◀

## Auditor Actions

- ❑ **Identified/Assessed** acceptance processes for ensuring acquired products used in flight operations meet technical requirements.
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** selected product acceptance records (focus: products meet flight operations technical requirements).
- ❑ **Other Actions** (Specify)

## Guidance

The specifications of this provision address data, equipment or products that directly affect aircraft, flight deck, or cabin operational safety. Such data or products typically include airport analysis data, weight/mass and balance data and performance data.

The intent of the monitoring and control specifications of this provision pertaining to data is to ensure operational data acquired from external suppliers and used for the support of flight operations are current, accurate and complete.

Terrain and obstacle data product integrity is addressed in [FLT 4.2.7](#).

Refer to guidance associated with [ORG 2.3.1](#) located in ISM Section 1.

Further guidance can be found at

<https://www.iata.org/contentassets/06377898f60c46028a4dd38f13f979ad/enhance-access-to-egpws-information---final-version.pdf>

### FLT 1.11.4 (Intentionally open)

### FLT 1.11.5

If the Operator has external service providers conduct outsourced flight operations functions, the Operator *should* include auditing as a process for the monitoring of external service providers in accordance with [FLT 1.11.2](#). **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** auditing processes used for monitoring external flight operations service providers.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected records/reports resulting from auditing of flight operations service providers (focus: audit process ensures provider is fulfilling applicable safety/security requirements).
- ☐ **Other Actions** (Specify)

## Guidance

Monitoring and control of external organizations typically include random samplings, product audits, supplier audits, or other similar methods.

Refer to guidance associated with [ORG 2.2.2](#) located in ISM Section 1.

## 1.12 Safety Management

### Risk Management

#### FLT 1.12.1

The Operator shall have a hazard identification program in the flight operations organization that includes a combination of reactive and proactive methods of hazard identification. **[SMS] (GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** safety hazard identification program in flight operations (focus: program identifies hazards to aircraft operations; describes/defines method(s) of safety data collection/analysis).
- ☐ **Identified/Assessed** role of flight operations in cross-discipline safety hazard identification program (focus: participation with other operational disciplines).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** person(s) that perform flight operations data collection/analysis to identify hazards to aircraft operations.
- ☐ **Examined** selected examples of hazards identified through flight operations data collection/analysis.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Hazard (Aircraft Operations) and Safety Risk.

Hazard identification is an element of the Safety Risk Management component of the SMS framework.

Refer to Guidance associated with [ORG 3.1.1](#) located in ISM Section 1.

#### FLT 1.12.2

The Operator shall have a safety risk assessment and mitigation program in the flight operations organization that specifies processes to ensure:

- (i) Hazards are analyzed to determine the corresponding safety risks to aircraft operations;
- (ii) Safety risks are assessed to determine the requirement for risk mitigation action(s);
- (iii) When required, risk mitigation actions are developed and implemented in flight operations. **[SMS] (GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** safety risk assessment and mitigation program in flight operations (focus: hazards analyzed to identify/define risk; risk assessed to determine appropriate action; action implemented/monitored to mitigate risk).



- ☐ **Identified/Assessed** role of flight operations in cross-discipline safety risk assessment/mitigation program (focus: participation with other operational disciplines).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** person(s) that perform flight operations risk assessment/mitigation.
- ☐ **Examined** selected records/documents that illustrate risk assessment/mitigation action.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Risk Register, Safety Risk, Safety Risk Assessment (SRA), Safety Risk Management and Safety Risk Mitigation.

Risk assessment and mitigation is an element of the Safety Risk Management component of the SMS framework.

Hazards relevant to the conduct of aircraft operations are potentially associated with:

- Weather (e.g. adverse, extreme and space);
- Geophysical events (e.g. volcanic ash, earthquakes, tsunamis);
- Operations in airspace affected by armed conflict (i.e. Conflict Zones);
- ATM congestion;
- Mechanical failure;
- Geography (e.g. adverse terrain, large bodies of water, polar);
- Airport constraints (e.g. isolated, runway closure, RFFS capability);
- Alternate airport selection, specification and availability at the estimated time of use;
- Preflight fuel planning and in-flight fuel management;
- Critical fuel scenarios;
- ETOPS/EDTO;
- Performance-based compliance to prescriptive regulations;
- Operational considerations (e.g. area of operations, diversion time);
- The capabilities of an individual aircraft (e.g. cargo smoke detection and fire suppression systems, open MEL items);
- The properties of items to be transported as cargo;
- The quantity and distribution of dangerous goods items to be transported;
- Criminal, dangerous, and/or unauthorized activities directed at manned aircraft or in the vicinity of manned aircraft operations (e.g. laser pointing, unauthorized UAS/RPAS operations);
- Flights using aircraft to transport cargo in the passenger cabin, without passengers;
- Any other condition(s) that would pose a safety risk to aircraft operations.

Refer to Guidance associated with [ORG 3.2.1](#) located in ISM Section 1.

## Operational Reporting

### FLT 1.12.3

The Operator shall have an operational safety reporting system in the flight operations organization that:

- (i) Encourages and facilitates flight crew members and other flight operations personnel to submit reports that identify safety hazards, expose safety deficiencies and raise safety concerns;
- (ii) Ensures mandatory reporting in accordance with applicable regulations;
- (iii) Includes analysis and flight operations management action as necessary to address safety issues identified through the reporting system. **[SMS] (GM) ◀**

## Auditor Actions

- ❑ **Identified/Assessed** operational safety reporting system in flight operations (focus: system urges/facilitates reporting of hazards/safety concerns; includes analysis/action to validate/address reported hazards/safety concerns).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Interviewed** person(s) that perform operational safety report review/analysis/follow-up in flight operations.
- ❑ **Interviewed** selected flight crew members.
- ❑ **Examined** selected data that confirm an effective flight operations safety reporting system (focus: quantity of reports submitted/hazards identified).
- ❑ **Examined** records of selected flight operations safety reports (focus: analysis/follow-up to identify and address reported hazards/safety concerns).
- ❑ **Other Actions** (Specify)

## Guidance

Safety reporting is a key aspect of SMS hazard identification and risk management.

Refer to Guidance associated with [ORG 3.1.2](#) located in ISM Section 1.

### FLT 1.12.4

The Operator *should* have a confidential safety reporting system in the flight operations organization that encourages and facilitates the reporting of events, hazards and/or concerns resulting from or associated with human performance in operations. **(GM) ◀**

## Auditor Actions

- ❑ **Identified/Assessed** confidential safety reporting system in flight operations (focus: system urges/facilitates reporting of events/hazards/safety concerns caused by humans; report/reporters are de-identified; includes analysis/action to validate/address reported hazards/safety concerns).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** records of selected flight operations confidential safety reports (focus: report/reporter de-identification; analysis/follow-up to identify/address reported hazards/safety concerns).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 3.1.3](#) located in ISM Section 1.

## Safety Performance Monitoring and Management

### FLT 1.12.5

The Operator shall have processes in the flight operations organization for setting safety performance indicators (SPIs) and, as applicable, safety performance targets (SPTs) as means to monitor its safety performance, the achievement of its safety objectives and to validate the effectiveness of safety risk controls. **[SMS] (GM) ◀**

## Auditor Actions

- ❑ **Identified/Assessed** processes for setting SPIs and SPTs in flight operations (focus: processes define the development and implementation of SPIs and SPTs that are aligned with safety objectives).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** selected SPIs and SPTs (focus: SPIs and SPTs are being used to monitor operational performance toward effectiveness of risk controls and achievement of safety objectives).
- ❑ **Examined** records/documents that identify tracking of flight operations SPIs and SPTs (focus: tracking used to assess/monitor operational safety performance, assess/validate risk control effectiveness).
- ❑ **Other Actions** (Specify)



## Guidance

Refer to the IRM for the definitions of Safety Assurance, Safety Objective, Safety Performance Indicator (SPI) and Safety Performance Target (SPT).

Setting SPIs and SPTs that are consistent with the operator's safety objectives is an element of the Safety Assurance component of the SMS framework.

SPIs are used by an operator to track and compare its operational performance against the achievement of its safety objectives and to focus attention on the performance of the organization in managing operational risks and maintaining compliance with relevant regulatory requirements.

SPIs are usually specifically identified occurrences, conditions or parameters used for monitoring and assessing safety performance. Examples in flight operations could include the number of takeoff or landing tail strikes, unsatisfactory line or training evaluations, unstabilized approaches, runway incursions, or any other measurable occurrences that are managed by the SMS.

SPTs define short-term and medium-term safety performance management desired achievements. They act as 'milestones' that provide confidence that the organization is on track to achieving its safety objectives and provide a measurable way of verifying the effectiveness of safety performance management activities. The setting of SPTs is normally accomplished after considering what is realistically achievable and, where historical trend data are available, the recent performance of the particular SPI.

It is not always necessary or appropriate to set or define SPTs as there could be some SPIs that are better monitored for trends rather than against a targeted number. Safety reporting is an example of when having a target could either discourage people not to report (if the target is not to exceed a number) or to report trivial matters to meet a target (if the target is to reach a certain number).

Refer to Guidance associated with [ORG 1.4.1](#) (safety objectives) and [ORG 1.4.2](#) (SPIs and SPTs) located in ISM Section 1.

## 2 Training and Qualification

### General Guidance

Many provisions in this subsection specify traditional training program requirements that may be replaced by an equivalent requirement as part of an Advanced Qualification Program (AQP), Alternative Training and Qualification Program (ATQP) or Evidence-based Training (EBT) program in accordance with [FLT 2.1.1A](#) and [FLT 2.1.1B](#). AQP, ATQP and EBT are contemporary data-driven training programs that allow for variations in the manner and method by which training and, when applicable, an evaluation is conducted. Additionally, traditional recurrent training intervals may be replaced in accordance with intervals specified in the continuing qualification curriculum that is defined in an operator's AQP, ATQP or EBT (as applicable).

Most provisions contain specifications related to the recurring frequency of training and evaluation events for flight crew members. Such provisions, with a few exceptions, define cycles or intervals for the completion of recurrent training and/or evaluation expressed in months since training was first completed or qualification was first established. It is important to note, however, that for the purpose of conformance with these provisions, such intervals are nominal and that the actual interval may vary slightly. For example, an operator may adjust the frequency of evaluations to minimize overlap, provide scheduling flexibility, preserve the original qualification date, and/or ensure evaluations are consistently completed in accordance with the nominal cycle set forth by the State and/or applicable authorities. Accommodations of this nature are commonplace and vary widely by regulatory jurisdiction. In all cases, however, the auditor will make the determination of whether or not such accommodations fit within the nominal cycles established in each provision.

Conformance Applicability (CA) Tables embedded in certain provisions indicate how aspects or factors relevant to flight crew training and qualification must be addressed or satisfied for an operator to be in conformity with the provision. Each CA table contains four columns that address the following relevant aspects/factors:

- **Specific to Aircraft Type:** Indicates whether the training specified in the provision must account for or be tailored to aircraft type or crew position.



- Included in Initial/Transition/Conversion Training: Indicates whether the training specified in the provision must be included as part of initial, transition or conversion training.
- Included in Recurrent Training/Continuing Qualification: Indicates whether the training specified in the provision must be included as part of recurrent training/continuing qualification and, as applicable, specifies the maximum recurrent interval.
- Conformance through AQP/ATQP/EBT: Indicates whether the specified training and/or evaluation, including the associated recurrent training/continuing qualification interval, if any, may be replaced by equivalent requirements as part of, as applicable, the operator's AQP, ATQP or EBT program.

## 2.1 Training and Evaluation Program

### General

#### FLT 2.1.1A

The Operator shall have a training and evaluation program, approved or accepted by the Authority, that consists of ground and flight training and, when applicable, evaluations to ensure flight crew members are competent to perform assigned duties. The program shall address traditional and, if applicable, advanced, alternative or evidence-based training and qualification, and ensure training and evaluation is conducted for each type of aircraft in the fleet. Such program shall also, as a minimum, address:

- (i) Initial qualification;
- (ii) Continuing qualification;
- (iii) Re-qualification;
- (iv) As applicable, aircraft transition or conversion;
- (v) Upgrade to PIC;
- (vi) As applicable, other specialized training requirements, including those associated with operations authorized in the AOC;
- (vii) As applicable, each traditional training program requirement that is replaced by a requirement under an Advanced Qualification Program (AQP), Alternative Training and Qualification Program (ATQP) or Evidence-based Training (EBT) program. **[MA] (GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** flight crew training/qualification program (focus: program includes each type of aircraft in the fleet).
- ☐ **Identified/Assessed** AQP/ATQP/EBT elements/regulatory approval (as applicable).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** training/qualification course curriculum for selected aircraft types (focus: inclusion of applicable training/qualification courses for each aircraft type).
- ☐ **Examined** training/qualification records of selected flight crew members (focus: completion of applicable training/qualification courses).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Advanced Qualification Program (AQP), Alternative Training and Qualification Program (ATQP) and Evidence-based Training (EBT).

The intent of this provision is to ensure an operator's training program contains the elements necessary to ensure flight crew members are continuously competent to perform assigned duties.

The initial qualification process provided to newly hired crew members typically includes company indoctrination and initial endorsement on company aircraft types. This presupposes that the newly hired crew member already holds a commercial flying license.

Initial endorsement training may not be required as part of initial qualification if a newly hired crew member already holds a type endorsement acceptable to both the State and the Operator. Company indoctrination training, however, is considered a part of initial qualification.

Continuing qualification includes recurrent or refresher training and also includes any training necessary to meet recency-of-experience requirements.

Transition (conversion) training refers to an aircraft type qualification training and evaluation program for each type of aircraft in the fleet and is not required when an operator only uses one type of aircraft.

Specialized training could also include training on a specific type of new equipment (e.g., ACAS).

AQP/ATQP incorporate the elements and specifications contained in [FLT 2.1.1B](#), [Table 2.6](#) and [Table 2.7](#).

EBT incorporates the elements and specifications contained in [FLT 2.1.1B](#), [Table 2.6](#) and [Table 2.8](#).

Training could be outsourced, in which case services typically range from simple dry lease of a training device to delegation of all training to an external organization (e.g., Authorized Flight Training School).

## FLT 2.1.1B

If the Operator conducts training and evaluation in accordance with an AQP, ATQP or EBT program, such program shall be approved or accepted by the Authority and incorporate all of the elements and specifications contained in [Table 2.6](#) and, as applicable, [Table 2.7](#) or [Table 2.8](#). **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (focus: regulatory approval; requirements for elements/specifications in accordance with [Tables 2.6](#), [Table 2.7](#) or [Table 2.8](#)).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected training/qualification course curricula/syllabi for different aircraft types.
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of AQP/ATQP/EBT elements).
- ☐ **Other Actions** (Specify)

### Guidance

AQP/ATQP incorporate the elements and specifications contained in [FLT 2.1.1B](#), [Table 2.6](#) and [Table 2.7](#).

EBT incorporates the elements and specifications contained in [FLT 2.1.1B](#), [Table 2.6](#) and [Table 2.8](#).

An operator, in accordance with the requirements of the Authority, typically uses technical guidance for the development of an AQP, ATQP or EBT program. Such guidance might be derived from one or more of the following source references, as applicable:

- Office of the Federal Register, (2 October 1990), Special Federal Aviation Regulation 58 - Advanced Qualification Program, Federal Register, Vol. 55, No. 91, Rules and Regulations (pp. 40262-40278).
- FAA 14 CFR Part 121, Subpart Y.
- FAA Advisory Circular 120-54A, Change 1, Advanced Qualification Program (31 January 2017).
- Advisory Circular 120-35D (13 March 2015), Flightcrew Member Line-Operational Simulations: Line-Oriented Flight Training, Special Purpose Operational Training, Line Operational Evaluation, Federal Aviation Administration, Washington D. C.: U. S. Department of Transportation.
- FAA Advisory Circular 120-51E (22 January 2004), Crew Resource Management Training, Federal Aviation Administration, Washington D. C.: U. S. Department of Transportation.
- Commission Regulation (U) No. 965/2012 of 05 October 2012 ORO.FC.A.245 Alternative Training and Qualification Programme (ATQP) including associated GM and AMC.

- Mangold, S., and Neumeister, D. (1995). CRM in the model AQP: A preview. In R. S. Jensen and L.A. Rakovan (Eds.), Proceedings of the Eighth International Symposium on Aviation Psychology (pp 556-561), Columbus; the Ohio State University.
- ICAO Doc 9995 Manual of Evidence-based Training.
- IATA Evidence-Based Training Implementation Guide July 2013.
- IATA Data Report for Evidence-Based Training August 2014.
- Any equivalent reference document approved or accepted by the Authority for the development of an advanced training and qualification program designed to conform to the specifications of [Table 2.6](#), [Table 2.7](#) and [Table 2.8](#).

## FLT 2.1.2

The Operator shall ensure objectivity is maintained in the training and evaluation program, and that instructors, evaluators and line check airmen are permitted to perform assigned activities without inappropriate interference from management and/or external organizations. **[MA] (GM)**

### Auditor Actions

- ☐ **Identified/Assessed** requirement for objectivity in flight crew training/evaluation program.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected instructors/evaluators (focus: evaluation criteria/methodology).
- ☐ **Examined** selected instructor/evaluator job descriptions.
- ☐ **Observed** flight simulator operations (focus: objectivity; no undue external interference in training/evaluation).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure an absence of bias in the training and evaluation program that permits trainees to be objectively assessed against the operating standards set forth by the operator and/or authority without undue internal or external interference.

Policies and/or procedures used to address objectivity do not apply to ground training courses and evaluations, but do typically address one or more of the following:

- If applicable, the organizational structure of an operator's training program that ensures flight crew members are trained and evaluated by separate and distinct departments or individuals within the training organization;
- The requirements of the State related to the evaluation of pilots to whom an evaluator may have given flight instruction for a license or rating during Type qualification, Transition (conversion), Upgrade to PIC and/or Re-qualification;
- The proper conduct of evaluations administered in conjunction with simulator, aircraft and/or line training, whether conducted or administered by any of the following:
  - Different organizations, or
  - Different individuals than those that conducted the majority of the training, or
  - A common instructor and check airman (e.g. training to proficiency).
- Exceptions that may be appropriate under extenuating circumstances, such as the introduction of new aircraft types or the management of very small fleets.

## FLT 2.1.3

The Operator shall ensure flight crew members receive training that supports the introduction of:

- (i) New policies, rules, instructions and procedures;
- (ii) New aircraft types, systems and fleet modifications/upgrades. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** methodology for introduction of specified new elements into flight crew training/evaluation program.

- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected training/qualification course curricula/syllabi (focus: examples of new elements as specified).
- ☐ **Observed** flight simulator operations (focus: training/evaluation reflects current policies/procedures/equipment/aircraft modifications).
- ☐ **Other Actions** (Specify)

## Guidance

This provision is satisfied if a process exists for the introduction into the training program of each specification that results from the coordination processes required by [FLT 1.4.2](#). Such coordination processes typically occur:

- Within the training program;
- Between those responsible for the training program and the relevant areas of the organization in accordance with [FLT 1.4.2](#).

## FLT 2.1.4

If the Operator uses distance learning and/or distance evaluation in the flight crew training and qualification program, the Operator shall ensure such training and/or evaluation is monitored in accordance with [FLT 2.1.28](#) and, if required, is approved or accepted by the State. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** regulatory approval, process for monitoring/continual improvement of distance learning in flight crew training/evaluation program.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected distance learning/qualification course development records (focus: monitoring/continual improvement).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Distance Learning.

Distance learning refers to flight crew training or evaluation that is not conducted in a classroom or face-to-face with an instructor or evaluator, but rather is conducted through the use of distributed printed material or electronic media (e.g., Internet, compact disc, etc.).

**FLT 2.1.5–2.1.9** (Intentionally open)

## Training Manual

## FLT 2.1.10

The Operator shall have a Training Manual for the use of flight operations personnel, which may be issued in separate parts, that contains the details of all relevant training programs, policies, procedures, requirements and other guidance or information necessary to administer the Operator's Training Program. The Training Manual shall, as a minimum, be managed and controlled as specified in [FLT 1.6.1](#), and be in accordance with specifications contained in [Table 2.2](#). **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** flight crew training manual, regulatory approval, content in accordance with [Table 2.2](#).
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Examined** selected parts of training manual (focus: content includes policies/procedures/requirements, other guidance/information necessary to administer the training/evaluation program).
- ☐ **Observed** flight simulator operations (focus: simulator training consistent with Training Manual).
- ☐ **Other Actions** (Specify)

**Guidance**

The training manual typically applies to instructors, evaluators, line check airmen, flight crew members, training schedulers, simulator operations personnel, administrative support personnel and other applicable flight operations personnel.

The training manual may be split among several publications with the relevant parts made easily accessible to the appropriate personnel.

**FLT 2.1.11** (Intentionally open)**FLT 2.1.12**

The Operator shall ensure the Training Manual contains standards for flight crew training and evaluation that have been approved or accepted by the State and include, as a minimum:

- (i) Standardized procedures for training and the conduct of evaluations;
- (ii) Standards that ensure piloting technique and the ability to execute normal and non-normal procedures are checked in a way that demonstrates each pilot's competence;
- (iii) A requirement that simulated aircraft, weather and environmental conditions are standardized and appropriate for the training/evaluation being administered;
- (iv) If the Operator conducts training flights, a definition of the conditions and/or maneuvers that can be safely simulated in the aircraft, as well as the minimum weather and environmental conditions required to ensure the training/evaluation being administered can be safely and effectively conducted;
- (v) Limits for the number of times maneuvers may be repeated and the evaluation still be considered acceptable;
- (vi) Procedures for remedial training and subsequent evaluation of a flight crew unable to achieve or maintain required standards. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** flight crew training manual, regulatory approval of standards.
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Examined** selected parts of training manual (focus: content includes specified standards/requirements).
- ☐ **Examined** training/qualification records of selected flight crew members (focus: application of training manual standards/requirements in flight crew training).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of Maneuver Tolerances and Training Flights.

The intent of this provision is to ensure that the standards for flight crew training and evaluation are published or referenced in the Training Manual.

The specifications in item ii) of this provision are normally satisfied by the application of tolerances to normal and non-normal maneuvers during training and evaluations for the following flight parameters:

- Heading
- Airspeed
- Height/altitude
- Course tracking

With respect to item iv), operators that conduct training flights and cannot safely train/evaluate a non-normal maneuver or procedure in an aircraft or in a representative flight simulator as specified in [FLT 2.2.38](#) may demonstrate an alternative means of conformance in accordance with [FLT 2.2.41](#).

For training and/or evaluations conducted in an aircraft during line operations, maneuver tolerances normally include allowances for turbulence, aircraft characteristics and passenger comfort.

Remedial training and subsequent evaluation of flight crew unable to achieve or maintain required standards can be tailored to the needs of the individual concerned.

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

### **FLT 2.1.13** (Intentionally open)

#### **FLT 2.1.14**

The Operator shall ensure instructors, evaluators, line check airmen and flight crew members use only those documents for the conduct of training and evaluation that are authorized by the Operator for such use. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** requirement for use of authorized documents by instructors/evaluators/line check airmen/flight crew members in flight crew training/evaluation program.
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Examined** selected training/qualification course curricula/syllabi (focus: identification/use of authorized documents).
- ☐ **Observed** flight simulator operations (focus: use of authorized documents in training/evaluation).
- ☐ **Other Actions** (Specify)

#### **Guidance**

The intent of this provision is to ensure unauthorized training materials (e.g., handouts, training aids) are not distributed to or used for the training or evaluation of flight crew members.

### **FLT 2.1.15–2.1.18** (Intentionally open)

#### **Resources**

#### **FLT 2.1.19**

The Operator shall have standards that ensure training facilities, devices, equipment and course materials (whether owned or contracted) are standardized and:

- (i) As applicable, have the required certification(s) and approval or acceptance from the State;
- (ii) Are periodically evaluated to ensure compliance with applicable training resource standards.

#### **Auditor Actions**

- ☐ **Identified/Assessed** standards for training facilities/devices/equipment/course materials (focus: standards ensure training resources are appropriately certified and approved, periodically evaluated to ensure compliance with training resource standards).
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Examined** selected records associated with specific training resources (focus: training resources are certified and approved, evaluated to ensure compliance with applicable standards).
- ☐ **Observed** flight simulator operations (focus: specified training resources meet required standards).
- ☐ **Other Actions** (Specify)



## FLT 2.1.20

The Operator shall have processes that ensure instructors, evaluators, and line check airmen (whether employed or contracted) are standardized and:

- (i) As applicable, have the required certification(s)/approval(s) from the State;
- (ii) As applicable, meet the required qualification and performance standards of the Operator and/or the State;
- (iii) Are periodically evaluated to ensure compliance with required qualification and performance standards. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** flight crew training/evaluation program (focus: includes qualification and performance standards that ensure standardization and appropriate certification/acceptance/approval/evaluation of instructors/evaluators/line check airmen).
- ☐ **Identified/Assessed** processes for the standardization of instructors/evaluators/line check airmen in the flight crew training/qualification program.
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Examined** selected qualification records for training/evaluator/line check personnel (focus: certification/approval in accordance with applicable regulations/standards; periodically evaluated against qualification/performance standards).
- ☐ **Observed** flight simulator operations (focus: Instructors/evaluators/meet required standards).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure instructors, evaluators, and line check airmen are standardized and meet the knowledge, skill, experience and flight instruction requirements of the State and/or the Operator.

Refer to ICAO Annex 1, 2.8 for the knowledge, skill, experience and flight instruction requirements typical of state flight instructor licensing/certification programs.

Specific provisions for flight instructors carrying out instruction for the multi-crew pilot license exist in Chapter 6 of the Procedures for Air Navigation Services — Training (PANS-TRG, Doc 9868).

## FLT 2.1.21

The Operator shall have sufficient instructors, evaluators, line check airmen and support personnel to administer the training and evaluation programs in accordance with requirements of the Operator and/or the State, as applicable.

### Auditor Actions

- ☐ **Identified/Assessed** staffing requirements for instructor/evaluator/line check airman/support personnel in flight crew training/evaluation program.
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Examined** selected personnel staffing records (focus: staffing in accordance with required levels).
- ☐ **Other Actions** (Specify)

**FLT 2.1.22–2.1.26** (Intentionally open)

## Program Improvement

## FLT 2.1.27

The Operator shall ensure formal and regular communication occurs between and among flight operations management, instructors, evaluators, line check airmen and flight crew members to achieve continual improvement of ground, simulator and aircraft training and line operations. **[MA] (GM)**





## Auditor Actions

- ☐ **Identified/Assessed** requirements for communication among management/training personnel/flight crew members for continual improvement in flight crew training/evaluation program.
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Interviewed** selected flight training personnel/flight crew members.
- ☐ **Examined** selected communication media including, as applicable, meeting minutes, bulletins, surveys, questionnaires, other communication evidence (focus: regular communication occurs among all stakeholders for continual improvement of operations).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is for the operator to ensure a mandate exists, as well the means and opportunity, for the conduct of regular communications between and among the operational personnel, including flight crew members, for the purpose of achieving continual program improvement. This typically includes general training bulletins, instructor/check airman meetings, surveys/questionnaires, and other feedback methods.

### FLT 2.1.28

The Operator shall have processes for ensuring continual improvement of the flight crew training and evaluation program, to include, as a minimum, the monitoring, recording and evaluation of results of successful and unsuccessful flight crew evaluations. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** processes for program monitoring, continual improvement of flight crew training/evaluation program.
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Examined** selected records of program monitoring (focus: improvements resulting from monitoring).
- ☐ **Other Actions** (Specify)

## Guidance

Flight crew operational non-compliances, training deficiencies and evaluation trends (simulator, aircraft and line operations) are typically used by the training organization for trend analysis and program improvement.

Grading scale criteria (e.g. numerical, letter grade) provides a means to accurately identify areas for improvement.

### FLT 2.1.29–2.1.34 (Intentionally open)

## **Instructors, Evaluators, and Line Check Airmen**

### FLT 2.1.35

The Operator shall have an initial training program for instructors, evaluators and line check airmen, to include:

- (i) An instructor course that addresses as a minimum:
  - (a) The fundamentals of teaching and evaluation;
  - (b) Lesson plan management;
  - (c) Briefing and debriefing;
  - (d) Human performance issues;
  - (e) Company policies and procedures;
  - (f) Simulator serviceability and training in simulator operation;

- (g) If the Operator conducts training flights, dangers associated with simulating system failures in flight;
- (h) As applicable, the simulated or actual weather and environmental conditions necessary to conduct each simulator or aircraft training/evaluation session to be administered.
- (ii) A formal observation program consisting of:
  - (a) The observation by the candidate of experienced instructors administering the course and syllabus lessons;
  - (b) The observation of the candidate during supervised practical instruction.
- (iii) A seat-specific (right or left seat, as applicable) qualification program for instructors, evaluators, line check airmen and any other pilots, so designated by management, who perform duties from either seat;
- (iv) If non-line qualified instructors are used, a jump seat observation program or equivalent for non-line qualified instructors to provide familiarity with current and type-related line operations. **[MA] (GM)**

## Auditor Actions

- ☐ **Identified/Assessed** requirement for initial training program for instructors/evaluators/line check airmen in flight crew training/evaluation program.
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Examined** selected initial training course curricula/syllabi for instructors/evaluators/line check airmen (focus: specified elements are addressed in initial training for instructors/evaluators/line check airmen).
- ☐ **Other Actions** (Specify)
- ☐ **Observed** flight simulator operations (focus: Instructor/evaluator demonstrates competence to administer flight training).

## Guidance

The specification in item iv) of this provision may be satisfied by an equivalent program that includes line-oriented simulator sessions and/or completion of the company recurrent training program administered to line pilots.

The specification in item i), sub-item g), is applicable to operators that conduct training flights.

The specification in item i), sub-item h), would typically require operators that conduct training flights to specify the actual conditions that will permit such training to be accomplished safely and effectively in accordance with [FLT 2.1.12](#).

## FLT 2.1.36

The Operator shall have a recurrent qualification program for instructors, evaluators, and line check airmen that, as a minimum, requires participation in:

- (i) Standardization meetings as defined by the Operator or the State;
- (ii) Training or evaluation sessions (simulator or aircraft) conducted while supervised by an individual approved by the Operator;
- (iii) A State-approved or State-accepted minimum number of training events and/or evaluations per 12-month period or required participation in a supplementary re-qualification/recertification program if the minimum number of events are not completed;
- (iv) A seat-specific (right or left seat, as applicable) recurrent program for instructors, evaluators, Line Check Airmen, who perform duties from either pilot station;
- (v) If non-line qualified instructors are used, a jump seat observation program or equivalent approved or accepted by the State for non-line qualified instructors to provide familiarity with current and type-related line operations. **[MA] (GM)**

### Auditor Actions

- ☐ **Identified/Assessed** requirement for recurrent training program for instructors/evaluators/line check airmen in flight crew training/evaluation program.
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Interviewed** selected instructors/evaluators/line check airmen.
- ☐ **Examined** selected recurrent training course curricula/syllabi for instructors/evaluators/line check airmen (focus: specified observations/events/seat-specific training are included in recurrent training).
- ☐ **Examined** selected instructor/evaluator/line check airman training/qualification records (focus: completion of applicable formal observations/required events/seat-specific training).
- ☐ **Other Actions** (Specify)

### Guidance

The operator could have different recurrent qualification programs for line check airmen authorized to conduct line flying under supervision and those who conduct simulator and/or aircraft evaluations.

Instructors, evaluators and line check airmen typically attend a standardization meeting at least once within the preceding 12 months. Minutes of standardization meetings are normally distributed to instructors, evaluators and line check airmen.

The observations required in conjunction with item ii) are typically conducted at least within the preceding 12 months for each instructor, evaluator and line check airman, unless a longer interval is approved or accepted by the Authority.

Simulator observations in conjunction with item ii) typically entail an assessment of the individual while carrying out the duties for which highest qualified (e.g., instructor or evaluator).

The specification in item v) of this provision may be satisfied by an equivalent program that includes line-oriented simulator sessions and/or completion of the company recurrent training program administered to line pilots.

**FLT 2.1.37–2.1.44** (Intentionally open)

### ***Facilities, Training Aids and Equipment***

#### **FLT 2.1.45**

The Operator shall ensure training aids and equipment, to include mock-ups, flight deck procedure trainers and other devices and/or course materials used in the flight crew training and evaluation program, reasonably reflect the configuration of the fleet(s) for which the respective training is being conducted. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** standards/requirements for course materials/training aids/devices/equipment in flight crew training/evaluation program.
- ☐ **Interviewed** the responsible manager(s) in flight operations.
- ☐ **Observed/Assessed** selected course materials/training aids/devices/equipment (focus: consistency with configuration of fleet(s)).
- ☐ **Observed** flight simulator operations (focus: simulator configuration consistent with aircraft type).
- ☐ **Other Actions** (Specify)

### Guidance

Differences in equipment configuration are normally acceptable, provided the differences are clearly identified in the training manual or other training program documents available to instructors, evaluators, line check airmen and flight crew members.

**FLT 2.1.46**

The Operator shall have published guidance for instructors and evaluators, approved or accepted by the State, if applicable, that specifies minimum serviceability levels of training devices and/or training aircraft to ensure serviceability does not adversely affect training, evaluation and/or safety, as applicable. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** guidance for instructors/evaluators that specifies minimum required serviceability levels for training devices in flight crew training/evaluation program.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected instructors/evaluators.
- ☐ **Observed** flight simulator operations (focus: documentation that specifies minimum simulator serviceability levels for type of training/evaluation to be conducted).
- ☐ **Other Actions** (Specify)

**Guidance**

Minimum serviceability guidance for training devices typically takes into account, among other things, simulator motion, visual systems, or instrumentation.

Minimum serviceability guidance for aircraft used for Training Flights would typically take into account MEL allowances that are permissible under passenger operations, but unsuitable for the conduct of the training/evaluation to be conducted.

The specification of this provision is satisfied if an operator provides guidance to instructors and evaluators when critical components of a training device are fully or partially inoperative. For example, simulator minimum serviceability requirements typically refer instructors or evaluators to published company guidance to determine if a certain type of training (such as LOFT/LOS) can be conducted with simulator components inoperative.

**FLT 2.1.47**

If the Operator has a zero flight time training (ZFTT) program, the Operator shall ensure such training program is approved or accepted by the State and:

- (i) Is conducted using flight simulators representative of the aircraft flown by the Operator and qualified to Level C, D or an equivalent;
- (ii) Specifies minimum pilot experience requirements for entry into each ZFTT qualification/training course;
- (iii) Each ZFTT qualification/training course is customized as necessary to address pilot experience, flight crew position and simulator level;
- (iv) A demonstration of competency is completed in a flight simulator conforming to the specifications in item i) under the supervision of an evaluator;
- (v) A final demonstration of competency is completed in an aircraft during actual line operations under the supervision of an evaluator, instructor or current and qualified Pilot-in-Command (PIC) designated for the purpose by the Operator and/or State. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** program elements for ZFTT in flight crew training/evaluation program; approval by State.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of applicable ZFTT program elements).
- ☐ **Observed** flight simulator operations (focus: simulators at level to support ZFTT).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Zero Flight Time Training (ZFTT), Instructor and Flight Simulator. The latter definition includes descriptions of simulator qualification levels.

The intent of this provision is to define the elements of a ZFTT program, which may be used by an Operator in conjunction with other training programs to qualify flight crew members (e.g. ZFTT could be approved for a specific fleet type but not for all fleets).

The specification in item iv) refers to the demonstration of competencies that must be completed in a qualified simulator as designated for completion during simulator training in an operator's State-approved or State-accepted ZFTT qualification course.

The specification in item ii) may be satisfied by the operator's minimum pilot hiring criteria.

The specification in item v) refers to the final demonstration of competencies that must be completed in an aircraft as designated for completion during actual line operations in an operator's State-approved or State-accepted ZFTT qualification course. Such final demonstration is typically tailored to account for competencies previously demonstrated as part of simulator training in accordance with item iv).

The combination of competencies demonstrated in a qualified simulator plus competencies demonstrated in the aircraft during actual line operations encompasses all of the competencies, designated for demonstration in an operator's State-approved or -accepted ZFTT qualification course, as necessary for the release of a ZFTT candidate to unsupervised flying.

## 2.2 Training Elements

**FLT 2.2.1–2.2.6** (Intentionally open)

### FLT 2.2.7

The Operator shall ensure flight crew members complete Operator familiarization training prior to being assigned to duties in line operations. Such training shall ensure familiarity with:

- (i) Duties and responsibilities;
- (ii) Relevant state regulations;
- (iii) Authorized operations;
- (iv) Relevant sections of the OM. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/ Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes	No	No
* This training may be provided as a complete package included in a company indoctrination course or, if applicable, tailored to address requirements that are different from the individual's previous training.			

## Auditor Actions

- ☐ **Identified/Assessed** initial training/qualification course curriculum/syllabus (focus: operator familiarization training; definition of subjects addressed).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of operator familiarization training prior to assignment to line duties).
- ☐ **Observed** line flight operations (focus: flight crew demonstrates familiarity with operational responsibilities and requirements).
- ☐ **Other Actions** (Specify)

## Guidance

This provision and many of the ensuing flight crew training provisions contain a Conformance Applicability (CA) Table. Refer to the General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for a detailed description of the CA Table.

Training is applicable to all flight crew members.

Many operators refer to this training course as Basic Company Indoctrination.

### FLT 2.2.8

The Operator shall ensure flight crew members complete practical training exercises:

- (i) In the use of emergency and safety equipment required to be on board the aircraft;
- (ii) That address emergency evacuation and coordination among flight crew members and, as applicable, cabin crew members and/or supernumeraries required for the safety of operations. **(GM)**

Conformance Applicability				
Sub-spec	Specific to Aircraft Type	Included in Initial/Transition/ Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
(i)	Yes	Yes	Yes (every 12 months)	Yes
(ii)	Yes	Yes	Yes (every 36 months)	Yes

## Auditor Actions

- ☐ **Identified/Assessed** requirement for practical training exercises in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT, if applicable (focus continuing qualification recurrent schedule for practical training exercises).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: inclusion of initial/recurrent practical training exercises as specified).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of practical training exercises in initial/recurrent training).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Supernumerary, which defines and includes examples of supernumeraries, including those that are required for the safety of operations.

The principal intent of the specifications of this provision is to ensure flight crew members have a working knowledge of the emergency and safety equipment required to be on board an aircraft. Training exercises typically address the operation of safety and emergency equipment carried on the flight deck, emergency exits and slides, flotation devices (e.g. life rafts, life vests) and locating equipment (e.g. ELT).

The extent to which training exercises must include the actual use or manipulation of such equipment is typically determined by the operator in conjunction with requirements of the Authority. Additionally, since the routine manipulation or use of certain required items may pose an occupational health hazard, such training is typically accomplished using mock-ups or non-functioning replicas.

Training is applicable to all flight crew members.

Supernumeraries as specified in item ii) are those that are required for the safety of operations in accordance with [FLT 2.2.44](#).

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.



Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

## FLT 2.2.9

If the Operator conducts passenger flights with cabin crew, the Operator *should* ensure flight crew members participate in joint training activities or exercises with cabin crew members for the purpose of enhancing onboard coordination and mutual understanding of the human factors involved in addressing emergency situations and security threats. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Initial/Transition/Conversion Training	Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes*	Yes (every 36 months)	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous joint training with cabin crew members.			

## Auditor Actions

- ☐ **Identified/Assessed** requirement for flight-cabin crew joint training activities/exercises in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for flight-cabin crew joint training activities/exercises).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus inclusion of initial/recurrent flight-cabin crew joint training in activities/exercises as specified).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of flight-cabin crew joint training activities/exercises).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Passenger Flight.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

The intent of this provision is that the specified training is delivered jointly to flight and cabin crew members together in a common location. However, under certain specific conditions, conformity with this provision may be accomplished through training delivered independently to flight and cabin crew members under either of the following conditions:

- When approved by the Authority under an AQP, ATQP or EBT program, or
- When the flight crew training and cabin crew training occur at different geographical locations.

When training is delivered independently under the above conditions, learning objectives are normally determined jointly through interdepartmental coordination and subsequently incorporated into the respective flight crew and cabin crew training curricula. It is possible that, although the learning objectives are determined jointly, the development of curricula and administration of the training occurs independently within each department.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).



## FLT 2.2.10

The Operator shall ensure flight crew members receive training in all aspects of aircraft performance. Such training shall include:

- (i) Weight/mass and balance;
- (ii) Takeoff, climb, cruise, approach and landing performance;
- (iii) Obstacle clearance;
- (iv) Fuel planning;
- (v) Diversion planning;
- (vi) Effect of inoperative or missing components (MEL/CDL);
- (vii) If applicable, engine-out driftdown. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes	Yes	No	No

### Auditor Actions

- ☐ **Identified/Assessed** requirement for training in aircraft performance in flight crew training/evaluation program.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial training/qualification course curricula/syllabi (focus: aircraft performance training; definition of aspects/subjects addressed).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of initial aircraft performance training).
- ☐ **Other Actions** (Specify)

### Guidance

Training is applicable to all flight crew members.

The specification in item vi) might not apply to ferry flights or maintenance flights.

The specification in item vii) is applicable when engine-out performance is operationally limiting.

## FLT 2.2.11

The Operator shall ensure flight crew members complete training and an evaluation in aircraft systems and limitations, to include a demonstration of competence in the operation of aircraft systems. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes	Yes	Yes (every 36 months)	Yes

### Auditor Actions

- ☐ **Identified/Assessed** requirement for training/evaluation in aircraft systems/limitations in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training/evaluation in aircraft systems/limitations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: training/evaluation in aircraft systems limitations/operation).

- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of training/evaluation in aircraft systems limitations/operation).
- ☐ **Observed** flight simulator operations (focus: training/evaluation in flight crew operation of aircraft systems/limitations).
- ☐ **Other Actions** (Specify)

## Guidance

Training and evaluation is applicable to all flight crew members.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

## FLT 2.2.12

If the Operator transports dangerous goods as cargo, the Operator shall ensure flight crew members complete training and an evaluation in dangerous goods. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes*	Yes (every 24 months)	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous training in dangerous goods.			

## Auditor Actions

- ☐ **Identified/Assessed** requirement for training/evaluation in dangerous goods in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training/evaluation in dangerous goods).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: dangerous goods training/evaluation; definition of specific aspects/subjects addressed).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of training/evaluation in dangerous goods in initial/recurrent training).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Dangerous Goods Regulations (DGR).

Training and evaluation is applicable to all flight crew members.

The curriculum for dangerous goods training is determined by the operator and may vary depending on specific responsibilities and duty function(s).

Recurrent training in dangerous goods is typically completed within a validity period that expires 24 months from the previous training to ensure knowledge is current, unless a shorter period is defined by a competent authority. However, when such recurrent training is completed within the final 3 months of the 24-month validity period, the new validity period may extend from the month on which the recurrent training was completed until 24 months from the expiry month of the current validity period. If such recurrent training is completed *prior* to the final three months (or 90 days) of the validity period, the new validity period would extend 24 months from the month the recurrent training was completed.

Refer to DGR 1.5 and Appendix H.6 for guidance that includes adapted task lists for well-defined job functions.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

## FLT 2.2.13

If the Operator does not transport dangerous goods as cargo, the Operator shall ensure flight crew members complete training and an evaluation in dangerous goods. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes*	Yes (every 24 months)	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous training in dangerous goods.			

### Auditor Actions

- ☐ **Identified/Assessed** requirement for training/evaluation in dangerous goods in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training/evaluation in dangerous goods).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: dangerous goods training/evaluation; definition of aspects/subjects addressed).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of training/evaluation in dangerous goods in initial/recurrent training).
- ☐ **Other Actions** (Specify)

### Guidance

Training and evaluation is applicable to all flight crew members.

The curriculum for dangerous goods training is determined by the operator and may vary depending on specific responsibilities and duty function(s).

Recurrent training in dangerous goods is typically completed within a validity period that expires 24 months from the previous training to ensure knowledge is current, unless a shorter period is defined by a competent authority. However, when such recurrent training is completed within the final 3 months of the 24-month validity period, the new validity period may extend from the month on which the recurrent training was completed until 24 months from the expiry month of the current validity period. If such recurrent training is completed prior to the final three months (or 90 days) of the validity period, the new validity period would extend 24 months from the month the recurrent training was completed.

Refer to DGR 1.5 and Appendix H.6 for guidance that includes adapted task lists for well-defined job functions.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable,

recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

## FLT 2.2.14

The Operator shall ensure flight crew members complete training and, when applicable, an evaluation in crew resource management (CRM), including Threat and Error Management, using facilitators that have been trained in human performance and human factors principles. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes*	Yes (every 36 months)	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous CRM training.			

### Auditor Actions

- ☐ **Identified/Assessed** flight requirements for training/evaluation in CRM, use of CRM facilitators trained in human performance/factors principles in crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training/evaluation in CRM, use of CRM facilitators).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: training/evaluation in CRM, threat/error management).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of training/evaluation in CRM in initial/recurrent training).
- ☐ **Observed** line flight operations (focus: application of CRM/TEM principles/skills to flight management).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Crew Resource Management (CRM), CRM Facilitator, Human Performance, Human Factors Principles and Threat and Error Management.

CRM training is applicable to all flight crew members.

[FLT 2.1.1B](#) addresses overall AQP/ATQP elements and specifications, as well as Authority approval/acceptance requirement.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

## FLT 2.2.15

If the Operator uses FOO personnel and the Operator's method of Operational Control requires shared responsibility between an FOO and the PIC, the Operator *should* ensure flight crew members complete resource management training that addresses issues of mutual concern to flight crew members and FOO personnel. Such training *should* be conducted for the purposes of enhancing coordination, ensuring a mutual understanding of the human factors involved in joint operational control and achieving common learning objectives as set out by the appropriate flight operations and operational control management personnel. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** requirement for resource management training that addresses issues of mutual concern to flight crew/FOO personnel.

- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** flight crew/FOO training curriculum/syllabus (focus: inclusion of subjects that address coordination/human factors involved in joint operational control).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of resource management training for flight crew/FOO personnel).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is to ensure that resource management issues of mutual concern to both FOO personnel and flight crew members are addressed for the purposes of enhancing coordination and to foster a mutual understanding of the human and other factors involved in joint operational control.

Such training is typically accomplished using common learning objectives determined during interdepartmental coordination meetings, which are subsequently incorporated into the respective training curricula. Although the learning objectives are determined jointly, it is possible that the development of curricula and administration of the training occurs independently within each department.

The training specified in this provision does not require the physical presence of flight crew members and FOO personnel at a common training location.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

## FLT 2.2.16A

The Operator shall ensure flight crew members complete training and an evaluation in subjects associated with adverse weather and/or environmental conditions. Such training and evaluation shall address, as applicable:

- (i) Cold weather operations;
- (ii) De-/anti-icing policies and procedures as specified in [FLT 3.9.6](#);
- (iii) Contaminated runway operations;
- (iv) Thunderstorm avoidance. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes*	Yes (every 36 months)	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous training in subjects associated with adverse weather and/or environmental conditions.			

**Note:** Item ii) is applicable if the Operator conducts flights from any airport when conditions are conducive to ground aircraft icing.

## Auditor Actions

- ☐ **Identified/Assessed** requirement for training/evaluation in adverse weather/environmental conditions in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training/evaluation in adverse weather/environmental conditions).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: training/evaluation in adverse weather/environmental conditions; definition of aspects/subjects addressed).

- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of training/evaluation in adverse weather/environmental conditions in initial/recurrent training).
- ☐ **Observed** flight simulator operations (focus: training/evaluation in operations in adverse weather/environmental conditions).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Contaminated Runway.

Training and evaluation is applicable to all flight crew members.

The specifications in this provision are related to the prevention of runway excursions and in-flight loss of control.

The intent of this provision is to ensure flight crew members receive recurrent training and an evaluation in the subjects associated with the adverse weather or environmental conditions they may encounter in operations.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

## FLT 2.2.16B

If the Operator conducts operations on routes that traverse active volcanic areas or in the terminal areas of airports in the vicinity of active volcanoes, the Operator shall ensure flight crew members complete training and an evaluation in such operations. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes*	No	No
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous training in operations on routes that traverse active volcanic areas or in the terminal areas of airports in the vicinity of active volcanoes.			

## Auditor Actions

- ☐ **Identified/Assessed** requirement for training/evaluation in operations associated with potential volcanic ash in flight crew training/evaluation program.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: training in operations associated with potential for volcanic ash).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of training/evaluation in operations associated with potential for volcanic ash in initial/recurrent training).
- ☐ **Other Actions** (Specify)

## Guidance

Training and evaluation is applicable to all flight crew members.

The intent of this provision is to ensure flight crew members receive training and an evaluation in the subjects associated with the adverse environmental conditions they might encounter in operations, to include the consequences of an inadvertent entry into a volcanic ash cloud or unanticipated volcanic

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eruptions along the route of flight. Such training and evaluation is designed to increase flight crew awareness and vigilance related to volcanic activity and emphasize the possibility that they may be the first to observe an eruption or be required to pass information related to a new eruption to the appropriate authorities for dissemination.

Additional information related to the risk management of flight operations with known or forecast volcanic ash contamination is contained in ICAO Doc 9974, *Flight Safety and Volcanic Ash*.

**FLT 2.1.1B** addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with **FLT 2.1.1B**.

## FLT 2.2.17

The Operator shall ensure flight crew members complete upset prevention and recovery training (UPRT). **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes*	Yes (every 36 months)	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous UPRT.			

### Auditor Actions

- ☐ **Identified/Assessed** requirement for training in procedures for aircraft upset recovery in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training in procedures for aircraft upset recovery).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: training in procedures for aircraft upset recovery).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of upset recovery training/evaluation in initial/recurrent training).
- ☐ **Observed** flight simulator operations (focus: training in upset recovery).
- ☐ **Other Actions** (Specify)

### Guidance

Training is applicable to all *pilot* crew members and typically addresses pilot flying (PF) and pilot monitoring (PM) duties.

Aircraft upset recovery training typically includes:

- Upset prevention;
- Factors leading to an upset or loss of control situation;
- Upset situation identification;
- Recovery techniques;
- Emphasis on aerodynamic factors present during the upset and the recovery.

Acceptable means of ground training may include video presentation(s), verbal instruction and/or group discussion.

**FLT 2.1.1B** addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.



Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1](#).

### FLT 2.2.18 (Intentionally open)

#### FLT 2.2.19

The Operator shall ensure flight crew members, including instructors and evaluators whose native language is not the same as the designated common language specified in [FLT 3.1.1](#), complete an evaluation prior to being assigned to operational duties to demonstrate a level of proficiency in the designated common language that ensures such flight crew members are able to:

- (i) Effectively communicate during the performance of operational duties;
- (ii) Understand information in the OM pertaining to duties and responsibilities. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** requirement for common language evaluation prior to assignment of operational duties for flight crew members/instructors/evaluators whose native language is not the common language.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** common language evaluation syllabus (focus: inclusion of demonstration of common language proficiency consistent with use in operations/operational duties).
- ☐ **Examined** selected flight crew member/instructor/evaluator training/qualification records (focus: completion of common language evaluation by applicable personnel prior to assignment to operational duties).
- ☐ **Observed** line flight and flight simulator operations (focus: instructor/crew use of designated common language).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Evaluator and Instructor.

Evaluation is applicable to all flight crew members including foreign nationals and expatriates used as flight crew members, as well as instructors and evaluators used by the operator in the ground and flight training program.

Such evaluation of proficiency is typically part of the flight crew selection process but may occur during initial training or at any other point prior to the individual being assigned to duties as a flight crew member, instructor or evaluator for the operator.

#### FLT 2.2.20

The Operator shall require flight crew members, who conduct flights into areas where English is the primary language of Air Traffic Control (ATC) and whose duties include communication with ATC to complete an evaluation during initial ground training to demonstrate a sufficient level of English language proficiency that will ensure effective communication during the performance of such duties. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** requirement for English language evaluation for flight crew members that will operate flights/communicate with ATC in areas where the primary language of ATC is English.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** initial training/qualification course curriculum/syllabus (focus: demonstration of English language proficiency level necessary for effective ATC communications).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of demonstration of English language proficiency).

- ❑ **Observed** line flight operations (focus: English language proficiency in communication with ATC).
- ❑ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure a pilot who is required to communicate with air traffic control in English demonstrates a sufficient level of English language proficiency to ensure effective communication during the performance of duties.

Such evaluation applies to each operating member of the flight crew, as required by the AFM, whose duties require communication in English with ATC.

English proficiency requirements do not apply to flight engineers or flight navigators unless their duties include air/ground communication in English.

A State requirement, as part of flight crew licensing, for an individual to demonstrate expert English language proficiency may be used to satisfy the specifications of this provision.

#### FLT 2.2.21 (Intentionally open)

#### FLT 2.2.22

The Operator shall have a process to ensure flight crew members who conduct flights into areas where English is required for Air Traffic Control (ATC) communications, and who have not previously demonstrated expert English language proficiency, receive a periodic evaluation to demonstrate a minimum level of English language proficiency that is sufficient, as defined by the Operator and/or the State, to ensure effective communication during the performance of duties. Such evaluation shall be completed during initial ground training and subsequently once every three (3) to six (6) years based on the proficiency level of the applicant. **(GM)**

#### Auditor Actions

- ❑ **Identified/Assessed** requirement for English language evaluation for flight crew members that have not previously demonstrated expert English language proficiency and operate flights/communicate with ATC in areas where the primary language of ATC is English.
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** initial training/continuing qualification course curriculum/syllabus (focus: demonstration of English language proficiency necessary for effective ATC communications, periodic demonstration every 3-6 years based on demonstrated proficiency level).
- ❑ **Examined** selected flight crew member training/qualification records (focus: completion of initial/periodic demonstration of English language proficiency).
- ❑ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure a pilot who is required to communicate with air traffic control in English, periodically demonstrates a sufficient level of English language proficiency to ensure effective communication during the performance of duties.

Such evaluation applies to each operating pilot member of the flight crew, as required by the AFM.

English proficiency requirements do not apply to flight engineers or flight navigators unless their duties include air/ground communication.

Periodic demonstration of language proficiency is not required of individuals who have previously demonstrated an expert level of English language proficiency. Such individuals are those whose native language is English and those whose native language is not English, but who understand English and speak English that is easily understood, even if spoken with a dialect or accent.

A State requirement, as part of flight crew licensing, for an individual to demonstrate expert English language proficiency can be used to satisfy the specifications of this provision.

In order to conform to these specifications, an operator may periodically evaluate Individuals that have not previously demonstrated expert English language proficiency in accordance with *either*:

- ICAO Annex 1.2.9.6, 1.2.9.7 and ICAO Annex 1, Attachment 1.1 (ICAO Language Proficiency Rating Scale), *or*
- Any State-approved or State-accepted method of English language proficiency evaluation that establishes a minimum proficiency level, defines an evaluation interval and requires pilot flight crew members to demonstrate a level of English language proficiency sufficient to ensure effective communication during the performance of duties.

Guidance for the development of language proficiency plans and associated interim risk mitigation measures related to delayed implementation may be found in ICAO Resolution A36-11 dated 26 October 2007.

## FLT 2.2.23 (Intentionally open)

### FLT 2.2.24

If the Operator transports dangerous goods on cargo aircraft and assigns flight crew members duties and responsibilities related to the preflight inspection of accessible dangerous goods, the Operator shall ensure applicable flight crew members complete training and an evaluation in the preflight inspection of accessible dangerous goods during initial ground training. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** requirement for flight crew training in preflight inspection of accessible dangerous goods.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial training/qualification course curricula/syllabi (focus: ground training in preflight inspection of dangerous goods).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of initial ground training in preflight inspection of dangerous goods).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Cargo Aircraft.

Training and evaluation is applicable to all flight crew members that would be assigned duties and responsibilities as specified.

Accessible dangerous goods are those items accessible to the flight crew that could require flight crew action to ensure:

- Accessible dangerous goods are visually intact;
- If applicable, the securing and preflight of any fire protection equipment;
- Accessible dangerous goods are loaded properly, to include the proper segregation of dangerous goods.

### FLT 2.2.25

If the Operator delegates the accomplishment of the exterior aircraft inspection (walkaround) to qualified individuals as specified in [FLT 3.8.6A](#) (iii), the Operator shall ensure such individuals complete training, as well as an evaluation, to ensure competence in the performance of any assigned duties or functions related to the exterior aircraft inspection. **(GM)**



Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes	Yes	Yes*	No
* Recurrent/Continuing qualification interval as defined by the Operator.			

## Auditor Actions

- ☐ **Identified/Assessed** training program for individuals (other than flight crew members or licensed maintenance technicians) that perform exterior aircraft exterior inspections (focus: program includes initial/recurrent training and evaluation; includes type-specific training in the exterior aircraft inspection).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training course curricula/syllabi (focus: training addresses exterior inspection of aircraft types in operator's fleet; includes training in visual inspection of safety-critical areas of each aircraft type).
- ☐ **Examined** selected training/qualification records (focus: completion of initial/recurrent training and evaluation; applicable to aircraft types and individual duties/functions associated with exterior inspection).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Exterior Aircraft Inspection (Walkaround).

Exterior aircraft inspection training and evaluation is aircraft type-specific and typically addresses the following safety-critical areas:

- Blocked or damaged pitot/static ports;
- Locked or disabled flight controls (as applicable depending on aircraft type);
- Locked or disabled steering and/or landing gear systems;
- Landing gear strut compression;
- Tire pressure, wear and/or damage;
- Fluid leaks;
- Unlatched/open doors and access panels;
- Presence of frost, snow or ice on critical surfaces;
- Aircraft structural integrity (damage);
- Flight crew notification procedures;
- Any other safety-critical and/or aircraft type-specific items as defined by the aircraft manufacturer or operator.

### FLT 2.2.26

The Operator shall ensure flight crew members complete training in normal and non-normal procedures and maneuvers. Such training shall address, as a minimum:

- (i) Pilot Monitoring (PM) Pilot Flying (PF) and other flight crew division of duties (task sharing);
- (ii) Positive transfer of aircraft control;
- (iii) Consistent checklist philosophy;
- (iv) Emphasis on a prioritization of tasks (e.g. "aviate, navigate, communicate");
- (v) Proper use of all levels of flight automation. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes	Yes	Yes (every 12 months)	Yes

## Auditor Actions

- ☐ **Identified/Assessed** requirement for training in normal/non-normal procedures/maneuvers in flight crew training/evaluation program.

- ❑ **Identified/Assessed** in flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training in normal/non-normal procedures/maneuvers).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: training in normal/non-normal procedures/maneuvers; definition of specific elements/subjects addressed).
- ❑ **Examined** selected flight crew member training/qualification records (focus: completion of initial/recurrent training in the specified normal/non-normal procedures/maneuvers).
- ❑ **Observed** flight simulator operations (focus: training in normal/non-normal procedure/maneuvers).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Pilot Flying (PF) and Pilot Monitoring (PM).

Training is applicable to all flight crew members.

The intent of this provision is to set a training interval for normal and non-normal procedures, and additionally to ensure the training manual, curricula, lesson plans, or other guidance associated with such training addresses the specifications in items i) through v).

Division of flight crew duties, transfer of aircraft control, checklist use and prioritization of tasks are in accordance with the operator's policies for task sharing and as specified in [FLT 3.11.18](#).

Proper use of automation levels is in accordance with the operator's automation policy and as specified in [FLT 3.11.22](#).

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Elements of training may be accomplished as part of ground, simulator, aircraft or line training.

The term *Pilot Monitoring (PM)* has the same meaning as the term *Pilot Not Flying (PNF)* for the purpose of applying the specifications of this provision.

The specification in item iv) refers to the following prioritization of tasks during any normal or abnormal situation or maneuver:

- Aviate: fly the aircraft in accordance with restrictions and limitations set forth in the OM;
- Navigate: guide the aircraft along the intended or appropriate route;
- Communicate: verbalize intentions to other crew members and ATC, as applicable.

The term "abnormal" is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms "normal" and "non-normal/emergency" typically refer to AOM checklists, procedures and/or maneuvers. The term "non-normal" includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term "emergency" used alone refers to declarations and non-AOM procedures.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

## FLT 2.2.27

The Operator shall ensure flight crew members complete training and, when applicable, an evaluation, that includes a demonstration of competence in normal and non-normal procedures and maneuvers, to include, as a minimum, rejected takeoff, emergency evacuation, engine failure and/or those procedures and maneuvers specified in the Operator's AQP/ATQP/EBT as approved or accepted by the Authority. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes	Yes	Yes (every 12 months)	Yes

## Auditor Actions

- ☐ **Identified/Assessed** requirement for training/evaluation including a demonstration of competence in normal/non-normal procedures/maneuvers in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training/evaluation in normal/non-normal procedures/maneuvers).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: training/evaluation in specified normal/non-normal procedures/maneuvers).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of initial/recurrent training/evaluation in the specified normal/non-normal procedures/maneuvers).
- ☐ **Observed** flight simulator operations (focus: training/evaluation in performance of normal/non-normal procedures/maneuvers).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is to define the basic initial and subsequent recurrent training and evaluation cycles that ensure flight crew members are competent to perform normal and non-normal procedures and maneuvers. It is understood that competence in all potential normal and non-normal procedures may not be demonstrated annually but in accordance with a schedule that is acceptable to the Authority.

The modification of qualification intervals in accordance with an AQP, ATQP or EBT program requires conformity with [FLT 2.1.1B](#).

Training and, when applicable, a demonstration of competence in specified normal and non-normal procedures and maneuvers is applicable to all *pilot* crew members.

Training and, when applicable, evaluation is accomplished as part of ground, simulator/aircraft and line training;

Line training is in normal procedures/maneuvers only.

An evaluation of competence in the normal and non-normal procedures and maneuvers specified is applicable when such procedures and/or maneuvers are stipulated by the operator and/or State in conjunction with State-approved or State-accepted training courses that require a method of evaluation. Such courses typically include:

- Type qualification;
- Transition (conversion);
- Upgrade to PIC;
- Re-qualification;
- Recurrent training.

Operators that conduct training flights and cannot safely train/evaluate a non-normal procedure or maneuver in an aircraft or in a representative flight simulator as specified in [FLT 2.2.38](#) may demonstrate an alternative means of conformance in accordance with [FLT 2.2.41](#).

All pilot flight crew members who receive training in the normal and non-normal procedures and maneuvers specified in this provision also demonstrate competence in such procedures and maneuvers in accordance with the applicable specifications of [FLT 2.3.2](#).

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable,



recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

### FLT 2.2.28

The Operator shall ensure flight crew members, prior to an evaluation, are familiar with those maneuvers and/or malfunctions that might be presented during the evaluation but are not given information that reveals the exact sequence and the circumstances under which such maneuvers or malfunctions will be presented. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** philosophy/requirements for preparing flight crew members for an evaluation in flight crew training/evaluation program.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** guidance for instructors/evaluators (focus: methodology for providing information to flight crew members in preparation for an evaluation).
- ☐ **Observed** flight simulator operations (focus: information provided to flight crew members in preparation for an evaluation).
- ☐ **Other Actions** (Specify)

#### Guidance

The specification of this provision is not intended to preclude flight crews from knowing the city pairs to be flown or the general maneuver requirements prior to the evaluation; however, flight crews would typically not be provided with the exact evaluation scenario.

Operators that conduct training flights in an aircraft may divulge as much information about the intended training/evaluation as is necessary to ensure the safety of the planned operation.

### FLT 2.2.29

The Operator shall ensure flight crew members, before starting line training, have successfully completed an Operator proficiency evaluation administered by an Evaluator of the Operator or a representative of the Authority, and have demonstrated the skill and knowledge level adequate for operating the aircraft at or above the standards stipulated in the training syllabus. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** requirement for a final evaluation prior to a flight crew member commencing line flight training.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** syllabus for final evaluations of flight crew members prior to line flight training (focus: demonstration of skill/knowledge adequate to operate the aircraft at or above the standards stipulated in the training syllabus; definition of evaluation criteria).
- ☐ **Examined** selected flight crew member training/qualification records (focus: successful completion of final evaluation conducted by an evaluator prior to commencing line flight training).
- ☐ **Other Actions** (Specify)

#### Guidance

An evaluation in conjunction with Initial Type Qualification satisfies the specifications in this provision.

### FLT 2.2.30

The Operator shall ensure flight crew members complete training in CRM skills, which may be accomplished as part of simulator, aircraft and/or line training, as applicable. **(GM)**



Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes	Yes (every 12 months)	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous training in CRM skills.			

## Auditor Actions

- ☐ **Identified/Assessed** requirements for training in CRM skills in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for CRM training).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: inclusion of CRM training in simulator/aircraft or during line flight training).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of initial/recurrent CRM training).
- ☐ **Observed** line flight and flight simulator operations (focus: training in application of CRM/TEM principles/skills).
- ☐ **Other Actions** (Specify)

## Guidance

Training is applicable to all flight crew members.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

This specification is intended to ensure CRM skills are emphasized during and integrated into simulator or aircraft training, as applicable, and line training.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

### FLT 2.2.31

The Operator shall ensure flight crew members complete a Line Operational Simulation (LOS) profile. Such training and/or evaluation shall be:

- (i) Approved or accepted by the State;
- (ii) A planned scenario administered in a line environment setting with specific CRM objectives where such non-technical skills are observed, debriefed upon completion and used for the performance assessment of the flight crew. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes	Yes	Yes (every 12 months)	Yes

### Auditor Actions

- ❑ **Identified/Assessed** requirement for approved LOS in flight crew training/evaluation program.
- ❑ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for LOS).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** criteria for administration of LOS (focus: conducted as uninterrupted scenario in real-time line environment with planned CRM objectives, CRM skills observed/briefed at completion).
- ❑ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: inclusion of LOS in simulator/aircraft or during line flight training).
- ❑ **Examined** selected flight crew member training/qualification records (focus: completion of LOS in initial/recurrent training).
- ❑ **Observed** flight simulator operations (focus: training using LOS profile).
- ❑ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Line Operational Simulation (LOS), Line Oriented Evaluation (LOE), Line-Oriented Flight Training (LOFT) and Special Purpose Operational Training (SPOT).

Training and/or evaluation is applicable to flight crew members.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

LOS includes SPOT, LOE, and LOFT. Such scenarios incorporated into the training program satisfy the specifications of this provision.

LOS scenarios are conducted in a simulated “line environment” setting and are as standardized and scripted as possible. A simple menu of expected weather conditions and/or normal/non-normal procedures/maneuvers would not be acceptable as this would increase the subjectivity of the presentation.

In the absence of a representative flight simulator, such alternatives typically employ:

- LOS profiles conducted in a generic simulation device or representative flight training device;
- An uninterrupted planned scenario in the aircraft with specific CRM objectives that include behavioral observation and assessment of crew performance, where such skills are observed and debriefed upon completion. This requires an operator to specify how the CRM objectives are set, evaluated and debriefed in a line environment.

The term “abnormal” is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term “emergency” used alone refers to declarations and non-AOM procedures.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

### FLT 2.2.32

The Operator shall ensure flight crew members complete training and, when applicable, an evaluation, that includes a demonstration of competence, in wind shear avoidance and recovery from predictive and actual wind shear. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes	Yes	Yes (every 36 months)	Yes

## Auditor Actions

- ☐ **Identified/Assessed** requirement for training/evaluation/demonstration of competence in wind shear avoidance/recovery from predictive/actual wind shear in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for wind shear training/evaluation).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: wind shear training/evaluation/demonstration of competence).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of initial/recurrent wind shear training/evaluation).
- ☐ **Observed** flight simulator operations (focus: training/evaluation in wind shear avoidance/recovery from predictive/actual wind shear).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Wind Shear.

The intent of this provision is to ensure training and evaluation occurs, as applicable, in the maneuvers specified within the intervals specified. Such training and evaluation can occur in conjunction with any State-approved or State-accepted training course.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Training and, when applicable, an evaluation in the specified normal and non-normal procedures and maneuvers is applicable to all *pilot* crew members.

Training is accomplished in a representative flight simulator approved for the purpose by the State.

Such evaluation of competence in the normal and non-normal procedures and maneuvers specified is applicable when such procedures and/or maneuvers are stipulated by the operator and/or State in conjunction with State-approved or State-accepted training courses that require a method of evaluation. Such courses typically include:

- Type qualification;
- Transition (conversion);
- Upgrade to PIC;
- Re-qualification;
- Recurrent training.

Training and evaluation of the non-normal procedures and maneuvers specified in this provision cannot be safely accomplished in an aircraft on a training flight (see [FLT 2.2.38](#)).

Operators that cannot conform to the specifications of this provision due to the non-existence of a representative flight simulator may demonstrate an alternative means of conforming to these specifications in accordance with [FLT 2.2.41](#).

The additional ground and line training and evaluation used to satisfy the specifications of this provision and of [FLT 2.2.41](#) in the absence of a representative flight simulator typically include a review of:

- Conditions conducive to wind shear;
- Effects on aircraft performance;

- Indications of wind shear presence;
- Avoidance and recovery techniques;
- Wind shear case studies or scenarios.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

## FLT 2.2.33

The Operator shall ensure flight crew members complete training and an evaluation, which includes a demonstration of competence in terrain awareness procedures and maneuvers. Such training and evaluation shall include:

- (i) Knowledge and conduct of associated procedures;
- (ii) Response to GPWS alerts and warnings;
- (iii) The avoidance of Controlled Flight Into Terrain (CFIT). **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes	Yes	Yes (every 36 months)	Yes

## Auditor Actions

- ☐ **Identified/Assessed** requirement for training/evaluation/demonstration of competence in terrain awareness procedures/maneuvers in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training/evaluation in terrain awareness procedures/maneuvers).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: training/evaluation in terrain awareness procedures/maneuvers; definition of subjects addressed).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of initial/recurrent training/evaluation in terrain awareness procedures/maneuvers).
- ☐ **Observed** line flight and flight simulator operations (focus: terrain awareness procedures/maneuvers).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Controlled Flight into Terrain (CFIT).

The specifications in this provision are directly related to the prevention of controlled flight into terrain (CFIT).

The intent is to ensure training and evaluation occurs, as applicable, in the maneuvers specified within the intervals specified. Such training and evaluation can occur in conjunction with any State-approved or State-accepted training course.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Training and evaluation in the specified normal and non-normal procedures and maneuvers in a representative flight simulator approved for the purpose by the State is applicable to *pilot* crew members.

Training and evaluation of the non-normal procedures and maneuvers specified in this provision cannot be safely accomplished in an aircraft on a training flight (see [FLT 2.2.38](#)).

Operators that cannot conform to the specifications of this provision due to the non-existence of a representative flight simulator may demonstrate an alternative means of conforming to these specifications in accordance with [FLT 2.2.41](#).

The additional ground and line training and evaluation used to satisfy the specifications of this provision and of [FLT 2.2.41](#) in the absence of a representative flight simulator typically includes a review of:

- CFIT avoidance techniques;
- CFIT recovery techniques and maximizing aircraft performance;
- GPWS alerts and warnings;
- CFIT case studies or scenarios.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

Further information may be found at

<https://www.iata.org/contentassets/06377898f60c46028a4dd38f13f979ad/enhance-access-to-egpws-information---final-version.pdf>

## FLT 2.2.34

If the Operator conducts low visibility operations (LVO), the Operator shall ensure flight crew members complete training and an evaluation that includes a demonstration of competence in such operations, as well as operations with inoperative ground based and/or aircraft equipment. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/ Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes	Yes (every 12 months)	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous training in LVO.			

## Auditor Actions

- ☐ **Identified/Assessed** requirement for training/evaluation/demonstration of competence in LVO and/or operations with inoperative ground based/aircraft equipment in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training/evaluation in LVO and/or operations with inoperative ground based/aircraft equipment).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: training/evaluation in LVO and/or operations with inoperative ground based/aircraft equipment).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of initial/recurrent training/evaluation in LVO and/or operations with inoperative ground based/aircraft equipment).
- ☐ **Observed** flight simulator operations (focus: training in LVO).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Low Visibility Operations (LVO).

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Training and evaluation in low visibility operations is applicable to all *pilot* crew members.

For the purposes of this provision, low visibility operations are considered in effect when the Runway Visual Range (RVR) is below 400 m for takeoff and/or below Category I limits for landing.

Operators that conduct training flights and cannot safely train/evaluate the specified procedures in an aircraft or in a representative flight simulator as specified in [FLT 2.2.38](#) may demonstrate an alternative means of conformance in accordance with [FLT 2.2.41](#).

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

## FLT 2.2.35

The Operator shall ensure flight crew members with duties and responsibilities related to TCAS/ACAS alerting equipment complete training and an evaluation that includes a demonstration of competence in maneuvers and procedures for the proper response to TCAS/ACAS alerts. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes	Yes	Yes (every 36 months)	Yes

### Auditor Actions

- ☐ **Identified/Assessed** requirement for training/evaluation/demonstration of competence in procedures for proper response to TCAS/ACAS alerts in flight crew training/evaluation program.
- ☐ **Identified/flight** crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training/evaluation in response to TCAS/ACAS alerts).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: training/evaluation in procedures for proper response to TCAS/ACAS alerts).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of initial/recurrent training/evaluation in procedures for proper response to TCAS/ACAS alerts).
- ☐ **Observed** flight simulator operations (focus: training/evaluation in response to TCAS/ACAS alerts).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure training and evaluation occurs, as applicable, in the maneuvers specified within the intervals specified. Such training and evaluation can occur in conjunction with any State-approved or State-accepted training course.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Training is accomplished in a representative flight simulator approved for the purpose by the State.

TCAS training may be performed without demonstrating capability in a simulator (since many simulators do not have TCAS capability).

Training and evaluation of the non-normal procedures and maneuvers specified in this provision cannot be safely accomplished in an aircraft on a training flight (see [FLT 2.2.38](#)).

Operators that cannot conform to the specifications of this provision due to the non-existence of a representative flight simulator may demonstrate an alternative means of conforming to these specifications in accordance with [FLT 2.2.41](#).



The additional ground and line training and evaluation used to satisfy the specifications of this provision and of [FLT 2.2.41](#) in the absence of a representative flight simulator typically include a review of:

- TCAS procedures and alert responses;
- TCAS alerts;
- TCAS case studies or scenarios.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

**FLT 2.2.36** (Intentionally open)

## FLT 2.2.37

If the Operator uses pilot flight crew members designated to perform duties from either control seat, the Operator shall have seat-specific qualification for such flight crew members, to include training and an evaluation. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes	Yes	Yes (every 12 months)	Yes

## Auditor Actions

- ☐ **Identified/Assessed** requirement for seat-specific qualification of pilot flight crew members designated to perform duties from either control seat.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for seat-specific qualification).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: seat-specific training/evaluation for flight crew members designated to perform duties from either control seat).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of seat-specific evaluation in initial/recurrent training).
- ☐ **Observed** flight simulator operations (focus: training/evaluation in performing duties from either control seat)
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is to ensure that any pilot designated to perform duties from either control seat, including takeoffs and landings, completes seat specific qualification.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

The specifications of this provision typically apply to pilot flight crew members, such as:

- Type Rating Instructors (TRIs)
- Type Rating Examiners (TREs)
- Pilots who are authorized to conduct takeoff and landings from either control seat.

Cruise relief pilots may meet the seat-specific requirements of this provision as part of a State-approved or State-accepted (cruise relief pilot) qualification program.



Cruise relief pilots are not required to receive recurrent training in both control seats once every 12 months unless required as part of a State-approved or -accepted (cruise relief pilot) qualification program.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

### FLT 2.2.38

If the Operator conducts training flights, the Operator shall specify those required maneuvers and procedures that cannot be safely accomplished in an aircraft, and ensure such maneuvers and procedures are either trained and evaluated in a representative flight simulator or, if such a synthetic device does not exist, ensure a demonstration of pilot competence in those maneuvers and procedures using an alternative means in accordance with [FLT 2.2.41](#). Maneuvers and procedures that cannot be safely accomplished in an aircraft shall include, as a minimum:

- (i) Wind shear avoidance and recovery;
- (ii) Response to GPWS alerts and warnings and the avoidance of Controlled Flight Into Terrain (CFIT);
- (iii) Response to TCAS/ACAS alerts. **(GM)**

**Note:** If a representative flight simulator exists, conformity with [FLT 2.2.32](#), [FLT 2.2.33](#) and [FLT 2.2.35](#) is required for the Operator to be in conformity with this provision.

**Note:** If a representative flight simulator does not exist, conformity with [FLT 2.2.41](#) is required for the Operator to be in conformity with this provision.

### Auditor Actions

- ☐ **Identified/Assessed** designation of required maneuvers/procedures that cannot be accomplished in an aircraft, requirement for flight crew training/evaluation in such maneuvers/procedures in an approved representative flight training device or using alternative means in accordance with [FLT 2.2.41](#).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** aircraft training/qualification curriculum/syllabus (focus: exclusion of specified maneuvers from aircraft training).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of specified maneuvers in an approved representative training device or via alternative means).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Flight Simulator.

The intent of this provision is to ensure both of the following:

- The maneuvers and procedures that cannot be safely accomplished in an aircraft are specified by the operator and include, as a minimum, those maneuvers specified in i), ii) and iii);
- A demonstration of pilot competence in the specified maneuvers and procedures using either a representative flight simulator or an alternative means (as specified in [FLT 2.2.41](#)) if such flight simulator does not exist.

Training is accomplished in a representative flight simulator approved for the purpose by the State.

Refer to [FLT 2.2.41](#) if no representative flight simulator exists for the aircraft type.

Refer to [FLT 2.2.32](#), [FLT 2.2.33](#), [FLT 2.2.35](#) and associated Guidance for additional specifications and information related to the training and evaluation on the specified maneuvers.

## FLT 2.2.39

If the Operator conducts training flights and accomplishes training or evaluation related to a failed or inoperative engine during such flights, the Operator shall ensure engine failures are simulated for the purpose of accomplishing any maneuvers that involve a failed or inoperative engine. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** requirement for only simulated engine failure during aircraft training flights.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** instructor guidance for aircraft training flights (focus: instructions for simulation of engine failure for maneuvers that involve failed/inoperative engine).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure maneuvers that involve a failed or inoperative engine are safely accomplished when training in such maneuvers is performed in the aircraft (as required by the Authority or due to the unavailability of a representative flight simulator approved for the purpose by the State). In order to ensure maneuvers that involve a failed or inoperative engine are accomplished safely during training flights, engine failures are typically simulated in a manner that would not prevent the flight crew from recovering immediate and full control of an engine.

## FLT 2.2.40

The Operator shall ensure flight crew members complete training and, when applicable, an evaluation that includes a demonstration of competence in duties and procedures related to flight crew incapacitation. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes	Yes (every 36 months)	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous training in duties and procedures related to flight crew incapacitation.			

### Auditor Actions

- ☐ **Identified/Assessed** requirement for demonstration of competence in duties/procedures related to flight crew incapacitation in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for demonstration of competence in duties/procedures related to flight crew incapacitation).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: evaluation in duties/procedures related to flight crew incapacitation).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of demonstration of competence in duties/procedures related to flight crew incapacitation in initial/recurrent training).
- ☐ **Observed** flight simulator operations (focus: training in flight crew incapacitation)
- ☐ **Other Actions** (Specify)

### Guidance

The specification of this provision is applicable to all flight crew members.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

A demonstration of competence in the crew member duties and procedures related to flight crew incapacitation is applicable when such a demonstration is required by the operator and/or State in conjunction with State-approved or State-accepted training courses that require a method of evaluation. Such courses typically include:

- Type qualification;
- Transition (conversion);
- Upgrade to PIC;
- Re-qualification;
- Recurrent.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

### FLT 2.2.41

If the Operator conducts training flights and is unable to train and evaluate the required maneuvers and procedures specified in [FLT 2.2.38](#) due to the non-existence of a representative flight simulator, the Operator shall use an alternative means for ensuring a demonstration of pilot competence in such maneuvers and procedures. Any alternative means shall be approved or accepted by the State, and require a demonstration of competence through a combination of means, to include:

- (i) The use of generic flight simulators;
- (ii) The use of representative and/or generic flight training devices;
- (iii) Additional ground and line training and evaluation;
- (iv) As applicable, any other means that ensures a demonstration of pilot competence in the applicable maneuvers and procedures. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** requirement for flight crew demonstration of competence using alternative means for required maneuvers/procedures that cannot be accomplished in an aircraft or due to the non-availability of a representative flight training device.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** applicable training/qualification curriculum/syllabus (focus: training/evaluation in designated maneuvers accomplished; definition of acceptable alternative means of training).
- ☐ **Examined** selected flight crew member training/qualification records (focus: demonstration of competence in designated maneuvers completed using alternative means).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Flight Training Device (FTD).

The intent of this provision is for the operator to ensure, in the absence of a representative flight simulator necessary to conform to [FLT 2.2.38](#), that suitable and effective alternatives are used for the training and evaluation of maneuvers and procedures that cannot be safely conducted in an aircraft.

It is important to note that conformity with this provision requires a *combination* of alternative training and evaluation methods to ensure a demonstration of pilot competence (i.e. generic simulators and/or flight training devices, ground training/evaluation, line training/evaluation, other). This requirement is based on the presumption that any one method when used alone would be inadequate to ensure competence in the specified maneuvers as well as associated procedures.

Wind shear, GPWS, and TCAS training maneuvers and procedures, as specified in [FLT 2.2.38](#), cannot be safely accomplished in an aircraft during a training flight or line training.

Refer to [FLT 2.2.32](#), [FLT 2.2.33](#), [FLT 2.2.35](#) and associated Guidance for additional specifications and information related to the required training and evaluation associated with:

- Wind shear avoidance and recovery;
- Response to GPWS alerts and warnings and the avoidance of Controlled Flight Into Terrain (CFIT);
- Response to TCAS/ACAS alerts.

## FLT 2.2.42

If the Operator transports passengers or supernumeraries, the Operator shall ensure flight crew members complete security training as approved or accepted by the State, and in accordance with the Operator's security training program as specified in [SEC 2.1.1](#). Flight crew security training shall address the following subject areas:

- (i) Determination of the seriousness of the occurrence;
- (ii) Crew communication and coordination;
- (iii) Policy and procedures associated with flight deck access;
- (iv) Appropriate self-defense responses;
- (v) Use of non-lethal protective devices assigned to crew members for use as authorized by the State;
- (vi) Understanding the behavior of terrorists so as to facilitate the ability to cope with hijacker behavior and passenger responses;
- (vii) Situational training exercises regarding various threat conditions;
- (viii) Flight deck procedures to protect the aircraft;
- (ix) Aircraft search procedures;
- (x) As practicable, guidance on least-risk bomb locations. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes*	Yes (every 36 months)	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous flight crew security training.			

**Note:** Flight crew members shall complete initial security training prior to being assigned to operational duties.

**Note:** The specifications of this provision are applicable to flight crew members used on board an aircraft during commercial and/or non-commercial operations.

### Auditor Actions

- ☐ **Identified/Assessed** flight crew security training program (focus: approval/acceptance by the State; meets applicable requirements of other states).
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for flight crew security training).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: security training is included; required subjects are addressed).
- ☐ **Examined** selected flight crew member training/qualification records (focus: completion of security training).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Air Operator Security Program (AOSP) and Non-Lethal Protective Device.

Flight crew members are directly involved in the implementation of security measures and thereby require an awareness of obligations to the Security Program of the operator.

Crew security training would normally be in accordance with applicable regulations and/or the civil aviation security program of the State, and where no regulatory guidance exists, in accordance with the policy of the operator.

Security training for flight crew members typically focuses on the need for the flight crew to maintain control of the flight deck.

Specific subject areas included in recurrent security training are typically identified and derived from an analysis of actual or likely situations or trends experienced during line operations.

Fight deck access as specified in item (iii) would typically include persons authorized for flight deck access as well as procedures for flight deck entry/exit.

Flight crew training in self-defense responses as specified in item (iv) typically focuses on ensuring the security of the flight deck and takes into consideration relevant operational factors (e.g. type of operation, phase of flight, aircraft type/configuration, responses by cabin crew members or, if applicable, supernumeraries).

Training as specified in item (vi) typically addresses topics or tactics as appropriate for the operator that might be associated with or could be used to facilitate crew-passenger reaction to or interaction with hijackers (e.g. conflict management, use of passive or non-passive cooperation, understanding Stockholm Syndrome, identification of and response to hijacker types/motives).

Training exercises as specified in item (vii) are typically interactive in nature, and scenarios or situations (e.g. bomb threat, hijacking, unruly passenger) may be presented using various accepted training methods (e.g. live role playing, table top, computer-based training).

Training as specified in item (x) is applicable to aircraft types that have designated least-risk bomb locations. Least-risk bomb locations are typically not identified on all-cargo aircraft.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

### FLT 2.2.43

If the Operator conducts passenger flights without cabin crew, the Operator shall ensure flight crew members, complete training and demonstrate competence in the performance of any assigned duties and functions related to passenger cabin safety. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/ Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes*	Yes (every 24 months)	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous training in duties and functions related to passenger cabin safety.			

## Auditor Actions

- ☐ **Identified/Assessed** requirement for flight crew training in the performance of assigned duties/functions related to passenger cabin safety.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for crew training in the performance of assigned duties/functions related to passenger cabin safety).

- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: training in performance of assigned duties/functions related to passenger cabin safety).
- ❑ **Examined** selected flight crew member training/qualification records (focus: completion of training in performance of assigned duties/functions related to passenger cabin safety).
- ❑ **Other Actions** (Specify)

### Guidance

The training specified in the provision is to be accomplished as part of initial ground, simulator/aircraft or line training.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Cabin safety training would typically address:

- Aircraft systems and emergency equipment including:
  - Aircraft interior, passenger seats and restraints;
  - Aircraft-specific cabin duties and responsibilities;
  - Emergency exit locations and operation;
  - Emergency equipment locations and operation;
  - Slides, rafts, slide/rafts, ramp slide/rafts, life vests and other flotation devices as applicable.
- Cabin safety duties and responsibilities including:
  - Mandatory passenger briefings;
  - Passenger acceptance and handling;
  - The stowage of carry-on baggage;
  - The use of personal electronic devices;
  - Fueling with passengers on board;
  - Cabin safety checks.
- Emergency procedures including:
  - Cabin duties assumed in the event of an emergency;
  - Cabin smoke, fumes and fires;
  - Emergency landing (land and water);
  - Planned and unplanned cabin emergency evacuations (land and water);
  - Oxygen administration;
  - Medical emergencies and first aid.

Cabin safety training elements incorporated into other curricula of the flight crew member training program may satisfy the specifications of this provision.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

### FLT 2.2.44

If the Operator uses supernumeraries in the passenger cabin or supernumerary compartment of an aircraft that are required for the safety of operations, the operator *should* ensure such supernumeraries receive training and an evaluation to demonstrate competence in the performance of any assigned duties or functions related to passenger cabin or cargo compartment safety. **(GM)**



Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes*	No	No
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous training in duties or functions related to passenger cabin or cargo compartment safety.			

**Note:** The specifications of this provision are applicable to supernumeraries used on board an aircraft during commercial and/or non-commercial operations.

## Auditor Actions

- ☐ **Identified/Assessed** requirement for aircraft type-specific supernumerary training/evaluation in performance of assigned duties/functions related to passenger cabin/cargo compartment safety.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected supernumerary training course curricula/syllabi (focus: as applicable, aircraft type-specific training/evaluation in performance of assigned duties/functions related to passenger cabin/cargo compartment safety).
- ☐ **Examined** selected supernumerary training records (focus: completion of aircraft type-specific training/evaluation in performance of assigned duties/functions related to passenger cabin/cargo compartment safety).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Supernumerary, which further defines and includes examples of supernumeraries, including those that are required for the safety of operations.

This provision is applicable only to supernumeraries that are required for safety of operations, and the intent is to ensure such supernumeraries used in the passenger cabin or supernumerary compartment in accordance with the specifications of this provision are competent to perform any assigned duties or functions related to passenger cabin or cargo compartment safety.

An aircraft type-specific training course would typically address any cabin or supernumerary compartment actions to be taken during normal, abnormal or emergency situations.

The term “abnormal” is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term “emergency” used alone refers to declarations and non-AOM procedures.

## 2.3 Line Qualification

### FLT 2.3.1

The Operator shall have a line qualification program consisting of line training and, where applicable, evaluations, approved or accepted by the State, which ensures flight crew members are qualified to operate in areas, on routes or route segments and into the airports to be used in operations for the Operator. Such program shall:

- (i) Be published in the Training Manual or equivalent documents;
- (ii) Ensure each pilot flight crew member has adequate knowledge of the elements specified in [Table 2.5](#), as applicable to the areas, routes and route segments of intended operation;



- (iii) Specify qualification requirements for operations in all areas, on all routes or route segments, and into all airports of intended use;
- (iv) Ensure each pilot flight crewmember, prior to entering the line qualification program, has satisfied the applicable recency-of-experience requirements specified in [FLT 3.3.7 \(i\)](#) under the supervision of an instructor or evaluator authorized for the purpose by the Operator and/or State;
- (v) Ensure line training and evaluation for each pilot crew member is completed during initial qualification and, if applicable, in accordance with the continuing qualification curriculum as defined in the Operator's AQP/ATQP/EBT that conforms to the specifications of [FLT 2.1.1B](#);
- (vi) Ensure line training and evaluation is completed prior to a pilot crew member being used as a PIC in operations. **(GM)**

#### Auditor Actions

- ❑ **Identified/Assessed** flight crew line qualification training/evaluation program, approved/accepted by the State, specifies qualification requirements for operations associated with areas/routes/route segments/airports used in operations.
- ❑ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification schedule for line training/evaluation).
- ❑ **Identified/Assessed** the requirement for recency-of-experience prior to entry into the line qualification program.
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** flight crew line qualification initial/recurrent curricula/syllabi (focus: line training/evaluation in areas/airports of operations; program elements consistent with specifications in [Table 2.5](#)).
- ❑ **Examined** selected flight crew member training/qualification records (focus: completion of initial/recurrent line qualification training/evaluation).
- ❑ **Examined** selected flight crew member training/qualification records (focus: assessment of recency-of-experience for pilots entering line qualification).
- ❑ **Observed** line flight operations (focus: flight crew demonstrates knowledge of relevant operational requirements).
- ❑ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Zero Flight Time Training (ZFTT).

The intent of this provision is to ensure flight crew members are qualified to conduct routine operations within each theater of operation as defined by the operator. It does not address the additional and specialized knowledge required to conform to [FLT 2.4.1](#).

Refer to [FLT 2.4.1](#) and associated Guidance for additional specifications and information that addresses special areas, routes route segments and special airports.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as approval/acceptance requirements of the Authority.

The specification in item (iv) ensures that a qualifying pilot has the necessary experience to operate as a required crewmember in the line training qualification program. Recency-of-experience would typically be established during simulator training in a ZFTT training program or during base training associated with initial aircraft qualification and/or type rating. If there are delays between simulator and/or type qualification training and the commencement of line qualification, recency-of-experience may be lost and would need to be re-established by the operator.

The specification in item (iv) may be satisfied by a process integral to the line qualification program or be in accordance with the process defined by [FLT 3.3.7](#).

This specification in item (v) applies to all candidates for the position of PIC, to include SIC upgrade candidates and pilots hired directly into PIC positions in operations for the operator.

The training and evaluation specified in this provision is accomplished by pilot flight crew members as part of; ground training, simulator/aircraft training or line training.

## FLT 2.3.2

The Operator shall ensure each pilot flight crew member, in order to maintain qualification, receives training and, when applicable, successfully completes an evaluation at or above the standards stipulated in the training syllabus and administered by an Evaluator of the Operator or a representative of the Authority, and demonstrates piloting technique and competence to execute emergency procedures and comply with instrument flight rules. Such training and, when applicable, evaluation shall be conducted in accordance with the requirements of the State and applicable authorities to ensure evaluations for all pilot flight crew members are conducted using one or more of the following intervals, as applicable:

- (i) For the PIC, twice within any period of one year plus or minus one calendar month from the original qualification anniversary date or base month, **and/or**
- (ii) For pilot crew members other than the PIC, in accordance with i), or once within any period of one year plus or minus one calendar month from the original qualification anniversary date or base month, **and/or**
- (iii) For any pilot crew member participating in an AQP, ATQP or EBT program, once within any period of one year, or other period approved or accepted by the State, provided such training and qualification program incorporates all elements and specifications contained in [Table 2.6](#), [Table 2.7](#) and [Table 2.8](#). **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** requirement for flight crew continuing qualification that includes a demonstration of piloting technique and competence to execute emergency procedures and comply with instrument flight rules; definition of continuing training/evaluation interval(s).
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification schedule for demonstration of piloting technique and competence to execute emergency procedures and comply with instrument flight rules).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected recurrent training/qualification course curricula/syllabi (focus: training/evaluation in emergency procedures/compliance with instrument flight rules).
- ☐ **Examined** selected flight crew training/qualification records (focus: completion of continuing qualification training/evaluation at intervals as specified).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for definitions of Base Month, Calendar Month, LOE and Training to Proficiency.

The modification of qualification intervals in accordance with an AQP, ATQP or EBT program requires conformity with [FLT 2.1.1B](#).

The intent of this provision is to define the conditions necessary for a pilot crewmember to maintain qualification and to set a basic qualification interval, which may be slightly modified in accordance with the specifications of the provision or conditions stipulated in guidance material.

The specifications of this provision are minimum requirements and might be exceeded by requirements of the State or other applicable authorities. The applicable authorities specified in this provision typically refer to authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

An operator, in accordance with the requirements of the State and other applicable authorities, may adjust the frequency of evaluations specified in item i) of this provision to minimize overlap, preserve the original qualification date, and ensure evaluations are completed within the annual cycle set forth by the operator, State and/or applicable authorities.

Providing a minimum of two simulator training sessions within a thirteen-month period typically satisfies the requirements of item i) if the interval between training sessions is not less restrictive than what is specified by the operator, State and/or applicable authorities.

The evaluation cycles specified in items i) and ii) of this provision may be completed in 13 months in accordance with State requirements that allow such cycle to be adjusted a maximum of plus or minus one calendar month from the original qualification anniversary date or base month. Such flexibility is normally incorporated in the training and evaluation program to allow for latitude in the trainee scheduling process.

The evaluation cycles specified in item i) of this provision may also be adjusted in accordance with State requirements that flight crew members undergo training and, when applicable, an evaluation at least every 6 calendar months. If the training and evaluation, however, is conducted within 3 calendar months prior to the expiry of the 6-calendar month period in the case of item i) or the 12 calendar months period in the case of item ii), the next training and evaluation must be completed within 6 or 12 calendar months, respectively, of the original expiry date of the previous training and evaluation.

Training and evaluation specified in items i) and ii) may be anticipated and conducted within 3 calendar months prior to the expiry date.

Accommodations made to adjust evaluation cycles or frequency may not affect the original anniversary date or base month when flight crew member qualification was *either*:

- First established, *or*
- Re-established following a period of extended absence, and subject to the satisfactory completion of a training program designed specifically for the re-qualification of flight crew members following an extended absence.

One of the evaluations specified in item i), in a 12-calendar month period, may be administered by an instructor, trained and authorized by the operator and the Authority, during the conduct of a simulator or aircraft training course, approved or accepted by the Authority, for the purpose of maintaining piloting technique and competence.

One of the evaluations specified in item ii), in a 24-calendar month period, may be administered by an instructor, trained and authorized by the operator and the Authority, during the conduct of a simulator or aircraft training course, approved or accepted by the Authority, for the purpose of maintaining piloting technique and competence.

Simulator or aircraft training courses approved or accepted by the Authority for the purpose of maintaining piloting technique and competence typically include one or more of the following elements:

- Training-to-proficiency at the pilot controls of an aircraft or aircraft simulator;
- Appropriate briefings before and after the training;
- LOE using a complete flight crew;
- Maneuvers and procedures (abnormal and emergency) that may occur in line operations.

The term “abnormal” is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term “emergency” used alone refers to declarations and non-AOM procedures.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding specified intervals associated with recurrent training/continuing qualification.

### FLT 2.3.3

The Operator shall ensure line training for the second-in-command (SIC) includes an amount of Pilot Monitoring (PM) and Pilot Flying (PF) duties sufficient to develop and demonstrate proficiency in such duties. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** requirement for SIC training in PM/PF duties in flight crew line qualification training/evaluation program.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected SIC training/qualification records (focus: completion of training/evaluation in PM/PF duties).
- ☐ **Other Actions** (Specify)

## Guidance

The term Pilot Monitoring (PM) has the same meaning as the term Pilot Not Flying (PNF) for the purpose of applying the specifications of this provision.

### FLT 2.3.4

The Operator shall ensure pilot flight crew members complete an evaluation that includes a demonstration of knowledge of the operations approved as part of the Air Operator Certificate (AOC). Such evaluation shall include a demonstration of knowledge of:

- (i) Approaches authorized by the Authority;
- (ii) Ceiling and visibility requirements for takeoff, approach and landing;
- (iii) Allowance for inoperative ground components;
- (iv) Wind limitations (crosswind, tailwind and, if applicable, headwind). **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes*	Yes*	Yes (every 12 months)	Yes
* This evaluation may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous evaluation in the knowledge of AOC-approved operations.			

## Auditor Actions

- ☐ **Identified/Assessed** requirement for flight crew initial/continuing qualification that includes a demonstration of knowledge of operations approved as part of the AOC.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for demonstration of knowledge of AOC operations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** flight crew line qualification initial/recurrent curricula/syllabi (focus: evaluation of relevant operational knowledge; definition of operational areas addressed).
- ☐ **Examined** selected flight crew training/qualification records (focus: completion of initial/continuing qualification training/evaluation).
- ☐ **Other Actions** (Specify)

## Guidance

**FLT 2.1.1B** addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

The training and evaluation specified in this provision is accomplished by pilot flight crew members as part of ground, simulator/aircraft or line training.

The specifications of this provision are normally satisfied during line training but can occur elsewhere in the training program.

The wind limitations specified in item iv) refer to maximum limits that have been demonstrated for takeoff and landing, as well as limits that have been established for the type of operation being conducted (e.g., as applicable, automatic landing, HUD/EVS guided, or contaminated runway).

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

#### **FLT 2.3.5** (Intentionally open)

#### **FLT 2.3.6**

The Operator shall ensure pilot flight crew members complete a Command Training and Evaluation program during initial training and qualification and, if applicable, in accordance with the continuing qualification curriculum as defined in the Operator's AQP/ATQP/EBT that conforms to the specifications of [FLT 2.1.1B](#). Such training and evaluation shall be completed prior to a pilot flight crew member being assigned as PIC in operations. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** requirement for PIC command training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for PIC command training/evaluation).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected flight crew training/qualification records (focus: completion of command training/evaluation prior to assignment to PIC duties).
- ☐ **Other Actions** (Specify).

#### **Guidance**

Refer to the IRM for the definition of Operational Flight Plan (OFP).

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

The specifications of this provision apply to all candidates for the position of PIC, to include SIC upgrade candidates and pilots hired directly into PIC positions in operations for the operator.

Command training and evaluation is accomplished by pilot flight crew members as part of ground, simulator/aircraft or line training.

Command training and evaluation programs may be conducted in addition to, and/or in conjunction with, one or more of the training programs specified in [FLT 2.1.1](#).

The program specified in this provision addresses the technical and non-technical aspects of command relevant to the operations of the operator, and typically includes:

- Technical seat-specific aircraft training for the aircraft type;
- Basic operator familiarization training in subjects relevant to the PIC;
- Human performance and CRM skill training relevant to command, the relationship with other crew members and the operation as a whole (e.g. leadership, team building, conflict resolution, etc.);
- Training in the sections of the OM relevant to command, to include:
  - Authority and responsibilities of the PIC in operations for the operator;
  - Adherence to the limitations of the AOC;
  - Responsibilities relevant to the OFP and ATL;
  - Responsibilities relevant to the reporting of accidents and incidents.

## 2.4 Special Qualification

### FLT 2.4.1

If the Operator conducts flights in areas or on routes or route segments over difficult terrain and/or into special airports as designated by the State or by the Operator, the Operator shall ensure each PIC completes training and, if required, an evaluation in the special skills and/or knowledge required to qualify or requalify for such operations. The content of training shall ensure the PIC has adequate knowledge of the elements specified in [Table 2.5](#) as applicable to the areas, routes, route segments and special airports of intended operation. **(GM)**

#### Auditor Actions

- ❑ **Identified/Assessed** requirement for training to qualify/requalify a PIC in special skills/knowledge needed for operations associated with specific areas/routes/route segments/difficult terrain/airports as designated by State or operator.
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** training curriculum/syllabus used to qualify/requalify PIC to operate over/into special routes/areas/airports (focus: training in special skills/knowledge required for certain operations; program elements consistent with specifications in [Table 2.5](#)).
- ❑ **Examined** selected PIC training/qualification records (focus: completion of training for operations associated with designated special areas/routes/route segments/terrain/airports).
- ❑ **Other Actions** (Specify)

#### Guidance

This provision applies to candidates for the position of PIC, to include SIC upgrade candidates and pilots hired directly into PIC positions in operations for the operator.

Training as specified in this provision may include aircraft type-specific elements as applicable to areas of operations, routes, airports, and equipment operated.

The specifications of this provision address the training required to operate over difficult terrain and/or into special airports based on a determination, by the operator and/or State, that pilots require special skills or knowledge for such operations. Such training typically addresses routes and/or airports that are over or in areas:

- With mountainous terrain, including high terrain, rapidly rising terrain or terrain with steep gradients;
- With terrain that contributes to the existence of mountain waves, turbulence, high surface winds, sudden wind changes and/or other atmospheric phenomena that could affect the performance of the aircraft;
- Containing topographical variations such as ridgelines, valleys, ravines, fjords or other areas where downdrafts on the leeward or downwind side can make traversing the area or accomplishing a crosswind landing hazardous;
- Where the airport, runway and/or approach environment is difficult to identify at night due to surrounding lights;
- Where featureless or expansive terrain could contribute to optical illusions during the day or at night;
- That are devoid of lighting where airport, runway and/or approach area identification is difficult at night due to lack of visible landmarks;
- That are devoid of lighting and sole reference to external or visual cues is insufficient for the maintenance of proper aircraft attitude control;
- That require the application of any other specific skills or knowledge, as determined by the operator and/or State.

The specified training may be included as part of initial or continuing qualification under [FLT 3.3.10](#) or conducted independently.



## FLT 2.4.2

If the Operator engages in specialized operations, the Operator shall ensure flight crew members, prior to being used in such operations, complete training and/or an evaluation in the operating practices and procedures for the following special operations, as applicable to the Operator:

- (i) Performance-Based Navigation (PBN), training and evaluation required.
- (ii) Performance-Based Communication and Navigation Surveillance System (PBCS).
- (iii) Reduced Vertical Separation Minima (RVSM).
- (iv) Minimum Navigation Performance Specifications (MNPS/NAT HLA).
- (v) Areas of Magnetic Unreliability (AMU). **(GM)**

Conformance Applicability				
Sub-spec	Specific to Aircraft Type	Included in Initial/Transition/ Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
(i)	Yes*	Yes*	Yes (every 12 months)	Yes
(ii)–(v)	Yes*	Yes*	No	Yes
* This training may be provided as a complete package or, if applicable, tailored to address aircraft type or crew position requirements that are different from the individual's previous training in PBN, PBCS, RVSM, MNPS/NAT HLA and/or AMU practices and procedures.				

### Auditor Actions

- ☐ **Identified/Assessed** requirement for training in PBN/PBCS/RVSM/MNPS/NAT HLA/AMU procedures in flight crew training/evaluation program.
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification/recurrent schedule for training and evaluation in PBN/PBCS/RVSM/MNPS/NAT HLA/AMU).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training/other qualification course curricula/syllabi (focus: training in PBN/PBCS/RVSM/MNPS/NAT HLA/AMU procedures).
- ☐ **Examined** selected flight crew training/qualification records (focus: completion of PBN/PBCS/RVSM/MNPS/NAT HLA/AMU procedures in initial training).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Areas of Magnetic Unreliability (AMU), Minimum Navigation Performance Specifications (MNPS), North Atlantic Track High Level Airspace (NAT HLA), Performance-Based Communication and Navigation Surveillance System (PBCS), Performance-Based Navigation (PBN) and Specialized Operations.

Training is applicable to all pilot crew members and, if used in conjunction with such special operations, flight navigators.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).



## FLT 2.4.3

If the Operator uses flight crew members to concurrently operate aircraft of different types, or operate variants within one type, the Operator shall have qualification processes that are approved or accepted by the State and ensure such flight crew members complete training and an evaluation that emphasizes the differences between aircraft types and variants. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/ Transition/Conversion Training	Included in Recurrent Training/Continuing Qualification	Conformance through AQP/ATQP/EBT
Yes	Yes	Yes (every 12 months)	Yes

### Auditor Actions

- ☐ **Identified/Assessed** requirement for flight crew training/evaluation in differences between aircraft types/variants (as applicable).
- ☐ **Identified/Assessed** flight crew AQP/ATQP/EBT (if applicable): (focus continuing qualification recurrent schedule for training/evaluation in differences between aircraft types/variants).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** flight crew line qualification initial/recurrent curricula/syllabi (focus: training/evaluation in differences between relevant aircraft types/variants).
- ☐ **Examined** selected flight crew training/qualification records (focus: completion of training/evaluation in differences between aircraft types/variants).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Aircraft Type and Aircraft Variant (within Type).

The intent of this specification is to ensure flight crew members are familiarized with the significant differences in equipment and/or procedures between concurrently operated types or variants.

The determination of variant within type is within the domain of the State as part of flight crew licensing.

[FLT 2.1.1B](#) addresses overall AQP/ATQP/EBT elements and specifications, as well as Authority approval/acceptance requirements.

Qualification processes are applicable to all flight crew members used in such operations and as defined in the IRM.

Aircraft differences that require emphasis typically include level of technology, ergonomics, operational differences and handling characteristics.

Refer to General Guidance at the beginning of this [Subsection 2, Training and Qualification](#), for explanatory information regarding traditional training program requirements and, if applicable, recurrent training/continuing qualification intervals that may be replaced by equivalent requirements as part of an AQP, ATQP or EBT program in accordance with [FLT 2.1.1B](#).

## 2.5 SMS Training

### FLT 2.5.1

The Operator shall have a program that ensures its flight operations personnel are trained and competent to perform SMS duties. The scope of such training shall be appropriate to each individual's involvement in the SMS. **[SMS] (GM) ◀**

**Note:** *The specifications of this provision are applicable to personnel of the Operator that perform flight operations functions.*

#### Auditor Actions

- ☐ **Identified/Assessed** SMS training program for flight operations (focus: program ensures training for the operator's flight operations personnel as appropriate to individual SMS involvement).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected initial/recurrent training curricula/syllabi for management/non-management personnel (focus: training in individually relevant SMS duties/responsibilities).
- ☐ **Examined** selected management/non-management personnel training records (focus: completion of SMS training).
- ☐ **Other Actions** (Specify)

#### Guidance

SMS training is an element of the Safety Promotion component of the SMS framework.

Refer to Guidance associated with [ORG 4.3.1](#) located in ISM Section 1.

### FLT 2.5.2

If the Operator outsources flight operations functions to external service providers, the Operator *should* have a program that ensures personnel of external service providers are trained and competent to perform SMS duties. The scope of such training *should* be appropriate to individual involvement in the Operator's SMS. **[SMS] (GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** SMS training program for flight operations (focus: program ensures training for flight operations personnel of external service providers as appropriate to individual SMS involvement).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected outsourcing contracts/agreements (focus: inclusion of requirement of SMS training for applicable service provider personnel).
- ☐ **Examined** selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures applicable personnel of service providers have completed SMS training).
- ☐ **Other Actions** (Specify)

#### Guidance

SMS training is an element of the Safety Promotion component of the SMS framework.

Refer to Guidance associated with [ORG 4.3.2](#) located in ISM Section 1.

## 3 Line Operations

### 3.1 Common Language

#### FLT 3.1.1

The Operator shall ensure the designation of a common language(s) for use by all flight crew members for communication:

- (i) On the flight deck during line operations;
- (ii) If the Operator conducts passenger flights with cabin crew, between the flight crew and cabin crew during line operations;
- (iii) During flight crew training and evaluation activities. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** requirement for use of common language(s) by flight/cabin crew members.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected flight/cabin crew members (focus: awareness/use of designated common language in operations).
- ☐ **Observed** line flight and flight simulator operations (focus: instructor/crew use of designated common language).
- ☐ **Other Actions** (Specify)

#### Guidance

More than one common reference language might be designated.

Communication in the designated common language is applicable to all flight crew members, including foreign nationals and expatriates used as flight crew members, instructors or evaluators by the operator.

The operator is expected to be in compliance with the common language requirements of the State (e.g. mandatory for operations, a condition for employment or a condition for airman certification), if such requirements exist. If no State requirements exist, the operator is expected to designate an appropriate common operational language for use by flight crew members, as specified in this provision.

The existence (and application) of a State common language requirement that satisfies the specifications of this provision relieves the operator of such a designation in operational documentation.

#### FLT 3.1.2

If the Operator designates more than one common language in accordance with [FLT 3.1.1](#), the Operator shall have procedures to ensure effective communication is established and maintained between flight crew members and, if applicable, with cabin crew members:

- (i) During normal, abnormal and emergency operations;
- (ii) In the event of incapacitation of any crew member. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** requirement for use of multiple common languages by flight/cabin crew members.
- ☐ **Identified/Assessed** procedures for flight/cabin crew member communication in the event of crew incapacitation.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected flight/cabin crew members (focus: awareness/use of designated common languages in operations).
- ☐ **Observed** line flight operations (focus: flight/cabin crew use of designated common languages).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure, when an operator has more than one designated common language, that operational communication among crew members is maintained and, in the case of incapacitation of any crew member, does not result in a loss of verbal communication among the remaining crew members.

**3.2 Flight Crew Responsibilities****FLT 3.2.1**

The Operator shall ensure the PIC is assigned the responsibility for recording the following information for each flight:

- (i) Aircraft registration;
- (ii) Date;
- (iii) Flight number;
- (iv) Flight crew names and duty assignment;
- (v) Departure and arrival airports;
- (vi) ATD, ATA, flight time. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** assignment of responsibility for PIC to record flight information; definition of information to be recorded.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: recording of flight information).
- ☐ **Other Actions** (Specify)

**Guidance**

The specifications of this provision could be recorded by electronic means (e.g., ACARS) or manually by PIC or his/her designee.

The specification in item iv) refers to the designation of crew duty assignments as specified in the AFM or by the operator (e.g. Captain, First Officer, Flight Engineer, Navigator, Radio Operator, Load Master).

**3.3 Flight Crew Qualifications****FLT 3.3.1**

The Operator shall specify the composition and required number of flight crew members taking into account the type of aircraft, flight crew qualification requirements and flight/duty time limitations. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** requirement/methodology for determining flight crew composition/number of crew members based on aircraft type/crew qualification/flight-duty time limitations.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected flight crew pairing records (focus: crew composition/number consistent with aircraft type/qualifications/limitations).
- ☐ **Observed** flight crew scheduling operations (focus: scheduling complies with defined flight crew composition/number of flight crew members based on mission factors).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure flight crews are composed of the flight crew members appropriate for the aircraft type and planned operation.

As applicable to an operator, crew composition requirements would typically also address the use of relief pilots and/or augmented crews.

**FLT 3.3.2**

The Operator shall have guidance and criteria that address the pairing of inexperienced pilot crew members and ensure scheduling processes prevent inexperienced pilot flight crew members, as defined by the Operator or the State, from operating together. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** guidance/criteria that prohibit pairing of inexperienced pilot flight crew members.
- ☐ **Identified/Assessed** tracking/scheduling processes that prevent pairing of inexperienced pilot flight crew members.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected flight crew pairing records (focus: inexperienced flight crew members not paired together).
- ☐ **Observed** flight crew scheduling operations (focus: scheduling uses guidance/criteria that prevent pairing of inexperienced flight crew members).
- ☐ **Other Actions** (Specify)

**Guidance**

The definition of inexperienced pilot flight crew member typically varies depending on the operator or the State and generally refers to a minimum number of hours in aircraft type after the completion of initial training/qualification.

The specifications of this provision are intended to preclude two newly trained or inexperienced pilots from operating together in an aircraft type until they each achieve a level of experience defined by the operator or the State.

**FLT 3.3.3**

If the Operator conducts low visibility approaches, the Operator shall define a minimum level of command experience required for a pilot to be authorized to conduct such approaches as PIC to approved Operator minima. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** defined minimum level(s) of command experience required for PIC to be authorized to conduct low visibility approaches to approved minima.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** OM guidance/procedures (focus: defined PIC minimum level of command experience to conduct low visibility approaches to approved minima).
- ☐ **Examined** selected flight crew training/qualification records (focus: low visibility approach authorization based on experience level).
- ☐ **Other Actions** (Specify)

**Guidance**

For those flight crew members qualified as PIC on aircraft types equipped for low visibility approaches, the specification for a minimum level of command experience may be replaced by a State-approved or State-accepted training program on low visibility operations conducted in a simulator suitable for the purpose.

**FLT 3.3.4**

The Operator shall ensure flight crew members will not operate an aircraft unless issued a medical assessment in accordance with requirements of the State; such assessment shall not be valid for a period greater than 12 months. **(GM)**

**Note:** *If authorized by the State, it is permissible to extend the validity beyond 12 months (to preserve the original expiry date) when the medical assessment is renewed up to 45 days prior to its expiry date.*

**Auditor Actions**

- ❑ **Identified/Assessed** requirement for flight crew members to have valid medical assessment in accordance with requirements of the State, maximum 12 months validity.
- ❑ **Identified/Assessed** tracking/scheduling processes that prevent flight crew members from assignment to flight duty without valid medical assessment.
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** selected flight crew training/qualification records (focus: existence of valid medical assessment).
- ❑ **Observed** flight crew scheduling operations (focus: scheduling tracks/accounts for valid flight crew member medical assessment).
- ❑ **Other Actions** (Specify)

**Guidance**

Requirements of the State and/or an applicable authority that are associated with medical classifications, aircraft types, flight crew positions and/or licensing could require a more restrictive assessment interval than specified in this provision. An applicable authority is one that has jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

The “class” of medical assessment required to conform to the specifications of this provision, typically “class 1”, is defined by the State and/or an applicable authority.

**FLT 3.3.5**

If the Operator conducts international flight operations, the Operator shall ensure either of the following apply to flight crew members that operate such flights:

- (i) The Operator has a method to prevent such crew members from acting as a pilot after having attained their 65th birthday, or
- (ii) Where laws or regulations of the State do not permit maximum age limits, the Operator has a method, which is acceptable to the State and other applicable states, for making a determination that pilot flight crew members are no longer permitted to exercise the privileges of their pilot license in international operations for the operator. **(GM)**

**Auditor Actions**

- ❑ **Identified/Assessed** requirements/restrictions applicable to use of pilot flight crew members that have attained 65 years of age.
- ❑ **Identified/Assessed** tracking/scheduling processes that ensure assignments of PIC and crew pairing for international flights are in accordance with age limitations/restrictions.
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** selected flight crew training/qualification records (focus: retention of age limitations/restrictions).
- ❑ **Observed** flight crew scheduling operations (focus: scheduling accounts for/complies with age/other restrictions that prohibit assignment of flight crew member as pilot in international flight operations).
- ❑ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to address pilot flight crew member duty assignments for international operations when the flight crew includes at least one pilot that has attained 65 years of age.

The specifications of this provision refer to the maximum age(s), as specified by an operator or the Authority, beyond which pilot privileges are curtailed or cancelled. Such curtailment or cancellation of privileges is generally associated with flight crew member position and/or flight crew composition.

The specifications in item ii) refer to operators that are subject to laws or regulations of the State that preclude the specification of maximum age limits for flight crew members to exercise the full privileges of their pilot license in operations for the operator.

The specifications of this provision may be satisfied by an operator's process for tracking pilot flight crew member age, if age requirements or limits are specified by the operator or Authority. Such tracking might be necessary to conform to State requirements when a pilot crew member changes position or reaches a mandatory age limit.

## **FLT 3.3.6** (Intentionally open)

### **FLT 3.3.7**

The Operator shall have a process to ensure flight crew member recency-of-experience requirements are satisfied as follows:

- (i) A pilot does not act as PIC or SIC of an aircraft unless *either*:
  - (a) On the same type or variant of aircraft within the preceding 90 days (120 days if under the supervision of an instructor or evaluator), that pilot has operated the flight controls during at least three takeoffs and landings in the aircraft type or in a flight simulator approved for the purpose by the appropriate authority, *or*
  - (b) On the same type or variant of aircraft within a time period acceptable to the State and applicable authorities, that pilot has operated the flight controls during the number of takeoffs and landings in the aircraft type or in a flight simulator approved for the purpose by the appropriate authority, necessary to conform to a defined recency of experience schedule approved or accepted by the State and applicable authorities.
- (ii) A pilot does not act in the capacity of a cruise relief pilot unless, within the preceding 90 days, that pilot has *either*:
  - (a) Operated as PIC, SIC or cruise relief pilot on the same type or variant of aircraft, *or*
  - (b) Completed flying skill refresher training to include normal, abnormal and emergency procedures specific to cruise flight on the same type of aircraft or in a flight simulator approved for the purpose, and has practiced approach and landing procedures, where the approach and landing procedure practice may be performed as the PM.
- (iii) A flight engineer does not perform duties in an aircraft unless *either*:
  - (a) Within the preceding 6 months, that individual has had at least 50 hours of flight time as a flight engineer on that aircraft type aircraft, *or*
  - (b) Within the preceding 90 days, that individual has operated as a flight engineer on board that aircraft type or in a simulator of the aircraft type.
- (iv) A flight navigator or radio operator does not perform duties in an aircraft unless recency-of-experience requirements of the Operator and the State have been satisfied.
- (v) If a flight crew member does not satisfy recency-of-experience requirements in accordance with i), ii), iii) or iv), such flight crew member completes re-qualification in accordance with the Operator's training and evaluation program. **(GM)**

### **Auditor Actions**

- ☐ **Identified/Assessed** tracking/scheduling processes that prevent flight crew members from flight duty assignment unless recency-of-experience qualification requirements are met.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** OM guidance/procedures (focus: definition of recency-of-experience qualification requirements).
- ☐ **Examined** selected flight crew training/qualification records (focus: satisfaction of recency-of-experience qualification requirements).
- ☐ **Observed** flight crew scheduling operations (focus: scheduling tracks/accounts for flight crew member recency-of-experience qualification requirements).
- ☐ **Observed** flight simulator operations (focus: simulators are representative of aircraft flown and are approved for the purpose of satisfying recency-of-experience requirements).
- ☐ **Other Actions** (Specify)



**Guidance**

Refer to the IRM for the definition of Cruise Relief Pilot.

The specification in item i) requires the pilots to operate the flight controls: PM duties do not satisfy recency-of-experience requirements for this specification.

The specifications in item (i) also ensure that newly qualifying pilots have the necessary experience to operate as a required crewmember in the line training qualification program. The process to ensure such pilots meet recency-of-experience requirements may be integral to the line qualification program in accordance with [FLT 2.3.1](#).

The term Pilot Monitoring (PM) has the same meaning as the term Pilot Not Flying (PNF) for the purpose of applying the specifications of this provision.

The specification in item i) b) may stipulate the number of takeoffs and landings to be performed according to a defined schedule in order to establish an equivalent level of recency experience. Such schedule would not have to adhere exactly to the specification in item i) a) of this provision if the level of recent experience is acceptable to the State and applicable authorities, and the PIC or SIC, as applicable, is required to operate the flight controls in order to satisfy recency-of-experience requirements.

Item v) specifies that a flight crew member whose recency has lapsed for any reason becomes unqualified and must be re-qualified by the operator. The requalification program for such a flight crewmember need not specify the same number of takeoffs and landings as the recency requirements.

Applicable authorities include those authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

The term “abnormal” is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term “emergency” used alone refers to declarations and non-AOM procedures.

**FLT 3.3.8** (Intentionally open)**FLT 3.3.9**

The Operator shall have an airport qualification process that ensures a PIC has made an actual approach and landing at each airport within the Operator's route system accompanied by a pilot, either as a crew member or flight deck observer, that is qualified for that airport, unless:

- (i) The approach to the airport is *not* over difficult terrain and the instrument approach procedures and aids available are similar to those with which the pilot is familiar, and the normal operating minima are adjusted by the addition of a margin of safety that is approved or accepted by the State, or there is reasonable certainty that approach and landing can be made in visual meteorological conditions (VMC), or
  - (ii) The descent from the initial approach altitude can be made by day in VMC, or
  - (iii) The Operator has qualified the PIC for operations into the airport by means a pictorial representation that is approved or accepted the Authority, or
  - (iv) The airport is adjacent to another airport into which the PIC is currently qualified to operate.
- (GM)**

### Auditor Actions

- ☐ **Identified/Assessed** tracking/scheduling/pairing processes for ensuring PICs will meet qualification requirements for airports/areas/routes to be used in operations.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** OM guidance/procedures (focus: definition of crew member qualification criteria for operations into airports/areas/routes used in operations).
- ☐ **Observed** flight crew scheduling operations (focus: scheduling and crew pairing accounts for PIC qualification for operations into airports of intended landing).
- ☐ **Other Actions** (Specify)

### Guidance

The specification in item (i) may be satisfied by a process, approved or accepted by the State, that:

- Identifies instrument approach procedures that require the application of margins to operating minima;
- Specifies the operating margin to be applied.

The specification in item (iii) may be satisfied by any pictorial representation approved or accepted for the purpose by the Authority, such as an instrument approach plate or chart.

Refer to [FLT 2.4.1](#) and associated Guidance for additional specifications and information that addresses training for operations associated with special areas, routes, route segments and special airports.

### FLT 3.3.10

The Operator shall have a process to ensure a pilot is not used as a PIC in operations that require the application of special skills or knowledge within areas, on routes over difficult terrain and/or into special airports, as designated by the State or by the Operator, unless, within the preceding 12 months, that pilot has *either*:

- (i) Made at least one trip as a pilot flight crew member, line check airman or observer on the flight deck on a route in close proximity and over similar terrain within the specified area(s), on the specified route and/or into the special airport, as applicable, *or*
- (ii) Completed training and an evaluation in the special skills and/or knowledge required to qualify or requalify for such operations. The content of training shall ensure the PIC has adequate knowledge of the elements specified in [Table 2.5](#) as applicable to the areas, routes, route segments and special airports of intended operation. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** tracking/scheduling processes that prevent PICs from flight duty assignment into airports/areas and on routes/route segments that require special skills/knowledge, unless qualification requirements have been satisfied.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** OM guidance/procedures (focus: definition of PIC qualification criteria for operations into airports/areas/routes that require special knowledge/skills).
- ☐ **Observed** flight crew scheduling operations (focus: scheduling tracks/accounts for PIC qualification for routes/airports that require special knowledge/skills).
- ☐ **Other Actions** (Specify)

### Guidance

Special airport and/or route/area re-qualification (if applicable) could take the form of pictorial review, simulator training, line check airmen briefing or operation into the airport accompanied by a line check airman or other qualified airman and could include exemptions for VFR operations.

The intent of this provision is to ensure the PIC has a level of knowledge of terrain, minimum safe altitudes, seasonal meteorological conditions, communication and air traffic facilities, services and procedures, search and rescue services and navigational facilities and procedures, including any long-range navigation procedures, required for safe operations.

Refer to [FLT 2.4.1](#) and associated Guidance for additional specifications and information that addresses training for operations associated with special areas, routes route segments and special airports.

## 3.4 Flight Crew Scheduling

### FLT 3.4.1

The Operator shall have a means to ensure flight crew members are qualified and current prior to accepting and/or being assigned to duty. Such means shall consist of:

- (i) A requirement that prohibits flight crew members from operating an aircraft if not qualified for duty in accordance with requirements contained in [Table 2.3](#);
- (ii) A scheduling process that ensures flight crew members, prior to being assigned to duty, are qualified and current in accordance with the applicable flight crew qualification requirements contained in [Table 2.3](#) and, if applicable, additional requirements of the State. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** tracking/scheduling processes that prevent flight crew members from flight duty assignment unless currently qualified in accordance with [Table 2.3](#) or other applicable requirements of the State.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** process for determining additional flight crew qualification requirements of the State.
- ☐ **Examined** selected flight crew duty assignment records (focus: satisfaction of applicable qualification requirements).
- ☐ **Observed** flight crew scheduling operations (focus: scheduling requires flight crew member qualification in accordance with [Table 2.3](#) and requirements of State).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure flight crew member requirements and related scheduling processes preclude operation of an aircraft by a flight crew member that is not qualified and current in accordance with the specifications of the provision.

### FLT 3.4.2

The Operator shall have a scheduling policy that ensures flight crew members, prior to being assigned to duty, will not be adversely affected by factors that could impair human performance, to include, as a minimum:

- (i) Pregnancy;
- (ii) Illness, surgery or use of medication(s);
- (iii) Blood donation;
- (iv) Deep underwater diving;
- (v) Fatigue whether occurring in one flight, successive flights or accumulated over a period of time. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** scheduling policy/process that takes into account factors that could impair flight crew human performance prior to flight duty assignment.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** OM guidance/procedures (focus: definition of factors that impair flight crew human performance).

- ❑ **Examined** selected flight crew duty assignment records (focus: examples of application of factors that could impair crew member performance).
- ❑ **Observed** flight crew scheduling operations (focus: scheduling accounts for factors that could impair crew member performance).
- ❑ **Other Actions** (Specify)

## Guidance

The intent of this provision is to ensure an operator's policies address flight crew member "fitness for duty." Such policies typically assign the responsibility to the flight crew member to report and remain "fit for duty" in accordance with the list of specifications in this provision.

### FLT 3.4.3A

The Operator shall have a methodology for managing fatigue-related safety risks to ensure fatigue occurring in one flight, successive flights or accumulated over a period of time does not impair a flight crewmember's alertness and ability to safely operate an aircraft or perform safety-related duties. Such methodology shall consist of:

- (i) Flight time, flight duty period, duty period limitations and rest period requirements that are in accordance with the applicable prescriptive fatigue management regulations of the State while managing fatigue hazards using the SMS processes that are in place for managing safety hazards in general, and/or
- (ii) If applicable, the Operator's Fatigue Risk Management System (FRMS) approved or accepted by the State and established in accordance with [FLT 3.4.3B](#). **(GM)**

## Auditor Actions

- ❑ **Identified/Assessed** requirements/methodology for flight crew fatigue management and/or FRMS in accordance with regulations of the State.
- ❑ **Identified/Assessed** FRMS (if applicable) (focus: approved/accepted by State, incorporates elements as specified in [FLT 3.4.3B](#)).
- ❑ **Identified/Assessed** tracking/scheduling processes (focus: processes take into account flight time/flight duty period/duty period/rest period limitations in the duty assignment of flight crew members).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Interviewed** selected scheduling personnel.
- ❑ **Examined** selected flight crew duty assignment records (focus: examples of application of flight crew fatigue management limitations/mitigations).
- ❑ **Observed** flight crew scheduling operations (focus: scheduling includes management of fatigue-related safety risk).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Fatigue and Fatigue Risk Management System (FRMS).

The intent of this provision is to ensure an operator establishes a methodology for the management of flight crew member fatigue in a manner that:

- Is based upon scientific principles and knowledge;
- Is consistent with the prescriptive fatigue management and/or FRMS regulations of the State;
- Precludes fatigue from endangering safety of the flight.

Where authorized by the State, the operator may use a Fatigue Risk Management System (FRMS) in accordance with [FLT 3.4.3B](#) alone or in combination with prescriptive flight time, flight duty period, duty period limitations and rest period requirements as the means for managing fatigue-related risks.

Guidance for the implementation of an FRMS is contained in the IATA/ICAO/IFALPA Fatigue Management Guide for Airline Operators and, as applicable, in other reference documents approved or accepted by the State for the purpose of FRMS implementation (e.g., FAA, AC 120-103A-Fatigue Risk Management Systems for Aviation Safety)

**FLT 3.4.3B**

If the Operator uses an FRMS to manage flight crew fatigue-related safety risks, the Operator shall incorporate scientific principles and knowledge within the FRMS, comply with any applicable requirements for managing flight crew fatigue as established by the State or Authority and, as a minimum:

- (i) Define and document the FRMS policy;
- (ii) Incorporate risk management processes for fatigue hazard identification, risk assessment and risk mitigation;
- (iii) Develop and maintain effective FRMS safety assurance processes;
- (iv) Establish and implement effective FRMS promotion processes. **[MA] (GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** FRMS policy/components/elements, compliance with fatigue risk management requirements of State/Authority.
- ☐ **Identified/Assessed** FRMS processes for flight crew fatigue risk management data collection/analysis/hazard identification, safety risk assessment, safety risk mitigation/control.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected personnel that perform flight crew fatigue-related safety risk management functions.
- ☐ **Examined** selected examples of fatigue risk management (focus: hazard identified, risk assessed, mitigation action developed and implemented).
- ☐ **Observed** flight crew scheduling operations (focus: scheduling includes management of fatigue-related safety risk in accordance with an approved FRMS).
- ☐ **Other** Action (Specify)

**Guidance**

The intent of this provision is to ensure fatigue occurring either in one flight, successive flights or accumulated over a period of time does not impair a crew member's alertness and ability to safely operate an aircraft or perform safety-related duties.

Where authorized by the State, the operator may use an FRMS as a means to determine that variations from prescriptive fatigue management policies demonstrate an acceptable level of safety. Guidance for the implementation of an FRMS is contained in the IATA/ICAO/IFALPA Fatigue Management Guide for Operators and, as applicable, other reference documents approved or accepted by the State for the purpose of FRMS implementation (e.g. FAA, AC 120-103A—Fatigue Risk Management Systems for Aviation Safety).

The applicability of this provision is limited to those operations wherein fatigue is managed in accordance with the FRMS as defined in the operator's FRMS documentation. It is important to note, however, that an FRMS may be used alone or in combination with prescriptive flight time, flight duty period, duty period limitations and rest period requirements as the means for managing fatigue related risks.

The components of an effective FRMS as specified in this provision are described in the following table.

FRMS Component	Item	Description
FRMS policy and documentation	(i)	<p>Policy:</p> <ul style="list-style-type: none"> <li>• Defines FRMS Terms of Reference</li> <li>• Identifies scope of FRMS operations</li> <li>• Identifies FRMS elements</li> <li>• Reflects shared responsibility</li> <li>• States safety objectives</li> <li>• Declares management commitment</li> <li>• Identifies lines of accountability</li> </ul> <p>Documentation:</p> <ul style="list-style-type: none"> <li>• Policy and objectives</li> <li>• Processes and procedures</li> <li>• Accountabilities, responsibilities and authorities</li> <li>• Mechanism for involvement of all stakeholders</li> <li>• FRMS training records</li> <li>• Planned and actual times worked</li> <li>• Outputs (findings, recommendations, actions)</li> </ul>
Fatigue risk management processes	(ii)	<ul style="list-style-type: none"> <li>• Fatigue hazard identification (reactive/proactive/predictive processes)</li> <li>• Safety risk assessment</li> <li>• Safety risk mitigation</li> </ul>
FRMS safety assurance processes	(iii)	<ul style="list-style-type: none"> <li>• FRMS performance monitoring</li> <li>• Operational and organizational change management</li> <li>• Continual FRMS improvement</li> </ul>
FRMS promotion processes	(iv)	<ul style="list-style-type: none"> <li>• Training programs (for management, crew members and all other involved personnel under the FRMS)</li> <li>• Communication plan (explains FRMS policies, procedures and responsibilities to all relevant stakeholders and also describes communication channels)</li> </ul>

## FLT 3.4.3C

If the Operator uses an FRMS to manage flight crew fatigue-related safety risks, the Operator *should* ensure the organizational activities specified in [FLT 3.4.3B](#) related to the management of flight crew fatigue-related risks are integrated with the Operator's organizational safety management system (SMS). **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** integration of FRMS elements in organizational SMS.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected personnel that perform flight crew fatigue-related safety risk management functions.
- ☐ **Examined** selected examples of flight crew fatigue-related hazards addressed/analyzed under organization-wide safety risk assessment/mitigation program.
- ☐ **Other** Action (Specify).



**Guidance**

The intent of this provision is to ensure the “tactical” organizational activities specified in [FLT 3.4.3B](#) interface with organizational safety risk management activities. This includes interfaces with SMS and Quality systems to ensure operational systems and processes are subjected to the organization's overarching safety and quality assurance processes.

Guidance for the integration of FRMS and SMS is described in the IATA/ICAO/IFALPA Fatigue Management Guide for Airline Operators.

**FLT 3.4.4**

The Operator shall consider the following as duty time for the purposes of determining required rest periods and calculating duty time limitations for operating flight crew members:

- (i) Entire duration of the flight;
- (ii) Pre-operating deadhead time;
- (iii) Training periods prior to a flight;
- (iv) Administrative or office time prior to a flight (for flight crew members that serve in a management function);
- (v) If required by the State, flight time accrued by flight crew members in operations other than those of the Operator. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** requirements/criteria used for determination of required rest periods/calculation of duty time limitations for operating flight crew members.
- ☐ **Identified/Assessed** processes used to track flight crew compliance with duty time/rest period limitations.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected flight crew duty assignment records (focus: application of duty time/rest period limitations).
- ☐ **Observed** flight crew scheduling operations (focus: scheduling uses defined criteria for determining required flight crew rest periods/calculating duty time limitations).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Deadheading.

The intent of this provision is to ensure an operator considers non-flight duty time, or flight time accrued in operations other than those of the operator, that is likely to induce fatigue into the calculation of duty time limitations and the determination of required rest periods.

**FLT 3.4.5** (Intentionally open)**FLT 3.4.6**

If the Operator uses flight crew members that are concurrently qualified to operate aircraft of different types, or operate variants within one type, and the State specifies unique training and/or recency requirements for such flight crew members to remain concurrently qualified, the Operator shall have a scheduling process that addresses such unique requirements, to include, as a minimum:

- (i) Required differences training (between type or variants);
- (ii) Recency of experience necessary to maintain currency on all types or variants. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** scheduling processes that address flight crew members concurrently qualified to operate aircraft of different types/variants within one type.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** flight crew scheduling personnel.



- ☐ **Examined** requirements/criteria applicable to concurrently qualified flight crew members (focus: differences training, recency of experience).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure scheduling processes address the unique State requirements (e.g. recency on each type or variant, or training on each type or variant), if any, that are necessary for flight crew members to remain concurrently qualified to operate multiple types or variants within type.

The determination of variant within type is within the domain of the State as part of flight crew licensing.

## 3.5 Flight Preparation

### FLT 3.5.1

The Operator shall have procedures that describe flight crew member duties and responsibilities for flight preparation and ensure flight crew members, prior to the commencement of each flight, complete a review of:

- (i) The Aircraft Technical Log (ATL) and the MEL/CDL;
- (ii) The OFP;
- (iii) Weather information to include en route and departure, destination and alternate airports;
- (iv) NOTAMS applicable to the en route phase of flight and to departure, destination and alternate airports;
- (v) Aircraft performance;
- (vi) Aircraft weight/mass and balance. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures for flight crew preflight preparation (focus: description of duties/responsibilities; definition of information required to be reviewed).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: preflight preparation duties/responsibilities).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Aircraft Technical Log (ATL).

### FLT 3.5.2

If the Operator uses aircraft with electronic navigation data capabilities, the Operator shall have guidance and procedures for flight crew members to ensure the validity of any electronic navigation database installed into aircraft navigation equipment. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures for flight crew preflight of aircraft navigation equipment (focus: validation of any installed navigation databases; definition of validation criteria).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: flight crew preflight navigation database validation).
- ☐ **Other Actions** (Specify)

### Guidance

Where more than one database is available for use in the aircraft navigation system, an operator can ensure database validity by providing guidance for the flight crew to select the new database for use prior to the first flight on the effective date for the new database.

The operator may provide relief in the MEL, permitting flight crew use of a non-current database for a specified period of time due to database errors or faults.

**FLT 3.5.3**

If the Operator uses electronic flight bag (EFB) devices or systems, the Operator shall, in accordance with requirements of the Authority, have one or more processes to ensure the appropriate management, control, maintenance and use of EFBs. Such process shall ensure, as a minimum:

- (i) Portable EFBs, if used, do not affect the performance of aircraft systems, equipment or the ability to operate the aircraft;
- (ii) Assessment of the safety risks associated with each EFB function used in operations in accordance with [FLT 1.12.2](#);
- (iii) Establishment of procedures for the use, management and maintenance of the device, each EFB function and any database the device may use;
- (iv) Establishment of training requirements for the use of the device and each EFB function;
- (v) In the event of an EFB failure, sufficient information is readily available to the flight crew for the flight to be conducted safely. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** process(es) for management/control of EFB systems/devices (focus: device distribution/serviceability (as applicable)/process for data maintenance/timely update, data limitations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: implementation of relevant process(es)/procedures).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Electronic Flight Bag (EFB).

The specification in item ii) refers to risk assessment and mitigation action. Such process considers an EFB system, its software applications, and its integration inside a specific aircraft, to identify the potential malfunctions and failure scenarios, analyze their operational effects, and, if necessary, propose mitigation means. An effective risk assessment includes:

- Evaluation of the risks associated with the use of an EFB;
- Definition of appropriate risk mitigation measures;
- Identification of potential losses of function or malfunctions (detected and undetected erroneous output) and associated failure scenarios;
- Analysis of the operational consequences of identified failure scenarios;
- Establishment of mitigating measures;
- Assurance that the EFB system (hardware and software) achieves at least the same level of accessibility, usability, and reliability as the means of presentation it replaces;
- The possibility of redundant portable EFBs to reduce the risk of exhausted batteries.

The specification in item v) refers to reliability of EFB use. Consideration is given to establishing a reliable alternative means of providing the information available on the EFB system. For example, alternative means could include one or a combination of the following:

- System design (including hardware and software);
- Alternative EFB possibly supplied from a different power source;
- EFB applications hosted on more than one platform;
- Paper backup (e.g. Quick Reference Handbook (QRH));
- Procedural means; and
- Administration.

## 3.6 Route and Airport Planning

### FLT 3.6.1 (Intentionally open)

#### FLT 3.6.2

The Operator shall have guidance that enables the flight crew to determine if airports of intended use meet operational requirements, to include:

- (i) Applicable performance requirements;
- (ii) Runway characteristics;
- (iii) Air Traffic Services and associated communications;
- (iv) Navigation aids and lighting;
- (v) Weather reporting;
- (vi) Emergency services. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance that specifies operational requirements for airports of intended use (focus: availability to flight crew; instructions for information in operations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: determination of airport operational requirements).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Air Traffic Services.

#### FLT 3.6.3

The Operator shall have guidance that enables the flight crew to determine operating minima for airports of intended use. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance that specifies operating minima for airports of intended use (focus: availability to flight crew; instructions for use of information in operations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: determination of airport operating minima).
- ☐ **Other Actions** (Specify)

#### Guidance

Operating minima refer to the limits of usability of an airport for takeoff or landing expressed in terms of RVR, visibility, cloud condition or decision altitude/height. Operating minima could be affected by aircraft equipment, flight crew qualifications and airport facilities/environment.

The specification of this provision only refers to the determination of minima related to airport facilities/environment.

The specification of this provision also applies to the modification of takeoff and approach minima to allow for airport equipment outages. Examples of airport equipment outages include runway edge lights inoperative, center line lights inoperative, etc.

Airports of intended use include departure alternate, en route alternate, destination and destination alternate.

**FLT 3.6.4**

The Operator shall have guidance that enables the flight crew to determine Runway Visual Range (RVR) requirements for runways of intended use, to include, as a minimum:

- (i) Requirement for the availability of RVR reporting in order for CAT II and CAT III approach and landing operations to be authorized;
- (ii) Required minimum RVR values for takeoff and authorized approaches;
- (iii) Required minimum RVR values that consider inoperative approach/runway lighting, inoperative transmissometers or inadequate visual reference. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** OM guidance that specifies takeoff/landing runway visual range (RVR) requirements/associated limitations for runways of intended use (focus: availability to flight crew; instructions for use of information in operations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: determination of airport RVR requirements/associated limitations).
- ☐ **Other Actions** (Specify)

**Guidance**

The means of RVR measurement typically varies depending on the State.

The specification in item iii) may be satisfied by a corrections table or manual corrections for inoperative equipment applied to published minima.

**FLT 3.6.5**

The Operator *should* have guidance that ensures approach and landing operations are not authorized when the prevailing visibility is below 800 meters or the Converted Meteorological Visibility (CMV) is below 800 RVR unless RVR reporting is available for the runway of intended use. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** OM guidance that requires RVR reporting for approach/landing operations when prevailing visibility is below 800 meters/CMV below 800 RVR (focus: availability of guidance to flight crew; statement of prohibition).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: determination of approach/landing RVR requirements).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Converted Meteorological Visibility (CMV).

The intent of this provision is to ensure:

- A conversion of meteorological visibility to RVR (CMV) is not used to establish any required approach and landing RVR minimum less than 800 meters;
- RVR reporting is required for approach and landing operations to be conducted with any RVR minima less than 800 meters.

## 3.7 Fuel, Weight/Mass and Balance, Flight Plans

### FLT 3.7.1

The Operator shall have a fuel policy and guidance that enables the flight crew to determine the minimum dispatch/departure fuel for each phase of flight in accordance with [DSP 4.3.1](#). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** policy/OM guidance that requires flight crew to determine minimum dispatch/departure fuel. (focus: availability to flight crew; minimum dispatch/departure fuel includes fuel for phases of flight specified in [DSP 4.3.1](#)).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: determination of minimum dispatch/departure fuel).
- ☐ **Other Actions** (Specify)

#### Guidance

[DSP 4.3.1](#) specifies the fuel categories that are typically used when defining regulatory and/or operational requirements during the flight planning process and on the OFP.

Individual aircraft fuel consumption, MEL/CDL adjustments, anticipated operational constraints (weather, de-icing, slots, etc.) are all factors normally to be considered in calculating minimum dispatch/departure fuel required.

Fuel calculations are typically made by a flight crew member, a Flight Operations Officer/Flight Dispatcher, or both.

### FLT 3.7.2

The Operator shall delegate the authority to the PIC to ensure:

- (i) A flight is not commenced unless the usable fuel required in accordance with [DSP 4.3.1](#) is on board the aircraft and is sufficient to complete the planned flight safely;
- (ii) If fuel is consumed during a flight for purposes other than originally intended during pre-flight planning, such flight is not continued without a re-analysis and, if applicable, adjustment of the planned operation to ensure sufficient fuel remains to complete the flight safely. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM requirement for PIC to ensure required safe usable fuel on board prior to flight (focus: delegation of authority to PIC; instructions for determination of safe usable fuel).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: determination of usable safe fuel prior to flight).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Discretionary Fuel.

The intent of this provision is for the PIC to have the authority to ensure sufficient fuel is on board the aircraft to commence or continue the planned flight safely, and to be able to authorize the loading of *Discretionary Fuel* if such fuel is required for the safe conduct of the flight and will not cause operating limits to be exceeded.

In a shared system of operational control, the PIC and the Flight Dispatcher/Flight Operations Officer share the responsibility to ensure operating limitations are not exceeded and sufficient fuel is on board to commence or continue the planned flight safely.

The extent of the re-analysis or adjustment specified in item ii) is commensurate with the scope and complexity of the planned operation.

**FLT 3.7.3**

The Operator shall have guidance that enables the flight crew to prepare and/or accept a load sheet with accurate aircraft weight/mass and balance calculations for each flight. Such guidance shall:

- (i) Assign responsibility to the PIC for ensuring the load sheet content is satisfactory prior to each flight;
- (ii) Incorporate flight crew procedures for preparing or accepting last minute changes (LMC) to the load sheet, to include guidance for the maximum allowable difference between planned and actual weights.

**Auditor Actions**

- ☐ **Identified/Assessed** OM guidance/procedures for PIC/flight crew preparation/acceptance of load sheet (focus: instructions for determination of accurate load sheet, preparing/accepting LMCs, maximum allowable difference between planned/actual weights).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: flight crew preparation/acceptance of accurate load sheet).
- ☐ **Other Actions** (Specify)

**FLT 3.7.4** (Intentionally open)**FLT 3.7.5**

The Operator shall have a description of the Air Traffic Services (ATS) Flight Plan, as well as guidance and instructions for its use, that is accessible to the flight crew during flight preparation and in flight. **(GM)**.

**Auditor Actions**

- ☐ **Identified/Assessed** OM description/guidance for preflight use of ATS flight plan (focus: availability to flight crew; instructions for use of ATS flight plan in preflight preparation).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: accessibility/use of ATS flight plan during flight preparation).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of ATS Flight Plan and Air Traffic Services (ATS).

**FLT 3.7.6**

The Operator shall have a description of the Operational Flight Plan (OFP) or equivalent document in the OM that includes an outline of OFP content as well as guidance and procedures that require:

- (i) The OFP to be accessible to the flight crew during flight preparation and in flight;
- (ii) The flight crew to:
  - (a) Verify that relevant information in the OFP is consistent with the filed ATS flight plan;
  - (b) Verify that relevant information in the OFP is consistent with data programmed into the navigation system;
  - (c) In flight, monitor flight time and fuel burn to identify trends and for comparison with the OFP. **(GM)**.

### Auditor Actions

- ☐ **Identified/Assessed** description of OFP or equivalent document in OM.
- ☐ **Identified/Assessed** requirements for availability/accessibility/use of OFP or equivalent document by flight crew prior to/during flight.
- ☐ **Identified/Assessed** OM requirement/guidance for verifying consistency between OFP and ATS Flight Plan/navigation system data.
- ☐ **Identified/Assessed** OM requirement/guidance for monitoring of flight time/fuel burn to identify trends, for comparison to OFP.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected OFPs.
- ☐ **Observed** line flight and flight simulator operations (focus: use of the OFP; verification of consistency between OFP and ATS Flight Plan/data entered into navigation system (FMS); en route fuel monitoring/tracking).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of ATS Flight Plan and Operational Flight Plan (OFP).

Material that is readily available in other documentation, obtained from another acceptable source or irrelevant to the type of operation, may be omitted from the OFP.

The specification in item (ii) (a) typically requires the operator to identify a suitable ATS flight plan source reference for OFP verification (e.g. filing strip, flight plan form or other source as defined by the operator).

The specifications in item (ii) (b) of this provision refer to navigation data manually programmed by the flight crew or directly downloaded into the navigation system.

The specifications in item (ii) (c) of this provision ensure fuel and time trends are monitored by the flight crew and compared against the OFP. OFP guidance and procedures typically address or include:

- An interval, in accordance with operator and/or State requirements, for the flight crew to record on the OFP the fuel quantity and time over waypoints;
- A description of any equivalent means for monitoring flight progress and/or recording the fuel quantity over waypoints;
- Equivalent means of recording fuel and time data include FMS, ACARS or other automated data recording methods.

Refer to [DSP 1.7.2](#) in ISM Section 3 for an outline of the OFP content.

### FLT 3.7.7

The Operator shall ensure the OFP or equivalent document is accepted and signed, using either manuscript or an approved electronic method, by the PIC during flight preparation. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures for PIC preflight acceptance of OFP (focus: instructions for PIC acceptance; requirement for signature/approved electronic method of acceptance).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: acceptance of OFP during flight preparation).
- ☐ **Examined** selected OFP records.
- ☐ **Other Actions** (Specify)

### Guidance

In a shared system of operational control, the signatures of both the PIC and the FOO are required on the OFP or equivalent document (e.g. dispatch release).



## FLT 3.7.8

The Operator shall have guidance that enables the flight crew to identify appropriate en route alternate airports. **(GM)**

### Auditor Actions

- ☐ **Identified\Examined** OM guidance/procedures for flight crew identification of en route alternate airports (focus: availability to flight crew; instructions for identifying en route alternate airports).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: identification of en route alternate airports).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Alternate Airport, which includes a definition for En Route Alternate Airport.

## FLT 3.7.9

If the Operator conducts isolated airport operations, the Operator shall have guidance and instructions for the flight crew to:

- (i) Practically calculate or determine a point of safe return (PSR) for each flight into an isolated airport;
- (ii) Ensure the flight does not continue past the actual PSR unless a current assessment of meteorological conditions, traffic, and other operational conditions indicate that a safe landing can be made at the estimated time of use. **(GM)**

### Auditor Actions

- ☐ **Identified** aircraft fleets used in isolated aerodrome operations.
- ☐ **Identified/Assessed** OM guidance/procedures for flight crew calculation/consideration of PSR for isolated airport operations (focus: instructions for calculation/re-calculation of PSR; definition of conditions that permit continuation beyond PSR).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: calculation/use of PSR).
- ☐ **Other Action** (Specify)

### Guidance

Refer to the IRM for the definitions of Isolated Airport and Point of Safe Return (PSR).

This provision, in combination with the fuel carriage requirements of [DSP 4.3.11](#), is intended to mitigate some of the risks associated with operations to isolated airports that preclude the selection and specification of a destination alternate.

A PSR is the point of last possible diversion to an en route alternate. While this point can be calculated and specified on the OFP during the flight planning stage in accordance with [DSP 4.1.7](#), such a calculation does not typically take into account discretionary fuel or the real-time changes in fuel consumption that will occur after departure. These factors typically result in an actual PSR that will be reached later in the flight than the point originally calculated on the OFP.

In order to conform to item i), an operator would provide practical instructions for the flight crew to re-calculate the position of the PSR while en route. These instructions usually involve using a fuel plotting chart or the calculating capabilities of the Flight Management System (FMS). Alternatively, the position of the actual PSR can be re-calculated by operational control personnel and relayed to the en route aircraft, which also satisfies the specification in item i).

A PSR may coincide with the Final Decision Point used in Decision Point Planning or the Pre-determined Point used in Pre-determined Point planning.

Guidance on flight planning methods including planning operations to isolated airports and guidance related to the determination of a PSR is contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## FLT 3.7.10

The Operator *should* have guidance for use by the flight crew to increase fuel state awareness. Such guidance *should* include one or more of the following:

- (i) An approximate final reserve fuel value applicable to each aircraft type and variant in the Operator's fleet.
- (ii) A final reserve fuel value presented on the OFP for each flight.
- (iii) A display in the FMS of the planned or actual final reserve fuel for each flight. **(GM)**

### Auditor Actions

- ☐ **Identified/Examined** OM guidance on fuel state awareness (focus: provides a final reserve fuel value for each aircraft type and variant; presented for use by the flight crew in flight).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: presentation of final reserve fuel value, use by flight crew).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is for an operator to provide the means for flight crew members to quickly determine an approximate final reserve fuel value for each aircraft type and variant in its fleet. Fuel values determined in accordance with this provision are not intended to be substitutes for the exact values calculated in accordance with [DSP 4.3.12](#), but rather as a quick reference to heighten flight crew awareness during fuel planning and in-flight fuel management activities.

The specifications of this provision may be satisfied through the use of tables or charts that represent fuel in the unit of measure appropriate for the operation and based on data derived from the Approved Flight Manuals (AFM) for all aircraft types and variants used in operations. Alternatively, the specifications of this provision may be satisfied by Flight Management Systems that can display the actual final reserve fuel figure.

Refer to the ICAO Flight Planning and Fuel Management Manual (Doc 9976) for examples of final reserve fuel tables or charts.

## 3.8 Aircraft Preflight and Airworthiness

### FLT 3.8.1

The Operator shall have guidance and procedures that describe flight crew duties and responsibilities for the use and/or application of the ATL, MEL and CDL. Such guidance and procedures shall be included in the OM or in other documents that are available to the flight crew during flight preparation and accessible to the flight crew during flight, and shall address, as a minimum, PIC responsibilities for:

- (i) Determining the airworthiness status of the aircraft;
- (ii) Ensuring, for each flight, a description of known or suspected defects that affect the operation of the aircraft is recorded in the ATL;
- (iii) Precluding a flight from departing until any defect affecting airworthiness is processed in accordance with the MEL/CDL;
- (iv) Ensuring the aircraft is operated in accordance with any applicable MEL/CDL Operational Procedure. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures for flight crew use of ATL/MEL/CDL (focus: availability/accessibility to flight crew prior to/during flight; instructions for use of ATL/MEL/CDL, application of limitations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: use/application of ATL/MEL/CDL).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is for the operator to have guidance that ensures the proper use and application of the ATL, MEL and CDL. Such guidance typically addresses:

- Flight crew responsibilities related to a review of the ATL and the application of the MEL/CDL;
- Instructions for when to reference the MEL/CDL regarding a malfunctioning system or component;
- Instructions for the completion of log book entries that ensure defects are properly recorded for the purpose of remediation and processing in accordance with the MEL/CDL, as applicable;
- If applicable, the fault identification codes, trouble codes or other entries that ensure defects are appropriately identified, categorized and tracked for the purposes of remediation and/or to identify chronic or repetitive unserviceable items;
- Flight crew responsibilities related to the repetitive system or component checks that are required to conform to the MEL (e.g. verifying a redundant system is operable in the case of a single system failure);
- Any additional guidance necessary to ensure the ATL, MEL and CDL are used and applied in accordance with operator requirements.

The specifications of this provision also apply to equivalents for the MEL and CDL.

**FLT 3.8.2**

The Operator shall have guidance that is published in the OM or other document(s) and is available to the flight crew to ensure information entered in the ATL:

- (i) Is up to date;
- (ii) Legible;
- (iii) Cannot be erased;
- (iv) Is correctable in the case of an error provided each correction is identifiable and errors remain legible.

**Auditor Actions**

- ☐ **Identified/Assessed** OM guidance/procedures for use of ATL by flight crew (focus: availability to flight crew; instructions for entering information in ATL).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: use of ATL).
- ☐ **Other Actions** (Specify)

**FLT 3.8.3**

The Operator shall assign the PIC the authority to reject an aircraft prior to departure of a flight if dissatisfied with any aspect of the airworthiness and/or maintenance status of the aircraft. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** OM guidance/procedures for acceptance/rejection of aircraft based on airworthiness assessment (focus: delegation of authority to PIC; instructions for assessment of airworthiness).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: use of ATL).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure that PIC acceptance of an aircraft is based on a review of the MEL/CDL, ATL and/or any other operator or State-approved sources of technical information attesting to the mechanical state of the aircraft.

### FLT 3.8.4–3.8.5 (Intentionally open)

#### FLT 3.8.6A

The Operator shall ensure, prior to each flight, the satisfactory accomplishment of an exterior aircraft inspection (walkaround). This inspection shall be:

- (i) Performed by a member of the flight crew, or
- (ii) Delegated to a licensed aircraft maintenance technician, or
- (iii) Delegated to another individual qualified in accordance with [FLT 2.2.25. \(GM\)](#)

**Note:** The specifications of this provision are applicable to the exterior aircraft inspection (walkaround) typically defined by an aircraft manufacturer in the AOM and normally accomplished by the flight crew. The specifications are not applicable to an engineering airworthiness inspection, daily inspection or any other inspection required by regulation, which must be carried out by a licensed aircraft maintenance technician.

**Note:** Operators that choose to delegate the exterior aircraft inspection to a licensed aircraft maintenance technician or another qualified individual shall ensure the flight crew is notified prior to flight that the inspection has been completed.

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures for exterior aircraft inspection prior to each flight. (focus: requirement to be conducted by flight crew or delegated to licensed maintenance technician or another qualified individual; requirement for flight crew notification of completion if conducted by maintenance technician or other qualified individual).
- ☐ **Identified/Assessed** process to ensure non-flight crew members are trained and qualified (focus: training and checking requirements).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with GRH and/or MNT auditors.
- ☐ **Observed** line flight operations (focus: aircraft exterior inspection).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Exterior Aircraft Inspection (Walkaround).

Refer to the guidance associated with [FLT 2.2.25](#) for a list of safety critical items typically addressed during an exterior aircraft inspection (walkaround).

#### FLT 3.8.6B

If the Operator delegates the accomplishment of the exterior aircraft inspection (walkaround) to qualified individuals as specified in [FLT 3.8.6A](#) (iii), the Operator shall ensure such delegation was subjected to safety risk assessment and mitigation performed in accordance with SMS principles as specified in [FLT 1.12.2. \(GM\)](#)

#### Auditor Actions

- ☐ **Identified/Assessed** safety risk assessment and mitigation program in flight operations (focus: delegated exterior aircraft inspection activity performed by other than a flight crew member or licensed aircraft maintenance technician has been justified by performance of an SRA in accordance with operator's SMS).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** person(s) that perform flight operations SRAs.
- ☐ **Examined** record of SRA having been performed (focus: hazards were identified; results of SRA indicate an acceptable level of risk associated with such delegation).
- ☐ **Other Actions** (Specify)

## Guidance

Risk assessment and mitigation is an element of the Safety Risk Management component of the SMS framework.

The intent of this provision is to ensure the hazards relevant to the conduct of the exterior aircraft inspection (walkaround) to individuals other than a member of the flight crew, or to a licensed aircraft maintenance technician, are considered by the operator.

See guidance associated with [FLT 2.2.25](#).

### FLT 3.8.7A

The Operator shall have guidance, published in the OM or other document(s) available to the flight crew during flight preparation, that requires an exterior aircraft inspection (walk-around) that focuses on safety-critical areas of the aircraft and ensures, as a minimum:

- (i) Pitot and static ports are not damaged or obstructed;
- (ii) Flight controls are not locked or disabled (as applicable, depending on aircraft type);
- (iii) Frost, snow or ice is not present on critical surfaces;
- (iv) Aircraft structure or structural components are not damaged. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures for aircraft exterior inspection prior to each flight (focus: instructions for conduct of inspection; definition of safety-critical areas that must be included).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: aircraft exterior inspection).
- ☐ **Other Actions** (Specify)

## Guidance

If the exterior aircraft inspection is delegated in accordance with [FLT 3.8.6](#), conformity with this provision would require that guidance is contained in documents accessible to licensed maintenance technicians.

### FLT 3.8.7B

The Operator shall have a procedure to ensure the availability, accessibility and serviceability of aircraft flight deck systems and emergency equipment. Such procedure shall include an interior preflight inspection of systems and equipment, which, as a minimum, is conducted by the flight crew prior to the first flight:

- (i) Of the flight crew on an aircraft during a duty period;
- (ii) On an aircraft after it has been left unattended by the flight crew, unless the Operator has a process or a procedure that ensures flight deck systems and emergency equipment remain undisturbed. **(GM)**

**Note:** The specifications of this provision are applicable to commercial and/or non-commercial operations.

## Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures for flight crew preflight inspection of flight deck emergency systems/equipment (focus: instructions for conduct of inspection; definition of emergency systems/equipment to be included).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: flight deck preflight inspection).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is for the flight crew to ensure the availability, accessibility and serviceability of aircraft flight deck systems and emergency equipment prior to flight.

Serviceability is typically assessed by checking fire extinguisher pressures, oxygen bottle pressures, PBE humidity indicators and/or other preflight checks specified by the aircraft or equipment manufacturers and documented in the operator's procedures.

An operator typically includes associated guidance to ensure action is taken to address a condition where systems or equipment are discovered as faulty, missing or does not satisfy operational requirements.

Discrepancies involving systems or equipment are normally documented in a technical log book or equivalent recording medium.

### FLT 3.8.8

If the Operator conducts passenger flights or transports supernumeraries in the passenger cabin with or without cabin crew, the Operator shall have a procedure to ensure the availability, accessibility and serviceability of aircraft cabin emergency systems and equipment. Such procedure shall include a preflight inspection of such systems and equipment, which, as a minimum, shall be conducted by the flight crew or, if applicable, delegated to the cabin crew prior to the first flight:

- (i) After a new cabin crew or, if no cabin crew is used, a new flight crew has assumed control of the aircraft cabin;
- (ii) After an aircraft has been left unattended by a flight crew or cabin crew unless the Operator has a process or procedure that ensures aircraft cabin emergency systems and equipment remain undisturbed. **(GM)**

**Note:** The specifications of this provision are applicable to commercial and/or non-commercial operations.

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedure for flight/cabin crew preflight inspection of cabin emergency systems/equipment (focus: instructions for conduct of inspection; requirement for systems/equipment to be serviceable and available/accessible to passengers/supernumeraries; if applicable, process or procedure that ensures systems/equipment remain undisturbed when no flight or cabin crew on board).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: cabin preflight inspection).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is for a preflight inspection of cabin emergency systems and equipment to be accomplished by either the flight crew or cabin crew, as applicable, under the circumstances specified.

Serviceability is typically assessed by checking fire extinguisher pressures, oxygen bottle pressures, PBE humidity indicators and/or other items specified by the aircraft or equipment manufacturers and documented in the operator's preflight inspection procedures.

### FLT 3.8.9

If the flight crew is required to conduct a preflight interior inspection of the cargo compartment and/or supernumerary compartment on cargo aircraft, or the passenger cabin of an aircraft being used to transport cargo without passengers, the Operator shall have guidance, published in the OM or other document available to the flight crew during the flight preparation, for the conduct of such inspection to ensure the availability, accessibility and serviceability of restraint systems and emergency equipment.

**Note:** The specifications of this provision are applicable to commercial and/or non-commercial operations.

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures for ensuring the 9G restraint system and smoke barrier are secured for the specified phases of flight.



- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: preflight inspection of cargo/supernumerary compartment or, if applicable, passenger cabin).
- ☐ **Examined** selected ATL records or other records (of completed cargo compartment and/or supernumerary compartment).
- ☐ **Other Actions** (Specify)

## FLT 3.8.10

If the Operator transports passengers and/or supernumeraries without cabin crew, the Operator shall have procedures to ensure, prior to departure of a flight, passengers and/or supernumeraries, as applicable, have been briefed and are familiar with the location and use of safety equipment, to include:

- (i) Seat belts;
- (ii) Emergency exits;
- (iii) Life jackets (individual flotation devices), if required
- (iv) Lifesaving rafts, if required
- (v) Oxygen masks;
- (vi) Emergency equipment for collective use. **(GM)**

**Note:** The specifications of this provision are applicable to commercial and/or non-commercial operations.

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures for preflight briefing for passengers/supernumeraries; orientation as to location/use of safety equipment (focus: instructions of conduct of briefing; definition of safety equipment to be addressed/included).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: preflight briefing/orientation for passengers/supernumeraries).
- ☐ **Other Actions** (Specify)

### Guidance

The briefing related to the specification in item ii) also typically addresses any applicable requirements and restrictions for personnel seated adjacent to cabin emergency exits.

## 3.9 Ground Handling

### FLT 3.9.1

If the Operator conducts passenger flights without cabin crew, the Operator shall have a procedure to ensure verification that:

- (i) Passenger and crew baggage in the passenger cabin is securely stowed;
- (ii) If applicable, cargo packages and/or passenger items being transported in passenger seats are properly secured. **(GM)**

### Auditor Actions

- ☐ **Identified** procedure for flight crew to verify cabin security (focus: baggage and cargo packages/passenger items are stowed or properly secured).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line cabin operations (focus: flight crew procedure to verify baggage and cargo packages/passenger items are stowed or properly secured).
- ☐ **Other Actions** (Specify)



### Guidance

The intent of this provision is for an operator to have a procedure for verification by the flight crew that all baggage and, if applicable, cargo packages and/or passenger items being transported in passenger seats are stowed or properly secured.

Some operators might transport smaller cargo packages (e.g. mail, COMAT items) secured in cabin passenger seats.

Some operators might transport certain passenger items secured in cabin passenger seats. These types of items are typically large, valuable or fragile articles belonging to passengers that are not conducive to transport as checked baggage or appropriate for stowage in overhead bins/lockers (e.g. large musical instruments, certain electronic equipment, prominent trophies, works of art). Such items might thus be secured and carried in a dedicated cabin passenger seat (which might be purchased by the passenger-owner for the purpose of transporting the item).

Loading procedures and limitations for securing such items are defined in [GRH 3.4.12](#), which is located in Section 6 (GRH).

### FLT 3.9.2

If the Operator conducts passenger flights without cabin crew, the Operator shall have a process and/or procedures to ensure a coordinated and expeditious cabin evacuation during aircraft fueling operations with passengers embarking, on board or disembarking. Such procedures shall require:

- (i) Cabin exits are designated for rapid deplaning or emergency evacuation, and routes to such exits are unobstructed;
- (ii) The area outside designated emergency evacuation exits is unobstructed;
- (iii) Qualified persons trained in emergency procedures are positioned near aircraft boarding door(s) or are otherwise in a position to monitor passenger safety and, if required, execute a cabin evacuation;
- (iv) A suitable method of communication is established between qualified persons in a position to monitor passenger safety and personnel that have responsibility for fueling operations. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM process/procedures for coordinated cabin evacuation during aircraft fueling operations with passengers embarking/on board/disembarking (focus: description of required flight crew actions; description of required aircraft system configuration/exterior conditions/personnel positioning/method of communication).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with cabin/ground operations (focus: complementary processes/procedures for cabin evacuation).
- ☐ **Observed** line flight operations (focus: coordination for potential cabin evacuation).
- ☐ **Other Actions** (Specify)

### Guidance

The principal intent of this provision is to ensure an expeditious and coordinated passenger evacuation regardless of the aircraft type, crew complement or complexity of the fueling operation. For example, the specifications of the provision could be implemented procedurally and exclusively by a flight crew supervising the refueling of a small aircraft. Complex air carrier fueling operations, on the other hand, may call for a process-based approach involving numerous appropriately positioned and qualified individuals that can collectively ensure conformity with the specifications of the provision as well as its principal intent.

The specification in item i) refers to the designation of exits for rapid deplaning or emergency evacuation, which typically considers:

- Aircraft type (e.g. some aircraft types might require the designation of over-wing exits for an emergency evacuation);

- The method being used for passenger boarding and/or deplaning (e.g. boarding bridge, air stairs);
- Exterior or interior obstructions that might render an exit unusable for an emergency evacuation.

The specifications in items i) and ii) refer to obstructions that would render an exit or area outside an exit unusable during an emergency evacuation.

The specification in item iii) refers to the positioning of persons trained and qualified to monitor passenger safety and execute a rapid deplaning or cabin evacuation. Such persons are typically positioned near the boarding door(s) when a passenger boarding bridge is being used or, when a boarding bridge is not in use, in the location(s) most suitable for monitoring the safety of passengers that are embarking, on board or disembarking the aircraft. Certain aircraft might be small enough to permit a qualified person to monitor the safety of passengers embarking, on board or disembarking from outside the aircraft.

The specification in item iv) refers to the procedures for establishing a suitable method of communication, which may be initiated by any applicable person. Acceptable procedural methods of initiating and maintaining communication may include one or more of the following:

- The use of the aircraft inter-communication system, or
- Direct person-to-person contact, or
- Any other method of communication that ensures the flight crew or other suitably qualified persons are able to expeditiously direct personnel to discontinue fueling operations for any reason.

The specification in item iv) may be fulfilled by a flight crew member or other suitably qualified person when aircraft refueling.

### FLT 3.9.3

If the Operator conducts passenger flights without cabin crew and transports passengers that require special handling, the Operator shall have a policy and procedures for the acceptance or non-acceptance, as well as onboard handling, of such passengers by the flight crew. The policy and procedures shall be in accordance with applicable regulations and as a minimum address, as applicable:

- (i) Intoxicated and/or unruly passengers;
- (ii) Passengers with disabilities or reduced mobility;
- (iii) Passengers with injuries or illness;
- (iv) Infants and unaccompanied children;
- (v) Inadmissible passengers;
- (vi) Deportees;
- (vii) Passengers in custody. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policy/procedures for passengers that require special handling (focus: description of flight crew actions; definition of types of passengers that require special handling).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with cabin/ground operations (focus: complementary policy/procedures for treatment of special handling passengers).
- ☐ **Observed** line flight operations (focus: treatment of special handling passengers).
- ☐ **Other Actions** (Specify)

### Guidance

The principle intent of this provision is to ensure the appropriate acceptance or non-acceptance, as well as onboard, handling of passengers regardless of aircraft type, crew complement or complexity of the operation. An operator typically provides guidance to the flight crew, commensurate with any assigned responsibilities relative to passenger handling, to address the acceptance or non-acceptance of passengers requiring special handling as defined by this provision. Such guidance also typically defines the conditions necessary to accept or deny boarding to a passenger. For intoxicated and/or unruly passengers as specified in item (1), the PIC typically has the authority to refuse carriage, order in-flight restraint or, depending on the severity of circumstances, divert a flight to an alternate airport for disembarkation and handover to authorities.

The specifications in items i), v), vi) and vii) might require guidance in the OM that addresses the proper use of restraint devices, unless such devices are prohibited by the Authority or their use is impractical due to lack of appropriate crew members.

### FLT 3.9.4

If the carriage of weapons on board an aircraft is approved as specified in [SEC 3.3.1](#), the Operator shall have a procedure to ensure the PIC is notified prior to the departure of a flight. Such notification shall include the number and seat locations of authorized armed persons on board the aircraft. **(GM)**

**Note:** The content of the notification to the PIC may vary as specified in [SEC 3.3.1](#).

### Auditor Actions

- ☐ **Identified/Assessed** OM policy/procedures for carriage of weapons by law enforcement/other persons as approved by State (focus: flight crew duties/responsibilities; requirement for/content of notification to flight crew).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with cabin/ground operations (focus: complementary policy/procedures for notification of onboard weapons).
- ☐ **Observed** line flight operations (focus: notification of onboard weapons).
- ☐ **Other Actions** (Specify)

### Guidance

The term 'weapon' in the context of this provision is normally a firearm legally in the possession of a law enforcement officer or other authorized individual (e.g. an inflight security officer acting in the performance of his or her duties as an armed officer).

An agreed procedure with the relevant law enforcement agency is typically in place that permits the operator to notify the PIC (and other crew members as required by local requirements) of the presence of armed persons on board.

Operators will have differing methods to accomplish the booking, seating and notification to the flight crew of armed individuals on board. A clear communication protocol by the operator ensures a consistent booking-to-boarding process for such individuals. The content of the flight crew notification will differ among operators but will always include the number and seat assignment of armed persons on board.

In accordance with ICAO standards, states that could be relevant to an individual flight (i.e. states of departure, transit, arrival, potential diversion) will have laws that require special authorization for the carriage of weapons on board an aircraft.

Each Contracting State ensures that the carriage of weapons on board aircraft by law enforcement officers and other authorized persons acting in the performance of their duties requires special authorization in accordance with the laws of the States involved.

### FLT 3.9.5 (Intentionally open)

**FLT 3.9.6**

If the Operator conducts flights from any airport when conditions are conducive to ground aircraft icing, the Operator shall have de-/anti-icing policies and procedures published in the OM or in other documents that are available to the flight crew during flight preparation and accessible to the flight crew during flight. Such policies and procedures shall address any flight crew duties and responsibilities related to de-/anti-icing and include:

- (i) Holdover Time tables;
- (ii) A requirement for a member of the flight crew or qualified ground personnel to perform a visual check of the wings before takeoff, if any contamination is suspected;
- (iii) A requirement that takeoff will not commence unless the critical surfaces are clear of any deposits that might adversely affect the performance and/or controllability of the aircraft;
- (iv) A statement that delegates authority to the PIC to order De-/Anti-icing whenever deemed necessary. **(GM)**

**Note:** The specifications of this provision are applicable to commercial and/or non-commercial operations.

**Auditor Actions**

- ☐ **Identified/Assessed** OM policy/procedures for aircraft de-/anti-icing of aircraft (focus: availability/accessibility to flight crew prior to/during flight; description of flight crew authority/duties/responsibilities; statement that requires critical surfaces to be clear of ice prior to takeoff).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: operations in ground icing conditions; de-/anti-icing operations).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of De-/Anti-icing Program and Holdover Time.

The intent of this provision is to ensure flight crew members comply with the clean aircraft concept prior to takeoff anytime there is a potential for the accretion of ice on aircraft critical surfaces during ground operations.

Refer to [GRH 4.2.1](#) located in ISM Section 6 for specifications and associated guidance related to the establishment and maintenance of a De-/Anti-icing Program.

Qualified ground personnel specified in item ii) are typically used to perform a visual wing check in instances when the wings are not visible to the flight crew from the interior of the aircraft (e.g., cargo aircraft operations).

The surfaces specified in item iii) include wings, flight controls, engine inlets, fuselage surfaces in front of engines or other areas defined in the AOM.

Additional guidance may be found in ICAO Doc 9640-AN/940, Manual of Aircraft Ground De-icing/Anti-icing Operations.

**FLT 3.9.7**

If the Operator *does not* conduct flights from any airport when conditions are conducive to ground aircraft icing, the Operator shall have guidance published in the OM or other document that is available to the flight crew during flight preparation and accessible to the flight crew during flight. Such guidance shall include:

- (i) A description of meteorological and other conditions that are conducive to ground aircraft icing and/or the formation of ice on aircraft critical surfaces;
- (ii) A prohibition from operating an aircraft from any airport when conditions conducive to ground aircraft icing exist. **(GM)**

**Note:** The specifications of this provision are applicable to commercial and/or non-commercial operations.

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance that addresses/prohibits operations in ground icing conditions (focus: availability/accessibility to flight crew prior to/during flight; description of conditions conducive to ground aircraft icing; statement that prohibits aircraft operations in conditions conducive to ground icing).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: operations in ground icing conditions).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to preclude flight operations from airports when conditions conducive to ground aircraft icing exist and there is an absence of de-/anti-icing capability and/or appropriate policies and procedures that will ensure compliance with the clean aircraft concept prior to takeoff.

#### FLT 3.9.8

If the Operator transports dangerous goods, the Operator shall ensure information and guidance that enable the flight crew to carry out duties and responsibilities related to the transport of dangerous goods is published or referenced in the OM and included in the onboard library. Such guidance shall include, as a minimum:

- (i) General policies and procedures;
- (ii) Duties and responsibilities;
- (iii) As applicable, preflight acceptance requirements;
- (iv) Flight crew written notification requirements;
- (v) Dangerous goods incident and/or emergency response procedures. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures associated with transport of dangerous goods (focus: included in onboard library; description of flight crew duties/responsibilities; acceptance/notification requirements).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: provision/receipt/acknowledgement of onboard dangerous goods).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Dangerous Goods Regulations (DGR) and NOTOC (Notification to Captain).

An operator, in accordance with requirements of the Authority, typically develops flight crew guidance related to the transport of dangerous goods based on technical information from one or more source reference documents, to include:

- Dangerous Goods Regulations (DGR);
- ICAO Doc. 9481 AN/928, Emergency Response Guidance for Aircraft Incidents Involving Dangerous Goods;
- An equivalent dangerous goods manual, dangerous goods emergency response guide or other reference document approved or accepted by the Authority for the development of flight crew guidance related to the transportation of dangerous goods by air.

The specification in item iii) refers to procedures and information formulated to assist each applicable flight crew member in performing or directly supervising the acceptance of dangerous goods for transport on an aircraft. Such information might include, but not limited to:

- Details and locations of cargo compartments;
- The maximum quantity of dry ice permitted in each compartment;

- If radioactive materials are to be carried, instructions on loading;
- Dangerous goods reporting requirements.

Item iii) is only applicable to flight crew members assigned such responsibilities by the State or the operator.

The specification in item iv) refers to PIC and/or flight crew duties and responsibilities related to the acquisition and review of the NOTOC (Notification to Captain).

## FLT 3.9.9

If the Operator *does not* transport dangerous goods as cargo, the Operator shall have guidance for the flight crew that includes procedures for response to dangerous goods incidents.

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures that address response to dangerous goods incidents (focus: description of flight crew duties/responsibilities in the event of dangerous goods incidents).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected flight crew dangerous goods incident reports.
- ☐ **Other Actions** (Specify)

## 3.10 Airspace Rules

### FLT 3.10.1

The Operator shall require all commercial flights to be conducted under an IFR Flight Plan in accordance with an IFR clearance and, if an instrument approach is required, in accordance with the approach procedures approved or accepted by the state in which the airport of intended landing is located. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM requirement for all flights to be conducted under IFR flight plan/in accordance with IFR clearance (focus: flight crew filing of IFR flight plan, acceptance of/adherence to IFR clearance).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: IFR flight plan/clearance; IFR operations).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Instrument Flight Rules (IFR) and Visual Flight Rules (VFR).

The intent of this provision is for an operator to file an IFR flight plan with the appropriate ATS unit and obtain an IFR clearance in order to ensure its flights are afforded all of the air traffic services applicable to aircraft operating under IFR within controlled airspace. Such services typically include:

- Maintenance of minimum separation standards;
- Traffic advisory information;
- Terrain or obstruction alerting;
- Low altitude alerting;
- Strategic route planning;
- Automatic flight plan closure at airports with functioning control towers.

The specifications of this provision do not preclude an operator from:

- Operating certain portions of a commercial flight under VFR (visual flight rules) as specified in [FLT 3.10.2](#) and [DSP 3.2.9A](#);
- Where possible, identifying portions of flights to be flown under VFR, as permissible in accordance with [DSP 3.2.9A](#), on the ATS flight plan (in lieu of filing a purely IFR Flight Plan);
- Operating non-commercial flights (e.g. maintenance, repositioning flights) under VFR.



### FLT 3.10.2

If the Operator is authorized to conduct certain portions of a commercial flight under VFR, the Operator shall have a policy and procedures that describe how an IFR clearance is to be obtained (departures) and/or cancelled (arrivals). **(GM)**

#### Auditor Actions

- ☐ **Identified** authorization for portions of flights to be conducted under VFR.
- ☐ **Identified/Assessed** OM policy/procedures/limitations for portions of flights to be conducted under VFR (focus: operating under VFR for portion of flight; obtaining/cancelling IFR flight plan).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: partial VFR operations; obtaining/cancelling IFR flight plan).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to afford an operator some latitude in obtaining an IFR clearance or closing an IFR flight plan when originating or terminating a flight operated in accordance with [DSP 3.2.9A](#), which specifies how certain portions of a flight may be conducted under VFR. Such latitude is typically required when flights that have filed an IFR Flight Plan depart from uncontrolled airports, transit uncontrolled airspace and/or arrive at uncontrolled airports or airports without an operating control tower.

The specifications of [DSP 3.2.9A](#) also refer to the type of flight plan to be filed in instances where certain portions of a flight will be conducted under VFR. In some cases, it may be possible to identify VFR portions in a predominantly IFR flight plan (e.g. Y for IFR first, then VFR or Z for VFR first, then IFR as designated on an ICAO flight plan). In other cases, an IFR Flight Plan must be filed for all flights and an instrument clearance obtained or cancelled en route.

### FLT 3.10.3 (Intentionally open)

### FLT 3.10.4

The Operator shall have guidance that addresses the use of standard radio phraseology when communicating with ATC, the acceptance and readback of ATC clearances and, when necessary, the clarification of such clearances to ensure understanding. Such guidance shall include, as a minimum:

- (i) A requirement for the use of the call sign;
- (ii) A requirement for at least two flight crew members to monitor and confirm clearances to ensure a mutual (flight crew) understanding of accepted clearances under circumstances, as determined by the operator or flight crew, when a missed or misunderstood clearance could pose a safety risk to the flight;
- (iii) A requirement to clarify clearances with ATC whenever any flight crew member is in doubt regarding the clearance or instruction received. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM requirement/guidance for standard radio phraseology in communication with ATC (focus: instructions/procedures for flight crew communications with ATC; definition/use of standard phraseology).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: ATC communications; use of standard phraseology).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is for an operator to have policies and procedures that ensure:

- The use of standard radio phraseology;
- ATC clearances are clearly understood during times of increased operational risk.



The specification in item ii) refers to situations when a missed or misunderstood clearance could pose a safety risk to the flight (e.g. inadequate terrain clearance, runway incursion, loss of separation). ATC clearances that have the potential to pose such safety risks, if misunderstood by the flight crew, typically include the following:

- Heading, altitude/flight level, assigned route/waypoint changes;
- Frequency changes during critical phases of flight;
- Instructions for any operation on or near a runway.

#### FLT 3.10.5

The Operator shall have a policy and/or procedures that require the flight crew to maintain a radio listening watch on the frequencies appropriate for the area of operation and as required by the applicable authorities. Such guidance shall include, as a minimum, an additional requirement for the flight crew to monitor:

- (i) VHF emergency frequency (121.5 MHz):
  - (a) On long-range over-water flights or on flights that require the carriage of an emergency locator transmitter (ELT), except during those periods when aircraft are carrying out communications on other VHF channels, or when airborne equipment limitations or flight deck duties do not permit simultaneous guarding of two channels;
  - (b) If required by the applicable authorities, in areas or over routes where the possibility of military intercept or other hazardous situations exist.
- (ii) If required by the applicable authorities, the appropriate common frequency used for in-flight communication in designated airspace without ATC coverage. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM policy/procedures for monitoring of radio frequencies appropriate to areas of operations (focus: instructions for flight crew monitoring of radio frequencies; definition of frequencies to be monitored).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: monitoring of radio frequencies).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for definitions of In-flight Broadcast Procedures (IFBP), Long-range Over-water Flights, Selective Calling (SELCAL) and Satellite Communications (SATCOM).

The intent of this provision is to ensure flight crews maintain a radio listening watch on those VHF and/or HF frequencies that are appropriate for the area of operation and are in accordance with the requirements of the applicable authorities.

The specification in item ii) refers to the monitoring of the IFBP frequency in areas of the world where such procedures are required.

The use of SELCAL or SATCOM could relieve the radio listening watch responsibility of this provision, but not the requirement for VHF emergency and/or IFBP frequency monitoring.

The continuous monitoring of a company discrete frequency or exclusive dedication of a secondary radio to ACARs does not take precedence over the monitoring of requirements specified in this provision.

Applicable authorities include those authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

#### FLT 3.10.6

The Operator shall have procedures and/or limitations that address operations into and out of uncontrolled airspace and/or airports, to include, if applicable, a prohibition if such operations are not permitted in accordance with restrictions of the AOC or equivalent documents. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM procedures/limitations for operations into/out of uncontrolled airspace/airports (focus: flight crew actions/responsibilities for airspace/airport operations with no ATC).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: uncontrolled airspace/airport operations).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure procedures and limitations address operations in uncontrolled airspace or at uncontrolled airports and include a prohibition for such operations if not authorized by either the Authority or the operator.

An uncontrolled airport is an airport without an operating control tower.

A controlled airport is an airport with a manned and operating control tower surrounded by controlled airspace.

Procedures and limitations typically include aircraft position radio broadcast procedures, VFR weather requirements and the ability to receive ATC clearance within a specified time/distance from the departure airport.

### FLT 3.10.7

The Operator shall have guidance that enables the flight crew to determine differences in rules and procedures for any airspace of intended use, to include, as a minimum, an explanation of the differences between prevailing or local airspace rules and ICAO airspace rules, where applicable. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM requirement/guidance for determining differences in rules/procedures in airspace of intended use (focus: instructions for flight crew determination of airspace rules/procedures, differences between prevailing/local and ICAO rules).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Other Actions** (Specify)

### Guidance

The specification of this provision ensures flight crews that operate in airspace(s) with different rules have those differences explained in the OM.

Airspace(s) of intended use typically includes ICAO, FAA, State or any other local airspace subject to the operations of the operator.

### FLT 3.10.8

If the Operator conducts operations in en route remote airspace for which Strategic Lateral Offset Procedures (SLOP) are published in the relevant AIP, the Operator *shall* have guidance that enables the flight crew to implement SLOP when operating in such airspace. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance for implementation of SLOP for operations in en route remote airspace (focus: guidance enables flight crew to implement SLOP where applicable).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Aeronautical Information Publication (AIP).

The intent of this provision is to ensure flight crew implement SLOP in accordance with applicable requirements.

General guidance regarding the implementation of SLOP may be derived from:

- ICAO Doc 4444 – Procedures for Air Navigation Services, Air Traffic Management;
- ICAO Circular 331 - Implementation of Strategic Lateral Offset Procedures;
- FAA AC 91-70 B Change 1 - Oceanic and Remote Continental Airspace Operations.

Region-specific guidance regarding the implementation of SLOP may be derived from:

- State Aeronautical Information Publications (e.g., Australia, Canada, Ireland, United States);
- ICAO oceanic area guidance material (e.g., ICAO Nat Doc 007, North Atlantic Operations and Airspace Manual);
- ICAO Regional Supplementary Procedures, ICAO Doc 7030;
- State specific oceanic area resource guides (e.g., FAA WATRS, GOMEX, Caribbean Resource Guide for U.S. Operators, FAA North Atlantic Resource Guide for U.S. Operators, FAA Pacific Guide for U.S. Operators);
- State and/or Flight Information Region (FIR) specific advisory information (e.g., NOTAMS);
- Jeppesen Airway Manual country specific guidance.

## 3.11 In-Flight Operations

### Navigation

#### FLT 3.11.1

The Operator shall have guidance that includes a description of flight crew duties and responsibilities, as well as procedures, for monitoring navigation performance, verifying present position and, if applicable, maintaining a particular RNP/RNAV. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM requirement/guidance for monitoring navigation performance/verifying present position/maintaining RNP (focus: description of flight crew actions/responsibilities for monitoring position/navigation performance).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: monitoring of navigation performance).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Receiver Autonomous Integrity Monitoring (RAIM).

There are various means to verify navigation accuracy, for example FMC display, “High Accuracy” FMS alerts, navigation radio accuracy checks (radial/DME).

Generally, navigation systems based on GPS with Receiver Autonomous Integrity Monitoring (RAIM) will not require accuracy checks.

#### FLT 3.11.2

If the Operator uses navigation systems that are subject to degradation over time, the Operator shall have procedures to ensure navigation accuracy is checked after prolonged in-flight operation when ground-based or space-based navigation facilities become available for such checks. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM requirement/guidance for verification of navigation accuracy after prolonged in-flight operation (focus: procedure/instructions for flight crew checking of navigation accuracy using ground-based or space-based facilities).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: verification of navigation accuracy).
- ☐ **Other Actions** (Specify)

### Guidance

Prolonged operation may be defined by the operator or manufacturer and refers to navigation systems with accuracy that could degrade over time or are affected by the presence of external navigation aids.

Navigation accuracy may be established with DME/DME, VOR/DME, or VOR/VOR within the service volume of the applicable nav aids.

The specifications of this provision may be satisfied by guidance that describes flight crew actions related to Flight Management Computer (FMC) automated navigational accuracy messages (e.g., UNABLE REQD NAV PERF or equivalent) or that instructs flight crews to compare Actual Navigation Performance (ANP) with Required Navigation Performance (RNP).

### FLT 3.11.3

The Operator shall have a collision avoidance policy that encourages the flight crew to maintain vigilance for conflicting visual traffic ("see and avoid"). **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** collision avoidance policy that encourages vigilance for conflicting visual traffic (i.e. "see and avoid") (focus: availability to flight crew; instructions for flight crew traffic identification/avoidance).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: visual vigilance for conflicting traffic).
- ☐ **Other Actions** (Specify).

### Guidance

This policy complements TCAS collision avoidance procedures.

### FLT 3.11.4

The Operator shall ensure minimum flight altitude information applicable to all phases of a flight, including guidance that specifies when descent below any applicable prescribed minimum altitude is permissible, is made available to the flight crew along with instructions for the use of such information. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance that specifies when descent below applicable prescribed minimum altitude is permissible (focus: availability of minimum altitude information to flight crew during flight; instructions/procedures for adherence to/descent below minimum altitudes all phases of flight).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: adherence to minimum altitudes).
- ☐ **Other Actions** (Specify)

### Guidance

Minimum prescribed safety altitudes typically include:

- Minimum Safety Altitude (MSA);
- Minimum Descent Altitude/Height (MDA/H);
- Minimum En route Altitude (MEA);
- Minimum Obstruction Clearance Altitude (MOCA);
- Minimum Off-Route Altitude (MORA);
- Minimum Vectoring Altitude (MVA);
- Any other minimum altitudes prescribed by the Authority.

**FLT 3.11.5**

The Operator shall have a policy and/or procedures that require flight crews to monitor meteorological conditions during the en route phase of flight, to include current weather and forecasts for:

- (i) Destination airport;
- (ii) Destination alternate airport(s), if applicable;
- (iii) En route alternate airports(s), if applicable. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** OM requirement/guidance for monitoring meteorological conditions during the en route phase of flight (focus: instructions for flight crew monitoring of en route meteorological conditions, current/forecast weather for destination/alternate airports).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: monitoring en route/airport weather conditions).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure flight crews monitor meteorological conditions at the destination airport and at each required alternate airport, and that current meteorological reports or a combination of current reports and forecasts indicate that the meteorological conditions will be, at the estimated time of use (ETU), at or above the operator's established airport operating minima for that operation. To fulfill monitoring requirements, flight crews may acquire meteorological information from approved ground sources or such information may be provided to the aircraft by the operator as specified in [DSP 3.2.9A](#) or [DSP 3.2.9B](#).

**FLT 3.11.6** (Intentionally open)**FLT 3.11.7**

The Operator shall have a policy and/or procedures that require the flight crew to monitor fuel during flight to ensure a fuel quantity upon landing that is not less than final reserve fuel. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** OM requirement/guidance for monitoring en route fuel to ensure landing with not less than final reserve fuel (focus: instructions/procedure for flight crew fuel monitoring to ensure landing with final reserve fuel as specified in [DSP 4.3.12](#)).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: en route fuel monitoring/tracking).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to [FLT 3.14.16](#) and [FLT 3.14.17](#) for actions to be taken by the PIC in the event the final reserve minimum fuel quantity specified in [DSP 4.3.12](#) cannot be protected in flight and preserved upon landing.

**FLT 3.11.8A**

If the Operator is authorized to conduct RVSM operations, the Operator shall have guidance that includes procedures to ensure the proper conduct of such operations. Such guidance shall address, as a minimum:

- (i) Required airborne equipment;
- (ii) Operating limitations and procedures. **(GM)**

### Auditor Actions

- ☐ **Identified** authorization to conduct RVSM operations.
- ☐ **Identified/Assessed** OM guidance/procedures for the conduct of RVSM operations (focus: definition of required ground/airborne equipment; operating limitations/procedures).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: conduct of RVSM operations).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Reduced Vertical Separation Minima (RVSM).

#### FLT 3.11.8B

If the Operator is authorized to conduct PBN operations in airspace that requires the maintenance of a particular navigation specification for PBN, the Operator shall have guidance that includes procedures to ensure the proper conduct of such operations. Such guidance shall address, as a minimum:

- (i) Required ground and airborne equipment;
- (ii) Operating limitations and procedures;
- (iii) As applicable, operating minima. **(GM)**

### Auditor Actions

- ☐ **Identified** authorization to conduct PBN operations in airspace that requires maintenance of defined navigation performance.
- ☐ **Identified/Assessed** OM guidance/procedures for the conduct of PBN operations (focus: definition of required ground/airborne equipment, operating limitations/procedures, applicable operating minima).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: conduct of PBN operations).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Performance-based Navigation (PBN).

#### FLT 3.11.8C

If the Operator is authorized to conduct PBCS operations, the Operator shall have guidance that includes procedures to ensure the proper conduct of such operations. Such guidance shall address, as a minimum:

- (i) Required airborne equipment;
- (ii) Operating limitations and procedures. **(GM)**

### Auditor Actions

- ☐ **Identified** authorization to conduct PBCS operations.
- ☐ **Identified/Assessed** OM guidance/procedures for the conduct of PBCS operations (focus: definition of required airborne equipment and operating limitations/procedures).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: conduct of PBCS operations).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Performance-based Communication and Navigation Surveillance (PBCS).

**FLT 3.11.9**

If the Operator is authorized to conduct LVO, the Operator shall have guidance to ensure the proper conduct of such operations. Such guidance shall address, as a minimum:

- (i) Required ground and airborne equipment;
- (ii) Operating limitations and procedures;
- (iii) Crew qualifications;
- (iv) Operating minima (RVR). **(GM)**

**Auditor Actions**

- ☐ **Identified** authorization to conduct low visibility operations.
- ☐ **Identified/Assessed** OM guidance/procedures for the conduct of low visibility operations (focus: procedures/limitations for conduct of operations; requirements for ground/airborne equipment, crew qualifications, operating minima).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: conduct of low visibility operations).
- ☐ **Other Actions** (Specify)

**Guidance**

The operating limitations specified in item (ii) typically address crosswinds, runway condition and aircraft equipment capability.

**FLT 3.11.10**

If the Operator conducts flight operations beyond 60 minutes from a point on a route to an en route alternate airport, including ETOPS/EDTO, the Operator shall have guidance that includes:

- (i) Procedures to ensure proper conduct of such operations;
- (ii) For all aircraft, a requirement for flight crews to monitor meteorological information for any en route alternates during the en route phase of a flight;
- (iii) Procedures to ensure, for aircraft with two-engines engaged in ETOPS/EDTO, the most up-to-date information provided to the flight crew indicates that conditions at identified en route alternate airports will be at or above the operator's established airport operating minima for the operation at the estimated time of use. **(GM)**

**Auditor Actions**

- ☐ **Identified** authorization to conduct ETOPS/EDTO/operations beyond 60 minutes from an alternate airport.
- ☐ **Identified/Assessed** OM guidance/procedures for the conduct of ETOPS/EDTO/operations beyond 60 minutes from alternate airport (focus: procedures/limitations for conduct of operations; requirements for monitoring en route alternate airport meteorological information; for two-engine aircraft, requirements for en route alternate airports).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: conduct of ETOPS/EDTO/operations beyond 60 minutes from alternate airport).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of item ii) of this provision is to ensure flight crew are knowledgeable about diversion airport options and prevailing weather conditions appropriate for the type of operation conducted.

The intent of item iii) of this provision is to ensure a larger strategy exists to protect a diversion regardless of whether the diversion is for technical (airplane system- or engine-related) or non-technical reasons.

An operator, in accordance with requirements of the Authority, typically uses technical guidance for the conduct of operations beyond 60 minutes, from a point on a route to an en route alternate airport,



including ETOPS/EDTO. Such guidance might be derived from one or more of the following source references, as applicable:

- ICAO Annex 6, Amendment 36, Attachment D: Guidance for Operations by Turbine Engine Aeroplanes Beyond 60 minutes to an En-route Alternate Aerodrome Including Extended Diversion Time Operations (EDTO);
- ICAO Flight Planning and Fuel Management Manual (Doc 9976);
- FAA Advisory Circular - AC No: 120-42B: Extended Operations (ETOPS and Polar Operations), Effective 6/13/08;
- EASA Air OPS (regulation 965/2012) ANNEX V (Part-SPA) Subpart F: Extended Range Operations with Two-Engine Aeroplanes (ETOPS);
- EASA AMC 20-6, Rev 2 to Air OPS (regulation 965/2012): Extended Range Operation with Two-Engine Aeroplanes ETOPS Certification and Operation;
- Any equivalent reference document approved or accepted by the Authority for the purpose of providing guidance for the conduct of flight operations by turbine engine aircraft beyond 60 minutes to an en route alternate airport including ETOPS/EDTO.

## FLT 3.11.11

If the Operator engages in MNPS/NAT HLA and/or AMU operations, the Operator shall have guidance that includes procedures to ensure the proper conduct of such operations and addresses, as a minimum:

- (i) Required ground and airborne equipment;
- (ii) Operating limitations and procedures. **(GM)**

### Auditor Actions

- ☐ **Identified** authorization to conduct MNPS/NAT HLA/AMU operations.
- ☐ **Identified/Assessed** OM guidance/procedures for the conduct of MNPS/NAT HLA/AMU operations (focus: procedures/limitations for conduct of operations; requirements for ground/airborne equipment).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: conduct of MNPS/NAT HLA/AMU operations).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Areas of Magnetic Unreliability (AMU) and Minimum Navigation Performance Specifications (MNPS/NAT HLA).

## FLT 3.11.12–3.11.15 (Intentionally open)

### *Flight Management and General Procedures*

## FLT 3.11.16

The Operator shall publish Crew Resource Management (CRM) principles in the OM or in other documentation available to the flight crew and have a requirement in the OM for the application of such principles by the flight crew during line operations.

### Auditor Actions

- ☐ **Identified/Assessed** principles of CRM published in OM/other document (focus: availability to flight crew; requirement for application of CRM in line operations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: application of CRM principles).
- ☐ **Other Actions** (Specify)



## FLT 3.11.17

The Operator shall have a policy and procedures that define a sterile flight deck during critical phases of flight, to include:

- (i) A protocol for intra-flight deck communication;
- (ii) If the Operator conducts passenger flights with cabin crew, a protocol for communication between the flight crew and cabin crew;
- (iii) The mandatory use of headsets and boom or throat microphones for communication with ATC below the transition level/altitude or 10,000 ft AGL, whichever is higher;
- (iv) A restriction of flight crew activities to essential operational matters. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policy/requirement/procedures for sterile flight deck (focus: procedures associated with sterile flight deck; definition of protocols/requirements/restrictions).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: adherence to sterile flight deck).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Sterile Flight Deck and Critical Phase of Flight.

The specifications of this provision require an operator to ensure the OM defines the specific phases of flight when the operational state of the flight deck is to be “sterile.”

## FLT 3.11.18

The Operator shall have policies and guidance that define and address the division of duties related to the performance and prioritization of flight crew member operational tasks, to include, as a minimum:

- (i) A requirement and procedures for the use of checklists prior to, during and after all phases of flight, and in abnormal and emergency situations;
- (ii) PM/PF duties for all phases of flight, to include normal, abnormal and emergency situations;
- (iii) PM/PF actions during manual and automatic flight;
- (iv) Flight and cabin crew duties during situations that require coordination, to include, as a minimum, emergency evacuation, medical emergency and incapacitated flight crew member. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policy/requirement/guidance for sharing/prioritization in performance of flight crew operational tasks (focus: guidance that addresses use of checklists; defines PF/PM duties/task sharing; defines flight/cabin crew duties/task sharing).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: application of flight crew task sharing/prioritization).
- ☐ **Other Action** (Specify)

### Guidance

The intent of this provision is to ensure flight crew duties are defined and appropriately divided, and that compliance with all applicable checklists contained in the AOM, MEL and CDL occurs in accordance with the operator's task sharing policy.

Elements of task sharing are described in the following table.

<p>Task sharing is observed during most phases of flight and addresses areas such as:</p> <ul style="list-style-type: none"> <li>• Philosophy for the use of checklists;</li> <li>• Performance calculations;</li> <li>• Automated flight procedures for flight crew;</li> <li>• Manual flight procedures for flight crew;</li> <li>• Flight crew briefings;</li> <li>• Administrative duties at the appropriate times (such as top of descent and prior to commencing approach).</li> </ul>
<p>Task sharing is applicable during emergency situations such as:</p> <ul style="list-style-type: none"> <li>• Rejected takeoff;</li> <li>• Engine failure or fire at V1;</li> <li>• TCAS/ACAS resolution advisory (RA);</li> <li>• GPWS Alert;</li> <li>• Emergency descent.</li> </ul>
<p>Task sharing is applicable during emergency situations that require coordination with the cabin crew such as:</p> <ul style="list-style-type: none"> <li>• Emergency evacuation;</li> <li>• Medical emergency;</li> <li>• Flight crew member incapacitation.</li> </ul>

The term Pilot Monitoring (PM) has the same meaning as the term Pilot Not Flying (PNF) for the purpose of applying the specifications of this provision.

The term “abnormal” is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term “emergency” used alone refers to declarations and non-AOM procedures.

## **FLT 3.11.19** (Intentionally open)

### **FLT 3.11.20**

The Operator shall have a policy and procedures that require flight crew members to crosscheck and confirm critical actions during normal, abnormal and emergency situations, to include:

- (i) Aircraft configuration changes including landing gear, wing flaps and speedbrakes;
- (ii) Altimeter bug and airspeed bug settings;
- (iii) Altimeter subscale settings;
- (iv) Altitude (window) selections;
- (v) Transfer of control of the aircraft;
- (vi) Changes to the Automated Flight System (AFS)/Flight Management System (FMS) and radio navigation aids during the departure and or approach phases of flight;
- (vii) Weight/mass and balance calculations and associated AFS/FMS entries;
- (viii) Performance calculations or inputs, including AFS/FMS entries. **(GM)**

**Auditor Actions**

- ❑ **Identified/Assessed** OM policy/requirement/procedures for crosscheck/confirmation in performance of critical actions during normal/abnormal/emergency situations (focus: procedures for flight crew crosscheck/confirmation when performing critical actions; definition of critical actions in normal/abnormal/emergency situations).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Observed** line flight and flight simulator operations (focus: flight crew crosscheck/confirmation when performing critical actions).
- ❑ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure flight crew actions, when considered critical to the safety of flight, are crosschecked and confirmed.

The specification in item (i) addresses the risk of a misconfiguration by requiring the flight crew to crosscheck and confirm certain critical manual and/or automatic configuration changes. It is important to note that the criticality of certain actions may be dependent on phase of flight (e.g. landing gear down before landing, correct flap selection before takeoff and landing, speedbrakes extended for a rejected takeoff (RTO) and after landing, speedbrakes retracted for takeoff, go-around and rejected landing).

The specification in item ii) applies to reference bugs that are set externally on the instrument face, manually using a control panel, or automatically/manually through the FMS.

The specification in item iii) refers to the barometric pressure setting to which altitude is referenced.

The term “abnormal” is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term “emergency” used alone refers to declarations and non-AOM procedures.

**FLT 3.11.21**

The Operator shall have a policy and procedures that define and specify the requirements for standardized verbal callouts (standard callouts) by the flight crew during each phase of flight. **(GM)**

**Auditor Actions**

- ❑ **Identified/Assessed** OM policy/procedures for standardized callouts (focus: procedures for flight crew use of standardized verbal callouts during all phases of flight).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Observed** line flight and flight simulator operations (focus: flight crew use of standardized verbal callouts).
- ❑ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Standard Callout.

Standard callouts are used to improve crosscheck, coordination and mutual crew member awareness and are typically used to:

- Give commands, delegate a task;
- Acknowledge a command or confirm receipt of information;
- Challenge and respond to checklist items;
- Call a change of an indication;

- Identify a specific event;
- Identify exceedences.

A silent flight deck philosophy typically limits verbal callouts to the identification of exceedences and other items as determined by the operator.

## FLT 3.11.22

The Operator shall have an automation policy with associated guidance and procedures that address the use of aircraft automated flight and navigation systems, to include:

- (i) Flight crew monitoring of the automated flight and navigation systems (AFS) to ensure appropriate aircraft response to inputs by:
  - (a) Cross-checking mode control panel status;
  - (b) Observing the results of any mode changes;
  - (c) Supervising the resulting guidance and aircraft response.
- (ii) The use of a level of automation appropriate for the task, to include manual flight when aircraft response is not appropriate or adequate.

### Auditor Actions

- ☐ **Identified/Assessed** OM policy/guidance/procedures for use of aircraft automated flight/navigation systems (focus: instruction/procedures for flight crew use/monitoring of automation, selection of appropriate mode of flight/navigation automation).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: management of flight automation; use of level appropriate for conditions).
- ☐ **Other Actions** (Specify)

## FLT 3.11.23

The Operator shall have guidance that defines and specifies the requirements for the conduct and content of the briefings to be accomplished by the flight crew prior to departure and approach. Such required briefings shall address, as a minimum:

- (i) The technical status of the aircraft unless reviewed in conjunction with another checklist or procedure;
- (ii) Normal and non-normal departure and approach considerations;
- (iii) When applicable, flight deck jump seat occupant safety. **(GM)**

**Note:** The briefing specified in item (iii) occurs prior to departure and as necessary for the remainder of the flight.

### Auditor Actions

- ☐ **Identified/Assessed** requirement/guidance for conduct of departure/approach briefing (focus: instruction/procedures for flight crew departure/approach briefing; definition of purpose/content of briefings).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: departure/approach briefings).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Jump Seat.

Normal and non-normal departure and approach considerations applicable to flight crew typically include, as appropriate for each phase and each flight:

- Fuel status;
- Airport/taxi diagrams;
- Meteorological conditions;

- NOTAMS;
- LVO procedures;
- Departure/approach charts;
- Minimum safe altitudes and terrain;
- Use of automation;
- Takeoff/landing (flaps, autobrakes and stopping distances);
- Missed approach/go-around and alternates;
- Special conditions and operations (e.g., crew familiarization with the route or airport flown, hazardous materials, environmental, non-standard noise abatement, etc.).

Non-normal departure/approach considerations applicable to the flight crew typically include items such as engine-out procedures, mountainous terrain and/or airspace constraints.

Briefings can be structured in order to encourage crew member and, as applicable, jump seat occupant feedback/participation.

**FLT 3.11.24–3.11.27** (Intentionally open)

### ***Altitude Awareness and Altimetry***

#### **FLT 3.11.28**

The Operator shall have policies, procedures and guidance that address altitude awareness, to include:

- (i) Instructions for the use of automated or verbal flight crew altitude callouts and any other actions to be taken by the flight crew to maintain altitude awareness;
- (ii) Policies and/or procedures for the avoidance of altitude deviations;
- (iii) Policies and/or procedures that address call sign confusion during altitude clearance acceptance and readback;
- (iv) Instructions for the flight crew to report the cleared flight level on first contact with ATC, unless specifically requested not to do so by ATC. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** OM policies/guidance/procedures that address altitude awareness (focus: instruction/procedures for flight crew focus on altitude awareness; definition of strategies for avoidance of altitude deviations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: application of altitude awareness procedures).
- ☐ **Other Actions** (Specify)

#### **Guidance**

Refer to the IRM for the definition of Altitude Deviation.

The intent of this provision is for the operator to provide policies, procedures and guidance in the OM designed to manage or mitigate potential risks related to the acceptance and maintenance of assigned altitudes.

As an example, OM guidance to address altitude awareness can include instructions for:

- A crosscheck that the assigned altitude is above the minimum safe altitude;
- “1000 to go” standard callout;
- Dual pilot response for ATC altitude clearance;
- “Double point” to altitude window (both pilots physically point to and confirm the new altitude set).

### FLT 3.11.29

The Operator shall have guidance and procedures that include instructions for the use of barometric altimeter reference settings appropriate for the area of operation (QNE, QFE, QNH). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures for use of the barometric altimeter (focus: instructions/procedures for flight crew use of barometric altimeter, altimeter reference setting appropriate for area of operations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: use/setting of barometric altimeter).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Altimeter Reference Setting, which includes definitions for QNE, QFE and QNH.

Information related to barometric reference setting instructions appropriate for specific areas of operation can be found in one or more of the following documents:

- ICAO Doc 8168—Procedures for Air Navigation Services—Aircraft Operations (PANS-OPS), Volume 1, Flight Procedures, Part III, [Section 1](#);
- U.S. Department of Transportation—Federal Aviation Administration—Aeronautical Information Manual (AIM)—Official Guide to Basic Flight Information and ATC Procedures, [Section 2](#). Altimeter Setting Procedures;
- The Aeronautical Information Publication (AIP) of the State;
- Any other State-approved or State-accepted altimetry reference.

### FLT 3.11.30

The Operator *should* have guidance and procedures that include a requirement for barometric altimeters, referenced to QNH, to be used as the sole barometric altitude reference for the takeoff, approach and landing phases of flight.

#### Auditor Actions

- ☐ **Identified/Assessed** OM requirement/guidance/procedures for barometric altimeter referenced to QNH for takeoff/approach/landing phases of flight (focus: instructions/procedures for flight crew to set QNH for takeoff/approach/landing).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: use/setting of QNH for takeoff/approach/landing).
- ☐ **Other Actions** (Specify)

### FLT 3.11.31

If the Operator engages in operations that require metric/imperial (ft) conversions for barometric altimeter readings, the Operator shall have guidance and procedures that ensure the proper computation and application of such conversions. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures for metric/imperial (ft) conversions for barometric altimeter readings (focus: instructions/procedures for flight crew use/application of barometric altimeter conversions).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: application of barometric altimeter conversion).
- ☐ **Other Actions** (Specify)

#### Guidance

The operator may provide tables, charts or other means for completing the required conversion.



## FLT 3.11.32

The Operator shall have guidance that enables the flight crew to correct for potential errors in altimetry and that addresses:

- (i) The effects of Outside Air Temperature (OAT) that is significantly lower than standard temperature;
- (ii) Maximum allowable barometric altimeter errors:
  - (a) Referenced to field elevation;
  - (b) Compared to other altimeters;
  - (c) Permissible to meet RVSM limitations. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance that addresses avoidance of potential altimetry errors (focus: instructions/procedures for flight crew avoidance of barometric altimeter errors; definition of maximum allowable barometric altimeter errors).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: avoidance of barometric altimeter errors).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure that potential errors in altimetry are identified and corrected when necessary.

The specification in item i) refers to temperature compensation corrections applied to ensure obstacle clearance in conditions of extreme cold (typically starting at -10 C). Such corrections may be applied manually by the flight crew (e.g. temperature correction charts) or automatically by onboard systems (e.g. Air Data Computer).

The operator may provide tables, charts or other means to address potential errors in altimetry.

## FLT 3.11.33–3.11.37 (Intentionally open)

## **Meteorological Conditions and Environment**

## FLT 3.11.38

The Operator shall have policies and procedures for operations in the proximity of adverse weather and/or environmental conditions to include:

- (i) Thunderstorms;
- (ii) Turbulence;
- (iii) Contaminated runways, including the effect of type and depth of contaminants on performance;
- (iv) Cold weather;
- (v) Volcanic ash, if the Operator conducts operations on routes that traverse large active volcanic areas or in the terminal areas of airports in the vicinity of active volcanoes. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policies/procedures for operations in proximity of adverse weather/environmental conditions (focus: flight crew adverse weather/environmental conditions operating procedures; definition of adverse weather/environmental conditions).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: operations in proximity of adverse weather/environmental conditions).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is to ensure flight crew members have access to policies and procedures associated with the adverse weather or environmental conditions they might encounter in operations.

Active volcanic areas specified in item v) normally include the following: Pacific Ring of Fire, the Rift Valley in Africa, North and South America, Indonesia, Japan and Iceland.

Operators may complement their procedures with the use of technologies and solutions that support avoiding and mitigating the impacts of turbulence, such as IATA Turbulence Aware (ITA).

### FLT 3.11.39

The Operator shall have guidance that includes policies and procedures for:

- (i) Wind shear avoidance;
- (ii) Wind shear encounter recovery;
- (iii) As applicable, response to predictive and/or reactive alerts. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** OM policy/guidance for wind shear avoidance/encounter recovery/response to predictive/reactive alerts (focus: flight crew wind shear avoidance/recovery procedures).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: wind shear awareness/avoidance/recovery).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Airborne Wind shear Warning System, which includes definitions for Predictive Alert and Reactive Alert.

### FLT 3.11.40

The Operator shall have guidance that addresses wake turbulence, to include procedures for encounter avoidance. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** OM guidance for wake turbulence avoidance/encounter recovery (focus: flight crew wake turbulence avoidance/recovery procedures).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: wake turbulence awareness/avoidance/recovery).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Wake Turbulence.

**FLT 3.11.41–3.11.45** (Intentionally open)

## Limitations and Performance

### FLT 3.11.46

The Operator shall provide, and require compliance with, operating limitations, as defined by the original equipment manufacturer (OEM) and established by the State of Registry for each aircraft type used in operations.

## Auditor Actions

- ☐ **Identified/Assessed** OM provision of/requirement for compliance with operating limitations as defined by OEM (focus: guidance/procedures for flight crew compliance with operating limitations).
- ☐ **Interviewed** responsible manager(s) in flight operations.

- ☐ **Observed** line flight and flight simulator operations (focus: compliance with operating limitations).
- ☐ **Other Actions** (Specify)

## FLT 3.11.47

The Operator shall have wind component limitations for takeoff, approach and landing that do not exceed the values demonstrated or recommended by the OEM and also address operations when the:

- (i) Runway is contaminated;
- (ii) Visibility is degraded;
- (iii) Aircraft stopping capability is degraded. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM procedures for compliance with takeoff/approach/landing wind component limitations that do not exceed OEM limitations (focus: requirement/procedures for flight crew compliance with wind component limitations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: compliance with wind component limitations).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Runway Excursion.

The specifications of this provision are directly related to the prevention of runway excursions.

The intent is to ensure the operator provides wind component limitations for the phases of flight specified in the body of the provision (e.g. maximum crosswind component for landing). Additionally, the provision ensures the operator provides wind component limitations under the conditions specified in the sub-specifications (e.g. maximum crosswind component for landing on a contaminated runway). In either case such values cannot exceed those demonstrated or recommended by the OEM.

Contaminated runways are typically defined by a specific contaminant type/depth or equivalent braking action report.

## FLT 3.11.48

The Operator shall have guidance that specifies a minimum aircraft height above ground level (AGL) or above airport level (AAL) for commencing a turn after takeoff. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance that specifies a minimum aircraft height above ground level (AGL)/above airport level (AAL) for commencing a turn after takeoff (focus: requirement/procedures for flight crew compliance with minimum altitude limitations for turn after takeoff).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: compliance with turn-after-takeoff altitude limitations).
- ☐ **Other Actions** (Specify)

### Guidance

Values typically vary depending on the operator or could include exceptions covering special airport operations.

## FLT 3.11.49

The Operator shall have guidance for the use of oxygen masks, to include a requirement for the flight crew to use supplemental oxygen whenever, *either*:

- (i) The cabin altitude exceeds 10,000 ft, *or*
  - (ii) If permitted by the State and applicable authorities, the cabin altitude exceeds 10,000 ft. for a period in excess of 30 minutes and for any period the cabin altitude exceeds 13,000 ft.
- (GM)

### Auditor Actions

- ☐ **Identified/Assessed** OM requirement/guidance for flight crew use of supplemental oxygen (focus: requirement/procedures for flight crew use of oxygen masks; definition of conditions that require use of oxygen).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: flight crew use of oxygen masks/supplemental oxygen).
- ☐ **Other Actions** (Specify)

### Guidance

Applicable authorities include those authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

## FLT 3.11.50A

The Operator shall have a policy and/or procedures that require flight crews, when operating an aircraft at low heights AGL, to restrict rates of descent for the purposes of reducing terrain closure rate and increasing the recognition/response time available in the event of an unintentional conflict with terrain. (GM)

### Auditor Actions

- ☐ **Identified/Assessed** OM requirement/guidance for restricting descent rates when operating at low altitudes (focus: requirement/procedures for flight crew to restrict descent rates at low altitudes).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: compliance with descent rate restriction at low altitudes).
- ☐ **Other Actions** (Specify)

### Guidance

The specifications of the provision are directly related to the prevention of CFIT.

The intent is to preclude CFIT situations when a crew, operating an aircraft at high rates of descent and temporarily distracted from altitude monitoring by unexpected events, would not have:

- Sufficient recognition or alert time to realize that terrain is rapidly approaching or;
- Sufficient response time to accomplish an aircraft escape maneuver once potential terrain conflict is recognized.

The low heights AGL specified in this provision are those altitudes where high descent rates can result in excessive rates of terrain closure.

The specified guidance may be based on a Threat and Error Management (TEM) approach, a height versus vertical rate values (formula/table) or any other means that mitigates the risk of terrain closure rates that could significantly reduce recognition and response.

Stabilized approach criteria provide conformity with the specifications of this provision for the approach phase of flight only. The specifications of this provision also require descent rate guidance be provided for other descents where terrain closure rate could significantly reduce recognition and response time.

The description of GPWS sink rate mode does not address the specifications of this provision.

Guidance associated with published minimum safe altitudes (MSAs) does not address or satisfy the specifications of this provision.

## FLT 3.11.50B

The Operator *should* have procedures to limit the vertical speed of an aircraft to no more than 1,500 feet per minute for the last 1,000 feet climbing or descending to an assigned altitude or flight level when the pilots are aware of another aircraft at or approaching an adjacent altitude or flight level, unless otherwise instructed by air traffic control. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM requirement/guidance for restricting vertical speed when climbing or descending to an assigned altitude/flight level (focus: requirement/procedures for flight crew to restrict vertical speed to 1500 fpm or less).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: compliance with vertical speed restrictions when approaching an assigned altitude).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is the avoidance of unnecessary airborne collision avoidance system (ACAS/TCAS) resolution advisories when the aircraft is at or approaching adjacent altitudes or flight levels, especially with autopilot engaged.

Guidance concerning the development of the specified procedures is contained in the PANS-OPS (Doc 8168) Volume I, Part III, Section 3, Chapter 3.

## FLT 3.11.50C

The Operator *should* have a policy and/or procedures that address flight crew use of EGPWS terrain displays for the purposes of increasing terrain/obstacle awareness and the avoidance of Controlled Flight into Terrain (CFIT). **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM requirement/guidance for the use of terrain mode displays (focus: requirement/procedures for flight crew to use terrain displays).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: compliance with terrain display policy and procedures).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Controlled Flight into Terrain (CFIT), EGPWS, EGPWS Terrain Display, and Ground Proximity Warning System (GPWS) with a Forward-looking Terrain Avoidance (FLTA) Function.

- ☐ For more information regarding access to the EGPWS database, refer to <https://www.iata.org/contentassets/06377898f60c46028a4dd38f13f979ad/enhance-access-to-egpws-information---final-version.pdf>

The specifications in this provision are directly related to the prevention of CFIT.

Terrain display policy and/or procedures typically recommend at least one pilot selects the terrain display mode during phases of flight when altitude and terrain awareness is critical such as:

- during climb and descent below MSA.
- when the flight crew accepts responsibility for terrain/obstacle clearance.
- during the conduct of uncharted visual arrivals and approaches, especially at night and in mountainous terrain.

- during the conduct of RNAV/RNP approaches, circling approaches and charted visual approaches.
- in the event a landing at the nearest suitable airport is required.
- in the event of an emergency descent.

### FLT 3.11.51

The Operator shall have guidance and applicable data to enable the flight crew to determine or compute aircraft performance for all phases of the flight. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance for use of data to determine/compute aircraft performance for all phases of the flight (focus: instructions/procedures for flight crew use of aircraft performance data).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: computation of relevant aircraft performance).
- ☐ **Other Actions** (Specify)

#### Guidance

The specifications of this provision may be satisfied by an automated or electronic means described in the OM.

### FLT 3.11.52

The Operator shall have guidance that addresses the use of flight recorders (FDR, CVR and, as applicable, AIR and DLR) to ensure such flight recorders are:

- (i) Not intentionally switched off during flight time by the flight crew;
- (ii) Only switched off by the flight crew after a flight when required to preserve data in the event of an accident or serious incident. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance that addresses the use/control of flight recorders FDR/CVR, preservation of FDR/CVR data (focus: instructions/procedures for flight crew for ensuring required preservation of FDR/CVR data).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Airborne Image Recorder (AIR), Cockpit Voice Recorder (CVR), Data Link Recorder (DLR), Flight Data Recorder (FDR) and Flight Recorder, and additionally the definitions of Accident, Incident and Serious Incident.

The definition of accident, incident or serious incident could vary according to the state.

### FLT 3.11.53–3.11.57 (Intentionally open)

## Approach and Landing

### FLT 3.11.58

The Operator shall have guidance and procedures that enable the flight crew to determine the conditions required to commence or continue an approach to a landing, to include, as a minimum:

- (i) Crew qualification requirements;
- (ii) Onboard equipment requirements;

- (iii) Ground based equipment requirements;
- (iv) Operating minima.

## Auditor Actions

- ❑ **Identified/Assessed** OM requirements/information/guidance/procedures that enables flight crew to determine conditions required to commence/continue an approach to landing (focus: flight crew procedures/requirements for commencing/continuing approach to landing).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Observed** line flight and flight simulator operations (focus: determination of conditions for approach/landing).
- ❑ **Other Actions** (Specify)

❑

### FLT 3.11.59

The Operator shall have a stabilized approach policy that is approved or accepted by the Authority and has associated guidance, criteria, and procedures to ensure the ongoing conduct of stabilized approaches. Such policy shall include:

- (i) Criteria defining the stabilized condition, to include:
  - (a) Aircraft configuration requirements specific to each aircraft type;
  - (b) Checklist completion requirements;
  - (c) Speed and thrust limitations;
  - (d) Vertical speed limitations;
  - (e) Acceptable vertical and lateral displacement from the normal approach path.
- (ii) Required minimum height(s) AAL to achieve stabilization criteria:
  - (a) Not lower than 1000 ft. for approaches in IMC or not lower than 500 ft. for approaches in IMC as designated by the operator and/or State where a lower stabilization height is operationally required, and a minimum stabilization height not lower than 500 ft. for approaches in VMC; or
  - (b) Not lower than specific stabilization heights defined by the Operator and supported by a safety risk assessment in accordance with [Table 2.9](#) demonstrating acceptable risk for each defined height that is lower than any applicable height(s) specified in (ii) (a).
- (iii) A requirement to abandon an approach or go around in accordance with its go-around policy as defined in [FLT 3.11.60](#) unless stabilization criteria are met at the relevant heights specified in (ii) and can be maintained until touchdown;
- (iv) A requirement that deviations from stabilized approach criteria must be pre-planned and require special briefings for designated unique approaches and/or abnormal conditions;
- (v) A description of the duties and responsibilities of the PF and PM including countermeasures to human error. **(GM)**

**Note:** The stabilized approach policy and associated implementation shall be subjected to the Operator's safety risk management (SRM) processes and safety performance monitoring to ensure an acceptable level of safety risk is achieved and maintained.

## Auditor Actions

- ❑ **Identified/Assessed** OM policy/guidance/procedures for the conduct of a stabilized approach (focus: flight crew procedures/definition of criteria for stabilized approach).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** safety risk assessments and data associated with Operator-specified AAL, as applicable.
- ❑ **Examined** selected output from FDA/FDM/FOQA program (if applicable) (focus: data that indicates status of fleet stabilized approach performance).
- ❑ **Examined** relevant safety objectives including SPIs/SPTs (focus: proactive measures in place for identifying and preventing unstabilized approaches).



- ❑ **Observed** line flight and flight simulator operations (focus: stabilized approach).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Flight Data Analysis (FDA) Program.

The specifications of this provision are directly related to the prevention of controlled flight into terrain (CFIT), Loss of Control In-flight (LOC-I), and runway-related incidents/accidents.

The intent of this provision is for the operator to implement a stabilized approach policy, as well as have guidance, criteria and procedures that ensure the maintenance of the intended lateral and vertical flight path during approaches, including visual approaches and/or as depicted in published approach procedures, without excessive maneuvering. Such policy also typically provides guidance for bracketing and correcting deviations during the approach to ensure the aircraft will always be at the proper speed over the runway threshold and in a position to land in the touchdown zone.

Monitoring of stabilized approach performance through SMS in accordance with the Note is required for all operators and may be accomplished using FDA or through other reporting systems.

One or more minimum stabilization heights AAL as specified in (ii) may be established for the criteria defined in (i) (e.g., landing configuration may be required at 1,000 feet AAL while approach speed or vertical speed limitations may be required at 500 feet AAL). Selection of heights may also vary depending on aircraft type and operational characteristics (e.g., turbojet vs. turboprop). Finally, some Operators may choose not to distinguish between VMC and IMC approaches using one set of stabilization heights and associated criteria for both.

The criteria defining the stabilized condition are listed in item i) of the provision and are considered at the 1000 ft. AAL and 500 ft. gates as specified in item ii) a). Alternatively, the operator may specify stabilization heights appropriate to its operation as specified in item ii) b).

Operator stabilized approach policy and associated implementation is subject to SRM processes and safety performance monitoring. Operator-defined minimum stabilization heights which are lower than those specified in (ii) (a) require the conduct of a specific safety risk assessment in accordance with [FLT 1.12.2](#) demonstrating an acceptable risk level for each defined height.

Refer to [Table 2.9](#) for factors related to the consistent conduct of stabilized approaches that would be taken into account by the operator's SRM processes (including required SRAs).

An operator conforming to item ii) a), in accordance with operational requirements approved or accepted by the Authority, to establish stabilization criteria for heights lower than 1000 ft. AAL, but no lower than 500 ft. AAL (IMC or VMC), for approaches designated by the operator and/or State where:

- Lower minimum approach stabilization heights are authorized for turbo-propeller aircraft operations (e.g., 500 feet AAL on VMC/IMC approaches), **and/or**
- Maneuvering at a lower height AAL is required to meet instrument or other charted approach constraints (e.g., RNAV/RNP approaches, circling approaches and charted visual approaches), **and/or**
- Aircraft are required to comply with ATC speed constraints on final approach, **and/or**
- Deviations from selected approach stabilization criteria at a height lower than 1000 feet AAL, are operationally required, and the operator can demonstrate pilot adherence to its stabilized approach policy via a continually monitored, managed and active flight data analysis (FDA) program. These criteria used also typically address the maneuvering that may be required in accordance with a charted visual or instrument approach procedure.

The specifications in item (v) address:

- Timely and effective PF briefings;
- PM stabilized approach criteria deviation callouts and compliance checks;
- PF/PM actions in the event of destabilization below stabilization height, to include monitoring by the PM for possible excessive deviations from flight path, airspeed, vertical speed, pitch or bank during the approach, during the transition from approach to landing and during flare and touchdown;

- As applicable, the role of additional flight crew members on the flight deck (e.g., augmented crew members).
- The Threat and Error Management (TEM) countermeasures to keep threats, errors, and undesired aircraft states from reducing margins of safety in flight operations. Examples of countermeasures include CRM training, SOPs, checklists, briefings, callouts, and other means that assist the flight crew in managing human error.
- OEM aircraft-specific descent and approach profiles can provide helpful guidance for flight crews to achieve a stabilized approach.
- An operator, in accordance with requirements of the Authority and consistent with OEM guidance, typically develops a stabilized approach policy, guidance, criteria and procedures based on one or more of the following source references:
- Global Action Plan for the Prevention of Runway Excursions Coordinated by EUROCONTROL and the Flight Safety Foundation – January 2021;
- Flight Safety Foundation Reducing the Risk of Runway Excursions – Report of the Runway Safety Initiative – May 2009;
- Flight Safety Foundation Runway Excursion Risk Awareness Tool;
- Federal Aviation Administration Advisory Circular – AC No. 91-79A – Change 2;
- Federal Aviation Administration - Runway Excursions Support Tool;
- European Action Plan for the Prevention of Runway Excursions (EAPPRE) Edition 1.0;
- ICAO Runway Safety Programme – Global Runway Safety Action Plan First Edition, November 2017;
- IATA/IFALPA/IFATCA/CANSO Unstable Approaches: Risk Mitigation Policies, Procedures and Best Practices, 3rd Edition;
- IATA Runway Safety Accident Analysis Report 2010-2014;
- Any equivalent reference document approved or accepted by the Authority for the development of flight crew guidance related to the prevention of unstable approaches and runway excursions.

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## FLT 3.11.60

The Operator shall have a go-around policy with associated procedures and guidance to ensure flight crews discontinue or go around from an approach or landing in accordance with criteria established by the Operator. Such policy, procedures and guidance shall, as a minimum, address or define:

- (i) Management support for flight crew decision making to discontinue an approach or execute a go-around;
- (ii) Criteria that require a flight crew to discontinue or go around from an approach or landing (prior to the selection of reverse thrust) including when the aircraft is not stabilized in accordance with [FLT 3.11.59](#);
- (iii) The go-around maneuver;
- (iv) Duties and responsibilities of the PF and PM. **(GM)**

△

### Auditor Actions

- ☐ **Identified/Assessed** OM policy/requirements for execution of a missed approach/go-around when approach not stabilized in accordance with established criteria (focus: flight crew guidance/procedures for execution of a missed approach/go-around).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected output from FDA/FDM/FOQA program (if applicable) (focus: data that indicates fleet status of missed approach/go-around from unstabilized approach).
- ☐ **Examined** (as applicable) relevant safety objectives including SPIs/SPTs (focus: proactive measures in place for identifying, assessing and addressing potential/actual go-arounds and discontinued approaches).

- ❑ **Observed** line flight and flight simulator operations (focus: flight crew awareness of/preparation for factors that could lead to a go-around or discontinued approach).
- ❑ **Other Actions** (Specify)



## Guidance

The specifications of this provision are directly related to the prevention of approach and landing accidents (ALAs) such as CFIT and runway excursions.

The intent of this provision is to reduce the risk of ALAs by ensuring the flight crew will always discontinue or go around from an approach or landing (prior to the selection of reverse thrust) when a safe landing cannot be assured (e.g. aircraft not stabilized in accordance with criteria established by the operator) or a go-around is otherwise required (e.g. when instructed by ATC)

The specification in item (i) is intended to foster a culture that supports flight crew go-around decision making. It is typically expressed by senior management in a manner that:

- Promotes the go-around as a normal procedure;
- Encourages go-around preparedness and considers the risk of the go-around maneuver itself;
- Empowers the PM (or the SIC) to call for a go-around at any time during approach and landing until the selection of reverse thrust;
- Ensures that go-around decision making does not affect the PIC's emergency authority in the event of (impending) abnormal or emergency situations;
- Does not inhibit flight crew reporting of go-around related events.

The criteria referred to in item (ii), which would require a go-around or discontinuation of an approach, typically include:

- The specifications for a stable approach defined in accordance with [FLT 3.11.59](#) are not met at the relevant approach gate(s) or can no longer be maintained until touchdown.
- The visibility or ceiling is below the minimum required for the type of approach at the specified gates (e.g. outer marker, 1,000' AAL or at minimums).
- The appropriate visual references are not obtained or are lost at or below MDA (or minimum descent height) or DA (or decision height) and through flare and touchdown by either pilot.
- Prior to touchdown the wind is above the operational or pre-determined wind limit, or the runway status is below the limit determined by the flight crew's landing performance assessment.
- Technical defects or failures occur during approach that might inhibit a safe continuation of approach, landing or go-around.
- Doubts by either pilot about the aircraft's geographic or spatial position.
- Confusion by either pilot about the use or behavior of the automation.
- It is foreseeable that the go-around routing and path will not be sufficiently clear of adverse weather or restricting traffic.
- If instructed by ATC.
- If required for type-specific reasons as outlined in the respective AOM.
- If required by special considerations associated with a CAT II/III operation.

**Note:** in establishing criteria for discontinuing or going around from an approach, consideration would be given to installed equipment (e.g. GPWS, automated callouts) and flight crew procedures to ensure a timely go-around decision can be made.

The specification in item (iii) refers to the aircraft type-specific maneuver(s) for go around from a visual approach, an instrument approach or a landing prior to the selection of reverse thrust (i.e. rejected landing).

The specification in item (iv) typically addresses:

- Timely and effective PF briefings.

- PF/PNF consideration of all relevant aircraft performance guidance and data in accordance with [FLT 4.1.1](#) and [FLT 4.1.2](#).
- PM stabilized approach criteria deviation callouts and compliance checks.
- PF and/or PM go-around callouts and subsequent execution of the go-around maneuver.
- PF/PM go-around-related memory items.
- PM actions in the event of (subtle) PF incapacitation or delayed response to a go-around callout.
- PF/PM actions in the event of destabilization below stabilization height including PM monitoring for possible excessive deviations from flight path, speed, vertical speed, pitch or bank during the approach, during the transition from approach to landing and during flare and touchdown.
- As applicable, the role of additional flight crew members on the flight deck (e.g., augmented crew members).

To support SRM activities an operator would typically:

- Include and monitor aircraft parameters related to CFIT and runway excursions in their flight data analysis (FDA) program in accordance with provisions in ORG sub-section [3.3](#).
- Monitor go-around policy compliance through their FDA program and establish go-around safety performance indicators (SPIs). In addition to monitoring go-arounds, aircraft operators would also monitor discontinued approaches.
- Include unstable approaches followed by a landing as a reporting event by the flight crew.
- Minimize the need for the flight crew to report a go-around due to an unstable approach unless there is another significant event associated with the go-around (e.g. flap overspeed, altitude deviation).

An operator, in accordance with requirements of the Authority and consistent with OEM guidance, typically develops a go-around policy, guidance, criteria and procedures based on one or more of the following source references:

- Global Action Plan for the Prevention of Runway Excursions Coordinated by EUROCONTROL and the Flight Safety Foundation – January 2021;
- Flight Safety Foundation Go-Around Decision-Making and Execution Project Final Report March 2017;
- Flight Safety Foundation Reducing the Risk of Runway Excursions – Report of the Runway Safety Initiative – May 2009;
- IATA/IFALPA/IFATCA/CANSO Unstable Approaches: Risk Mitigation Policies, Procedures and Best Practices, 3<sup>rd</sup> Edition.
- BEA Study on Aeroplane State Awareness during Go-Around – August 2013

Any equivalent reference document approved or accepted by the Authority for the development of flight crew guidance related to the establishment of go-around policy and the prevention of unstable approaches and runway excursions.

## FLT 3.11.61

The Operator shall have a policy and procedures to ensure the flight crew maneuvers the aircraft so as to touchdown within the touchdown zone or other defined portion of the runway, as specified by the Operator or the Authority. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policy/procedures for landing aircraft in the defined touchdown zone (focus: flight crew guidance/procedures for landing aircraft in touchdown zone).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected output from FDA/FDM/FOQA program (if applicable) (focus: data that indicates fleet status of landings in the defined touchdown zone).
- ☐ **Observed** line flight and flight simulator operations (focus: landing in touchdown zone).

- ☐ **Other Actions** (Specify)

### Guidance

The specifications of this provision are directly related to the prevention of runway excursions. The definition of the touchdown zone could vary, depending on the operator.

### FLT 3.11.62

The Operator shall have a policy and procedures to ensure the flight crew will not continue an instrument approach to land at any airport beyond a point at which the limits of the operating minima specified for the approach in use would be infringed. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policy/procedures that address continuation of an instrument approach to landing beyond limits of specified operating minima (focus: flight crew requirement/procedures for maintaining adherence to operating minima).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: adherence to approach/landing operating minima).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure a transition to the missed approach is initiated at a designated point or height AAL that prevents infringing on the operating minima specified for the approach.

The standard specifies actions required from the flight crew when reaching the limit of the approach, (i.e. when reaching the DA(H) or MDA(H) or equivalent).

### FLT 3.11.63

The Operator shall have a policy and procedures to ensure the flight crew will not continue an instrument approach beyond a designated point in the approach unless reported meteorological conditions, including visibility or controlling RVR, are equal to or above those specified for the approach in use. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policy/procedures that address required meteorological conditions for continuation of an instrument approach beyond a designated point (focus: flight crew requirement/procedures for determining/adhering to allowable meteorological conditions for approach continuation).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: adherence to approach/landing operating minima).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Approach Ban Point.

Designated points in the approach can be defined by the operator or applicable authority (e.g. initial approach fix, final approach fix, outer marker, approach ban point, established on final approach segment, a specified distance to touchdown, a specified height AAL).

Applicable authorities include those authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

### FLT 3.11.64

The Operator shall have guidance and procedures for the acceptance of a clearance for a visual approach and the conduct of a visual approach.

**Auditor Actions**

- ☐ **Identified/Assessed** OM guidance/procedures for acceptance of clearance and conduct of a visual approach (focus: flight crew requirements/procedures for accepting/conducting a visual approach).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: visual approach operations).
- ☐ **Other Actions** (Specify)

**FLT 3.11.65**

The Operator shall have guidance, criteria, and procedures for the acceptance of a clearance for a non-ILS (including non-precision) approach and the conduct of such approach, to include:

- (i) Minimum weather conditions and visibility required to continue an approach;
- (ii) Operating conditions that require a missed approach to be initiated;
- (iii) Circling approach minima;
- (iv) Approach-related duties of the PF and PM. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** OM guidance/procedures/criteria for acceptance of clearance and conduct of a non-ILS approach (focus: flight crew procedures/definition of criteria for accepting/conducting a non-ILS approach).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: non-ILS approach operations).
- ☐ **Other Actions** (Specify)

**Guidance**

The term Pilot Monitoring (PM) has the same meaning as the term Pilot Not Flying (PNF) for the purpose of applying the specifications of this provision.

**FLT 3.11.66**

The Operator shall have a policy and procedures that require and ensure the proper use of a stabilized constant descent profile during the final segment of a non-ILS (including non-precision) approach. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** OM policy/procedures for conduct of stabilized constant descent profile for final segment of non-ILS approach (focus: flight crew procedures/use of descent profile for conduct of final segment of non-ILS approach).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: non-ILS approach operations; final segment profile).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure, to the extent reasonably practicable, the use of a stabilized constant descent profile inside the Final Approach Fix (FAF). It does not, however, preclude the definition of altitude gates such as Visual Descent Point (VDP) or level segments between the FAF and the runway where such constraints are deemed necessary and reflected in approach design.



Constant descent profiles during the final segment of an approach might be accomplished by various means to include:

- Vertical Navigation (VNAV);
- Flight Path Angle (FPA);
- Constant Path Angle (CPA);
- Constant Angle Non-Precision Approaches (CANPA);
- Other methods that provide a stabilized constant path angle for the final segment of a non-ILS approach.

### FLT 3.11.67

The Operator shall have guidance, criteria and procedures for the acceptance of a clearance for an ILS approach and the conduct of any authorized ILS approach, to include:

- (i) Minimum meteorological conditions, including the visibility required to continue an approach;
- (ii) Operating conditions that require a missed approach to be initiated. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures/criteria for acceptance of clearance and conduct of an ILS approach (focus: flight crew procedures/definition of criteria for accepting/conducting an ILS approach).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: ILS approach operations).
- ☐ **Other Actions** (Specify)

#### Guidance

The specifications of the provision refer to ILS approaches authorized by the AOC (e.g. CAT I, II, III).

### FLT 3.11.68A

The Operator shall have a policy and/or procedures that require the flight crew to assess landing performance prior to arrival at the destination or alternate airport in order to determine that sufficient landing distance exists for a landing to be accomplished with an adequate safety margin:

- (i) On the runway of intended use;
- (ii) In the conditions existing at the estimated time of arrival (ETA);
- (iii) In the aircraft configuration and with the means of deceleration that will be used for the landing. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance for determination of landing distance with adequate safety margin on runway of intended use (focus: flight crew procedures for assessing relevant factors/computing runway landing distance at expected ETA).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: assessment of factors, computation of landing distance).
- ☐ **Other Actions** (Specify)

#### Guidance

The specifications of this provision are directly related to the prevention of runway excursions.

The intent of this provision is for an operator to require a landing performance assessment under conditions distinct from those presumed at time of dispatch. Such an assessment ensures adequate landing performance under the conditions existing at the ETA, and when necessary enables the flight crew to make the determination that a landing cannot be accomplished with an appropriate safety margin.

This provision is not intended to preclude the flight crew from determining the absolute landing capability of the aircraft during emergencies or abnormal configurations. In these circumstances, the



pilot must calculate and know the actual landing performance capability of the aircraft (without an added safety margin).

An appropriate safety margin may be defined by the operator or the Authority and can be expressed as a fixed distance increment or a percentage increase beyond the actual landing distance required.

Factors that may affect landing performance include, but are not limited to:

- Runway contaminants;
- Runway cutback or reduced runway available;
- Environmental conditions at the ETA (crosswind, tailwind, wind gusts, rain, etc.);
- Aircraft equipment outages;
- Flight control malfunctions, engine failures, or other non-normal/emergency events that may affect landing distance;
- Flap setting to be used;
- The use of manual vs. autobrakes (if available);
- The use of manual vs. auto speed brakes (if available);
- The use/availability of reverse thrust;
- The use of automatic approach and landing (if available);
- Any other event or contingency that degrades stopping ability or increases landing distance under the conditions present at the ETA.

## FLT 3.11.68B

The Operator shall have a policy and procedures to ensure an approach is not continued below 300 m (1 000 ft) AAL unless the PIC is satisfied that, with the runway surface condition information available, the aircraft landing performance assessment in accordance with [FLT 3.11.68A](#) indicates that a safe landing can be made. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** policy/procedures for discontinuing an approach if the runway surface condition would prevent a safe landing.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: flight crew discontinuing the approach based on the runway surface condition information).
- ☐ **Other Actions** (Specify)

### Guidance

This specifications of this provision are directly related to the prevention of runway excursions.

Refer to the guidance associated with [FLT 3.11.68A](#) for factors that can affect landing performance.

## FLT 3.11.69

If the Operator is authorized to conduct circling approaches, the Operator shall have guidance and procedures to ensure the proper conduct of such approaches. Such guidance and procedures shall address, as a minimum:

- (i) Operating limitations and minima;
- (ii) Stabilization criteria and go-around requirements in accordance with [FLT 3.11.59](#) and [FLT 3.11.60](#), respectively;
- (iii) Obstacle clearance requirements. **(GM)**

### Auditor Actions

- ☐ **Identified** authorization to conduct circling approaches.
- ☐ **Identified/Assessed** OM requirements/guidance/procedures for conduct of circling approaches (focus: flight crew procedures/definition of criteria for conducting a circling approach).
- ☐ **Interviewed** responsible manager(s) in flight operations.



- ☐ **Observed** line flight and flight simulator operations (focus: circling approach operations).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Circling Approach, PANS-OPS and TERPS.

△ The specifications of this provision are directly related to the prevention of Controlled Flight into Terrain (CFIT), Loss of control in Flight (LOC) and runway excursions.

The intent of this provision is for the operator to provide guidance and procedures in the OM or other controlled document in order to manage or mitigate potential risks related to the conduct of circling approaches. Circling approaches may require maneuvering at low airspeeds in marginal weather at or near the minimum descent altitude/height (MDA/H) as established by the state in which an airport is located.

☐ Circling approach guidance procedures and associated implementation are subjected to the Operator's safety risk management (SRM) processes and safety performance monitoring.

Guidance and procedures related to circling approaches typically address the following:

- The meteorological conditions (e.g. visibility, and if applicable, ceiling) required for commencement/continuation of circling;
- Approach category to be used or the maximum speed to be attained throughout the circling maneuver;
- Aircraft configuration at various stages of a circling approach;
- The use of flight control systems and automation to assist in the positioning of the aircraft during the approach procedure;
- Required visual references with the runway or runway environment required to descend below the MDA/H;
- The prohibition of descent below MDA/H until obstacle clearance can be maintained, the landing runway threshold has been identified and the aircraft is in a position to continue with a normal rate of descent and land within the touchdown zone;
- Stabilized approach criteria in accordance with [FLT 3.11.59](#);
- Go-around requirements in accordance with [FLT 3.11.60](#);
- The missed approach procedure;
- The size of the containment area based on the criteria used to design the approach and ensure obstacle clearance (e.g., PANS-OPS, TERPs).

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A side-step maneuver that culminates in a straight-in instrument procedure is not considered a circling approach, and thus is not addressed by this provision.

## 3.12 Flight Deck Policy and Procedures

### FLT 3.12.1

The operator shall have a corrective lenses policy that addresses the need for flight crew members, who are required to use corrective lenses, to have a spare set of corrective lenses readily available. (GM)

## Auditor Actions

- ☐ **Identified/Assessed** policy/requirement for flight crew members that require use of corrective lenses to have a spare set readily available (focus: flight crew requirement for availability of spare corrective lenses).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Other Actions** (Specify)

**Guidance**

Corrective lens requirements are typically listed on a medical certificate or license issued by the State.

**FLT 3.12.2**

The Operator shall have a policy that requires flight crew members to keep their seat belts fastened when at their assigned stations and:

- (i) Those flight crew members occupying a pilot's seat to keep their safety harnesses (shoulder straps and seat belts) fastened during the takeoff and landing phases of flight;
- (ii) Other flight crew members to keep their safety harnesses fastened during the takeoff and landing phases of flight, unless the shoulder straps interfere with the performance of duties, in which case the shoulder straps may be unfastened but the seat belts shall remain fastened.

**Auditor Actions**

- ☐ **Identified/Assessed** OM policy/requirements for flight crew use of seat belts/safety harnesses when at their assigned stations (focus: definition of requirements for flight crew members to have seat belts/safety harness fastened).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: compliance with seat belt/safety harness requirements).
- ☐ **Other Actions** (Specify)

**FLT 3.12.3**

The Operator shall have a policy and procedures to ensure, during flight, when a pilot transfers control of the aircraft or leaves the flight deck, a minimum of one pilot continuously maintains:

- (i) Unobstructed access to the flight controls;
- (ii) Alertness and situational awareness. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** OM policy/procedures for that ensure active aircraft control by one pilot flight crew member in all situations (focus: flight crew procedures applicable to transfer of aircraft control/absence of one pilot crew member from flight deck).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: aircraft transfer of control procedures).
- ☐ **Other Actions** (Specify)

**Guidance**

The specifications of this provision refer to the transfer of control that occurs during en route crew changes or in conjunction with a pilot leaving the flight deck in the performance of duties or to meet physiological needs.

**FLT 3.12.4**

The Operator shall have a policy and procedures to ensure flight crew members are only permitted to leave their duty stations during flight in the performance of duties or to meet physiological needs. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** OM policy/procedures that address flight crew members leaving duty stations during flight (focus: requirement that flight crew member may leave duty station only for performance of duties/physiological needs).
- ☐ **Interviewed** responsible manager(s) in flight operations.

- ☐ **Observed** line flight operations (focus: crew members leaving duty station).
- ☐ **Other Actions** (Specify)

### Guidance

The specifications of this provision do not apply to crew changes that occur in conjunction with relief and/or augmented crews.

### FLT 3.12.5

The Operator shall have a policy and procedures to ensure pilot flight crew members do not vacate an aircraft control seat below 10,000 feet (AAL) for the purposes of transferring duties to another pilot flight crew member. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policy/procedures that prohibit pilot flight crew members from leaving aircraft control seat below 10,000 ft for the purpose of transferring duties to another pilot flight crew member (focus: requirement that vacating control seat for transfer of duties must occur above 10,000 ft).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: flight crew members transfer of duties).
- ☐ **Other Actions** (Specify)

### Guidance

The specifications of this provision refer to the transfer of duties associated with augmented crews or crews with multiple pilot flight crew members.

### FLT 3.12.6

The Operator *should* have guidance published or referenced in the OM that addresses runway excursions, to include a description of the policies, processes, procedures, and flight crew actions necessary to prevent, or reduce the risk of a runway excursion occurring during takeoff or landing. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance for runway excursion prevention/risk reduction during taxi/takeoff/landing phases of flight (focus: definition of flight crew duties/responsibilities/procedures/actions for runway excursion prevention/risk reduction).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected output from FDA program (if applicable) (focus: data that indicates efficacy of fleet runway excursion mitigation).
- ☐ **Observed** line flight and flight simulator operations (focus: runway excursion prevention/risk reduction).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure the Operator provides flight crews with guidance to identify risks associated with runway excursions and strategies to mitigate those risks. Mitigations that address the factors or combination of factors that could pose a higher risk of a runway excursion typically include the following, as applicable:

- Identification of critical runways and the definition of critical runway operations;
- Definition and implementation of runway excursion prevention training;
- Use of relevant aircraft onboard equipment to prevent runway excursions (e.g., HGS, EVS, SVS or CVS and, if available, ROAAS and runway veer off awareness and alerting systems);
- Definition and consistent use of: CRM, TEM, standard operating procedures, briefings, standard call-outs, and PF/PNF monitoring duties;

- Acquisition – via data-link systems, if feasible – of the latest weather, wind, and runway surface condition reports;
- Non-acceptance of ATC practices, procedures and/or clearances that have the potential to decrease safety margins and/or prevent adherence to published approach procedures or stabilized approach policy (e.g., late runway changes);
- Reporting to operator SMS and ANSPs of ATC practices, procedures and/or clearances that have the potential to decrease safety margins;
- Definition of crosswind/tailwind takeoff and landing limitations applicable under various conditions (e.g. contaminated runway operations);
- Use of relevant aircraft takeoff and landing techniques under varying conditions (e.g., crosswind takeoff and landing, touch down, use of all stopping devices including reverse thrust, recovery from hard and bounced landings and change of control during landing roll out;
- Definition of takeoff policies or procedures, which address lining up on the correct runway, accepting line-up, takeoff or backtrack clearances and rolling take-offs,
- Accurate completion of: aircraft performance calculations, mass and balance calculations, FMC data input and flight crew crosscheck before takeoff, landing and in the event of a runway change, as applicable;
- Definition of and consistent adherence to critical operating policies and procedures including: RTO, stabilized approach, go-around, contaminated runway and any other critical operating policies or procedures that, if improperly executed, could pose a greater risk of an excursion;
- In-flight assessments of: landing performance, policy/procedures for landing in the touchdown zone;
- Appropriate runway and approach type selection considering weather, runway condition, inoperable equipment, and visibility;
- Appropriate use of all stopping devices including reverse thrust under varying conditions (e.g. contaminated runway operations);

Additional risks and mitigations may result from the application of safety risk assessment and mitigation program in accordance with [FLT 1.12.2](#). To support SRM activities an operator would typically include and monitor aircraft parameters related to potential runway excursions in their flight data analysis (FDA) program. Operators would also consider using observational procedures (e.g. Line Operations Safety Audits) to identify runway excursion safety risks precursors and best practices that cannot be captured by safety reporting or flight data analysis/monitoring.

ISARPs in this section with applicable runway excursion mitigations contain a sentence in related GM (e.g., “The specifications in this provision are related to the prevention of runway excursions.”)

An operator, in accordance with requirements of the Authority, typically develops flight crew guidance.

- Related to the prevention of runway excursions based on one or more of the following source references;
- Global Action Plan for the Prevention of Runway Excursions (GAPPRE), coordinated by EUROCONTROL and the Flight Safety Foundation – January 2021;
- Flight Safety Foundation Reducing the Risk of Runway Excursions – Report of the Runway Safety Initiative – May 2009;
- Flight Safety Foundation Runway Excursion Risk Awareness Tool;
- Federal Aviation Administration Advisory Circular, AC No. 91-79A;
- Federal Aviation Administration - Runway Excursions Support Tool;
- European Action Plan for the Prevention of Runway Excursions (EAPPRE) Edition 1.0;
- ICAO Runway Safety Programme – Global Runway Safety Action Plan First Edition, November 2017;
- IATA Runway Safety Accident Analysis Report 2010-2014;

- Any equivalent reference document approved or accepted by the Authority for the development of flight crew guidance related to the prevention of runway excursions.

### FLT 3.12.7

The Operator shall have guidance published or referenced in the OM that addresses runway incursions, to include a description of the policies, processes, procedures and flight actions necessary to prevent or reduce the risk of a runway incursion occurring during taxi, takeoff, and landing. Such guidance shall include:

- (i) Instructions for the maintenance of situational awareness by the flight crew while operating in the airport environment, on the ground and in the air, to ensure an awareness of the aircraft position relative to the airport surface;
- (ii) Operating policies and procedures for use during periods when there is a high risk of an incursion;
- (iii) Specific instructions for the use of onboard equipment and aircraft lighting as a means to mitigate the risk of an incursion;
- (iv) The identification, in documentation available to the flight crew, of areas on the airport surface that could pose a higher risk of an incursion;
- (v) Specific reduced visibility and relevant LVO policies and procedures that minimize the risk of an incursion. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM guidance for runway incursion prevention/risk reduction during taxi/takeoff/landing phases of flight (focus: definition of flight crew duties/responsibilities/procedures/actions for runway incursion prevention/risk reduction).
- ☐ **Examined** selected output from FDA program (if applicable): (focus: data that indicates efficacy of fleet runway incursion mitigation).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: runway incursion prevention/risk reduction).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Runway Incursion.

The intent of this provision is to ensure an operator provides flight crews with guidance to identify risks associated with runway incursions and strategies to mitigate those risks. Mitigation strategies would address the factors or combination of factors that could pose a higher risk of a runway incursion occurring during taxi, takeoff and landing.

Other ISARPs in this section with applicable runway incursion mitigations contain a sentence in related GM (e.g. “The specifications in this provision are related to the prevention of runway incursions”).

Additional risks and mitigations may result from the application of a safety risk assessment and mitigation program in accordance with [FLT 1.12.2](#). To support SRM activities, an operator would typically include and monitor aircraft parameters related to potential runway incursions in their flight data analysis (FDA) program. Operators would also consider using observational procedures (e.g., Line Operations Safety Audits) to identify runway incursion safety risks precursors and best practices that cannot be captured by safety reporting or flight data analysis/monitoring.

It is also the intent of this provision for an operator to ensure the OM incorporates an error mitigation strategy for reducing the risk of a runway incursion occurring during taxi, takeoff, and landing. Such error mitigation strategy would address each of the elements specified in this provision.

The specification in item i) refers to instructions that typically address:

- Specific methods used by the flight crew to maintain situational awareness in order to prevent or minimize the risks of runway incursions;



- The use of all available resources (heading indicators, airport diagrams, airport signs, markings lighting and air traffic control) to keep an aircraft on its assigned flight and/or taxi route;
- Reference to the airport diagram and airport signage;
- Taxi progress monitoring and/or verbal call-outs after taxiway passage;
- The development and/or discussion of a pre-taxi plan and taxi route briefing;
- The transcription of complex ATC taxi instructions;
- Not stopping on a runway and, if possible, taxiing off an active runway and then initiating communications with ATC to regain orientation;
- Visually clearing the final approach path prior to taxiing into the takeoff position on the runway.

The specification in item ii) refers to operating policies and procedures that typically address:

- Managing flight crew workload prior to takeoff and before landing;
- Procedures for deferring administrative tasks until non-critical phases of flight;
- Identifying checklist items that must be re-accomplished in the event of a runway change;
- Maintaining a “Sterile Flight Deck”;
- The use of standard R/T phraseology;
- Clearance read-back and confirmation of changes;
- Monitoring clearances given to other aircraft;
- Obtaining directions or progressive taxi instructions when taxi route in doubt;
- Takeoff and landing runway verification and crosscheck;
- Takeoff and landing clearance verification;
- Questioning clearances when holding or lined up in position for takeoff on the runway, and takeoff clearance has not been received within a specified period of time.

The specification in item iii) refers to instructions that typically address:

- Use of aircraft of lighting during taxi, runway crossing, takeoff, and landing;
- Appropriate transponder use at airports with ground surveillance radar;
- Appropriate use of TCAS when on the runway and holding in the takeoff position (e.g. center mode on Navigation Display to display traffic on final approach).

The specification in item iv) refers to areas on the airport that could be identified through:

- Delineation of potential incursion areas or points (e.g. hot spots) on airport diagrams;
- Use of operator data collection programs to identify potential incursion areas in other documentation available to the flight crew;
- The presence of Land and Hold Short Operations (LAHSO).

The specification in item v) refers to the provision of reduced visibility and relevant LVO policies and procedures, regardless of LVO authorization, such as:

- Methods for maintaining situational awareness at night and during times of reduced visibility;
- A recommendation that checklists be suspended or delayed until the aircraft is stopped;
- If authorized for LVO, methods for maintaining situational awareness during LVO;
- If authorized for LVO, CAT II/III Surface Movement Guidance System (SMGS) procedures.

An operator, in accordance with requirements of the Authority, typically develops flight crew guidance related to the prevention of runway incursions based on one or more of the following source references:

- ICAO Document 9870, Manual on the Prevention of Runway Incursions;
- European Action Plan for the Prevention of Runway Incursions (EAPPRI), Edition 1.0;
- FAA Advisory Circular AC No: 120–74B;



- Runway Safety; A Pilot's Guide to Safe Surface Operations, published by FAA Air Traffic Organization (ATO), Office of Safety Services;
- Communications; A key Component of Safe Surface Operations, published by FAA Air Traffic Organization (ATO), Office of Safety Services;
- Any equivalent reference document approved or accepted by the Authority for the development of flight crew guidance related to the prevention of runway incursions.

## 3.13 Flight Deck, Passenger Cabin, Supernumerary Compartment Coordination

### FLT 3.13.1 (Intentionally open)

#### FLT 3.13.2

The Operator shall have guidance that defines persons authorized to use flight deck jump seat(s). Such guidance shall, if applicable, be in accordance with the requirements of the Authority.

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance that addresses persons authorized to occupy the flight deck jump seat (focus: definition of authorized persons; compliance with regulations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: flight deck jump seat occupancy).
- ☐ **Other Actions** (Specify)

#### FLT 3.13.3

If the Operator conducts passenger flights with cabin crew, the Operator shall have procedures for communication and coordination between the flight crew and the cabin crew to ensure a combined and coordinated process in addressing:

- (i) Passenger safety information;
- (ii) Cabin readiness prior to first aircraft movement, takeoff and landing;
- (iii) If applicable, arming or disarming of cabin door slides;
- (iv) Preparation for an encounter with turbulence;
- (v) Flight or cabin crew member incapacitation;
- (vi) Emergency evacuation;
- (vii) Abnormal situations;
- (viii) Emergency situations. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM procedures for flight/cabin crew communication/coordination in addressing situations that require combined/coordinated action (focus: procedures for flight/cabin crew communication/coordination; definition of situations that require combined/coordinated action).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with cabin operations (focus: complementary procedures for communication/coordination).
- ☐ **Observed** line flight operations (focus: flight/cabin crew communication/coordination).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the Guidance associated with [CAB 3.3.3](#) located in ISM Section 5.

Communication and coordination may be verbal or accomplished by an alternative means (e.g. chimes, lights).

Cabin crew coordination briefings could include security issues, aircraft technical issues affecting cabin service, en route weather, use of seat-belt sign, meal service.

Procedures defining communication/coordination could be part of specific non-normal/emergency procedures.

First aircraft movement as specified in item ii) is defined as pushback, powerback and/or taxi.

The operator may specify a non-communication period during critical phases of flight (e.g. during takeoff roll or during landing).

Refer to [FLT 3.13.4](#) for operations that do not use cabin crew members.

The term “abnormal” is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term “emergency” used alone refers to declarations and non-AOM procedures.

## FLT 3.13.4

If the Operator transports passengers and/or supernumeraries in the passenger cabin or supernumerary compartment without cabin crew, the Operator shall have guidance and procedures for communication by the flight crew with, as applicable, passengers and/or supernumeraries to address:

- (i) The dissemination of passenger/supernumerary safety information;
- (ii) Restrictions pertaining to onboard smoking;
- (iii) Compliance with the Fasten Seat Belt sign and, if applicable, the No Smoking sign;
- (iv) Cabin or supernumerary compartment readiness prior to first aircraft movement, takeoff and landing;
- (v) If applicable, the arming or disarming of door slides;
- (vi) Preparation for and an encounter with turbulence;
- (vii) Medical situations;
- (viii) Emergency evacuation;
- (ix) Abnormal situations;
- (x) Verification that baggage is stowed;
- (xi) If applicable, information relevant to cargo being transported in the passenger cabin;
- (xii) If applicable, verification that the 9G rigid barrier or 9G cargo net is secured. **(GM)**

**Note:** *The specifications of this provision are applicable to commercial and/or non-commercial operations.*

## Auditor Actions

- ☐ **Identified/Assessed** OM procedures for flight crew communication with passengers/supernumeraries when there is no cabin crew (focus: procedures for flight crew communication with passengers/supernumeraries; definition of situations that require flight crew communication).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: flight crew communication with passengers/supernumeraries).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Cargo Restraint System, which addresses the 9G cargo net and 9G rigid barrier/bulkhead.

The intent of this provision is to ensure communication and coordination with passengers, and/or supernumeraries to address relevant safety subjects (e.g., sterile flight deck, security, aircraft technical issues, flight crew incapacitation, cabin depressurization, onboard fire, emergency evacuation, forced landing, ditching, etc.)

Item (xi) refers to communication with appropriately qualified supernumeraries on an aircraft that is transporting cargo in the passenger cabin, without passengers.

The specification in item iii) refers to appropriate communication from the flight crew to address the arming and disarming of door slides, if installed.

The term “abnormal” is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term “emergency” used alone refers to declarations and non-AOM procedures.

### FLT 3.13.5

If the Operator conducts passenger flights with cabin crew, the Operator *should* have a policy and procedures that define and specify the requirements for standard verbiage, terminology, signals and/or verbal commands used for communication between flight crew and cabin crew during normal, abnormal and emergency situations. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM policy/procedures that address standardized communications between flight/cabin crew in normal/abnormal/emergency situations (focus: definition of standard verbiage/terminology/signals/verbal commands for flight/cabin crew communication).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with cabin operations (focus: complementary verbiage/terminology/signals/verbal commands for cabin/flight crew communication).
- ☐ **Observed** line flight and flight simulator operations (focus: standardized flight/cabin crew communication).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure communication between flight crew and cabin crew during abnormal and emergency situations is conducted using standardized methods of communication identified and defined in documentation available to applicable crew members.

Examples of such situations include:

- Cabin depressurization;
- Severe turbulence;
- Emergency evacuation;
- “Before impact” notification (forced/emergency landing or ditching);
- Crew member incapacitation;
- Unlawful interference.

The term “abnormal” is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term “emergency” used alone refers to declarations and non-AOM procedures.

#### FLT 3.13.6

If the Operator transports passengers and/or supernumeraries, the Operator shall have a policy and/or procedures that provides for announcements to, as applicable, passengers and/or supernumeraries by either the flight crew or cabin crew to address matters related to safety, including turbulence and abnormal and emergency situations. **(GM)**

**Note:** *The specifications of this provision are applicable to commercial and/or non-commercial operations.*

#### Auditor Actions

- ☐ **Identified/Assessed** OM policy/procedure for announcements to passengers/supernumeraries to address safety matters (focus: procedure for flight/cabin crew safety announcements; definition of situations that require safety announcements).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with cabin operations (focus: complementary procedure for safety announcements).
- ☐ **Observed** line flight operations (focus: flight/cabin crew safety announcements).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure passengers and/or supernumeraries are made aware of matters related to safety.

The term “abnormal” is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term “emergency” used alone refers to declarations and non-AOM procedures.

#### FLT 3.13.7 (Intentionally open)

#### FLT 3.13.8

If the Operator transports passengers and/or supernumeraries, the Operator shall have procedures that ensure the preparation of the cabin or supernumerary compartment prior to takeoff and landing, and provide for notification to, as applicable, passengers and/or supernumeraries by either the flight crew or cabin crew:

- (i) To prepare for takeoff;
- (ii) When in the descent phase of flight;
- (iii) To prepare for landing. **(GM)**

**Note:** *The specifications of this provision are applicable to commercial and/or non-commercial operations.*

#### Auditor Actions

- ☐ **Identified/Assessed** OM procedures for preparation of cabin/supernumerary compartment and notification to passengers/supernumeraries prior to takeoff/landing (focus: flight/cabin crew procedures for cabin/supernumerary compartment preparation; definition of situations that require flight/cabin crew notification).

- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with cabin operations (focus: complementary procedures for compartment preparation/notifications).
- ☐ **Observed** line flight operations (focus: flight/cabin crew notification prior to takeoff/landing).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure cabin or supernumerary compartment readiness under the conditions specified. Additionally, the provision requires that all applicable personnel are notified when in the specified phases of flight.

If cabin crew members are not used, preparation of the cabin prior to takeoff and landing would normally require the flight crew to verify certain conditions are in effect. Items checked by the flight crew will vary according to aircraft type and equipment carried, but might typically include:

- Passenger seat belts fastened;
- Tray tables and seat backs in a stowed and upright position;
- Cabin baggage and other carry-on items secure in designated areas;
- As applicable, in-flight entertainment system viewing screens off and stowed;
- Galleys and associated equipment stowed or restrained.

### FLT 3.13.9

If the Operator carries cargo on the same deck as the flight deck and/or supernumerary compartment, the Operator shall have procedures to ensure the cargo restraint system and, if applicable, smoke barrier are closed/secured for:

- (i) Taxi operations;
- (ii) Takeoff;
- (iii) Landing. **(GM)**

**Note:** The specifications of this provision are also applicable to procedures for ensuring cargo restraint is secured on an aircraft that is being used to transport cargo in the passenger cabin, without passengers.

### Auditor Actions

- ☐ **Identified/Assessed** OM procedures for ensuring the 9G restraint system and smoke barrier are secured for the specified phases of flight.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: procedures implemented to ensure cargo restraint system and, if applicable, smoke barrier are secured).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Cargo Restraint System and Smoke Barrier.

### FLT 3.13.10 (Intentionally open)

### FLT 3.13.11

If the Operator conducts cargo and/or passenger flights without cabin crew, the Operator shall have flight crew procedures for:

- (i) Opening and closing of aircraft cabin access doors;
- (ii) As applicable, arming and disarming of door systems equipped with an automatic slide or slide/raft deployment system. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** OM procedures for cabin access door operations (focus: procedures address opening/closing and, if applicable, arming/disarming of cabin access doors in conjunction with [GRH 3.2.5](#) and, as applicable [CAB 4.2.1](#)).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: flight crew procedures for opening/closing and arming/disarming of cabin access doors).
- ☐ **Other Actions** (Specify)

**Guidance**

This standard addresses procedures for the normal, abnormal and emergency operation of cabin access doors by the flight crew. This includes door systems that are designed to deploy a slide or slide/raft for emergency evacuation if the door is opened with the system in the armed mode. Such systems are typically armed once the door has been closed for flight and disarmed at the end of a flight and prior to the door being opened for passenger and/or crew deplaning. Depending on the type of aircraft and door system, the pack that contains the slide or slide/raft might be mounted in the door itself, or might be mounted in the fuselage, tail cone or other location.

Procedures would be designed to address and mitigate safety hazards such as fall from height, entrapment and personnel injury that could occur during door operation.

**FLT 3.13.12**

If the Operator transports passengers and/or supernumeraries, without cabin crew, the Operator shall have flight crew procedures that ensure, as applicable, passengers and/or supernumeraries have ready access to emergency oxygen. **(GM)**

**Note:** The specifications of this provision are applicable to commercial and/or non-commercial operations.

**Auditor Actions**

- ☐ **Identified/Assessed** OM procedures that address passenger/supernumerary ready access to emergency oxygen (focus: flight crew procedures for ensuring access to oxygen).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: flight crew procedures for ensuring passenger/supernumerary access to oxygen).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure passengers and/or supernumeraries are made aware of matters related to safety.

**FLT 3.13.13**

If the Operator transports passengers and/or supernumeraries, without cabin crew, the Operator shall have flight crew procedures that ensure, as applicable, passengers and/or supernumeraries are seated with their seat belts (or, as available, harness or other restraint) fastened:

- (i) During the taxi phases of a flight;
- (ii) During the takeoff and landing phases of flight;
- (iii) Prior to and/or during turbulence;
- (iv) During an emergency situation, if considered necessary. **(GM)**

**Note:** The specifications of this provision are applicable to commercial and/or non-commercial operations.

**Auditor Actions**

- ☐ **Identified/Assessed** OM procedures for ensuring passengers/supernumeraries are seated with seat belts/safety harness/other restraint device fastened for defined situations/phases of flight



(focus: flight crew procedures for ensuring passengers/supernumeraries are seated/restrained; definition of situations/phases of flight that require seating/restraint).

- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Observed** line flight operations (focus: passengers/supernumeraries seated/restrained).
- ❑ **Other Actions** (Specify)

## Guidance

The intent of this provision is to ensure passengers and/or supernumeraries are made aware of matters related to safety.

### FLT 3.13.14

If the Operator transports supernumeraries in the passenger cabin or cargo compartment, the Operator shall have guidance and procedures to ensure:

- (i) All seats in the cargo compartment are considered emergency exit row seats;
- (ii) Supernumeraries meet applicable requirements and restrictions.

## Auditor Actions

- ❑ **Identified/Assessed** OM guidance/requirements/procedures for transport of supernumeraries in passenger cabin/cargo compartment (focus: requirement/procedure for all cargo compartment seats to be treated the same as emergency exit row seats; definition of requirements/restrictions that must be met by supernumeraries).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Observed** line flight operations (focus: procedures for transport of passengers/supernumeraries).
- ❑ **Other Actions** (Specify)

### FLT 3.13.15 (Intentionally open)

### FLT 3.13.16

If the Operator uses aircraft equipped with a flight deck door, the Operator shall have policies and/or procedures that are in accordance with the requirements of the Authority and, as a minimum, define:

- (i) When the flight deck door must remain locked;
- (ii) If the Operator conducts passenger flights with cabin crew, the means used and actions necessary for cabin crew members to:
  - (a) Notify the flight crew in the event of suspicious activity or security breaches in the cabin;
  - (b) Gain entry to the flight deck. **(GM)**

## Auditor Actions

- ❑ **Identified/Assessed** OM policies/procedures that address flight deck security (focus: requirements for door being locked/unlocked; methods for cabin crew to provide security notifications; process for cabin crew entry to flight deck).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Coordinated** with cabin operations (focus: complementary procedures for security communication/flight deck entry).
- ❑ **Observed** line flight operations (focus: flight deck door operation; cabin crew entry).
- ❑ **Other Actions** (Specify)

## Guidance

The principal intent of this provision is to ensure the security of the flight deck by providing the flight crew and cabin crew with complementary policies and/or procedures for use when a lockable flight deck door is installed. Such policies and/or procedures define the means used and actions necessary to address the specifications of this provision.



Policies and/or procedures related to flight deck security may be considered sensitive information and provided to relevant personnel in a manner that protects the content from unnecessary disclosure.

## FLT 3.13.17

If the Operator uses aircraft equipped with an approved flight deck door as specified in (MNT) Table 4.11 (xxvi) (c) (d) and/or Table 4.14 (v), the Operator shall provide guidance, procedures and instructions for the use of such door by the flight crew to ensure the security of the flight deck. Such guidance shall include, as a minimum, the procedural means by which the crew:

- (i) Prevents access to the flight deck by unauthorized personnel;
- (ii) Identifies authorized personnel requesting entry into the flight deck. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policies/procedures that address flight deck security (focus: requirements/procedures for flight crew use of door; procedures for identification of persons requesting flight deck entry).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with cabin operations (focus: complementary procedures for gaining flight deck entry).
- ☐ **Observed** line flight operations (focus: flight deck door operation; identification of persons requesting entry).
- ☐ **Other Actions** (Specify)

### Guidance

The principal intent of this provision is to ensure the security of the flight deck by providing the flight crew with appropriate guidance, procedures and instructions for use when a reinforced flight deck door is installed, regardless of the aircraft configuration (passenger, cargo, combi).

Guidance, procedures and instructions related to flight deck security are considered sensitive information and are normally provided to relevant personnel in a manner that protects the content from unnecessary disclosure.

Tables 4.11 and 4.14 in ISM Section 4 (MNT) contain specifications related to requirements and recommendations for the installation of reinforced flight deck doors. This provision, however, contains specifications only related to the use of such doors when installed.

## FLT 3.13.18

If the Operator conducts international passenger flights using aircraft equipped with an approved flight deck door as specified in (MNT) Table 4.11 (xxvi) (c) (d) and/or Table 4.14 (v), the Operator shall have procedures to:

- (i) Ensure the flight deck door is closed and locked from the time of engine start or commencement of pushback until engines are shut down or any external aircraft door is opened for disembarkation except when necessary to permit access or egress by authorized persons;
- (ii) Monitor, using visual or procedural means, the entire area outside the flight deck door to identify persons requesting entry and to detect suspicious behavior or potential threat. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policies/procedures that address flight deck security (focus: requirements for door being locked/unlocked; procedures for monitoring area outside door).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: door locked/unlocked; monitoring area outside door).
- ☐ **Other Actions** (Specify)

## Guidance

The principal intent of this provision is to ensure the security of the flight deck by providing the flight crew with appropriate procedures for use when a reinforced flight deck door is installed.

Procedures related to flight deck security may be considered sensitive information and provided to relevant personnel in a manner that protects the content from unnecessary disclosure.

For monitoring the area outside the flight deck door, a closed-circuit television (CCTV) system is an acceptable method of conformance. However, a CCTV system is not required in order to conform to this provision. Implementation of other procedural methods in accordance with applicable regulations is also considered acceptable.

Any means used by an operator for such monitoring ensures that the cabin area outside the flight deck door, and any persons that might be in that area, would be identifiable to the extent necessary to meet the requirements of this standard.

### FLT 3.13.19

If the Operator conducts passenger operations and does not use a flight deck door, the Operator shall have measures in place to ensure unauthorized persons are prevented from entering the flight deck. (GM)

## Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures that address flight deck security (focus: measures/procedures for flight deck entry control/prevention).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: prevention of unauthorized flight deck entry).
- ☐ **Other Actions** (Specify)

## Guidance

The principal intent of this provision is to ensure the security of the flight deck, and refers specifically to aircraft that:

- Do not have a flight deck door, or
- Are equipped with flight deck door that cannot be locked, or
- Are equipped with a smoke barrier.

Measures referred to in this provision are in place to address the potential for *unauthorized personnel* to gain entry to the flight deck or gain access to the control seats and/or flight controls. Such measures may include, but are not limited to:

- Defining authorized personnel (e.g. jump-seat occupants, supernumeraries);
- Authorizing personnel for flight deck access;
- Airline Security programs (as defined by the authority);
- Briefings, announcements, placards;
- Any other measure designed to ensure unauthorized personnel are not permitted access to the flight deck, control seats, or flight controls.

## 3.14 Non-Normal/Abnormal and Emergency Operations

### FLT 3.14.1 (Intentionally open)

### FLT 3.14.2

The Operator shall have a policy that prohibits the in-flight simulation of emergencies while passengers and/or cargo are being transported on board the aircraft.

## Auditor Actions

- ☐ **Identified/Assessed** OM policy that prohibits in-flight simulated emergencies with passengers/cargo on board the aircraft.
- ☐ **Interviewed** responsible manager(s) in flight operations.

- ❑ **Examined** training/qualification program for instructors/evaluators/line check airmen (focus: prohibition of in-flight simulated emergencies with passengers/cargo on board the aircraft).
- ❑ **Other Actions** (Specify)

## FLT 3.14.3

The Operator shall have a policy and guidance that defines the execution of abnormal/non-normal and emergency procedures and that ensures a crosscheck and verbal confirmation by two flight crew members (dual response) occurs before the actuation of any critical aircraft system controls. Such guidance shall identify critical systems, as defined by the OEM, and address, as a minimum:

- (i) Engine thrust levers;
- (ii) Fuel master or control switches;
- (iii) Engine fire handles or switches;
- (iv) Engine fire extinguisher discharge switches (if not automatically armed in conjunction with the associated fire handle or switch);
- (v) IDG/CSD disconnect switch. **(GM)**

## Auditor Actions

- ❑ **Identified/Assessed** OM policy/guidance that addresses execution of abnormal/non-normal/emergency procedures (focus: procedures for dual flight crew crosscheck/verbal confirmation prior to actuation of critical aircraft system controls; definition of critical aircraft systems).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Observed** line flight and flight simulator operations (focus: execution of abnormal/non-normal/emergency procedures).
- ❑ **Other Actions** (Specify)

## Guidance

The intent of this provision is to ensure the operator's policy and guidance defines how abnormal/non-normal and emergency procedures are executed, and additionally ensures that the critical actions taken during the execution of such procedures are crosschecked and verbally confirmed by at least two flight crew members. Such critical actions are defined by the OEM and typically addressed in operating policy and guidance associated with the use of abnormal/non-normal and emergency checklists. This does not preclude, however, an OEM or operator from procedurally addressing critical actions in the checklists themselves.

The specification in item iv) need only be addressed if required by the OEM when the arming of a fire extinguisher discharge switch (or button) is not linked to the actuation of the associated fire handle or switch.

The term "abnormal" is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms "normal" and "non-normal/emergency" typically refer to AOM checklists, procedures and/or maneuvers. The term "non-normal" includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term "emergency" used alone refers to declarations and non-AOM procedures.

## FLT 3.14.4

If the Operator conducts passenger flights with cabin crew, the Operator shall have procedures in accordance with [FLT 3.11.18](#), applicable to each aircraft type, that specify the flight and cabin crew member functions and actions to be executed during a situation requiring an emergency evacuation.

### Auditor Actions

- ☐ **Identified/Assessed** OM procedures for aircraft emergency evacuation (focus: procedures for each aircraft type; definition of flight/cabin crew member functions/actions during emergency evacuation; procedures include sharing/prioritization of tasks).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with cabin operations (focus: complementary procedures for emergency evacuation).
- ☐ **Observed** line flight and flight simulator operations (focus: flight/cabin crew emergency evacuation procedures).
- ☐ **Other Actions** (Specify)

#### FLT 3.14.5

If the Operator transports passengers and/or supernumeraries, without cabin crew, the Operator shall have procedures that are applicable to each aircraft type and:

- (i) Specify flight crew functions and actions to be executed during an emergency evacuation;
- (ii) Address, as applicable, passengers and/or supernumeraries.

**Note:** The specifications of this provision are applicable to flight crew members used on board an aircraft during commercial and/or non-commercial operations.

### Auditor Actions

- ☐ **Identified/Assessed** OM procedures for aircraft emergency evacuation (focus: procedures for each aircraft type; definition of flight crew member functions/actions during emergency evacuation; procedures for treatment of passengers/supernumeraries).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: flight crew emergency evacuation procedures).
- ☐ **Other Actions** (Specify)

#### FLT 3.14.6

The Operator shall have policies and procedures in accordance with [FLT 3.11.18](#), applicable to each aircraft type, that are to be applied during a situation requiring a rejected takeoff and address the operational considerations for low speed and high speed rejected takeoffs.

### Auditor Actions

- ☐ **Identified/Assessed** OM policies/procedures that address rejected takeoff (focus: procedures for each aircraft type; definition of considerations associated with low/high speed rejected takeoff; procedures include flight crew sharing/prioritization of tasks).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: rejected takeoff procedures/considerations).
- ☐ **Other Actions** (Specify)

#### FLT 3.14.7

The Operator shall have policies and associated procedures in accordance with [FLT 3.11.18](#), applicable to each aircraft type, that are to be applied when an engine failure or fire occurs after V1.

### Auditor Actions

- ☐ **Identified/Assessed** OM policies/procedures that address engine fire/failure after V1 (focus: procedures for each aircraft type; flight crew procedures that address engine fire/failure after takeoff; procedures include flight crew sharing/prioritization of tasks).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: engine fire/failure after V1 procedures).
- ☐ **Other Actions** (Specify)

## FLT 3.14.8

The Operator shall have policies and procedures in accordance with [FLT 3.11.18](#), applicable to each aircraft type, that are to be applied when a TCAS/ACAS resolution advisory (RA) is displayed by onboard equipment. Such guidance shall, as a minimum:

- (i) Specify a TCAS escape maneuver;
- (ii) Require flight crews to follow a TCAS RA guidance even if it conflicts with ATC instructions.

### Auditor Actions

- ☐ **Identified/Assessed** OM policies/procedures that address reaction to display of TCAS/ACAS resolution advisory (RA) (focus: procedures for each aircraft type; requirement for flight crew to follow TCAS/ACAS guidance; definition of/procedure for TCAS/ACAS escape maneuver; procedures include flight crew sharing/prioritization of tasks).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: TCAS/ACAS RA procedures).
- ☐ **Other Actions** (Specify)

## FLT 3.14.9

The Operator shall have policies and procedures in accordance with [FLT 3.11.18](#), applicable to each aircraft type, that are applied during a GPWS or other terrain avoidance alert provided by onboard equipment. Such guidance shall, as a minimum, define a CFIT escape maneuver as an aggressive pitch up maneuver that maximizes the performance of the aircraft. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policies/procedures that address reaction to GPWS/terrain avoidance alert/warning (focus: procedures for each aircraft type; definition of/procedure for aggressive pitch-up escape maneuver; procedures include flight crew sharing/prioritization of tasks).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: GPWS/terrain alert/warning procedures).
- ☐ **Other Actions** (Specify)

### Guidance

The specifications in this provision are directly related to the prevention of CFIT.

## FLT 3.14.10

The Operator shall have procedures in accordance with [FLT 3.11.18](#), applicable to each aircraft type that are to be applied in the event of an emergency descent.

### Auditor Actions

- ☐ **Identified/Assessed** OM procedures that address emergency descent (focus: procedures for each aircraft type; definition of/procedure for emergency descent maneuver; procedures include flight crew sharing/prioritization of tasks).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: emergency descent procedure).
- ☐ **Other Actions** (Specify)

## FLT 3.14.11

The Operator shall have guidance and procedures that address abnormal and/or emergency communication, to include the:

- (i) Appropriate use of "PAN PAN" and/or "MAYDAY;"
- (ii) Actions to be taken in the event of a complete radio failure (lost communication);
- (iii) Interception protocol for civil aircraft intercepted by military aircraft, to include a description of visual signals used by intercepting and intercepted aircraft. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures that address communications during abnormal/emergency situations (focus: definition of communication terminology; procedures for radio failure/lost communication; protocols for intercept by military aircraft).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: abnormal/emergency communication procedures).
- ☐ **Other Actions** (Specify)

## Guidance

The term “abnormal” is used to describe a condition or situation (e.g. abnormal airframe vibration, abnormal landing configuration).

The terms “normal” and “non-normal/emergency” typically refer to AOM checklists, procedures and/or maneuvers. The term “non-normal” includes AOM emergency checklists and/or procedures (i.e. an emergency procedure is a subset of non-normal).

The terms can also be used to describe an event, situation or operation that would be addressed by normal or non-normal/emergency procedures or checklists. When used in this manner, the terms may be separated by forward slash marks (e.g. normal/non-normal/emergency).

The term “emergency” used alone refers to declarations and non-AOM procedures.

### FLT 3.14.12

The Operator shall have procedures in accordance with [FLT 3.11.18](#) that are to be applied by the flight crew in the event of a medical emergency on board the aircraft. If a cabin crew is used, such procedures shall also address cabin crew duties and ensure flight deck-to-cabin communication and coordination occurs in accordance with [FLT 3.13.3](#).

## Auditor Actions

- ☐ **Identified/Assessed** OM procedures that address onboard medical emergencies (focus: procedures include flight/cabin crew communication/coordination, flight crew sharing/prioritization of tasks).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with cabin operations (focus: complementary procedures for onboard medical emergency).
- ☐ **Observed** line flight operations (focus: medical emergency procedures).
- ☐ **Other Actions** (Specify)

### FLT 3.14.13

The Operator shall have procedures in accordance with [FLT 3.11.18](#) that are to be applied by the flight crew in the event of flight crew member incapacitation on board the aircraft. If a cabin crew is used, such procedures shall also address cabin crew duties and ensure flight deck-to-cabin communication and coordination occurs in accordance with [FLT 3.13.3](#).

## Auditor Actions

- ☐ **Identified/Assessed** OM procedures that address flight crew incapacitation (focus: procedures include flight/cabin crew communication/coordination, flight crew sharing/prioritization of tasks).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with cabin operations (focus: complementary procedures for flight crew incapacitation).
- ☐ **Observed** line flight and flight simulator operations (focus: flight crew incapacitation).
- ☐ **Other Actions** (Specify)



**FLT 3.14.14**

The Operator shall have guidance and procedures that ensure the proper reset of circuit breakers after a system malfunction or trip. Such guidance shall, as a minimum, specify when and how often tripped circuit breakers may be reset.

**Auditor Actions**

- ☐ **Identified/Assessed** OM guidance/procedures that address reset of circuit breakers after system malfunction/trip (focus: procedures define when/how often tripped circuit breakers may be reset).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: circuit breaker re-set procedures).
- ☐ **Other Actions** (Specify)

**FLT 3.14.15**

The Operator shall have an in-flight fuel management policy that requires the PIC to request air traffic delay information from ATC when unanticipated circumstances may result in landing at the destination airport with less than *either*:

- (i) The final reserve fuel plus any fuel required to proceed to an alternate airport, *or*
- (ii) The fuel required to operate to an isolated airport. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** OM policy/procedures for in-flight fuel management (focus: flight crew procedures for monitoring en route fuel usage/identifying trends; requirement for flight crew to request airport delay information when trend indicates landing with less than final reserve plus alternate fuel, or isolated airport fuel).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: in-flight fuel management procedures).
- ☐ **Other Action** (Specify)

**Guidance**

Refer to the IRM for the definition of Fuel (Flight Planning), which includes the definition of Final Reserve Fuel.

The intent of this provision is to ensure an operator defines the conditions that require the PIC to request air traffic delay information from ATC. Such operator policy is typically part of the overall in-flight fuel management strategy to ensure planned reserves are used as intended or required. It also typifies the beginning of a process that could ultimately preclude a landing with less than final reserve fuel on board.

It should be noted that the request for air traffic delay information is a procedural means for the flight crew to determine an appropriate course of action when confronted with unanticipated delays. There is no specific phraseology recommended for use in this type of communication with ATC as each situation may be very different.

Guidance on in-flight fuel management and requesting delay information from ATC is contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

**FLT 3.14.16**

The Operator shall have an in-flight fuel management policy that requires the PIC to advise ATC of a minimum fuel state:

- (i) When, having committed to land at a specific airport, the PIC calculates that any change to the existing clearance to that airport may result in landing with less than planned final reserve fuel;
- (ii) By declaring "MINIMUM FUEL." **(GM)**



### Auditor Actions

- ☐ **Identified/Assessed** OM policy/procedures for in-flight fuel management (focus: flight crew procedures for monitoring en route fuel usage/identifying trends; requirement for flight crew to declare minimum fuel when minimum fuel for landing at destination airport might be less than planned final reserve fuel).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: in-flight fuel management procedures).
- ☐ **Other** Action (Specify)

### Guidance

The intent of a “MINIMUM FUEL” declaration is to inform ATC that the flight has committed to land at a specific airport and any change to the existing clearance may result in landing with less than planned final reserve fuel. This is not an emergency situation, but rather an indication that an emergency situation is possible should any additional delay occur.

Guidance on in-flight fuel management, including minimum fuel declarations, is contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

### FLT 3.14.17

The Operator shall have an in-flight fuel management policy that requires the PIC to declare a situation of fuel emergency:

- (i) When the calculated usable fuel predicted to be available upon landing at the nearest airport where a safe landing can be made is less than the planned final reserve fuel;
- (ii) By declaring “MAYDAY, MAYDAY, MAYDAY, FUEL.” **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policy/procedures for in-flight fuel management (focus: flight crew procedures for monitoring en route fuel usage/identifying trends; requirement for flight crew to declare an emergency when minimum fuel for landing at nearest airport is calculated to be less than planned final reserve fuel).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: in-flight fuel management procedures).
- ☐ **Other** Action (Specify)

### Guidance

The intent of this provision is to specify the last procedural step in a series of steps to ensure the safe completion of a flight. The “MAYDAY, MAYDAY, MAYDAY, FUEL” declaration provides the clearest and most urgent expression of an emergency situation brought about by insufficient usable fuel remaining to protect the planned final reserve. It communicates that immediate action must be taken by the PIC and the air traffic control authority to ensure that the aircraft can land as soon as possible. It is used when all opportunities to protect final reserve fuel have been exploited and in the judgment of the PIC, the flight will now land with less than final reserve fuel remaining in the tanks. The word fuel is used as part of the declaration simply to convey the exact nature of the emergency to ATC.

Guidance on in-flight fuel management including emergency fuel declarations is contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## 3.15 Flight Crew Reporting Requirements

**FLT 3.15.1** (Intentionally open)

### FLT 3.15.2

The Operator shall have a policy that requires the PIC to report any hazardous flight condition to the appropriate ATC facility without delay. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** policy for flight crew ATC hazard reporting (focus: flight crew procedures for reporting occurrences that could potentially have adverse effect on safety of flight operations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected flight crew members.
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure hazards with the potential to pose safety risks to the reporting aircraft or flight operations are appropriately identified and reported to the applicable ATS unit as soon as possible. Such required reports are typically defined by the State or applicable authorities and may include types of hazards as described in the following table.

Generic Hazard	Report Description
Meteorological Conditions	Un-forecast or severe weather, icing, wind shear, severe turbulence
Geophysical Events	Volcanic ash observed or encountered
Security Breaches	Air Piracy or other hostile acts that threaten the safety of the aircraft or its passengers
Wildlife	Birds or large animals in the vicinity of the airport or runways
Facilities and Infrastructure	Inadequacy of navigational facilities or undesirable navigational aid performance or other irregularity in navigational or ground facilities
Aircraft Performance	Unable to accept or maintain RVSM and reason (e.g. turbulence, mountain wave, wake turbulence, etc.), loss of navigational capability
Lasers	Illumination activities, events or exposure
Dangerous Goods	Dangerous goods on board the aircraft in the case of an in-flight emergency and for the information of airport authorities.
GPS Anomalies	Locations of GPS interference/jamming

**Note:** Previously promulgated hazard information (e.g., via NOTAM) would not typically require additional reporting by the PIC.

### FLT 3.15.3

The Operator shall have a policy that assigns responsibility to the PIC for notifying the nearest authority, by the quickest available means, of any accident or serious incident resulting in injury, death, or substantial aircraft damage. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** policy for flight crew accident/incident reporting (focus: flight crew responsibility/procedures for reporting accidents/serious incidents to the nearest authority by the quickest available means).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected flight crew members.
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure the appropriate authority in the state where an event occurred and any other organization required by such state are expeditiously informed of any accident or serious incident resulting in injury, death, or substantial aircraft damage. Such authority and organization(s) are typically defined in the applicable Aeronautical Information Publication (AIP) and may refer to one or more entities including but not limited to local law enforcement agencies, emergency service providers, the Civil Aviation Authority (CAA) and related air accident branches, safety bureaus or boards (e.g., NTSB).

The PIC, if able, typically reports an applicable event to the operator who then forwards it to the appropriate authority and other relevant organization(s).

#### FLT 3.15.4

The Operator shall have a policy that assigns responsibility to the PIC for:

- (i) Notifying the appropriate local authority without delay in the event of any emergency situation that necessitated action in violation of local regulations and/or procedures;
- (ii) Submitting, if required by the state of occurrence, a report to the appropriate local authority and also to the Authority of the State of the Operator. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** policy for flight crew emergency action reporting (focus: flight crew responsibility/procedures for reporting to the appropriate authorities any emergency situation that necessitated action in violation of local regulations and/or procedures).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected flight crew members.
- ☐ **Other Actions** (Specify)

### Guidance

The intent of item (i) is to ensure the appropriate authority, as specified in local instructions, is notified when an in-flight emergency requires the PIC to deviate from a local rule or procedure to the extent required to meet that emergency. Such notifications are typically made through the appropriate air traffic services (ATS) unit and involve a deviation from an assigned clearance or instrument procedure.

The intent of item (ii) is to ensure required occurrence/incident reporting takes place in accordance with local regulations or procedures. This includes reports submitted to the ATS unit concerned for occurrences/incidents specifically related to the provision of air traffic services.

#### FLT 3.15.5

The Operator shall have a policy that requires the PIC to report the runway braking action special air-report (AIREP) when the runway braking action encountered is not as good as reported. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** OM policy for runway braking action reporting by the flight crew.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight and flight simulator operations (focus: flight crew reporting of the runway braking action).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Air-report (AIREP).

Refer to ICAO PANS-ATM (Doc 4444), Chapter 4 and Appendix 1, for reporting instructions and guidance that addresses special air-reports regarding runway braking action and the format for transmitting such reports by voice or data link.

Refer to ICAO Circular 355 AN/211 for ATS actions when receiving AIREPs concerning braking action that is not as good as that reported.

## 4 Operations Engineering Specifications

### 4.1 Aircraft Performance

#### FLT 4.1.1

The Operator shall have a process, performed by Operations Engineering, to determine and maintain guidance, procedures and performance data in the OM, applicable to each aircraft type, for applicable departure, destination and alternate airports. Such guidance and data shall enable the flight crew to determine or compute:

- (i) Maximum structural weights (taxi, takeoff, landing);
- (ii) Takeoff performance (accelerate - stop, close-in obstacles) that also ensures charting accuracy is accounted for, when necessary, in assessing takeoff performance in the event of a critical power unit failing at any point in the takeoff;
- (iii) Maximum brake energy and minimum cooling time;
- (iv) Climb performance (distant obstacles);
- (v) Landing performance (minimum landing distance, go-around). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures/data for flight crew calculation of aircraft performance for taxi/takeoff/climb/landing at departure/destination/alternate airports (focus: performance data provided for all aircraft types; OM contains performance data as specified in standard).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected operations engineering personnel (focus: process for development of OM performance information/data).
- ☐ **Observed** line flight operations (focus: use of taxi/takeoff/climb/landing performance information/data).
- ☐ **Other Actions** (Specify)

#### Guidance

The specifications in this provision are related to the prevention of CFIT and runway excursions.

The intent is to ensure the operator has a process or processes to obtain or determine the specified performance data for use by flight crew. Such process(s) also address the maintenance and publication of guidance, procedures, and performance data in the OM.

Data may be tailored for airports of intended use (e.g. runway analysis).

The specifications in items ii) and v) may necessitate the inclusion of guidance and/or patterns to be followed in case of engine failure during takeoff, approach and go-around.

Tailored data is not always available for emergency alternate airports.

#### FLT 4.1.2

The Operator shall have a process, performed by Operations Engineering, to determine and maintain guidance, data and procedures in the OM, applicable to each aircraft type, that enable the flight crew to determine and/or compute aircraft performance for all phases of flight. Such guidance and data shall ensure the flight crew considers all relevant factors affecting aircraft performance, to include:

- (i) Aircraft weight (mass);
- (ii) Operating procedures;
- (iii) Pressure altitude appropriate to the airport elevation;
- (iv) Temperature;
- (v) Wind;
- (vi) Runway gradient (slope);
- (vii) Runway surface condition at the expected time of use;

- (viii) Obstacle data;
- (ix) NOTAMs (including airport NOTAMs);
- (x) As applicable, MEL/CDL information;
- (xi) Aircraft configuration (wing flap setting);
- (xii) Anti-ice usage and, when applicable, ice accretion;
- (xiii) As applicable, runway length used for aircraft alignment prior to takeoff;
- (xiv) As applicable, fuel freeze considerations during extended operations. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** OM guidance/procedures/data for flight crew calculation of aircraft performance for all phases of flight (focus: performance data provided for all aircraft types; OM guidance/data incorporates relevant factors/limitations as specified in standard).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected operations engineering personnel (focus: process for development of OM performance information/data).
- ☐ **Observed** line flight operations (focus: determination of relevant factors affecting aircraft performance).
- ☐ **Other Actions** (Specify)

## Guidance

The specifications in this provision are related to the prevention of CFIT, runway excursions and in-flight loss of control.

The intent is to ensure the operator has a process or processes to obtain or determine the specified performance data for use by flight crew. Such process(es) also address the maintenance and publication of guidance, procedures, and performance data in the OM.

The specification in item vii) could be defined by a specific contaminant type/depth (e.g. snow, slush, water, ice) or an equivalent braking action report.

The specifications in xiii) refers to a determination of the length of the runway available, taking into account the loss, if any, of runway length due to alignment of the aircraft prior to takeoff.

The specifications in xiv) apply to considerations regarding the use of standard fuel freeze temperatures, fuel temperature analysis and en route fuel temperature monitoring for the specific fuels used in operations. Such considerations allow the flight crew to determine the actual fuel freeze temperature during extended operations (e.g. polar operations) in order to prevent in-flight freezing of fuel.

### FLT 4.1.3

The Operator shall have a process, performed by Operations Engineering, to determine and maintain guidance, data and procedures in the OM, applicable to each aircraft type, that enable the flight crew to determine and/or compute en route aircraft engine-out performance. Such guidance, data and procedures shall include, as a minimum, aircraft engine-out:

- (i) Service ceiling;
- (ii) Drift down altitudes, as well as specific guidance and procedures that assure terrain clearance along the route to the destination airport or to an en route alternate airport. **(GM)**

## Auditor Actions

- ☐ **Identified** OM guidance/procedures/data for flight crew calculation of en route aircraft engine-out performance (focus: performance data provided for all aircraft types; OM contains engine-out performance data as specified in standard).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected operations engineering personnel (focus: process for development of OM performance information/data).

- ☐ **Observed** line flight operations (focus: use of en route engine-out performance information/data).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is to ensure an operator has a process or processes to obtain or determine the specified performance data for use by flight crew. Such process(es) also address the maintenance and publication of guidance, procedures, and performance data in the OM.

The specification in item ii) refers to those areas where adequate terrain clearance cannot be assured at the engine-out service ceiling of the aircraft without following specific guidance and procedures for drift down.

## FLT 4.1.4

The Operator *should* provide operating instructions, applicable to each aircraft type, that enable the PIC to determine if the required all-engine climb performance can be achieved during the departure phase of flight under the existing conditions. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** OM instructions/data for use by flight crew to determine/achieve safe all-engine departure climb performance (focus: performance data provided for all aircraft types).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Observed** line flight operations (focus: use of all-engine climb performance information/data).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is for the operator to provide instructions for the PIC to determine if all engine takeoff and departure climb performance is adequate for the planned operation under the existing conditions. Such instructions typically contain one or more of the following elements:

- Assurances that automated performance and flight planning systems account for minimum takeoff and departure path climb performance;
- Tailored (e.g. Jeppesen) takeoff performance charts that assure aircraft meet all-engine minimum climb performance requirements;
- Aircraft manufacturer climb performance charts and instructions for their use;
- A requirement for the PIC to monitor and adjust vertical speed to maintain minimum climb performance);
- Specific thrust and/or flight control configuration settings to exceed the minimum climb performance at airports requiring different climb performance due to terrain, traffic or other considerations.

In the absence of manufacturer all-engine climb performance data, the specifications of this provision may be satisfied if the operator provides:

- Guidance that enables the PIC to determine that the aircraft climb performance, in the event of a critical power unit failure at any point in the takeoff, is sufficient to meet ATC or obstacle clearance constraints (e.g. minimum vertical speed required to meet climb performance specified in a SID), or
- Instructions for the PIC to use FMC predicted altitude information for the purpose of determining all-engine climb performance, or
- Instructions for the PIC to monitor and adjust vertical speed as necessary to comply with the departure path.

If available from the manufacturer, the operator would normally include all-engine takeoff climb performance information or guidance for calculations in the documentation carried on board the aircraft for each flight.



## 4.2 Navigation and Facilities

### FLT 4.2.1 (Intentionally open)

### FLT 4.2.2

The Operator shall have a process, performed by Operations Engineering, to ensure completion of an analysis that addresses relevant operational factors prior to operating over any new route or into any new airport. Such analysis shall take into account:

- (i) Obstacle clearance for all phases of flight (minimum safe altitudes);
- (ii) Runway (width, length and pavement loading);
- (iii) Navigation aids and lighting;
- (iv) Weather considerations;
- (v) Emergency services;
- (vi) Fuel burn calculations;
- (vii) As applicable, fuel freeze considerations;
- (viii) As applicable, ETOPS/EDTO requirements;
- (ix) Air Traffic Services;
- (x) Critical engine inoperative operations;
- (xi) Depressurization over critical areas;
- (xii) (Special) airport classification. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process for analysis to identify/address relevant operational factors prior to conducting operations over new routes/into new airports (focus: analysis includes/addresses factors as specified in standard).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected operations engineering personnel (focus: process for analysis of new routes/airports).
- ☐ **Examined** selected examples of new route/airport analyses.
- ☐ **Other Actions** (Specify)

### Guidance

The specifications are related to the prevention of CFIT and runway excursions.

The specifications in:

- Item vii) refers to a determination if the occurrence of fuel freeze during extended operations is operationally relevant when planning a new route. If operationally relevant, the specification vii) of this provision requires the operator to determine and designate the methods used by the flight crew to determine fuel freeze points in accordance with the specifications of [FLT 4.1.2](#).
- Item xi) refers to carriage of fuel to respect oxygen requirement after depressurization.
- Item xi) may be satisfied by depressurization routes, charts and/or tables that consider oxygen requirements over high terrain and fuel burn over remote areas.
- Item xii) may be satisfied by standardized criteria for the determination and classification of special airports (e.g., EU-OPS).

### FLT 4.2.3

If the Operator conducts operations over remote or sparsely populated land areas, the Operator *should* provide information in the OM that identifies and describes en route emergency airports associated with operations over such areas. **(GM)**



**Note:** The en route emergency airports specified in this provision refer to airports that are applicable to the operation being conducted (i.e. within flying range from the route being flown and potentially usable for the aircraft type).

#### Auditor Actions

- ☐ **Identified** operational routes over remote/sparsely populated areas.
- ☐ **Identified/Assessed** OM information that identifies en route emergency airports associated with operations over remote or sparsely populated areas (focus: description of en route emergency airports).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Other Actions** (Specify)

#### Guidance

The specifications of this provision refer to emergency airports identified and described by the operator in the OM that are not subject to the acceptability specifications of the new airport analyses specifications of [FLT 4.2.2](#).

Such information is provided for consideration by the PIC in the event that an emergency over a remote or sparsely populated land area precludes continuation to an en route alternate airport (appropriate for the aircraft type). Any deficiencies in airport(s) with respect to the specifications of [FLT 4.2.2](#) are identified and described.

#### FLT 4.2.4

The Operator shall have guidance, data and procedures to enable operations engineering personnel to determine minimum safe altitudes for all phases of flight. **(GM)**

#### Auditor Actions

- ☐ **Identified** OM information that specifies minimum safe altitudes for all phases of flight (focus: information addresses all areas/airports used in operations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected operations engineering personnel (focus: guidance/procedures/data used to determine minimum safe altitudes).
- ☐ **Other Actions** (Specify)

#### Guidance

Minimum safe altitudes (MSAs) are typically established by the states over which flights are conducted.

MSAs are typically established by the operator through specified methods approved by the State and included in the OM.

#### FLT 4.2.5

The Operator shall establish operating minima for each airport of intended use, which shall not be lower than those established by the state in which the airport is located. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** OM information that specifies operating minima for all airports used in operations (focus: operating minima not lower than minima specified by state of airport location).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Interviewed** selected operations engineering personnel (focus: sources of airport operating minima).
- ☐ **Other Actions** (Specify)

## Guidance

In establishing operating minima for any particular operation, an operator typically takes into account the following factors (relevant ISARPs):

- Type, performance and handling characteristics of the aircraft and any conditions or limitations stated in the AFM.
- Composition of the flight crew, their competence and experience.
- Dimensions and characteristics of the runways which may be selected for use.
- Adequacy and performance of the available visual and non-visual ground aids.
- Equipment available on the aircraft for the purpose of navigation, acquisition of visual references and/or control of the flight path during the approach, landing and the missed approach.
- Obstacles in the approach and missed approach areas and the obstacle clearance altitude/height for the instrument approach procedures.
- Means used to determine and report meteorological conditions.
- Obstacles in the climb-out areas and necessary clearance margins.
- Conditions prescribed in the operations specifications and [FLT 1.1.2](#), [FLT 1.2.1](#), [FLT 1.7.1](#), [DSP 1.7.1](#).
- Minima that may be promulgated by the State of the Airport.

Guidance on the establishment of airport operating minima is contained in ICAO Doc 9365, Manual of All-Weather Operations (Doc 9365).

### FLT 4.2.6

If the Operator uses aircraft with electronic navigation data capabilities, the Operator shall have processes, approved or accepted by the State, if required, which ensure electronic navigation data products acquired from suppliers, prior to being used as a means for navigation in operations:

- (i) Are assessed for a level of data integrity commensurate with the intended application;
- (ii) Are compatible with the intended function of equipment in which it is installed;
- (iii) Are distributed in a manner to allow insertion of current and unaltered electronic navigation data into all aircraft that require it. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** processes for acceptance/internal distribution of electronic navigation data products.
- ☐ **Identified** suppliers of electronic navigation data products (focus: suppliers accredited in accordance with approved/accepted standards of data integrity/quality).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected product acceptance records (focus: products assessed for data integrity, currency and compatibility with intended function).
- ☐ **Examined** selected aircraft data insertion records (focus: current/unaltered data inserted on all applicable aircraft).
- ☐ **Coordinated** with MNT auditor (focus: verification of currency of aircraft navigation databases).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Navigation Data Integrity.

The responsibility of ensuring that electronic navigation data is assessed for integrity and is compatible with its intended application rests with the operator.

Navigation database integrity can be assured by obtaining data from a supplier accredited in accordance with approved or accepted standards of data integrity and quality. Such standards include:

- RTCA/DO-200A, Standards for Processing Aeronautical Data, issued 09/28/98;
- RTCA/DO-201A, Standards for Aeronautical Information, issued 04/19/00;
- Advisory Circular (AC) 20-153A, Acceptance of Data Processes and Associated Navigation Databases, issued 09/20/10;
- Any other State-approved or State-accepted standards of data integrity and quality that assure navigation database integrity.

The specifications in items i) and ii) may be satisfied by the operator, in accordance with State-approved or State-accepted methods for assuring data integrity and compatibility, such as:

- Obtaining a letter of acceptance from an applicable authority stating the data supplier conforms to a recognized standard for data integrity and compatibility that provides an assurance level of navigation data integrity and quality sufficient to support the intended application; **or**
- The existence of operator and flight crew validation processes to determine navigation data compatibility and accuracy that provide an assurance level of navigation data integrity and quality sufficient to support the intended application.

Letters of acceptance are approved by the applicable authority (the state where data is sourced or supplied) *and* approved or accepted by the State (state in which the data is applied). For example, the FAA, via a letter of acceptance, attests to the integrity of data from a U.S. supplier. The State would subsequently approve or accept the FAA letter as the operator's means to assure data integrity.

The specification in item iii) refers to processes that ensure timely insertion of data and mitigate the introduction of aeronautical information errors related to the content of navigation databases. The physical insertion of navigation data into applicable aircraft is addressed in ISM [Section 4 \(MNT\)](#), [Subsection 2, Maintenance Control](#).

Monitoring and control of electronic navigation data products acquired from suppliers would also be in accordance with [FLT 1.11.3](#).

## FLT 4.2.7

If the Operator uses aircraft equipped with a GPWS with a Forward-looking Terrain Avoidance Function, the Operator shall have a process and/or procedures to ensure terrain and, if applicable, obstacle data acquired from an external vendor or supplier are:

- (i) Periodically reviewed for currency and applicability to the Operator's routes and airports, and updated as required;
- (ii) Distributed in a manner to allow the insertion of unaltered data into all aircraft for which it is required. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** processes for internal distribution of terrain/obstacle data acquired for use on aircraft with GPWS with FLTA function.
- ☐ **Identified** suppliers of terrain/obstacle data.
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Examined** selected terrain/obstacle data insertion records (focus: insertion of unaltered data into all applicable aircraft).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Ground Proximity Warning System (GPWS) with a Forward-looking Terrain Avoidance (FLTA) Function.

The intent of this provision is to ensure operators develop the means to update GPWS terrain and, if applicable, obstacle databases, for the purposes of reducing false warnings and ensuring actual hazards are properly identified.

The specifications of this provision refer to:

- Terrain database(s) for all areas of potential operations and surrounding airports of intended use;
- If an obstacle database is commercially available and obstacle detection/display functionality is installed, obstacle databases for all areas of potential operations.

## 4.3 Aircraft Systems and Equipment Specifications

### FLT 4.3.1

The Operator shall ensure all aircraft in its fleet have the following systems and equipment as necessary to satisfy operational requirements for the routes and/or airspace of intended operations including, as applicable, PBN, MNPS/NAT HLA, RVSM and PBCS:

- (i) Instrumentation and/or avionics, readily visible to the intended pilot flight crew member, necessary to conduct operations and meet applicable flight parameters, maneuvers and limitations;
- (ii) Equipment necessary to satisfy applicable operational communication and surveillance requirements, including emergency communication;
- (iii) Avionics, equipment and/or components necessary to satisfy applicable navigation requirements and provide necessary redundancy;
- (iv) Avionics, instrumentation and/or radio equipment necessary to satisfy applicable approach and landing requirements;
- (v) Other components and/or equipment necessary to conduct operations under applicable flight conditions, including instrument meteorological conditions.

### Auditor Actions

- ☐ **Identified/Assessed** fleet installation of aircraft instrumentation/navigation/communication systems and equipment (focus: installation on all aircraft; aircraft configured/equipped as necessary to meet operational requirements for intended areas of intended operations).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with maintenance operations (focus: verification that instrumentation/navigation/communication systems and equipment are in accordance with certification/regulatory requirements).
- ☐ **Observed** line flight operations or inspected static aircraft (focus: flight deck instrumentation/navigation/communication systems and equipment).
- ☐ **Other Actions** (Specify)

### FLT 4.3.2–4.3.4 (Intentionally open)

### FLT 4.3.5

If the Operator uses aircraft operated at flight altitudes greater than 10,000 feet, but pressurized to maintain a cabin altitude of less than 10,000 feet, the Operator shall have guidance and procedures to ensure flights are not commenced unless all such aircraft can descend to an altitude after a loss of pressurization that will allow continued safe flight and landing and are equipped with oxygen storage and dispensing apparatus in accordance with requirements of the Authority and, as a minimum, also ensures:

- (i) The aircraft can continue at a pressure altitude that will allow continued safe flight and landing;
- (ii) An amount of stored supplemental oxygen, in accordance with the requirements of the Authority and, as a minimum, to supply:
  - (a) The flight crew for any period the cabin altitude would be above 10,000 feet;

- (b) All aircraft occupants for any period the cabin altitude would be above 15,000 feet;
- (c) The flight crew and all aircraft occupants in accordance with a) and b) as appropriate for the route to be flown.
- (iii) For aircraft that do not operate above 25,000 feet, the amount of stored oxygen for aircraft occupants specified in ii) b) above may be reduced, in accordance with the requirements of the Authority, if at all points along the route to be flown, the aircraft is able to descend safely within 4 minutes to a cabin pressure altitude of 15,000 ft. or less. **(GM)**

**Note:** *Supplemental oxygen guidance and procedures shall take into account, as applicable, any additional supplemental oxygen requirements and/or escape routes necessary when operating over areas of high terrain.*

#### Auditor Actions

- ☐ **Identified/Assessed** oxygen systems for aircraft operated at flight altitudes greater than 10,000 ft but pressurized to maintain cabin altitude of less than 10,000 ft (focus: applicable aircraft carry stored supplemental oxygen as specified in standard).
- ☐ **Interviewed** responsible manager(s) in flight operations.
- ☐ **Coordinated** with maintenance operations (focus: verification that oxygen systems are in accordance with certification/regulatory requirements).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to define a minimum amount of oxygen supply and *should* not be confused with requirements for the use of oxygen as specified in [FLT 3.11.49](#).

Additionally, conformity with the specifications of this provision ensures flight crew and, as applicable, other operational control personnel with oxygen carriage responsibilities related to flight planning or aircraft scheduling are provided with the necessary information regarding oxygen carriage requirements. Such information is necessary to appropriately match an aircraft to a planned route. This would include information referring to the supplemental oxygen requirements necessary in the case of a decompression that takes into account the escape routes necessary in areas of high terrain.

The operator, in accordance with the requirements of the Authority, typically uses technical guidance for the computation of sufficient stored breathing oxygen for pressurized aircraft derived from any one of the following sources, as applicable:

- ICAO Annex 6, 4.3.9;
- EASA Air Ops CAT.IDE.A.235 Supplemental oxygen—pressurized aeroplanes and associated AMC/GM;
- FAR 135.157 (b), FAR 121.329, 121.331, and 121.333;
- Any equivalent reference document approved or accepted by the Authority for the computation of sufficient stored breathing oxygen for pressurized aircraft that conforms to the specifications of this provision.

The specifications of this provision require a minimum amount of oxygen supply be determined and/or designated by the operator or the Authority.

The descent specified in item ii) is in accordance with emergency procedures specified in the AFM to a safe altitude for the route to be flown that will allow continued safe flight and landing.

**Table 2.1—Onboard Library Specifications**

The following documents shall be included in the Onboard Library:

**General Operating Information**

- (i) General operating information to include:
  - (a) A copy of the air operator certificate (AOC);
  - (b) A copy of the operations specifications relevant to the aircraft;
  - (c) If applicable, a copy of the Article 83 bis agreement summary (including an English version);
  - (d) The Operations Manual (OM).

**Note:** Refer to the IRM for the definitions of Article 83 bis, Article 83 bis Agreement and Article 83 bis Agreement Summary.

**Aircraft Operating Information**

- (ii) Applicable Aircraft Operating Manual (AOM) and, as a minimum:
  - (a) Normal and Emergency Checklists for each operating flight crew member as required by the AFM;
  - (b) Performance tables or access to performance calculations via telecom systems (e.g. ACARS) is acceptable, if completed with appropriate backup procedures;
  - (c) Takeoff performance deviations (e.g. due to inoperative equipment or abnormal situations).
- (iii) Minimum Equipment List (MEL) and Configuration Deviation List (CDL);
- (iv) Aircraft-specific weight/mass and balance instructions/data (including load sheet).

**Areas, Routes and Airport Information**

- (v) Flight Plans (OFP and ATS) for each flight;
- (vi) The applicable departure, navigation and approach charts for use by each operating flight crew member as required by the AFM;
- (vii) Route and airport instructions and information (flight crew member route guide) for each flight to include, as a minimum:
  - (a) Departure airport;
  - (b) Destination airport;
  - (c) En route alternate airports;
  - (d) Emergency airports.
- (viii) If applicable, the escape routes used in case of decompression or engine failure in an area of high terrain.

**Other Information**

- (ix) Cabin safety and emergency procedures relevant to the flight crew;
- (x) Dangerous Goods manual or parts relevant to the flight crew, to include information and instructions on the carriage of dangerous goods and action to be taken in the event of an emergency;
- (xi) Security Manual or parts relevant to the flight crew, including bomb search procedures;
- (xii) Ground Handling Manual or parts relevant to the flight crew, if required for flight crew to accomplish assigned duties (recommendation only and only applicable to cargo aircraft operations).



**Table 2.2—Operations Manual (OM) Content Specifications**

This table contains the fundamental OM content specifications required to achieve conformance with [FLT 1.7.1](#) and [FLT 2.1.10](#). The table also specifies [Section 3 \(DSP\)](#) provisions that must be addressed in the sections of the OM relevant to flight crew.

**Note:** Specific flight crew policies, guidance, data and/or procedures that must also be addressed in the sections of the OM relevant to flight crew can be found in individual [Section 2](#) provisions and are not duplicated in the table.

General Information		DSP ISARP
(i)	General Information, to include:	None
(a)	Non-aircraft type related and/or standard operating procedures for each phase of flight, policies, procedures, checklists, descriptions, guidelines, emergency procedures and other relevant information;	None
(b)	Authorities, duties and responsibilities associated with the operational control of flights;	<a href="#">DSP 1.3.1</a> , <a href="#">1.3.4</a> , <a href="#">1.3.5</a> , <a href="#">1.3.6</a> , <a href="#">1.3.7</a>
(c)	If applicable, guidance that identifies and defines the common flight documents used by the flight crew, the FOO, FOA and/or other personnel responsible for operational control.	<a href="#">DSP 3.2.2</a>
Aircraft Operating Information		DSP ISARP
(ii)	Aircraft Operating Manual (AOM), to include:	None
(a)	Normal, abnormal/non-normal and emergency procedures, instructions, and checklists;	None
(b)	Aircraft systems descriptions, limitations and performance data.	None
(iii)	Minimum Equipment List (MEL) and Configuration Deviation List (CDL);	None
(iv)	Aircraft specific weight/mass and balance instructions/data (including load sheet);	<a href="#">DSP 3.3.3</a>
(v)	Instructions for the computation of the quantities of fuel and oil (if required) to be carried.	<a href="#">DSP 4.3</a> (all)
Areas, Routes and Airport Information		DSP ISARP
(vi)	Route and airport instructions and information (departure, destination, en route and destination alternates, to include:	None
(a)	Airway manuals and charts, including information regarding communication facilities, navigation aids and minimum flight altitudes;	None
(b)	Airport charts, including the method for determining airport operating minima;	None
(c)	FMS databases;	None
(d)	Airport and runway analysis manual or documents;	None
(e)	If applicable, supplemental oxygen requirements;	None
(f)	If applicable, escape routes used in the event of a decompression or engine failure in an area of high terrain;	None
(g)	If applicable, procedures for loss of communication between the aircraft and the FOO;	<a href="#">DSP 3.6.1</a>
(h)	Instructions for the selection, designation (on the OFP) and protection of departure, en route and destination alternate airports.	<a href="#">DSP 4.1</a> (all), <a href="#">3.6.5B</a> , <a href="#">4.5.2</a> , <a href="#">4.5.3</a>
Areas, Routes and Airport Information		DSP ISARP
(i)	Instructions to address departure if current meteorological reports and forecasts indicate that the destination airport or destination alternate will not be at or above operating minima;	<a href="#">DSP 3.2.9B</a>



**Table 2.2—Operations Manual (OM) Content Specifications**

(j)	Instructions to address the continuation of a flight towards an airport of intended landing if the latest available information indicates a landing cannot be accomplished at that airport or at least one destination alternate;	DSP 3.2.9B, 3.6.5A
(k)	If applicable, flight monitoring requirements and instructions to ensure the PIC notifies the operator of en route flight movement or deviations from the OFP;	DSP 3.6.2, 3.6.3
(l)	If applicable, flight planning considerations that address the continuation of a flight after the failure of the critical engine on a two-engine aircraft and/or the second engine on a three or four engine aircraft;	DSP 4.2.2, 4.2.3
(m)	The essential information concerning the search and rescue services in the area over which the aircraft will be flown.	None
(n)	Information regarding RFFS capability available at airports of intended use.	None
<b>Training Information</b>		<b>DSP ISARP</b>
(vii)	Training Manual, to include:	None
(a)	Details of all relevant training programs, policies, directives and requirements, including curricula and syllabi, as applicable, for basic operator familiarization, initial qualification, continuing qualification (including recency-of-experience), re-qualification, aircraft transition or conversion, upgrade to PIC and other specialized training requirements, as applicable;	None
(b)	Curricula to include: ground training, simulator training, aircraft training, evaluation and certification, line flying under supervision, and any specialized training;	None
(c)	Comprehensive syllabi to include lesson plans, procedures for training and the conduct of evaluations;	None
(d)	The training program for the development of knowledge and skills related to human performance (Crew Resource Management/Dispatch Resource Management, CRM/DRM).	None
<b>Other Information</b>		<b>DSP ISARP</b>
(viii)	Cabin safety and emergency procedures relevant to the flight crew.	None
(ix)	Dangerous Goods manual or parts relevant to the flight crew, to include information and instructions on the carriage of dangerous goods and action to be taken in the event of an emergency.	None
(x)	Security Manual or parts relevant to the flight crew, including bomb search procedures.	None
(xi)	Ground Handling Manual or parts relevant to the flight crew, if required for flight crew to accomplish assigned duties (recommendation only and only applicable to cargo aircraft operations).	None

**Table 2.3—Flight Crew Qualification Requirements**

Fulfillment of the following flight crew certifications, qualifications, training and currency requirements shall be recorded and retained in accordance with [FLT 1.8.2](#), and monitored and considered when assigning flight crew members to duty in accordance with [FLT 3.4.1](#).

- (i) Licenses/certification, including eligibility to exercise privileges of pilot license/certificate in international operations in accordance with [FLT 3.3.5](#);
- (ii) Specific pilot license/certification limitations (First Officer, relief pilot);
- (iii) Specific qualifications (LVP, RVSM, ETOPS/EDTO);
- (iv) Equipment qualifications (TCAS/ACAS, GPWS/EGPWS, HGS, HUD/EVS, PBN, PBCS);
- (v) Recency-of-experience;
- (vi) Medical status, including Medical Certificate;
- (vii) Initial training and checking/line check/proficiency check/recurrent training and checking results;
- (viii) Right seat qualification;
- (ix) Type(s) qualification;
- (x) Airport and route competence (including special airports);
- (xi) Instructor/evaluator/line check airman qualification;
- (xii) CRM/Human Factors training;
- (xiii) Dangerous goods training;
- (xiv) Security training;
- (xv) Accrued flight time, duty time, duty periods and completed rest periods for the purposes of fatigue risk management and compliance with operator or State flight and/or duty time limitations.

Table 2.4—(Intentionally open)
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**Table 2.5—Route and Airport Knowledge Requirements**

Each pilot crew member, in order to conform to the specifications of [FLT 2.3.1](#), and/or the PIC, in order to conform to the specifications of [FLT 2.4.1](#), shall have adequate knowledge of the following elements related to areas, routes or route segments, and airports to be used in operations:

- (i) Terrain and minimum safe altitudes;
- (ii) Seasonal meteorological conditions;
- (iii) Meteorological, communication and air traffic facilities, services and procedures;
- (iv) Search and rescue services for the areas over which the aircraft will be flown;
- (v) Navigational facilities and procedures, including any long-range navigation procedures associated with the route along which the flight is to take place;
- (vi) Procedures applicable to flight paths over heavily populated areas and areas of high air traffic density;
- (vii) Airport obstructions, physical layout, lighting, approach aids and arrival, departure, holding and instrument approach procedures and applicable operating minima.

**Note:** That portion of an evaluation relating to arrival, departure, holding and instrument approach procedures may be accomplished in an appropriate training device that is adequate for this purpose.

**Table 2.6—Elements Common to an Advanced Qualification Program (AQP), an Alternative Training and Qualification Program (ATQP) or an Evidence-based Training (EBT) Program**

The following elements shall be included as part of an AQP, ATQP or EBT program as specified in [FLT 2.1.1B](#).

- (i) Training program and curricula approved or accepted by the State.
- (ii) Training and evaluation which is conducted to the maximum extent possible in a full flight deck crew environment (e.g. Captain and First Officer). Qualification and continuing qualification curricula must include a line operational evaluation (LOE), which consists of a full flight scenario systematically designed to target specific technical and crew resource management (CRM) skills.
- (iii) Mandatory evaluation of CRM proficiency and substandard performance on CRM factors shall be corrected by additional training. A demonstration of proficiency in maneuver oriented technical skills is a necessary but insufficient condition for pilot qualification. For pass/fail purposes, pilots must also demonstrate proficiency in LOE's, which test both technical and CRM skills together.
- (iv) Specific training for instructors and evaluators, together with explicit training and evaluation strategies to verify the proficiency and standardization of such personnel for crew oriented, scenario-based training and evaluation tasks.
- (v) Integrated use of advanced flight training equipment, including full flight simulators. Operators are encouraged to use a suite of equipment matched on the basis of analysis to the training requirements at any given stage of a curriculum.
- (vi) Curriculum elements that are:
  - (a) Defined;
  - (b) Crew member-specific or personnel-specific;
  - (c) Aircraft-specific. (See Note 1)

**Note 1:** Each curriculum must specify the make, model and series aircraft (or variant) and each crew member position or other positions to be covered by that curriculum. Positions to be covered by the program must include all flight crew member positions, instructors and evaluators and could include other positions, such as flight attendants, aircraft dispatchers and other operations personnel.

- (vii) Separate curricula for indoctrination, qualification and continuing qualification.
- (viii) CRM Training/Evaluation and Data Collection (feedback) to determine program effectiveness to include:
  - (a) State-approved or -accepted Crew Resource Management (CRM) Training applicable to each position for which training is provided under the program;
  - (b) State-approved or -accepted training on and evaluation of skills and proficiency of each person being trained under the program to use their crew resource management (CRM) skills and their technical (piloting or other) skills in an actual or simulated operations scenario. For flight crew members, this training and evaluation must be conducted in an approved flight training device or flight simulator;
  - (c) Data collection procedures that will ensure the certificate holder provides information from its crew members, instructors and evaluators that will enable the State to determine whether the training and evaluations are working to accomplish the overall objectives of the curriculum;
  - (d) Performance proficiency data collection on students, instructors, and evaluators and the conduct of airline internal analyses of such information for the purpose of curriculum refinement and validation.
- (ix) Defined airman certification and licensing requirements.
- (x) Training devices and simulators used under the program evaluated against published standards and be approved or accepted by the State to ensure adequacy for training/qualification performed.

**Table 2.6—Elements Common to an Advanced Qualification Program (AQP), an Alternative Training and Qualification Program (ATQP) or an Evidence-based Training (EBT) Program**

- (xi) Program approval to include:
  - (a) A demonstration to the Authority of how the program will provide an equivalent or superior level of safety for each curriculum item that differs from traditional training programs approved or accepted by the State.
  - (b) A demonstration to the Authority for every requirement that is replaced by the program curriculum, of how the new curriculum provides an equivalent or superior level of safety for each requirement that is replaced. Each traditional training program requirement that is not specifically addressed in the program curriculum continues to apply to the Operator.
  - (c) A requirement that training, qualification, or evaluation by a person who provides training by arrangement: “Training Centers” must be approved or accepted by the State.
- (xii) Records in sufficient detail to establish the training, qualification and certification of each person qualified under the program in accordance with the approved training, qualification and certification requirements.

**Table 2.7—Requirements Specific to an Advanced Qualification Program (AQP) or an Alternative Training and Qualification Program (ATQP)**

The specifications in this table apply to an AQP/ATQP as specified in [FLT 2.1.1B](#) and are in addition to those delineated in [Table 2.6](#):

**(i) Proficiency Objectives**

The Operator shall conduct an aircraft-specific job task analysis beginning with the development of a comprehensive task listing for each duty position. The task listing covers the full range of conditions and contingencies - internal to the aircraft, external to the aircraft, normal, abnormal, and emergency - to which the pilot could be exposed within the Operator's sphere of operations. Proficiency objectives are then extracted from the task and subtask analysis, respectively, for each duty position, and include identification of applicable performance, standards, and conditions. The documentation of proficiency objectives also identifies the references used, respectively, in defining performance, standards, and conditions for each.

An operator may elect to categorize certain proficiency objectives as currency items. Currency items refer to flight activities on which proficiency is maintained by virtue of frequent exercise during routine operations. Such items do not need to be addressed for training or proficiency evaluation purposes in periodic training sessions. However, verification is required that proficiency on such items is being maintained. Such verification might be obtained during line checks.

An operator could also elect to categorize proficiency objectives, including currency items, as critical or non-critical, based on operational significance and the consequences of error. This categorization is employed to determine the time interval within which training and evaluation on such items must occur for continuing qualification curricula. Critical proficiency objectives are trained and evaluated during an evaluation period the initial duration of which cannot exceed thirteen months. Each such evaluation period includes at least one training session. Non-critical terminal proficiency objectives may be distributed over a continuing qualification cycle the initial duration of which cannot exceed twenty-six months.

**(ii) First Look Evaluations**

Performance on selected proficiency items will be evaluated prior to each formal training session and prior to any pre-briefing or practice. Such pre-evaluation data is used to determine the extent to which safety-critical skills might have decayed since previous training and/or checking, and provides a baseline for assessing degree of improvement attributable to subsequent training. Consistently poor pre-evaluation results occurring within the pilot group might indicate that curriculum modifications, including potentially the frequency and content of training, are warranted.

**(iii) Continuing Qualification Cycles and Evaluation Periods**

After initial qualification, which incorporates training and evaluation on all proficiency objectives, follow-on training will occur within a scheduling interval called a continuing qualification cycle. This is the time period during which all proficiency objectives are trained, validated, or evaluated for all crewmembers. The initial approval for a continuing qualification cycle is no more than 26 months in duration, divided into two 13-month evaluation periods. All critical proficiency objectives are accomplished during each evaluation period, and all currency proficiency objectives are accomplished during each continuing qualification cycle.

The initial duration of a continuing qualification cycle is 26 months, but it may be subsequently and incrementally extended by the Authority to a maximum of 39 months, contingent upon the results of performance proficiency data from each such cycle.

**(iv) Training Sessions**

Each evaluation period shall include a minimum of one training session but may include more. Initially, training sessions cannot be more than 13 months apart.



**Table 2.7—Requirements Specific to an Advanced Qualification Program (AQP) or an Alternative Training and Qualification Program (ATQP)****(v) Proficiency Evaluations**

For PICs, SICs, flight engineers, and other persons covered by an AQP/ATQP, a proficiency evaluation shall be completed during each evaluation period. Typically, the proficiency evaluation will occur during a required training session; however, if more than one training session is completed during an evaluation period, the proficiency evaluation may be divided among training sessions or otherwise allocated to one or more such sessions.

**Table 2.8—Requirements Specific to an Evidence-based Training (EBT) Program**

The specifications in this table apply to EBT as specified in [FLT 2.1.1B](#) and are in addition to those delineated in [Table 2.6](#).

**(i) EBT Framework**

The operator shall establish as a minimum:

- (a) A core competency framework using behavioral indicators approved or accepted by the authority;
- (b) The means to develop, train and assess competencies using scenarios that are relevant to the operator's environment;
- (c) A malfunction clustering system.

**(ii) Baseline EBT**

The operator shall ensure the following requirements, as a minimum, are met prior to the implementation of EBT:

- (a) A set of core competencies is developed;
- (b) A competency-based assessment and grading system is developed;
- (c) Instructors are trained to ensure a standardized approach to EBT. Such instructor training programs also ensure each instructor's capability to conduct the training and assessment of the core competencies;
- (d) Flight crew members are provided with background knowledge of EBT principles, methodology and the set of competencies;
- (e) A system to measure the effectiveness of EBT is developed;
- (f) Training scenarios are developed as provided in the IATA Data Report for Evidence-based Training or as required by the State.

**(iii) Additional Program Requirements (applicable to any EBT)**

An EBT program shall be approved or accepted by the Authority and include as a minimum:

- (a) The definition of an implementation and operations plan;
- (b) Programs as defined in ICAO Doc 9995, Appendices 2 to 7 to Part II, and as required by the types of operations of the Operator;
- (c) Implementation with a limited trial phase;
- (d) The review of training effectiveness upon receipt of sufficient training system data;
- (e) Adjustment and continuous improvement of the training program according to the training system feedback;
- (f) A risk assessment of any implementation and/or proof of concept trial in accordance with SMS principles.

**(iv) Enhanced EBT Requirements**

The difference between the baseline EBT and an enhanced EBT is optimization that, as a minimum, is based on the following activities:

- (a) Collection and analysis of operations data;
- (b) Collection and analysis of training data;
- (c) Integration of analysis;
- (d) Program development;
- (e) Risk assessment of enhanced EBT implementation and/or proof-of-concept trial in accordance with SMS principles.

**Table 2.8—Requirements Specific to an Evidence-based Training (EBT) Program**

**(v) Enhanced EBT Scenarios**

Enhanced EBT scenarios shall be based on one or more of the following:

- (a) IATA Data Report for evidence-based training;
- (b) Flight Data Analysis (FDA) program;
- (c) Safety reporting system;
- (d) Flight deck observation program;
- (e) Training data;
- (f) The Operator's specific operational challenges that relate to route network, airports used, weather, etc.;
- (g) World fleet data with an analysis of available safety data from operations with similar aircraft types and similar operations (e.g. OEM/OSD data).

**(vi) Continuing Qualification Cycles and Evaluation Periods**

After initial qualification, which incorporates training and evaluation on all proficiency objectives, follow-on training will occur within a scheduling interval called a continuing qualification cycle. This is the time period during which all proficiency objectives are trained, validated, or evaluated for all flight crewmembers. The initial approval is for a continuing qualification cycle that is no more than 26 months in duration and is divided into two 13-month evaluation periods. All critical proficiency objectives are accomplished during each evaluation period, and all currency proficiency objectives are accomplished during each continuing qualification cycle.

The initial duration of a continuing qualification cycle is 26 months but it may be subsequently and incrementally extended by the Authority to a maximum of 39 months, contingent upon the results of performance proficiency data from each such cycle.

**(vii) Training Sessions**

Each evaluation period shall include a minimum of one training session but may include more. Initially, training sessions cannot be more than 13 months apart.

**(viii) Proficiency Evaluations**

For PICs, SICs, flight engineers, and other persons covered by EBT, a proficiency evaluation shall be completed during each evaluation period. Typically, the proficiency evaluation will occur during a required training session. However, if more than one training session is completed during an evaluation period, the proficiency evaluation may be divided among training sessions or otherwise allocated to one or more such sessions.

**Note:** The requirements specified in this table are applicable to an operator that is currently authorized for AQP/ATQP and is transitioning to EBT. For an operator that is initially implementing EBT, and is not currently authorized for AQP/ATQP, requirements as specified in items vi), vii) and viii) might vary in accordance with requirements of the State.



**Table 2.9—Risk Assessment Requirements for Stabilized Approach Policy**

The specifications in this table apply to the safety risk assessment required by [FLT 3.11.59 \(ii\)\(b\)](#) to ensure the Operator's SRM processes take into account the factors related to the consistent conduct of stabilized approaches in accordance with operator policy.

- (i) Precursors of unstable approaches and operational trends that are identified through the collection and analysis of available de-identified data (e.g., from FDA/FDM/FOQA);
- (ii) Precursors of unstable approaches identified through observational procedures which cannot be captured by the traditional reporting or FDA (e.g., LOSA, line check reports);
- (iii) Identification and analysis of hazards associated with human factors and piloting techniques;
- (iv) Analysis of aircraft type-specific flight characteristics including energy management in the approach, landing, and go-around regimes;
- (v) Operator's ability to work with ATSU's to implement procedural changes at specific airports with runways identified as higher risk by data analysis;
- (vi) Flight crew training program content related to the implementation of stabilized approach policy;
- (vii) Manufacturer's guidance, limitations, and recommendations related to the development and maintenance of stabilized approach policy.

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## Section 3 — Operational Control and Flight Dispatch (DSP)

### Applicability

[Section 3](#) addresses the requirements for operational control of flights conducted by multi-engine aircraft and is applicable to an operator that conducts such flights, whether operational control functions are conducted by the operator or conducted for the operator by an external organization (outsourced). Specific provisions of this section are applicable to an operator based on the operational system in use, the manner in which authority is delegated by the operator, and the responsibilities, functions, duties or tasks assigned to the personnel involved.

The IOSA standards and recommended practices (ISARPs) in [Section 3](#) are applicable only to those aircraft that are of the type authorized in the Air Operator Certificate (AOC) and used in commercial passenger and/or cargo operations, unless applicability is extended to encompass non-commercial operations as stated in a note immediately under the body of the provision.

Subsections [3.5](#), [4.1](#), [4.3](#), and [4.6](#) contain provisions that allow for the use of variations, including Operational Variations approved by the Authority, to achieve conformity with eligible aircraft tracking, alternate airport, fuel planning and EDTO specifications. General guidance related to the safety risk management (SRM) processes necessary to develop and use all such variations prefaces [subsection 4](#).

[Table 3.1](#) categorizes the personnel that are delegated the authority to exercise operational control, assigned the overall responsibility for the overall operational control of a flight, assigned the individual responsibility to carry out one or more functions, duties or tasks related to the operational control of a flight, or assigned the duty to provide administrative support to others with responsibilities related to operational control.

[Table 3.5](#) defines the competencies of operational control personnel appropriate to the assignment of overall responsibility for operational control and/or to carry out one or more operational control functions, duties or tasks according to their specific competencies.

All personnel used to perform operational control functions as defined in [Table 3.1](#), or that act in a manner consistent with the functional categories specified in [Table 3.1](#) and the competencies specified in [Table 3.5](#), irrespective of management or post holder title, are subject to specified training and qualification provisions in this section relevant to the operational control function performed.

Individual DSP provisions, and/or individual sub-specifications within a DSP provision, that:

- Do not begin with a conditional phrase are applicable to all operators unless determined otherwise by the Auditor.
- Begin with a conditional phrase (“If the Operator...”) are applicable if the operator meets the condition(s) stated in the phrase. The conditional phrase serves to define or limit the applicability of the provision (e.g. “If the operator uses...” or “If an FOO or FOA is used...”).
- Begin with a conditional phrase that specifies the use of a Flight Operations Officer (FOO) by an operator are applicable when the operator assigns the FOO, as defined in the IRM and delegated authority in accordance with [Table 3.1](#), responsibility to carry out operational control functions, duties or tasks related to *all* of the competencies of operational control as specified in [Table 3.5](#).
- Begin with a conditional phrase that specifies the use of a Flight Operations Assistant (FOA) by an operator are applicable when the operator assigns the FOA, as defined in the IRM, responsibility to carry out operational control functions, duties or tasks related to one or more, *but not all*, competencies of operational control as specified in [Table 3.5](#).
- Are applicable to all systems of operational control, but with differences in application to each system, will have those differences explained in the associated Guidance Material (GM).
- Contain the phrase “personnel responsible for operational control” or “personnel with responsibility for operational control” refer to any suitably qualified personnel with responsibility for operational control as designated by the operator, to include the pilot-in-command (PIC) unless otherwise annotated.



- Contain training and qualification requirements are applicable to personnel, other than the PIC, that are assigned responsibilities related to the operational control of flights. PIC training and qualification requirements for all systems of operational control are specified in ISM [Section 2](#) (FLT).
- Are eligible for conformance using variations, including Operational Variations approved by the Authority, that contain a note referring to the additional SRM and safety monitoring requirements necessary to ensure an acceptable level of safety is maintained.

Where operational functions, duties or tasks associated with operational control are outsourced to external service providers, an operator retains overall responsibility for ensuring the management of safety in the operational control of flights and must demonstrate processes for monitoring applicable external service providers in accordance with [DSP 1.11.2](#).

## General Guidance

### **Authority and Responsibility**

For the purposes of this section *authority* is defined as the delegated power or right to command or direct, to make specific decisions, to grant permission and/or provide approval, or to control or modify a process.

For the purposes of this section *responsibility* is defined as an obligation to perform an assigned function, duty, task or action. An assignment of responsibility typically also requires the delegation of an appropriate level of authority.

### **Operational Control**

Operational control is defined as the exercise of authority to initiate, continue, divert or terminate a flight in the interest of the safety and security of the aircraft and its occupants, and the regularity and efficiency of the flight. An operator may delegate the authority for operational control of a specific flight to qualified individuals, but typically retains overall authority to operate and control the entire operation. An operator may also assign the responsibility to carry out specific operational control functions, duties, or tasks related to the conduct of each flight to identifiable, qualified and knowledgeable individual(s), but would remain responsible (and accountable) for the conduct of the entire operation.

Any individuals delegated the authority to make specific decisions regarding operational control would also be responsible (and accountable) for those decisions. Additionally, individuals assigned the responsibility to carry out specific operational control functions, duties, or tasks related to the conduct of each flight are also responsible (and accountable) for the proper execution of those functions, duties, or tasks. In all cases, the authority and responsibility attributes of operational control personnel are clearly defined and documented by the operator and communicated throughout the organization.

It is important to note that when an operator assigns the responsibility for functions, duties or tasks related to the initiation, continuation, diversion and termination of a flight to employees or external service providers, such operator retains full responsibility (and accountability) for the proper execution of those functions, duties or tasks by ensuring:

- The training and qualification of such personnel meets any regulatory and operator requirements;
- Personnel are performing their duties diligently;
- The provisions of the Operations Manual are being complied with;
- An effective means of oversight is maintained to monitor the actions of such personnel for the purposes of ensuring operator guidance and policy, as well regulatory requirements, are complied with.

### **Authority for the Operational Control of Each Flight**

In order to practically exercise operational control of flight operations, an operator typically delegates the authority for the initiation, continuation, diversion or termination of each flight to qualified individuals. Such delegation occurs in conjunction with an operator's overall system of operational control as follows:

- Shared systems, wherein operational control authority is shared between the pilot-in-command (PIC) **and** a flight operations officer/flight dispatcher (FOO) **or** designated member of management, such as the Director of Flight Operations (or other designated post holder);

**For example:** The FOO (or designated member of management, as applicable) has the authority to divert, delay or terminate a flight if in the judgment of the FOO, a designated member of management or the PIC, the flight cannot operate or continue to operate safely as planned or released.

- Non-shared systems, wherein operational control authority is delegated **only** to the PIC.

**For example:** Only the PIC has the authority to terminate, delay, or divert a flight if in the judgment of the PIC the flight cannot operate or continue to operate safely as planned.

### **Responsibility for Operational Control of Each Flight**

While an operator retains full responsibility (and accountability) for the entire operation, the responsibility for the practical operational control of each flight is typically assigned to qualified individuals. As with the delegation of authority, the assignment of responsibility related to the operational control of each flight occurs in conjunction with a system of operational control as follows:

- Shared systems, wherein operational control responsibility for each flight is shared between the PIC and an FOO, or between the PIC and a designated member of management such as the Director of Flight Operations (or other designated post holder). In either shared system, the PIC, FOO or designated member of management, as applicable, may be assisted by other qualified personnel assigned the individual responsibility (by the operator) to carry out specific operational control functions, duties or tasks. Such personnel, however, typically do not share operational control responsibility with the PIC, FOO or designated member of management, as applicable.

**For example:** The FOO (or designated member of management) and the PIC are jointly responsible (and accountable) for the functions, duties or tasks associated with the operational control of a flight, such as pre-flight planning, load planning, weight and balance, delay, dispatch release, diversion, termination, etc. In such systems, the FOO (or designated member of management) may carry out such responsibilities unassisted or be assisted by qualified personnel assigned the individual responsibility (by the operator) to carry out specific operational control functions, duties or tasks.

- Non-shared systems, wherein the PIC is solely responsible for all duties, functions, or tasks regarding operational control of each flight, and may carry out such responsibilities unassisted or be assisted by qualified personnel assigned the individual responsibility (by the operator) to carry out specific operational control functions, duties or tasks.

**For example:** The PIC is solely responsible (and accountable) for the duties, functions, duties or tasks associated with the operational control of a flight, and the PIC either acts unassisted or is assisted by qualified personnel in carrying out functions, duties or tasks such as preflight planning, load planning, weight and balance, delay, dispatch release, diversion, termination, etc.

### **Responsibility for Individual Operational Control Functions, Duties, or Tasks**

It is important to note that, except for purely non-shared (PIC-only) systems, and as illustrated by the examples in the previous paragraph, the assignment of responsibilities related to the operational control of each flight can be further subdivided among a number of qualified and specialized personnel. In such cases, the responsibility for individual or specific operational control functions, duties or tasks is typically assigned to FOA personnel who support, brief and/or assist the PIC, FOO personnel and/or designated member(s) of management, as applicable, in the safe conduct of each flight. Examples of such qualified personnel include Weather Analysts, Navigation Analysts/Flight Planning Specialists, Load Agents/Planners, Operations Coordinators/Planners/Controllers, Maintenance controllers and Air Traffic Specialists.

**Note:** Some operators might choose to assign the responsibility for specialized operational control functions, such as those described in the example, to fully qualified FOO personnel. In such cases, an FOO, although qualified in all competencies of operational control, would be functionally acting as an FOA. Therefore, for the purpose of an audit, FOO personnel acting in this limited capacity are assessed as FOA personnel.

**Note:** Load Agents/Planners/Controllers who perform load control functions within the scope of ground handling operations may not be considered FOAs if trained and qualified in accordance with ISM Section 6 (GRH), [Subsection 2.1](#), Training Program.

### **Administrative Support Personnel**

FOA personnel are not to be confused with administrative personnel that lack any operational control authority, have very limited operational control responsibilities, and who simply provide, collect or assemble operational documents or data on behalf of the PIC, the FOO, designated member of management or the operator.

Administrative personnel may be present in any system of operational control, are excluded from the initial and continuing qualification provisions of this section and may be qualified as competent through on-the-job training (OJT), meeting criteria as specified in a job description, or through the mandatory use of written instruments such as task cards, guidelines, or checklists.

#### **Additional Note**

For the purposes of this section, continuing qualification includes recurrent or refresher training as well as any training necessary to meet recency-of-experience requirements.

#### **Definitions, Abbreviations, Acronyms**

Definitions of technical terms used in this ISM [Section 3](#), as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

## **1 Management and Control**

### **1.1 Management System Overview**

#### **DSP 1.1.1**

The Operator shall have a management system that ensures:

- (i) Management of safety and security in flight operations;
- (ii) Supervision and control of all flights, operational control functions and other associated activities;
- (iii) Compliance with standards of the Operator and requirements of the State of the Operator (hereinafter, the State) and other applicable authorities. **(GM) ◀**

#### **Auditor Actions**

- ☐ **Identified/Assessed** management system structure for operational control systems.
- ☐ **Interviewed** manager with responsibility for operational control.
- ☐ **Assessed** status of conformity with all other DSP management system ISARPs.
- ☐ **Other Actions** (Specify)

#### **Guidance**

Refer to the IRM for the definitions of Operational Control, Operator and State.

Refer to Guidance associated with [ORG 1.1.1](#) located in ISM Section 1.

The specification in item i) ensures the management system addresses the elements of operational safety and security specifically related to the operational control of flights. Safety and security management at this operational level typically occurs within the greater context of the operator's overall or corporate safety and/or security management plan. For example, the overall requirements for the dissemination of security information would typically be specified in an operator's security plan, but the actual dissemination of such information to operational control personnel would occur under the supervision of those individuals with assigned responsibilities related to the operational control of flights (e.g. the transmission of security alerts to aircraft).

Applicable authorities as specified in item iii) refer to authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

### **1.2 (Intentionally open)**

## 1.3 Accountability, Authorities and Responsibilities

### DSP 1.3.1A

The Operator shall ensure the management system for operational control defines the safety accountability, authorities and responsibilities of management and non-management personnel that perform functions relevant to the operational control of flights. The management system shall also specify:

- (i) The levels of management with the authority to make decisions regarding risk tolerability with respect to the safety and/or security of aircraft operations;
- (ii) Responsibilities for ensuring operational control is conducted in accordance with applicable regulations and standards of the Operator;
- (iii) Lines of safety accountability within the organization, including direct accountability for safety and/or security on the part of operational control senior management. **[SMS] (GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** defined safety accountability/authorities/responsibilities (focus: applicable to management/non-management personnel throughout operational control organization).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** job descriptions of selected relevant management/non-management personnel in the operational control organization.
- ☐ **Other Actions** (Specify)

#### Guidance

Depending on the operator, there might be a dedicated management system for operational control or the management of operational control might rest with flight operations. In the latter case, it would be the flight operations management system that has responsibility for conformity with this provision. Refer to Guidance associated with [ORG 1.3.1](#) located in ISM Section 1 for expanded information regarding accountability, authority and responsibility as applicable to management and non-management personnel.

### DSP 1.3.1B

The Operator shall ensure accountability, authorities and responsibilities for the operational control of flights are defined and communicated throughout the organization, to include the authorities and responsibilities of the pilot-in command (PIC) and, as applicable, the:

- (i) Flight operations officer (FOO), who supports, briefs and/or assists the PIC or designated member of management regarding risk tolerability with respect to the safe conduct of each flight;
- (ii) Designated member of management or post holder that has joint authority with the PIC over the decision functions, duties or tasks associated with the operational control of each flight;
- (iii) Flight operations assistant (FOA) who supports, briefs and/or assists the PIC, FOO, or designated member of management in the safe conduct of each flight. **[SMS] (GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** defined accountability/authorities/responsibilities for personnel associated with operational control of flights (focus: definitions for PIC and FOO/FOA/designated management member positions/functions; communicated throughout organization).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** job descriptions of selected operations control personnel (focus: definition of authority/responsibilities for role/position in operational control system).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for definitions of Flight Operations Officer (FOO), Flight Operations Assistant (FOA) and Post Holder.

The intent of this provision is to ensure the accountability, authorities and responsibilities of personnel that perform functions relevant to the operational control of flights and the safety of aircraft operations are communicated throughout the organization(s). The entities that receive such information are dependent upon the system of operational control but always include the flight operations organization.

PIC roles and responsibilities are specified in ISM [Section 2](#) (FLT).

Refer to [Table 3.1](#), which contains definitions, duties and responsibilities of relevant operational control personnel as well as examples of FOAs who might support or assist the FOO, designated member of management and/or PIC.

The specification in item ii) refers to a designated member of management in a shared system of operational control (e.g. director of flight operations or other designated post holder).

Refer to the legend of [Table 3.1](#) for examples of FOA personnel who support or assist the FOO and/or PIC.

The description of duties and responsibilities of an FOO, FOA, and/or designated member of management typically include a definition of the working relationship with the PIC (e.g. the joint responsibility of the PIC, FOO and, if applicable, designated member of management in a shared system of operational control).

Refer to Guidance associated with [ORG 4.2.1](#) located in ISM Section 1 regarding the need for internal communication.

**DSP 1.3.2A**

The Operator shall have a process or procedure for the delegation of duties within the management system for operational control that ensures managerial continuity is maintained when operational managers including, if applicable, post holders are unable to carry out work duties. **(GM)** ◀

**Auditor Actions**

- ❑ **Identified/Assessed** processes for flight operations management system delegation of duties (focus: processes maintain managerial continuity during periods when managers are absent).
- ❑ **Interviewed** responsible manager(s) in flight operations.
- ❑ **Examined** example(s) of delegation of duties due to absence of managers.
- ❑ **Other Actions** (Specify)

**Guidance**

Depending on the operator, there might be a dedicated management system for operational control or the management of operational control might rest with flight operations. In the latter case, it would be the flight operations management system that has responsibility for conformity with this provision.

The managers/post holders specified in this provision include, as a minimum, managerial personnel defined by the operator or Authority as required to ensure control and supervision within the organization responsible for the management of operational control.

The intent of this provision is for an operator to have a process or procedure that ensures a specific person (or perhaps more than one person) is identified to assume the duties of any operational manager that is or is expected to be, for any reason, unable to accomplish assigned work duties.

For the purpose of this provision, the use of telecommuting technology and/or being on call and continually contactable are acceptable means for operational managers to remain available and capable of carrying out assigned work duties.

Refer to the guidance associated with [ORG 1.3.2](#), located in ISM Section 1, which addresses the performance of work duties and the use of telecommuting technology and/or being on call and continually contactable.

### DSP 1.3.2B

The Operator shall have a process or procedures for the delegation of duties within the management system for operational control that ensures managerial and operational control continuity is maintained and responsibility for operational control functions is assumed by qualified personnel when:

- (i) Managers directly responsible for the operational control of flights are unable to carry out work duties;
- (ii) If used in the system of operational control, FOO and/or FOA personnel are unable to carry out work duties. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** processes for management system delegation of duties for operational control personnel (focus: operational control managerial continuity is maintained, operational control responsibilities are assumed by qualified personnel).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** example(s) of delegation of duties (focus: responsibilities for operational control are assumed by qualified personnel).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure an operator has a process or procedures for succession in cases when operational control personnel directly responsible for the operational control of flights are unable, for any reason, to carry out work duties. Such process or procedures typically also address a handover of responsibilities that ensures no loss of continuity in the operational control of flights.

The operational control personnel subject to the specifications of this provision include, as a minimum:

- Managerial personnel, as defined by the operator, with direct responsibility for ensuring the operational control of flights;
- If applicable, FOO or FOA personnel who are delegated authority and/or responsibility in accordance with [DSP 1.3.4](#) and [1.3.5](#) respectively.

### DSP 1.3.3

The Operator shall ensure a delegation of authority and assignment of responsibility within the management system for liaison with regulatory authorities, original equipment manufacturers and other external entities relevant to operational control. **(GM) ◀**

#### Auditor Actions

- ☐ **Identified** positions within operational control/flight dispatch with authority/responsibility for liaison with regulators/other external entities.
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Interviewed** selected operational control managers with authority for liaison with external entities.
- ☐ **Examined** job description for selected management positions (focus: authority/responsibility for liaison with external entities).
- ☐ **Other Actions** (Specify)



## Guidance

Refer to Guidance associated with [ORG 1.3.3](#) located in ISM Section 1 regarding the need to coordinate and communicate with external entities.

The specifications of this provision are intended to ensure ongoing compliance with regulations, organizational standards and other applicable rules and requirements.

### DSP 1.3.4

The Operator shall delegate the authority for operational control of each flight only to the PIC in a non-shared system of operational control, or to a combination of suitably qualified individuals in a shared system of operational control, to include the PIC and either:

- (i) An FOO in a shared system of operational control that requires the use of FOO personnel, or
- (ii) A designated member of management or post holder in a shared system of operational control that requires the use of such management personnel. **(GM)**

## Auditor Actions

- ☐ **Identified** specific system for operational control of flights as required by regulations.
- ☐ **Identified/Assessed** operational control system (focus: specific type of shared/non-shared operational control system in accordance with regulatory requirements).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** job description for positions with delegated authority for operational control of flights (focus: authority/responsibilities appropriate for specific type of shared/non-shared system of operational control).
- ☐ **Observed** operational control/flight dispatch operations (focus: applicability/exercise of operational control authority).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Flight Monitoring.

Refer to General Guidance in the beginning this section for the definition of *Authority* in the context of operational control.

The intent of this provision is to ensure an operator delegates the authority to initiate, continue, divert or terminate a flight in the interest of the safety and security of the aircraft and its occupants (operational control) only to appropriately qualified individuals.

Examples of operational control systems are provided in the following table as a means to identify how authority is typically delegated by an operator.

System of Operational Control	Location	System Description
Shared system (General)	(i), (ii)	Operational control <b>authority</b> is shared between the PIC and a flight operations officer/flight dispatcher (FOO) or a designated member of management.
Full Shared System (PIC and FOO)	(i)	The PIC and FOO have <b>joint authority</b> over the decisions, functions, duties or tasks associated with the operational control of a flight. Such systems are characterized by the use of flight monitoring and a dedicated communications system (voice or electronic) separate from the ATC system in order to maintain shared authority.



System of Operational Control	Location	System Description
Partial Shared System (PIC and FOO)	(i)	The PIC and FOO have <b>joint authority</b> over all preflight decisions, functions, duties or tasks associated with the operational control of a flight, but during flight the PIC has sole authority. Such systems typically include an agreed point of transition from joint to sole responsibility (e.g. pushback or throttle advance for takeoff). This point of transition also typically coincides with the point when the MEL is no longer applicable and flight crew's transition to in-flight procedures. Partial shared systems are characterized by the use of flight monitoring if required by the Authority or desired by the Operator, and typically lack the dedicated communications system necessary to maintain shared authority in flight.
Shared System (PIC and Management)	(ii)	Functionally equivalent to a full shared system except that the PIC and a designated member of management, often the Director of Flight Operations or any suitably qualified and knowledgeable member of management designated by the operator, have <b>joint authority</b> over the decisions, functions, duties or tasks associated with the operational control of a flight.
Non-shared system (General)	Main standard	Operational control <b>authority</b> is delegated only to the PIC who may or may not be assisted by other support personnel.
Non-shared System (PIC-only)	Main standard	The PIC has <b>sole authority</b> over any and all decisions and completes all tasks (unassisted) related to the operational control of each flight. This does not preclude administrative personnel from providing, collecting or assembling operational documents or data related to each flight on behalf of the PIC and as defined in <a href="#">Table 3.1</a> . Such systems may employ flight monitoring if required by the Authority or desired by the operator.
Non-shared System (PIC-assisted)	Main standard	The PIC has <b>sole authority</b> over any and all decisions regarding operational control. However, the PIC is assisted by others (e.g. FOO, FOA or a member of management) that lack operational control authority but are assigned the responsibility to carry out specific functions, duties or tasks, such as flight planning, flight support, briefing and in-flight monitoring. Such systems employ flight monitoring if required by the Authority or desired by the operator.
<b>Note:</b> An FOA can be used in combination with FOOs or designated members of management in all systems of operational control except purely non-shared (PIC-only) systems. If such personnel are delegated authority in a shared system, however, it would be limited to their specific area of competency.		

[Table 3.1](#) categorizes operational control personnel, defines their authority, identifies their responsibilities and illustrates the relationship of such responsibilities to the operation as a whole.

## DSP 1.3.5

The Operator shall retain the overall responsibility for operational control of each flight and assign the responsibility to carry out functions, duties or tasks related to the operational control of each flight only to the PIC, or to a combination of suitably qualified personnel as defined in [Table 3.1](#), to include the PIC and, as applicable to the system of operational control responsibility:

- (i) If the Operator has a shared system of operational control responsibility, *either* of the following:
    - (a) An FOO, who shares overall operational control responsibility with the PIC and/or supports, briefs and/or assists the PIC in the safe conduct of each flight, *or*
    - (b) A designated member of management or post holder who shares overall operational control responsibility with the PIC and/or supports, briefs and/or assists the PIC or FOO in the safe conduct of each flight.
- Note:** FOA and/or administrative personnel can be used in combination with FOOs and/or designated members of management in a shared system of operational control, but neither would share operational control responsibility with the PIC, FOO or designated member of management.
- (ii) If the Operator has a non-shared system of operational control responsibility, one or more of the following:
    - (a) An FOO who supports, briefs and/or assists the PIC in the safe conduct of each flight, *or*
    - (b) A designated member of management or post holder who supports, briefs and/or assists the PIC or FOO in the safe conduct of each flight, *or*
    - (c) FOA personnel who support, brief and/or assist the PIC or FOO in the safe conduct of each flight, and/or
    - (d) Administrative personnel who do not support, brief and/or assist the PIC or FOO, but provide, collect or assemble operational documents or data relevant to the conduct of each flight. **(GM)**

**Note:** An operator may choose to assign limited responsibilities to fully qualified FOO personnel, or to use them only to carry out individual or specific operational control functions, duties or tasks. In such cases, an FOO would be functionally acting as an FOA.

### Auditor Actions

- ☐ **Identified/Assessed** operational control system (focus: operator has overall responsibility for operational control; responsibilities for individual functions/duties/tasks assigned to positions as specified in [Table 3.1](#)).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** job description for positions with responsibility for individual operational control functions/duties/tasks (focus: position responsibilities appropriate for specific type of shared/non-shared system of operational control).
- ☐ **Observed** operational control/flight dispatch operations (focus: responsibilities for individual functions/duties/tasks).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to General Guidance in the beginning this section for the definition of *Responsibility* in the context of operational control.

The intent of this provision is to specify the various ways operational control responsibilities can be assigned by an operator and to ensure only suitably trained and qualified individuals, in addition to the PIC, are assigned overall responsibility for operational control or the responsibility to carry out one or more functions, duties or tasks related to the operational control of each flight.

The specifications of this provision apply irrespective of post holder titles or whether personnel positions are described in the OM. If personnel are assigned the responsibility to carry out operational control functions, duties or tasks, and act in a manner consistent with the specifications of this provision or the descriptions found in [Table 3.1](#), the specifications of this provision are applicable, as well as the specifications of ensuing provisions that require such personnel to be trained and qualified for the operational control responsibilities, functions, duties or tasks that they are performing.

Examples of operational control systems are provided in the following table as a means to identify how responsibility is typically assigned by an operator.

System of Operational Control	Item	System Description
Shared systems (General)	(i) (a), (i) (b)	Operational control responsibility is shared between the PIC and an FOO or designated member of management.
Full Shared System (PIC and FOO)	(i) (a)	The PIC and FOO are <b>jointly responsible</b> for the decisions, functions, duties or tasks associated with the operational control of a flight. Such systems are characterized by flight monitoring and a dedicated communications system (voice or electronic) separate from the ATC system in order to maintain joint responsibility.
Partial Shared System (PIC and FOO)	(i) (a)	The PIC and FOO are <b>jointly responsible</b> for all preflight decisions, functions, duties or tasks associated with the operational control of a flight, but during flight the PIC has sole responsibility. Such systems are characterized by the use of flight monitoring if required by the Authority or desired by the Operator and typically lack the dedicated communications system necessary to maintain shared responsibility in flight.
Shared System (PIC and Management)	(i) (b)	Functionally equivalent to a full shared system except that the PIC and a designated member of management, often the Director of Flight Operations or any suitably qualified and knowledgeable member of management designated by the operator are <b>jointly responsible</b> for the functions, duties or tasks associated with the operational control of a flight. The responsibility to carry out actual functions, duties or tasks such as flight planning, supporting/briefing the crew or flight monitoring is typically assigned to other non-management personnel (e.g. FOOs and/or FOAs).
Non-shared Systems (General)	(ii) (a)–(d)	Operational control responsibility is assigned only to the PIC who may or may not be assisted by other support personnel.
Non-shared System (PIC-only)	Parent provision and/or (ii) (d)	The PIC is <b>solely responsible</b> for completing all tasks (unassisted) related to the operational control of each flight. This does not preclude administrative personnel from providing, collecting or assembling operational documents or data related to each flight on behalf of the PIC as defined in <a href="#">Table 3.1</a> . Such systems employ flight monitoring if required by the Authority or desired by the operator.
Non-shared System (PIC-assisted)	(ii) (a)–(c)	The PIC is <b>solely responsible</b> for all decisions regarding operational control. However, the PIC may be assisted by others, such as an FOA, or an FOO or member of management that functions as an FOA, who is assigned the responsibility to carry out specific functions, duties or tasks, such as flight planning, support, briefing and in-flight monitoring. Such systems employ flight monitoring if required by the Authority or desired by the operator.

System of Operational Control	Item	System Description
<p><b>Note:</b></p> <ul style="list-style-type: none"> <li>FOOs can be present in shared or non-shared systems of operational control to support, brief and/or assist the PIC or designated member of management in all competencies of operational control.</li> <li>FOAs can be present in any system of operational control except purely non-shared (PIC-only) systems, but their responsibilities are limited to their area(s) of expertise.</li> <li>FOAs may be assigned specific flight responsibilities depending on area of expertise or general (non-flight specific) responsibilities in support of other operational control personnel or functions.</li> <li>The responsibilities of administrative personnel used in operational control functions are limited to the provision or collection of operational data.</li> </ul>		

Table 3.1 categorizes operational control personnel, defines their authority, identifies their responsibilities and illustrates the relationship of such responsibilities to the operation as a whole.

Table 3.5 defines the competencies of individuals assigned the responsibility for operational control and/or the responsibility to carry out individual operational control functions, duties or tasks.

When operational control functions are outsourced to external service providers, an operator would retain overall responsibility for operational control and would ensure such service providers are subjected to contractual and monitoring processes as specified in DSP 1.11.1A and 1.11.2.

FOO and/or FOA responsibilities for operational control typically begin when assigned a flight during flight preparation and end after flight termination.

## DSP 1.3.6

If an FOO is used in the system of operational control, the Operator shall assign responsibility to such personnel for:

- (i) Assisting the PIC in flight preparation and providing required information;
- (ii) Assisting the PIC in preparing the operational and ATS flight plans;
- (iii) When applicable, signing the operational and ATS flight plans;
- (iv) Filing the ATS flight plan with the appropriate ATS unit;
- (v) Furnishing the PIC, while in flight, with appropriate information necessary for the safe conduct of the flight;
- (vi) If the Operator tracks aircraft position in accordance with DSP 3.5.2 and/or DSP 3.5.3, notifying the appropriate ATS unit when the position of the aircraft cannot be determined by an aircraft tracking capability, and attempts to establish communication are unsuccessful;
- (vii) In the event of an emergency, initiating relevant procedures as specified in the OM. **(GM)**

**Note:** An operator may choose to assign responsibility for one or more of the specified functions to an FOA, or the PIC may be assigned the responsibility for filing the flight plan in the case of iv) and/or for obtaining the necessary information in the case of v).

## Auditor Actions

- ☐ **Identified/Assessed** FOO responsibilities in operational control system (focus: definition of individual functions/duties/tasks assigned to FOO in specific type of shared/non-shared system of operational control).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** job description for FOO position (focus: position responsibilities appropriate for assigned functions/duties/tasks in specific type of shared/non-shared system of operational control).
- ☐ **Examined** training/qualification records of selected FOO personnel (focus: qualifications appropriate for assigned responsibilities in operational control system).

- ☐ **Observed** operational control/flight dispatch operations (focus: assignment of functional responsibilities/duties to FOO personnel).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Aircraft Tracking.

The specifications of this provision apply to each FOO qualified in all applicable competencies of operational control, whether licensed or not, who participates in an approved or accepted system of operational control and:

- Is delegated authority in accordance with [DSP 1.3.4](#), and/or
- Is assigned the responsibility in accordance with [DSP 1.3.5](#) to carry out operational control functions, duties or tasks related to all applicable competencies specified in [Table 3.5](#).

The authority and responsibilities of an FOO are defined in [Table 3.1](#).

The specification in item v) may be satisfied by the PIC if such information is available from other sources that can be accessed while in flight.

## DSP 1.3.7

The Operator shall have a process to be used in the event of an emergency situation that endangers the safety of the aircraft or persons, including those situations that become known first to the Operator. Such process shall ensure the FOO, FOA or other delegated person:

- (i) Initiates emergency procedures, as outlined in the OM, while avoiding taking any action that would conflict with ATC procedures;
- (ii) Notifies the appropriate authorities, without delay, of the nature of the situation;
- (iii) Requests assistance, if required;
- (iv) Conveys, by any available means, safety-related information to the PIC that may be necessary for the safe conduct of the flight, including information related to any necessary amendments to the flight plan. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** OM procedure for implementation of emergency procedures/actions (focus: definition of operational control positions/persons with assigned responsibility for initiating emergency procedures/notifying authorities/requesting assistance).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: preparedness to implement emergency actions).
- ☐ **Other Actions** (Specify)

## Guidance

The specification in item ii) refers to notification to the appropriate authorities without delay and/or within a period(s) specified by each applicable authority.

Applicable authorities include those authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

Processes used for operational control of flights in the event of an emergency would typically be compatible with any operating procedures that have been established by the agencies providing system services for air traffic control. Such compatibility is necessary to avoid conflict and ensure an effective exchange of information between the operator and any of the service agencies.

During an operational emergency, the procedures specified in item i) would normally be designed to not conflict with ATC procedures, such as separation standards, controller instructions, minimum flight altitude assignments or any other restrictions imposed by ATC. During an emergency, however, the PIC may exercise emergency authority and take any action necessary in the interest of the safety of the passengers and aircraft.

It would also be important in this context for the PIC to convey relevant information to the FOO, FOA or other delegated person during the course of the flight with respect to the emergency situation.

## 1.4 Communication and Coordination

### DSP 1.4.1

The Operator shall have a system that enables effective communication of relevant safety and operational information throughout the operational control management system and in all areas where operational control is conducted. Such system shall ensure:

- (i) Personnel maintain an awareness of the SMS;
- (ii) Safety-critical information is conveyed;
- (iii) If applicable, external service providers are provided with information relevant to operations conducted. **[SMS] (GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** communication system(s) in operational center/office (focus: capability for communicating information relevant to operations among operational personnel involved).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** examples of information communication/transfer in operational center/office.
- ☐ **Interviewed** selected non-management operational control personnel.
- ☐ **Other Actions** (Specify)

#### Guidance

The specifications of this provision may be satisfied by the flight operations organization and/or other organization(s) with responsibilities related to the operational control of flights.

This specification also applies to coordination among appropriate managerial personnel associated with supervision of operational control.

Refer to Guidance associated with [ORG 4.2.1](#) located in ISM Section 1.

### DSP 1.4.2

The Operator shall have a communication system that ensures operational control personnel are provided with or have access to information relevant to the safe conduct of each flight, to include information associated with:

- (i) The aircraft (MEL, maintenance);
- (ii) Meteorology;
- (iii) Safety, including current accident and incident notification procedures;
- (iv) Routes, including over water and critical terrain (NOTAMs, facilities, outages);
- (v) Air Traffic Services (ATS). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** system for dissemination of operational safety information in operational center/office (focus: capability for communicating safety information relevant to operational control personnel; definition of types of safety information required to be disseminated).
- ☐ **Identified/Assessed** accident/incident notification procedures for use by operational control personnel.
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** names/numbers of applicable personnel on mass messaging list.
- ☐ **Examined** examples of operational safety information disseminated in operational center/office.
- ☐ **Observed** operational control/flight dispatch operations (focus: operational control personnel have access to information relevant to safe conduct of flights, accident/incident notification procedures).
- ☐ **Other Actions** (Specify)



## Guidance

The specifications of this provision apply to the PIC, an FOO, a designated member of management and/or an FOA whose job functions require access to information in one or more of the areas specified.

An effective system ensures operational control personnel are in receipt of relevant and current information, as necessary, to complete operational control functions, duties or tasks.

Accident and incident notification procedures are typically contained in an operator's Emergency Response Plan or Manual, or in a dedicated checklist accessible in the Dispatch or Operations Control location.

## 1.5 Provision of Resources

### DSP 1.5.1

The Operator shall have the necessary facilities, workspace, equipment and supporting services, as well as work environment, to satisfy operational control safety and security requirements. **(GM)** ◀

**Note:** *Conformity with this provision does not require specifications to be documented by the Operator.*

### Auditor Actions

- ☐ **Observed** operational control/flight dispatch operations (focus: adequate facilities/workspace/equipment for operational control activities).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 1.5.2](#) located in ISM Section 1.

The specifications of this provision refer only to the infrastructure and resource requirements that would be necessary to deliver safe and secure flight operations, to include operational control and support facilities, services and equipment.

The specifications of this provision may be satisfied by the flight operations organization and/or other organization(s) with responsibilities related to the operational control of flights.

Implementation of this standard (i.e. adequacy of physical resources, work environment) is typically assessed through observations made by the auditor(s) during the course of the on-site audit.

### DSP 1.5.2

The Operator shall have a selection process for management and non-management operational control positions within the organization that require the performance of functions relevant to the safety or security of aircraft operations. Such process shall ensure candidates are selected on the basis of knowledge, skills, training and experience appropriate for the position. **(GM)** ◀

### Auditor Actions

- ☐ **Identified/Assessed** standards/processes for selection of operational control personnel in functions relevant to safety of flights.
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Interviewed** personnel that perform operational control functions relevant to safety of flights.
- ☐ **Other Actions** (Specify)

### Guidance

The operational control positions subject to the specifications of this provision include, as a minimum:

- Managerial personnel, as defined by the operator, required to ensure control and supervision of flight operations in accordance with [DSP 1.1.1](#);
- Post holders as required by the Authority if applicable;

FOO knowledge, skill and experience requirements are in accordance with [DSP 1.5.6](#) and [1.5.7](#).



FOA knowledge, skill and experience requirements are in accordance with [DSP 1.5.7](#).

FOO and FOA training requirements are in accordance with the applicable provisions of [Subsection 2](#), Training and Qualification.

PIC knowledge, skill, experience and training requirements are in accordance with the applicable provisions of ISM Section 2 (FLT), [Subsection 2](#), Training and Qualification.

#### **DSP 1.5.3**

The Operator shall have a process to ensure applicants hired in operational control functions are required to demonstrate the capability of speaking and reading in a language that will permit communication with other areas within the organization relevant to operational control.

##### **Auditor Actions**

- ☐ **Identified/Assessed** requirement for language evaluation prior to hiring/selection of operational control personnel (focus: evaluation of speaking/reading skills; level of proficiency required that permits communication in subjects relevant to operational control of flights).
- ☐ **Identified** the language/methodology used for communication with staff in different areas across the operator's network on matters pertaining to operational control.
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** language evaluation syllabus (focus: demonstration of speaking/reading language proficiency).
- ☐ **Examined** selected operational control personnel selection records (focus: completion of language evaluation prior to selection).
- ☐ **Other Actions** (Specify)

#### **DSP 1.5.4**

If a licensed FOO is used in the system of operational control, the Operator shall ensure each FOO, prior to being assigned to operational control duties, holds a valid Flight Operations Officer or Flight Dispatcher license issued or recognized by the State. **(GM)**

##### **Auditor Actions**

- ☐ **Identified** use of FOO in operational control system (focus: applicable to FOO/Flight Dispatcher function as defined in [Table 3.1](#)).
- ☐ **Identified** regulatory requirement for FOO licensing.
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected FOO personnel selection records (focus: possession of valid license prior to assignment to perform FOO duties).
- ☐ **Observed** operational control/flight dispatch operations (focus: valid license for personnel that perform FOO function as defined in [Table 3.1](#)).
- ☐ **Other Actions** (Specify)

##### **Guidance**

The specifications of this provision apply only to each FOO qualified in all applicable competencies of operational control who participates in an approved or accepted system of operational control and:

- Is delegated authority in accordance with [DSP 1.3.4](#), and/or
- Is assigned the responsibility in accordance with [DSP 1.3.5](#) to carry out operational control functions, duties or tasks related to all applicable competencies specified in [Table 3.5](#), and
- Requires licensing or certification by the State in order to participate in an approved or accepted system of operational control.

#### **DSP 1.5.5** (Intentionally open)

## DSP 1.5.6

If an FOO is used in the system of operational control, the Operator *should* ensure personnel hired to perform the FOO functions are not less than 21 years of age and meet one or more of the following criteria:

- (i) Have, as a minimum, one year of experience as an assistant in the operational control of air transport flights, or
- (ii) Have satisfactorily completed a formal training course as a flight operations officer or flight dispatcher, or
- (iii) Have, as a minimum, a total of two years of service in any one or combination of the following:
  - (a) Flight crew member in air transport operations;
  - (b) Meteorologist in an organization dispatching aircraft;
  - (c) Air traffic controller;
  - (d) Technical supervisor of FOO personnel;
  - (e) Technical supervisor of air transportation systems. **(GM)**

### Auditor Actions

- ☐ **Identified** use of FOO in operational control system (focus: applicable to FOO/Flight Dispatcher function as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** age/training/experience prerequisites for personnel prior to selection/hiring as FOO (focus: definition of specific age/training/experience prerequisites that must be satisfied).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected FOO personnel training/qualification records (focus: completion/satisfaction of defined age/training/experience prerequisites prior to selection/hiring as FOO).
- ☐ **Other Actions** (Specify)

### Guidance

The specifications of this provision apply to each FOO qualified in all applicable competencies of operational control, whether licensed or not, who participates in an approved or accepted system of operational control and:

- Is delegated authority in accordance with [DSP 1.3.4](#), and/or
- Is assigned the responsibility in accordance with [DSP 1.3.5](#) to carry out operational control functions, duties or tasks related to all applicable competencies specified in [Table 3.5](#).

## DSP 1.5.7

If an FOO or FOA is used in the system of operational control, the Operator shall have a process to ensure such personnel, prior to being assigned duties in an operational control function:

- (i) As applicable, meet minimum age, knowledge, experience and skill requirements of the State;
- (ii) Are trained to a minimum competency level acceptable to the Operator and/or State;
- (iii) For FOAs, have demonstrated the ability to provide assistance in their area(s) of competency to, as applicable, the PIC and/or FOO. **(GM)**

### Auditor Actions

- ☐ **Identified** the use of FOO/FOA in operational control system (focus: applicable to FOA function as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** prerequisites for FOO/FOA personnel prior to assignment to perform operational control duties (focus: definition of specific prerequisites that must be satisfied; defined prerequisites include all regulatory requirements/knowledge/proficiencies as defined in [Table 3.5](#)/relevant operational control abilities).
- ☐ **Interviewed** responsible operational control manager(s).

- ❑ **Examined** selected FOO/FOA personnel training/qualification records (focus: completion/satisfaction of defined age/training/experience prerequisites prior to selection/hiring as FOO/FOA).
- ❑ **Other Actions** (Specify)

## Guidance

The specifications of this provision apply to FOO personnel (whether licensed or not) and/or FOA personnel who are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#) respectively, and are assigned to carry out operational control functions, duties or tasks as an FOO or FOA as defined in [Table 3.5](#).

## 1.6 Documentation System

**DSP 1.6.1** (Intentionally open)

**DSP 1.6.2** (Intentionally open)

### DSP 1.6.3

The Operator shall have a system for the management and control of documentation and/or data used directly in the conduct or support of Dispatch operations. Such system shall ensure documentation:

- (i) Meets all required elements specified in [Table 1.1](#);
- (ii) Contains legible and accurate information;
- (iii) Is presented in a format appropriate for use in operations. **(GM)** ◀

## Auditor Actions

- ❑ **Identified/Assessed** system(s) for management/control of content/format of operational documentation/data used in operational control system.
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Examined** selected parts of the OM (focus: legibility/accuracy/format; approval as applicable).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Documentation, Electronic Documentation and Paper Documentation. Refer to [ORG 2.5.1](#) and associated Guidance, and [Table 1.1](#), located in ISM Section 1.

### DSP 1.6.4

The Operator shall ensure the system for the management and control of operational control documentation as specified in [ORG 2.5.1](#) and [Table 1.1](#) addresses, as a minimum, the following documents from external sources:

- (i) As applicable, regulations of the State of the Operator and of other states or authorities relevant to operations;
- (ii) As applicable, ICAO Standards and Recommended Practices; (SARPS), manuals, regional supplementary procedures and/or circulars;
- (iii) Airworthiness Directives (ADs);
- (iv) As applicable, Aeronautical Information Publications, (AIP) and NOTAMS;
- (v) State-approved or State-Accepted Aircraft Flight Manuals (AFM);
- (vi) Manufacturer's Aircraft Operating Manuals (AOMs), including performance data, weight and balance data/manuals, checklists and MEL/CDL;
- (vii) As applicable, other manufacturer's operational communications. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** system(s) for management/control of documentation/data used in operational control system (focus: system addresses documents from external sources; definition of applicable external documents).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected documents from external sources (focus: application of management/control elements).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Aeronautical Information Publication (AIP), Aircraft Operating Manual (AOM), Approved Flight Manual, Airworthiness Directive (AD), Configuration Deviation List (CDL), Master Minimum Equipment List (MMEL), Minimum Equipment List (MEL), State Acceptance and State Approval.

The specifications of this provision may be satisfied by the flight operations organization documentation management and control system, if used in conjunction with the operator's system of operational control.

The specifications in item i) refer to:

- Applicable regulations imposed on an operator by the State that issues the Air Operator Certificate (AOC);
- Regulations issued by other states and/or authorities that actively regulate foreign operators, which may be done through issuance of an Operational Specification (OPS SPEC) or specific state legislation;
- Regulations, standards, recommended practices, supplemental procedures and/or guidance material that are applicable to the operations of the operator by any states or authorities with jurisdiction over the operations of the operator. Applicable authorities would include those that have jurisdiction over international operations conducted by an operator over the high seas or over the territory of a state that is other than the State of the Operator.

The specification in item ii) refers to applicable ICAO standards and/or recommended practices that are referenced in the operator's documentation.

The specification for the manufacturer's AFM in item v) may be replaced by an Aircraft Operating Manual (AOM) customized by the manufacturer for the specific use in flight operations by an operator.

The specification in item vi) refers to bulletins or directives distributed by the manufacturer for the purposes of amending aircraft technical specifications and/or operating procedures.

The specification in item vii) refers to operational communications received from the manufacturer of equipment that is installed on the aircraft, typically from the manufacturers of the engines, components and safety equipment.

## 1.7 Operations Manual

### DSP 1.7.1

The Operator shall have an Operations Manual (OM) for the use of operational control personnel, which may be issued in separate parts, and which contains or references the policies, procedures and other guidance or information necessary for compliance with applicable regulations, laws, rules and Operator standards. As a minimum, the OM shall:

- (i) Be managed and controlled in accordance with [DSP 1.6.3](#);
- (ii) Have all parts relevant to operational control personnel clearly identified and defined;
- (iii) Be in accordance with the specifications in [Table 3.2. \(GM\)](#)

## Auditor Actions

- ☐ **Identified/Assessed** operational documents that comprise the OM (focus: external documents referenced in OM/used by operational control personnel).

- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected parts of OM (focus: contents in accordance with in [Table 3.2](#)).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure operational control personnel are able to find all information necessary to perform their functions either within the OM or within another document that is referenced in the OM. The OM is normally identified as a source of operational information approved or accepted for the purpose by the operator or the State.

Refer to the [FLT 1.7.4](#) and associated guidance for human factors principles observed in the design of the OM.

#### DSP 1.7.2

The Operator shall have a description of the Operational Flight Plan (OFP) or equivalent document that is published in the OM and includes:

- (i) Guidance for use by operational control personnel;
- (ii) An outline of the content in accordance with specifications in [Table 3.3](#). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** description of OFP in OM.
- ☐ **Examined** selected OFP(s).
- ☐ **Other Action** (Specify)

#### Guidance

Items readily available in other documentation, obtained from another acceptable source or irrelevant to the type of operation may be omitted from the OFP.

#### DSP 1.7.3 (Intentionally open)

#### DSP 1.7.4

If an FOO or FOA is used in the system of operational control, the Operator shall have guidance and procedures to enable such personnel, as applicable, to comply with the conditions and limitations specified in the AOC. **(GM)**

#### Auditor Actions

- ☐ **Identified** use of FOO/FOA in operational control system (focus: applicable to FOO/FOA/designated management member functions as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** OM guidance/procedures used by FOO/FOA personnel (focus: procedures ensure compliance with AOC conditions/limitations).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: compliance with AOC conditions/limitations by FOO/FOA personnel).
- ☐ **Other Actions** (Specify)

#### Guidance

The specifications of this provision apply to FOO or FOA personnel who are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#), respectively.

Refer to Guidance associated with [FLT 1.2.1](#) for information on the content of the AOC, to include conditions and limitations.

The intent of this provision is to ensure conditions and limitations of the AOC are available in documentation for use, as required, by flight operations officers/flight dispatchers (FOO) and/or flight operations assistants (FOA).

## 1.8 Records System

### DSP 1.8.1

The Operator shall have a system for the management and control of operational control records to ensure the content and retention of such records is in accordance with requirements of the Authority, as applicable, and to ensure operational records are subjected to standardized processes for:

- (i) Identification;
- (ii) Legibility;
- (iii) Maintenance;
- (iv) Retention and retrieval;
- (v) Protection, integrity and security;
- (vi) Disposal, deletion (electronic records) and archiving. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** system for management/control of records in operational control system (focus: system includes standardized processes as specified in standard).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected operational control records.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to guidance associated with [ORG 2.6.1](#) located in ISM Section 1.

### DSP 1.8.2

The Operator shall ensure the system for the management and control of operational control records as specified in [DSP 1.8.1](#) addresses, as a minimum, records that document or include:

- (i) Operational information, communications and data for each flight specified in [DSP 1.8.4](#) and [Table 3.4](#);
- (ii) The fulfillment of FOO and/or FOA qualification requirements specified in [DSP 1.8.6](#), [1.8.8](#) and [1.8.9](#), as applicable;
- (iii) A signed copy of the OFP or equivalent document, as specified in [DSP 3.2.5](#).

#### Auditor Actions

- ☐ **Identified/Assessed** system for management/control of records in operational control system (focus: definition of information documented in records system).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected operational control records (focus: include information specified in [Table 3.4](#); communication records; FOO/FOA training/qualification records; OFP records).
- ☐ **Other Actions** (Specify)

#### Guidance

The specifications in item (i) may be satisfied by the flight operations organization records system, if used in conjunction with the operator's system of operational control.

### DSP 1.8.3

If the Operator uses an electronic system for the management and control of operational control records, the Operator shall ensure the system provides for a scheduled generation of backup record files. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** electronic system for management/control of records (focus: system includes backup process that defines a schedule for periodic file backup).
- ☐ **Interviewed** responsible operational control manager(s).

- ☐ **Examined** selected records of backup files (focus: records periodically backed up in accordance with system process).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 2.6.2](#) located in ISM Section 1.

### DSP 1.8.4

The Operator shall have a process or procedures to record and retain operational information, communications and data for each flight. As a minimum, such retained flight information and data shall be in accordance with the specifications in [Table 3.4](#) and retained for a period of time determined by the Operator or the Authority. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** process or procedures for management/control of records in operational control system (focus: retention of information/data for each flight as specified in [Table 3.4](#)).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected operational control records (focus: information/data for each flight as specified in [Table 3.4](#)).
- ☐ **Other Actions** (Specify)

## Guidance

Operational information and data may be retained by different means (e.g. ACARS logs, paper logs, manually, computer systems).

Fuel and oil consumption records are typically maintained in accordance with [MNT 3.1.1](#).

The communications typically subject to the record keeping specifications of this provision include operational voice, text, or data communications to/from:

- Flights from the period beginning at the originating station when flight crew begins their duties on the flight deck until the flight crew finishes their duties on the flight deck at the terminating station;
- If applicable, the operations control center.

Aircraft tracking data is typically retained only for the purposes of determining an aircraft's position in the event of an accident.

### DSP 1.8.5 (Intentionally open)

### DSP 1.8.6

If an FOO or FOA is used in the system of operational control, the Operator shall ensure training records for such personnel, as applicable, are managed and maintained in accordance with [DSP 1.8.1](#), to include records that document completion of:

- (i) Initial qualification;
- (ii) Continuing qualification;
- (iii) Competency evaluations. **(GM)**

**Note:** Records that document the completion of competency evaluations shall be retained for a period in accordance with requirements of the Authority, but not less than one year.



## Auditor Actions

- ☐ **Identified** use of FOO/FOA in operational control system (focus: applicable to FOO/FOA functions as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** system for management/control of records in operational control system (focus: retention of FOO/FOA training/qualification information).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected operational control records (focus: FOO/FOA training/qualification information).
- ☐ **Other Actions** (Specify)

## Guidance

The specifications of this provision apply to FOO or FOA personnel that are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#), respectively.

Initial qualification training records are typically retained permanently while an individual is employed by an operator, unless required otherwise by the Authority.

Continuing qualification training records are typically retained for three years to ensure that the subjects required in [DSP 2.2.2](#) have been covered during that time period.

PIC training records are addressed in ISM [Section 2](#) (FLT).

**DSP 1.8.7** (Intentionally open)

## DSP 1.8.8

If the Operator has a flight deck familiarization program for FOO personnel in accordance with [DSP 2.3.4](#), the Operator *should* have a procedure to retain a record of the operational flight deck familiarization activities completed by each FOO for a period of time in accordance with requirements of the Operator and/or Authority. **(GM)**

## Auditor Actions

- ☐ **Identified** use of FOO in operational control system (focus: applicable to FOO functions as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** procedure for retention of records (focus: retention of FOO operational flight deck familiarization activities; retention period in accordance with regulatory requirements).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected operational control records (focus: FOO operational flight deck familiarization activities).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to [DSP 2.3.4](#) for the flight deck familiarization program specifications including recurrent training intervals.

In light of the [DSP 2.3.4](#) recurrent training interval, the minimum record retention period is typically 12 months unless a longer retention period is specified by the Authority.

## DSP 1.8.9

If a licensed FOO is used in the system of operational control, the Operator shall have a procedure to retain a copy of the license of each FOO for a period of time, in accordance with the requirements of the Operator and/or Authority. **(GM)**

## Auditor Actions

- ☐ **Identified** use of licensed FOO in operational control system (focus: applicable to FOO functions as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** procedure for retention of records (focus: retention of FOO license copy).
- ☐ **Interviewed** responsible operational control manager(s).

- ☐ **Examined** selected operational control records (focus: FOO license copy).
- ☐ **Other Actions** (Specify)

## Guidance

This provision is only applicable to operators that have a state requirement for licensing of FOO personnel in conjunction with an approved system of operational control.

## 1.9 (Intentionally open)

### 1.10 Quality Assurance Program

#### DSP 1.10.1

The Operator shall have a quality assurance program that provides for the auditing and evaluation of the management system and operational control functions at planned intervals to ensure the organization(s) with responsibility for operational control is (are):

- (i) Complying with applicable regulations and standards;
- (ii) Satisfying stated operational control needs;
- (iii) Identifying areas requiring improvement;
- (iv) Identifying hazards to operations;
- (v) Assessing the effectiveness of safety risk controls. **[SMS] (GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** quality assurance program in operational control system (focus: role/purpose within organization/SMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management/operational areas).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected operational control audit reports (focus: audit scope/process/organizational interface).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Quality Assurance (QA).

Refer to [Table 3.1](#) for examples of operational control functions that could be subjected to audit and evaluation as part of an operator's quality assurance program.

Previous audit results could be made available by the operator as evidence of program implementation.

Audit records generated by the quality assurance program would be managed and controlled in accordance with [DSP 1.8.1](#).

The management systems responsible for operational control might vary according to the operator and/or State.

If operational control is under the flight operations management system, refer to ISM Section 2 (FLT), [Subsection 1.10](#).

Refer to Guidance associated with [ORG 2.1.1](#) located in ISM Section 1 for typical audit program requirements.

#### DSP 1.10.2

The Operator shall have an audit planning process and sufficient resources to ensure audits of operational control functions are:

- (i) Scheduled at intervals to meet regulatory and management system requirements;
- (ii) Conducted within the scheduled interval. **(GM) ◀**

### Auditor Actions

- ☐ **Identified/Assessed** quality assurance audit planning process in operational control system (focus: audits planned/scheduled/conducted in accordance with applicable internal/external requirements).
- ☐ **Identified/Assessed** audit resources (focus: availability of sufficient auditors/other resources to accomplish audit plan).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Crosschecked** audit plan with selected audit reports (focus: audits conducted in accordance with audit plan).
- ☐ **Other Actions** (Specify)

### Guidance

Intervals of surveillance activities might vary depending on the operator.

Previous outcomes would typically be considered in determining audit intervals.

Refer to Guidance associated with [ORG 2.1.5](#) located in ISM Section 1.

### DSP 1.10.3

The Operator shall have a process to ensure significant issues arising from operational control quality assurance and risk management are subject to management review in accordance with [ORG 4.1.1. \[SMS\] \(GM\)](#) ◀

### Auditor Actions

- ☐ **Identified/Assessed** process for management review of operational control quality assurance issues (focus: continual improvement of quality assurance program).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected records/documents of management review of operational control quality assurance program issues (focus: specific issues/changes identified/implemented to improve quality assurance program).
- ☐ **Other Actions** (Specify)

### Guidance

Significant issues would be defined by the operator but are typically regarded as those issues that could affect the safety and/or quality of operations.

Refer to [ORG 4.1.1](#), [ORG 4.1.2](#), and associated Guidance located in ISM Section 1.

### DSP 1.10.4

The Operator shall have a process for addressing findings that result from audits conducted under the quality assurance program, which ensures:

- (i) Identification of root cause(s);
- (ii) Development of corrective action as appropriate to address findings;
- (iii) Implementation of corrective action in appropriate operational areas;
- (iv) Evaluation of corrective action to determine effectiveness. **(GM)** ◀

### Auditor Actions

- ☐ **Identified/Assessed** process for addressing/closing operational control audit findings.
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected audit reports/records (focus: identification of root cause, development/implementation of corrective action, follow-up to evaluate effectiveness).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 2.1.7](#) located in ISM Section 1.

## 1.11 Quality Control of Outsourced Operations and Products

### DSP 1.11.1A

If the Operator has external service providers conduct outsourced operational control functions, the Operator shall ensure a service provider selection process is in place that ensures:

- (i) Relevant safety and security selection criteria are established;
- (ii) Service providers are evaluated against such criteria prior to selection. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** selection process for external service providers.
- ☐ **Interviewed** responsible manager in operational control.
- ☐ **Examined** selected records/documents that demonstrate application of the selection process.
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is for an operator to define relevant safety and security criteria for use in the evaluation and potential selection of operational control service providers. This is the first step in the management of external service providers and would take place prior to the operator signing an agreement with a provider. The process need be applied only once leading up to the selection of an individual service provider.

Refer to Guidance associated with [ORG 1.6.1](#) located in ISM Section 1.

### DSP 1.11.1B

If the Operator has external service providers conduct outsourced operational control functions, the Operator shall have a process to ensure a contract or agreement is executed with such external service providers. Such contract(s) or agreement(s) shall identify the application of specific documented requirements that can be monitored by the Operator, to ensure requirements that affect the safety of flight operations are being fulfilled by the service provider. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** processes for contract/agreement production/execution with external service providers that conduct outsourced operational control functions.
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected operational control outsourcing contracts/agreements (focus: inclusion of or reference to specific requirements applicable to external service providers).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Operational Function (Aircraft Operations) and Outsourcing.

Examples of operational control functions that might be outsourced typically include flight planning, aircraft tracking, the provision of position information of flights in distress to appropriate organizations, flight monitoring, and/or weight and balance provision/computation.

Refer to Guidance associated with [ORG 1.6.2](#) located in ISM Section 1.

### DSP 1.11.2

If the Operator has external service providers conduct operational control functions associated with the operational control of flights, the Operator shall have a process to monitor such external service providers, to ensure requirements that affect the safety of flight operations are being fulfilled. **(GM)** ◀

**Note:** IOSA registration as the only means to monitor is acceptable provided the Operator obtains the latest of the applicable audit report(s) through official program channels and considers the content of such report(s).

## Auditor Actions

- ❑ **Identified/Assessed** processes used for monitoring external operational control service providers (focus: monitoring process ensures provider is fulfilling applicable safety/security requirements).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Examined** selected records/reports resulting from monitoring of operational control service providers (focus: monitoring process ensures provider is fulfilling applicable safety/security requirements).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 2.2.1](#) located in ISM Section 1.

An operator would typically use external auditing in accordance with [DSP 1.11.5](#) as the preferred process for the monitoring and control of external organizations.

### DSP 1.11.3

If the Operator utilizes products for flight operations relevant to the safety and security of aircraft operations that are purchased or otherwise acquired from an external vendor or supplier (other than electronic data products as specified in [FLT 4.2.6](#) and [FLT 4.2.7](#)), the Operator *should* have processes to ensure such products meet the technical requirements specified by Operator prior to being used in the conduct of operations. **(GM)** ◀

## Auditor Actions

- ❑ **Identified/Assessed** processes for acceptance of acquired products used in operational control system.
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Examined** selected product acceptance records (focus: acquired products meet applicable operational control technical requirements).
- ❑ **Other Actions** (Specify)

## Guidance

Conformity with this provision ensures databases and other internal and external sources of operational data provided for operational control are current, accurate and complete.

Examples of acquired operational control data or products typically include performance data, weight and balance data, aircraft tracking systems/products, meteorological reporting/monitoring and NOTAMs.

Refer to guidance associated with [ORG 2.3.1](#) located in ISM Section 1.

### DSP 1.11.4

If the Operator uses electronic navigation data products for application in operational control, the Operator shall have processes, approved or accepted by the State, if required, which ensure such electronic navigation data products acquired from suppliers, prior to being used in operations:

- (i) Are assessed for a level of data integrity commensurate with the intended application;
- (ii) Are compatible with the intended function of equipment in which it is installed. **(GM)**

## Auditor Actions

- ❑ **Identified/Assessed** processes for acceptance of electronic navigation data products acquired for application in operational control (focus: assessment for data integrity/functionality are compatible with intended use; processes have regulatory acceptance).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Examined** selected product acceptance records (focus: products assessed for data integrity/functionality).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Navigation Data Integrity.

The responsibility of ensuring electronic navigation data is assessed for integrity and is compatible with the intended application rests with the operator.

Navigation database integrity can be assured by obtaining data from a supplier accredited in accordance with approved or accepted standards of data integrity and quality. Such standards include but are not limited to:

- RTCA/DO-200A, Standards for Processing Aeronautical Data, issued 09/28/98;
- RTCA/DO-201A, Standards for Aeronautical Information, issued 04/19/00;
- Advisory Circular (AC) 20-153, Acceptance of Data Processes and Associated Navigation Databases, issued 09/20/10.

The specifications in items i) and ii) may be satisfied by an operator, in accordance with State-approved or-accepted methods for assuring data integrity and compatibility, such as:

- Obtaining a letter of acceptance from an applicable authority stating the data supplier conforms to a recognized standard for data integrity and compatibility that provides an assurance level of navigation data integrity and quality sufficient to support the intended application, **or**
- The existence of operator validation processes to determine navigation data compatibility and accuracy that provide an assurance level of navigation data integrity and quality sufficient to support the intended application.

Monitoring and control of electronic navigation data products acquired from suppliers are also in accordance with [DSP 1.11.3](#).

### DSP 1.11.5

If the Operator has external service providers conduct operational functions associated with the operational control of flights, the Operator *should* include auditing as a process for the monitoring of external service providers in accordance with [DSP 1.11.2](#). **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** auditing processes used for monitoring external operational control service providers.
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected records/reports resulting from auditing of operational control service providers (focus: audit process ensures provider is fulfilling applicable safety requirements).
- ☐ **Other Actions** (Specify)

## Guidance

Monitoring and control of external organizations by an operator might include random samplings, product audits, supplier audits, or other similar methods.

Refer to guidance associated with [ORG 2.2.2](#) located in ISM Section 1.

## 1.12 Safety Management

### Risk Management

#### DSP 1.12.1

The Operator shall have a hazard identification program in the organization responsible for the operational control of flights that includes a combination of reactive and proactive methods of hazard identification. **[SMS] (GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** safety hazard identification program in operational control system (focus: program identifies hazards to aircraft operations; describes/defines method(s) of safety data collection/analysis).



- ☐ **Identified/Assessed** role of operational control in cross-discipline safety hazard identification program (focus: participation with other operational disciplines).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Interviewed** person(s) that perform operational control data collection/analysis to identify hazards to aircraft operations.
- ☐ **Examined** selected examples of hazards identified through operational control data collection/analysis.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Hazard (Aircraft Operations) and Safety Risk.

Hazard identification is an element of the Safety Risk Management component of the SMS framework.

The specifications of this provision may be satisfied by the hazard identification program in the flight operations organization if such program includes the operational control system.

Hazard identification specific to an operational activity (e.g. aircraft tracking, alternate airport selection, fuel planning and/or ETOPS/EDTO) is an SRM process that is central to the development and use of variations, including Operational Variations approved by the Authority, in accordance with applicable provisions in subsections 3 and 4.

Refer to Guidance associated with [ORG 3.1.1](#) located in ISM Section 1.

## DSP 1.12.2

The Operator shall have a safety risk assessment and mitigation program in the organization responsible for the operational control of flights that specifies processes to ensure:

- (i) Hazards are analyzed to determine the corresponding safety risks to aircraft operations;
- (ii) Safety risks are assessed to determine the requirement for risk mitigation action(s);
- (iii) When required, risk mitigation actions are developed and implemented in operational control. **[SMS] (GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** safety risk assessment/mitigation program in operational control system (focus: hazards analyzed to identify/define risk; risk assessed to determine appropriate action; action implemented/monitored to mitigate risk).
- ☐ **Identified/Assessed** role of operational control in cross-discipline safety risk assessment/mitigation program (focus: participation with other operational disciplines).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Interviewed** person(s) that perform operational control risk assessment/mitigation.
- ☐ **Examined** selected records/documents that illustrate risk assessment/mitigation actions.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Estimated Time of Use (ETU), EDTO (Extended Diversion Time Operations), Risk Registry, Safety Risk, Safety Risk Assessment (SRA), Safety Risk Management and Safety Risk Mitigation.

Risk assessment and mitigation is an element of the Safety Risk Management component of the SMS framework.

Hazards relevant to the conduct of aircraft operations are potentially associated with:

- Weather (e.g. adverse, extreme and space);
- Geophysical events (e.g. volcanic ash, earthquakes, tsunamis);
- Operations in airspace affected by armed conflict (i.e. Conflict Zones);



- ATM congestion;
- Mechanical failure;
- Geography (e.g. adverse terrain, large bodies of water, polar);
- Airport constraints (e.g. isolated, runway closure, rescue and RFFS capability);
- Alternate airport selection, specification and availability at the estimated time of use (ETU);
- Preflight fuel planning and in-flight fuel management;
- Critical fuel scenarios;
- ETOPS/EDTO;
- Variations to prescriptive regulations or international standards including Operational Variations approved by the Authority;
- Operational considerations (e.g. area of operations, diversion time);
- The capabilities of an individual aircraft (e.g. cargo smoke detection, fire suppression systems, open MEL items);
- The properties of items to be transported as cargo;
- The quantity and distribution of dangerous goods items to be transported;
- Criminal and/or unauthorized activities directed at manned aircraft or in the vicinity of manned aircraft operations (e.g. laser pointing, unauthorized UAS/RPAS operations);
- Flights using aircraft to transport cargo in the passenger cabin, without passengers;
- Any other condition(s) that could pose a safety risk to aircraft operations.

The specifications of this provision may be satisfied by the safety risk assessment and mitigation program in the flight operations organization if such program includes the operational control system.

Risk assessment and mitigation specific to an operational activity (e.g. aircraft tracking, alternate airport selection, fuel planning and/or ETOPS/EDTO) is an SRM process central to the development and use of variations in accordance with applicable provisions in subsections 3 and 4.

Refer to Guidance associated with [ORG 3.2.1](#) located in ISM Section 1.

## Operational Reporting

### DSP 1.12.3

The Operator shall have an operational safety reporting system in the organization responsible for the operational control of flights that:

- (i) Encourages and facilitates operational control personnel to submit reports that identify safety hazards, expose safety deficiencies and raise safety concerns;
- (ii) Ensures mandatory reporting in accordance with applicable regulations;
- (iii) Includes analysis and operational control management action as necessary to address safety issues identified through the reporting system. **[SMS] (GM) ◀**

### Auditor Actions

- ☐ **Identified/Assessed** operational safety reporting system in operational control (focus: system urges/facilitates reporting of hazards/safety concerns; includes analysis/action to validate/address reported hazards/safety concerns).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Interviewed** person(s) that perform operational safety report review/analysis/follow-up in operational control.
- ☐ **Examined** data that indicates robustness of operational control safety reporting system (focus: quantity of reports submitted/hazards identified).
- ☐ **Examined** records of selected operational control safety reports (focus: analysis/follow-up to identify/address reported hazards/safety concerns).
- ☐ **Other Actions** (Specify)

### Guidance

Safety reporting is a key aspect of SMS hazard identification and risk management.

Safety reporting specific to an operational activity (e.g. aircraft tracking, alternate airport selection, fuel planning and/or ETOPS/EDTO) is an SRM process central to the development and use of variations in accordance with applicable provisions in subsections 3 and 4.

The specifications of this provision may be satisfied by the operational reporting system in the flight operations organization if such system includes the operational control system.

Refer to Guidance associated with [ORG 3.1.2](#) located in ISM Section 1.

### DSP 1.12.4

The Operator *should* have a confidential safety reporting system in the organization responsible for the operational control of flights that encourages and facilitates the reporting of events, hazards and/or concerns resulting from or associated with human performance in operations. **(GM) ◀**

### Auditor Actions

- ☐ **Identified/Assessed** confidential safety reporting system in operational control (focus: system urges/facilitates reporting of events/hazards/safety concerns caused by humans; report/reporters are de-identified; includes analysis/action to validate/address reported hazards/safety concerns).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** records of selected operational control confidential safety reports (focus: report/reporter de-identification; analysis/follow-up to identify/address reported hazards/safety concerns).
- ☐ **Other Actions** (Specify)

### Guidance

The specifications of this provision may be satisfied by a confidential reporting system in the flight operations organization if such system includes the operational control system.

Refer to Guidance associated with [ORG 3.1.3](#) located in ISM Section 1.

## Safety Performance Monitoring and Management

### DSP 1.12.5

The Operator shall have processes in the organization responsible for the operational control of flights for setting safety performance indicators (SPIs) and, as applicable, safety performance targets (SPTs) as means to monitor its safety performance, the achievement of its safety objectives and to validate the effectiveness of risk controls. **[SMS] (GM) ◀**

### Auditor Actions

- ☐ **Identified/Assessed** program for setting SPIs and SPTs in operational control (focus: program defines the development and implementation of SPIs and SPTs that are aligned with safety objectives).
- ☐ **Interviewed** responsible manager(s) in operational control.
- ☐ **Examined** selected SPIs and SPTs (focus: SPIs and SPTs are being used to monitor operational performance toward effectiveness of risk controls and achievement of safety objectives).
- ☐ **Examined** records/documents that confirm monitoring of operational control SPIs and SPTs (focus: monitoring of operational safety performance, assess/validate risk control effectiveness).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Safety Assurance, Safety Objective, Safety Performance Indicator (SPI) and Safety Performance Target (SPT).

Setting SPIs that are consistent with the operator's safety objectives is an element of the Safety Assurance component of the SMS framework.

SPIs are used by an operator to track and compare its operational performance against the achievement of its safety objectives and to focus attention on the performance of the organization in managing operational risks and maintaining compliance with relevant regulatory requirements.

SPTs define short-term and medium-term safety performance management desired achievements. They act as 'milestones' that provide confidence that the organization is on track to achieving its safety objectives and provide a measurable way of verifying the effectiveness of safety performance management activities. The setting of SPTs is normally accomplished after considering what is realistically achievable and, where historical trend data are available, the recent performance of the particular SPI.

It is not always necessary or appropriate to set or define SPTs as there could be some SPIs that are better monitored for trends rather than against a targeted number. Safety reporting is an example of when having a target could either discourage people not to report (if the target is not to exceed a number) or to report trivial matters to meet a target (if the target is to reach a certain number).

The specifications of this provision may be satisfied by processes in the flight operations organization if such processes include setting SPIs for the operational control system.

Refer to Guidance associated with [ORG 1.4.1](#) (safety objectives) and [1.4.2](#) (SPIs and SPTs) located in ISM Section 1.

## 2 Training and Qualification

### General Guidance

Many of the provisions of this subsection contain specifications related to the recurring frequency of training and evaluation events for operational control personnel. Such provisions, with a few exceptions, define cycles or intervals for the completion of recurrent training and/or evaluation expressed in months since training was first completed or qualification was first established. It is important to note, however, that for the purpose of conformity with these provisions, such intervals are nominal and that the actual interval may vary slightly. For example, an Operator may adjust the frequency of evaluations to minimize overlap, provide scheduling flexibility, preserve the original qualification date, and/or to ensure evaluations are consistently completed in accordance with the nominal cycle set forth by the State and/or applicable authorities. Accommodations of this nature are commonplace and vary widely by regulatory jurisdiction. In all cases, however, the auditor will make the determination of whether or not such accommodations fit within the nominal cycles established in each provision.

## 2.1 Training and Evaluation Program

### General

#### DSP 2.1.1

The Operator shall have a training program, approved or accepted by the Authority, to ensure the operational control personnel as specified in [Table 3.1](#), as applicable to the Operator, are competent to perform any assigned duties relevant to operational control in accordance with the applicable specifications of [Table 3.5](#) prior to being assigned to operational control duties. Such program shall, as a minimum, address:

- (i) Initial qualification;
- (ii) Continuing qualification. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** training program for operational control personnel (focus: program addresses initial/continuing qualification for functions specified in [Table 3.1](#)).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** training/qualification course curricula for operational control personnel (focus: course content as specified in [Table 3.5](#)).

- ❑ **Examined** training/qualification records of selected operational control personnel (focus: completion of initial/recurrent training).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Continuing Qualification, State Acceptance and State Approval. Not all states require the approval or acceptance of a training program for operational control personnel. In such cases, state acceptance is considered implicit.

A training program for operational control personnel typically addresses:

- For FOO and FOA personnel, initial and continuing qualification in accordance with the specifications of [Table 3.1](#) and [Table 3.5](#);
- For FOO and FOA personnel, a method of qualification through written, oral and/or practical evaluation;
- For administrative support personnel as defined in [Table 3.1](#), on-the-job training (OJT), job descriptions, task cards, guidelines, checklists, training materials or other written means to establish competence.

The specifications of this provision apply to FOO or FOA personnel who are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#), respectively.

FOO personnel who have completed training programs conducted in accordance with ICAO Doc 7192-AN/857, Part D, Training Manual—Flight Operations Officers/Flight Dispatchers, meet the specifications of this provision.

FOO initial training programs contain all of the competencies in [Table 3.5](#) that are relevant to the operations of the operator.

FOA initial training programs contain the competencies in [Table 3.5](#) that are relevant to their job function as determined by the operator.

## DSP 2.1.2

If an FOO or FOA is used in the system of operational control, the Operator shall ensure the training program specifies minimum training hours for such personnel, as applicable, in accordance with requirements of the Operator and/or State. **(GM)**

## Auditor Actions

- ❑ **Identified** use of FOO/FOA in operational control system (focus: applicable to FOO/FOA functions as defined in [Table 3.1](#)).
- ❑ **Identified/Assessed** training program minimum hours for FOO/FOA personnel (focus: hours in accordance with regulatory requirements).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Examined** training/qualification course curricula for FOO/FOA personnel (focus: initial/recurrent program elements specify minimum training hours).
- ❑ **Examined** training/qualification records of selected FOO/FOA personnel (focus: completion of initial/recurrent training).
- ❑ **Other Actions** (Specify)

## Guidance

The specifications of this provision apply to FOO or FOA personnel who are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#), respectively.

The training curriculum normally specifies minimum training hours for each subject area and also indicates whether it has been mandated by the Authority or operator.

## DSP 2.1.3

The Operator shall have a process to ensure course materials used in training programs for personnel responsible for operational control are periodically evaluated to ensure compliance with the qualification and performance standards of the Operator and/or Authority. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** process for periodic evaluation of course materials used in training program for operational control personnel (focus: evaluation addresses compliance with applicable qualification/performance standards).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected records of training courseware evaluation (focus: completion of periodic courseware evaluations).
- ☐ **Other Actions** (Specify)

**Guidance**

Such process typically provides:

- Continual improvement and effectiveness;
- Incorporation of the latest regulatory and operational changes in a timely manner.

**DSP 2.1.4–2.1.6** (Intentionally open)**Instructors and Evaluators****DSP 2.1.7**

If an FOO or FOA is used in the system of operational control, the Operator shall have a process to ensure those individuals designated to evaluate the competency of such personnel, as applicable, are current and qualified to conduct such evaluations. **(GM)**

**Auditor Actions**

- ☐ **Identified** use of FOO/FOA in operational control system (focus: applicable to FOO/FOA functions as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** qualification program for FOO/FOA evaluators (focus: curriculum based on defined competency standards/criteria).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** training/qualification records of selected FOO/FOA evaluators (focus: completion of evaluator qualification program).
- ☐ **Other Actions** (Specify)

**Guidance**

The specifications of this provision apply to FOO or FOA personnel who are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#), respectively.

The intent of this provision is to ensure:

- Personnel delegated to evaluate FOO personnel are themselves current and qualified as an FOO in accordance with requirements of the State and/or operator;
- Personnel delegated to evaluate FOA personnel are themselves current and qualified in the applicable competencies of operational control in accordance with requirements of the State and/or operator.

The specifications of this provision refer to personnel delegated to evaluate the competency of operational control personnel only. The qualifications for individuals delegated to train operational control personnel are in accordance with requirements of the State and/or operator.

## 2.2 Training Elements

### DSP 2.2.1 (Intentionally open)

#### DSP 2.2.2

If an FOO or FOA is used in the system of operational control, the Operator shall ensure such personnel receive recurrent training in the applicable competencies of operational control, as specified in [Table 3.5](#). Recurrent training shall be completed on a frequency in accordance with requirements of the Authority, if applicable, but not less than *once during every 36-month period plus or minus one month from the original qualification anniversary date or base month*. (GM)

#### Auditor Actions

- ❑ **Identified** use of FOO/FOA in operational control system (focus: applicable to FOO/FOA functions as defined in [Table 3.1](#)).
- ❑ **Identified/Assessed** recurrent training/evaluation program for FOO/FOA personnel (focus: curriculum addresses knowledge/proficiency in competencies as specified in [Table 3.5](#); training interval not greater than 36 months).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Examined** training/qualification records of selected FOO/FOA personnel (focus: completion of recurrent training/evaluation every 36 months).
- ❑ **Other Actions** (Specify)

#### Guidance

The specifications of this provision apply to FOO or FOA personnel who are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#), respectively.

Human factors training is accomplished in accordance with [DSP 2.2.3](#).

Dangerous goods training is accomplished in accordance with [DSP 2.2.4](#).

The intent of this provision is to ensure:

- The recurrent training program for FOO personnel addresses all of the competencies that are relevant to the operations of the operator as specified in [Table 3.5](#);
- The recurrent training program for FOA personnel addresses each of the competencies relevant to their specific job function and to the operations of the operator as specified in [Table 3.5](#).

Different methods of conducting recurrent training are acceptable, including formal classroom study, home study, computer-based training, seminars and meetings. All recurrent training, regardless of method, is documented and retained in accordance with [DSP 1.8.1](#).

#### DSP 2.2.3

If an FOO is used in the system of operational control, the Operator shall ensure such personnel receive training in human factors on a frequency in accordance with requirements of the Authority, if applicable, but not less than *once during every 36-month period plus or minus one month from the original qualification anniversary date or base month*. (GM)

#### Auditor Actions

- ❑ **Identified** use of FOO in operational control system (focus: applicable to FOO function as defined in [Table 3.1](#)).
- ❑ **Identified/Assessed** human factors training program for FOO personnel (focus: training interval not greater than 36 months).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Examined** training/qualification records of selected FOO personnel (focus: completion of human factors training every 36 months).
- ❑ **Other Actions** (Specify)



### Guidance

Refer to the IRM for the definition of Human Factors.

The specifications of this provision apply to each FOO qualified in all applicable competencies of operational control, whether licensed or not, who participates in an approved or accepted system of operational control and:

- Is delegated authority in accordance with [DSP 1.3.4](#), and/or
- Is assigned the responsibility in accordance with [DSP 1.3.5](#) to carry out operational control functions, duties or tasks related to all applicable competencies defined in [Table 3.5](#).

### DSP 2.2.4

If the Operator transports dangerous goods as cargo, and an FOO or FOA is used in the system of operational control with duties or responsibilities related to the carriage of dangerous goods, the Operator shall ensure such personnel receive training and evaluation in dangerous goods during initial ground training and subsequently during recurrent training on a frequency in accordance with requirements of the Authority, if applicable, but not less than once during every 24-month period. **(GM)**

### Auditor Actions

- ☐ **Identified** use of FOO/FOA in operational control system (focus: applicable to FOO/FOA functions as defined in [Table 3.1](#)).
- ☐ **Identified** FOO/FOA duties/responsibilities related to transport of dangerous goods.
- ☐ **Identified/Assessed** dangerous goods training program for FOO/FOA personnel (focus: curriculum addresses knowledge/proficiency in dangerous goods; training interval not greater than 24 months).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** training/qualification records of selected FOO/FOA personnel (focus: completion of dangerous goods training every 24 months).
- ☐ **Other Actions** (Specify)

### Guidance

The specifications of this provision apply to FOO or FOA personnel who are delegated authority and/or assigned responsibilities in accordance with [GRH 3.4.2](#), [GRH 3.4.3](#), [DSP 1.3.4](#) and/or [DSP 1.3.5](#) respectively, and perform or directly supervise job functions related to the carriage of dangerous goods as defined by the Authority.

The curriculum for dangerous goods training for operational control personnel is determined by the operator and may vary depending on specific responsibilities and duty function(s).

Recurrent training in dangerous goods is typically completed within a validity period that expires 24 months from the previous training to ensure knowledge is current, unless a shorter period is defined by a competent authority. However, when such recurrent training is completed within the final 3 months of the 24-month validity period, the new validity period may extend from the month on which the recurrent training was completed until 24 months from the expiry month of the current validity period. If such recurrent training is completed *prior* to the final three months (or 90 days) of the validity period, the new validity period would extend 24 months from the month the recurrent training was completed.

Refer to DGR 1.5 and Appendix H.6 for guidance that includes adapted task lists for well-defined job functions.

Refer to the General Guidance at the beginning of this section for additional information regarding the application of the recurrent training interval.



## 2.3 Line Qualification

### DSP 2.3.1

If an FOO, FOA or designated member of management is used in the system of operational control, the Operator shall have a line qualification program to ensure such personnel, prior to being assigned to operational control duties, have demonstrated proficiency in the competencies of operational control as specified in [Table 3.5](#), as applicable to the Operator, and have demonstrated the ability to:

- (i) Assist the PIC in flight preparation and provide the relevant information required;
- (ii) File a flight plan with the appropriate ATS unit;
- (iii) Furnish the PIC in flight, by appropriate means, with information that may be necessary for the safe conduct of the flight;
- (iv) Initiate, in the event of an emergency, applicable procedures as outlined in the OM. **(GM)**

### Auditor Actions

- ☐ **Identified** use of FOO/FOA/designated management personnel in operational control system (focus: applicable to FOO/FOA functions as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** line qualification program for FOO/FOA/designated management personnel (focus: curriculum includes evaluation of competencies as defined in [Table 3.5](#)).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** training/qualification records of selected FOO/FOA/designated management personnel (focus: completion of line qualification prior to operational control duty assignment).
- ☐ **Other Actions** (Specify)

### Guidance

The specifications of this provision apply to designated members of management, as well as FOO or FOA personnel, who are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#), respectively.

Competencies of operational control are defined in [Table 3.5](#).

Demonstrations of proficiency are recorded in accordance with [DSP 1.8.1](#).

The intent of this provision is to ensure:

- FOO personnel demonstrate the ability to perform all duty functions;
- FOA personnel demonstrate the ability to perform specific duty functions associated with their assigned area(s) of responsibility;
- A designated member of management that is directly involved with or directly performs the functions specified in this provision demonstrates the same functional abilities as specified for an FOO or FOA. Where the performance of one or more functions specified in this provision is delegated to others (e.g. to FOOs or FOAs), a designated member of management would typically demonstrate the knowledge necessary to accept the specified responsibilities and have an understanding of how such functions are associated with the operational control of flights.

Item ii) refers to planning activities that involve ATS (e.g. flight plan filing, re-routes during flight, traffic flow management and/or slot controls).

### DSP 2.3.2 (Intentionally open)

### DSP 2.3.3

If an FOO is used in the system of operational control, the Operator shall ensure such personnel who have not performed duties as an FOO for a period of 12 consecutive months are not assigned to perform FOO duties until re-qualified, by demonstrating knowledge and/or proficiency in accordance with [DSP 2.1.1](#). **(GM)**

**Auditor Actions**

- ❑ **Identified** use of FOO in operational control system (focus: applicable to FOO/Flight Dispatcher functions as defined in [Table 3.1](#)).
- ❑ **Identified/Assessed** re-qualification program for FOO personnel (focus: applicable when FOO duties have not been performed for 12 months; curriculum addresses knowledge/proficiency in competencies as specified in [Table 3.5](#)).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Examined** training/qualification records of selected FOO personnel (focus: completion of re-qualification prior to re-assignment to operational control duty).
- ❑ **Other Actions** (Specify)

**Guidance**

The specifications of this provision apply to each FOO qualified in all applicable competencies of operational control, whether licensed or not, who participates in an approved or accepted system of operational control and:

- Is delegated authority in accordance with [DSP 1.3.4](#), and/or
- Is assigned the responsibility in accordance with [DSP 1.3.5](#) to carry out operational control functions, duties or tasks related to all applicable competencies defined in [Table 3.5](#).

**DSP 2.3.4**

If an FOO is used in the system of operational control, the Operator shall ensure such personnel are not assigned to FOO duties unless, within the preceding 12 months *plus or minus one month from the original qualification anniversary date or base month*, they have *either*:

- (i) Observed one familiarization flight from the flight deck of an aircraft over any area or route segment where responsibility for operational control will be exercised, *or*
- (ii) If approved by the State and/or if access to the aircraft flight deck is restricted by the Authority, observed a Line Operational Simulation (LOS) profile accomplished in a representative flight simulator approved for the purpose by the State, and such profile addresses the areas or route segments where responsibility for operational control will be exercised. **(GM)**

**Auditor Actions**

- ❑ **Identified** use of FOO in operational control system (focus: applicable to FOO/Flight Dispatcher functions as defined in [Table 3.1](#)).
- ❑ **Identified/Assessed** flight familiarization program for FOO personnel (focus: flight familiarization required every 12 months; requires observation over representative area/route during line flight/simulator LOS).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Examined** training/qualification records of selected FOO personnel (focus: completion of flight familiarization every 12 months).
- ❑ **Other Actions** (Specify)

**Guidance**

The specifications of this provision apply to each FOO qualified in all applicable competencies of operational control, whether licensed or not, who participates in an approved or accepted system of operational control and:

- Is delegated authority in accordance with [DSP 1.3.4](#), and/or
- Is assigned the responsibility in accordance with [DSP 1.3.5](#) to carry out operational control functions, duties or tasks related to all applicable competencies defined in [Table 3.5](#).

Operators subject to laws or regulations of the State that prohibit the application of specification i) of this provision, and that cannot comply with specification ii) of this provision due to the non-existence of a representative flight training device, may demonstrate an equivalent method of ensuring the specifications of this provision are satisfied.

The familiarization flight or LOS is typically representative of the operational environment within which the FOO will be working. Examples of a representative environment include-ultra long haul, long haul, short haul, over water, mountainous terrain, ETOPS/EDTO, areas of special navigational requirements, or passenger versus cargo flights.

Familiarization flights typically include at least one takeoff and landing as well as a minimum of 2.5 to 5 hours on the flight deck. If a flight is operating a long-haul segment of more than 5 hours, the FOO is typically permitted to take a break during the cruise portion of the flight.

An operator, in accordance with the requirements of the State and other applicable authorities, may adjust the frequency of evaluations specified in this provision to minimize overlap, preserve the original qualification date and to ensure evaluations are completed within the annual cycle and any constraints set forth by the operator, State and/or applicable authorities.

## 2.4 Special Qualification

### DSP 2.4.1

If the Operator uses FOO personnel and the Operator's method of Operational Control requires shared responsibility between an FOO and the PIC, the Operator *should* ensure FOO personnel complete resource management training that addresses issues of mutual concern to FOOs and flight crew members. Such training *should* be conducted for the purposes of enhancing coordination, ensuring a mutual understanding of the human factors involved in joint operational control and achieving common learning objectives as set out by the appropriate operational control and flight operations management personnel. **(GM)**

#### Auditor Actions

- ❑ **Identified** use of FOO in operational control system (focus: applicable to FOO/Flight Dispatcher functions as defined in [Table 3.1](#)).
- ❑ **Identified** shared operational control system (focus: PIC+FOO share responsibility for safety of flight).
- ❑ **Identified/Assessed** resource management training program for FOO personnel (focus: curriculum includes jointly developed learning objectives; addresses human factors issues involved in shared operational control).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Examined** training/qualification records of selected FOO personnel (focus: completion of PIC-FOO resource management training).
- ❑ **Other Actions** (Specify)

#### Guidance

The specifications of this provision apply to each FOO qualified in all applicable competencies of operational control, whether licensed or not, who participates in an approved or accepted shared (including partial shared) system of operational control and:

- Is delegated authority in accordance with [DSP 1.3.4](#);
- Is assigned the responsibility in accordance with [DSP 1.3.5](#) to carry out operational control functions, duties or tasks related to all applicable competencies defined in [Table 3.5](#).

The intent of this provision is to ensure that resource management issues of mutual concern to FOO personnel and flight crew members are addressed for the purposes of enhancing coordination and to foster a mutual understanding of the human and other factors involved in joint operational control.

Such training is typically accomplished using common learning objectives, determined during interdepartmental coordination meetings, which are subsequently incorporated into the respective training curricula. It is possible that although the learning objectives are determined jointly that the development of curricula and administration of the training occurs independently within each department.

The training specified in this provision does not require the physical presence of FOO personnel and flight crew members at a common training location.

## 2.5 SMS Training

### DSP 2.5.1

The Operator shall have a program that ensures its operational control personnel are trained and competent to perform SMS duties. The scope of such training shall be appropriate to each individual's involvement in the SMS. **[SMS] (GM) ◀**

**Note:** *The specifications of this provision are applicable to personnel of the Operator that perform operational control functions.*

#### Auditor Actions

- ☐ **Identified/Assessed** SMS training program for operational control (focus: program ensures training for the operator's operational control personnel as appropriate to individual SMS involvement).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** initial/recurrent training curricula/syllabi for management/non-management operational control personnel (focus: training in individually relevant SMS duties/responsibilities).
- ☐ **Examined** selected management/non-management operational control personnel training records (focus: completion of SMS training).
- ☐ **Other Actions** (Specify)

#### Guidance

SMS training is an element of the Safety Promotion component of the SMS framework.

The specifications of this provision may be satisfied by a training program in the flight operations organization if such program includes SMS training for operational control personnel.

Refer to Guidance associated with [ORG 4.3.1](#) located in ISM Section 1.

### DSP 2.5.2

If the Operator outsources operational control functions to external service providers, the Operator *should* have a program that ensures personnel of external service providers are trained and competent to perform SMS duties. The scope of such training *should* be appropriate to individual involvement in the Operator's SMS. **[SMS] (GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** SMS training program for operational control (focus: program ensures training for operational control personnel of external service providers as appropriate to individual SMS involvement).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected outsourcing contracts/agreements (focus: inclusion of requirement of SMS training for applicable service provider personnel).
- ☐ **Examined** selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures applicable personnel of service providers have completed SMS training).
- ☐ **Other Actions** (Specify)

#### Guidance

SMS training is an element of the Safety Promotion component of the SMS framework.

Refer to Guidance associated with [ORG 4.3.2](#) located in ISM Section 1.

## 3 Line Operations

### 3.1 General

**DSP 3.1.1** (Intentionally open)

#### **DSP 3.1.2**

The Operator shall have a process or procedures to ensure the PIC is provided with all documents, information and data necessary for the safe conduct of the flight. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** operational control process/procedure for provision of documentation to flight crew (focus: definition of required documents/information/data provided to flight crew).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: PIC provided with documents/information/data necessary for safe conduct of flight).
- ☐ **Other Actions** (Specify)

#### **Guidance**

The OM typically specifies the documents required by the PIC for the safe conduct of each flight. This list of required documents may also be replicated on the folder/envelope containing such documents or displayed in the operational control/flight dispatch center/office for reference purposes. Additionally, the process or procedures associated with the provision of flight documents typically includes safeguards to ensure all of the required documents are provided to the PIC prior to each flight.

### 3.2 Flight Preparation and Planning

**DSP 3.2.1** (Intentionally open)

#### **DSP 3.2.2**

If an FOO or FOA is used in the system of operational control, the Operator shall have a process or procedures to ensure such personnel, as applicable, and the PIC use a common set of flight documents for each planned flight. **(GM)**

#### **Auditor Actions**

- ☐ **Identified** use of FOO/FOA in operational control system (focus: applicable to FOO/FOA functions as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** process/procedures for development/issuance of documents for each flight (focus: documents issued to PIC are common with those used by FOO/FOA personnel).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: common flight planning documents used by PIC and FOO/FOA personnel).
- ☐ **Other Actions** (Specify)

#### **Guidance**

The specifications of this provision apply to FOO or FOA personnel who are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#) respectively. Refer to [Table 2.2](#) found in ISM Section 2 (FLT) for OM documentation requirements.

## DSP 3.2.3

The Operator shall have a procedure to ensure an Operational Flight Plan (OFP) and Air Traffic Services (ATS) Flight Plan is generated for every intended flight. **(GM)**

**Note:** The specifications of this provision are applicable to commercial and/or non-commercial operations.

### Auditor Actions

- ❑ **Identified/Assessed** procedure for production/issuance of Operational/ATS flight plans (focus: both OFP and ATS flight plans are produced/issued for each flight).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Observed** operational control/flight dispatch operations (focus: production/issuance of OFP and ATS flight plan for each flight).
- ❑ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure the generation of an OFP and ATS flight plan for all flights conducted by the operator.

## DSP 3.2.4

If an FOO or FOA is used in the system of operational control, the Operator shall have guidance and procedures to ensure such personnel, as applicable, assist the PIC in flight preparation, furnish required operational information as necessary and *either*:

- (i) Prepare the OFP and ATS flight plan, *or*
- (ii) Assist the PIC in the preparation of the OFP and ATS flight plan. **(GM)**

### Auditor Actions

- ❑ **Identified** use of FOO/FOA in operational control system (focus: applicable to FOO/FOA functions as defined in [Table 3.1](#)).
- ❑ **Identified/Assessed** guidance/procedures for FOO/FOA personnel to provide PIC with assistance in flight preparation (focus: procedures include preparation of the OFP/ATC flight plan).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Observed** operational control/flight dispatch operations (focus: FOO/FOA assistance to PIC in flight preparation).
- ❑ **Other Actions** (Specify)

### Guidance

The specifications of this provision apply to FOO or FOA personnel who are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#) respectively.

In a non-shared system of operational control, the ATS flight plan may be prepared by the PIC.

## DSP 3.2.5

The Operator shall have guidance and procedures that ensure the original OFP or equivalent document is accepted and signed by the following personnel, using either manuscript or an approved electronic method:

- (i) The PIC for all systems of operational control;
- (ii) The FOO for a shared system of operational control;
- (iii) Designated member of management or post holder in a shared system of operational control that requires the use of such management personnel. **(GM)**



## Auditor Actions

- ☐ **Identified** type of operational control system (focus: shared or non-shared system).
- ☐ **Identified/Assessed** guidance/procedures for acceptance of OFP (focus: method of signature acceptance for OFP amendments).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: acceptance of OFP by PIC and, if applicable, FOO or designated member of management).
- ☐ **Coordinated** with FLT Auditor (focus: complementary procedure for PIC acceptance of OFP).
- ☐ **Other Actions** (Specify)

## Guidance

In a shared system of operational control, the signatures (manuscript or electronic) of both the PIC and the FOO or, if applicable, the designated member of management, are required on the OFP or equivalent document (e.g. dispatch release).

The specification in item iii) refers to a designated member of management in a shared system of operational control (e.g. director of flight operations or other designated post holder).

Refer to [Table 3.1](#) for the definitions of authorities and responsibilities associated with operational control personnel.

### DSP 3.2.6

If an FOO is used in a full shared system of operational control, the Operator shall have guidance and procedures to ensure en route amendments to the OFP are coordinated and verified through:

- (i) A signature (manuscript or approved electronic method) by the FOO or other person responsible for operational control;
- (ii) A recorded agreement of the PIC. **(GM)**

## Auditor Actions

- ☐ **Identified** use of FOO in shared operational control system (focus: applicable to FOO/FOA functions as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** guidance/procedures for coordination/verification of en route amendments to OFP (focus: PIC-FOO coordinate en route OFP amendments/verification recorded).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: en route OFP amendment coordination).
- ☐ **Coordinated** with FLT auditor (focus: coordination of en route amendments to OFP between PIC and FOO).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the guidance associated with [DSP 1.3.4](#) for the definition of a full shared system of operational control.

The specifications of this provision apply to each FOO qualified in all applicable competencies of operational control, whether licensed or not, who participates in an approved or accepted shared (except partial shared) system of operational control and:

- Is delegated authority in accordance with [DSP 1.3.4](#);
- Is assigned the responsibility in accordance with [DSP 1.3.5](#) to carry out operational control functions, duties or tasks related to all applicable competencies specified in [Table 3.5](#).

FOO personnel that participate in a partial shared system typically lack the dedicated equipment necessary to ensure en route amendments to the OFP can be coordinated and verified.



**DSP 3.2.7**

If an FOO or FOA is used in the system of operational control, the Operator shall have a process or procedures to ensure Operator changes in an ATS flight plan are, when practicable, coordinated with the appropriate ATS unit before transmission to the aircraft by the FOO, FOA or other delegated person. **(GM)**

**Auditor Actions**

- ❑ **Identified** use of FOO/FOA in operational control system (focus: applicable to FOO/FOA functions as defined in [Table 3.1](#)).
- ❑ **Identified/Assessed** process/procedures for coordination of ATC flight plan changes (focus: FOO/FOA coordinates changes with ATC prior to flight plan transmission to flight crew).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Observed** operational control/flight dispatch operations (focus: coordination of changes to ATS flight plan by FOO/FOA).
- ❑ **Other Actions** (Specify)

**Guidance**

The specifications of this provision apply to FOO or FOA personnel who are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#) respectively.

The intent of this provision is to ensure ATS flight plan changes that occur prior to departure and/or en route are, when practicable, coordinated with the appropriate ATS unit prior to transmission to the aircraft. When such coordination is not possible, the flight crew remains responsible for obtaining an appropriate clearance from an ATS unit, if applicable, before making a change in flight plan.

**DSP 3.2.8A**

The Operator shall have guidance and procedures to ensure a flight will not be commenced unless it has been ascertained, by every reasonable means available, that conditions and ground facilities required for the flight are adequate for the type of operation. **(GM)**

**Auditor Actions**

- ❑ **Identified/Assessed** guidance/procedures for assessment of required conditions/ground facilities prior to flight departure (focus: flight planning accounts for adequacy of conditions/facilities for type of flight operation).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Observed** operational control/flight dispatch operations (focus: assessment of relevant conditions/ground facilities prior to flight departure).
- ❑ **Coordinated** with FLT auditor (focus: flight crew preflight assessment of conditions/facilities).
- ❑ **Other Actions** (Specify)

**Guidance**

The term “reasonable means” used in this standard is intended to denote the use, at the point of departure, of information available to the operator either through official information published by the aeronautical information services or readily obtainable from other sources.

A review of factors to determine if the conditions at the airport(s) of operation are acceptable for operations typically includes, as applicable:

- Navigation aids;
- Runways, taxiways, ramp areas;
- Curfews;
- PPR (prior permission required);
- Field conditions;
- Lighting;

- ARFF/RFFS (airport rescue and firefighting/rescue and firefighting services);
- Applicable operating minima.

Guidance for assessing the level of RFFS deemed acceptable by aircraft operators using airports for differing purposes is described in ICAO Annex 6. Part 1, Attachment I.

### DSP 3.2.8B

The Operator shall ensure a flight will not commence or continue as planned unless it has been ascertained by every reasonable means available that the airspace containing the intended route from the airport of departure to the airport of arrival, including the intended take-off, destination and en route alternate airports, can be safely used for the planned operation. **(GM)**

**Note:** *If the Operator conducts operations over or near areas of armed conflict, a risk assessment shall be conducted and appropriate risk mitigation measures taken to ensure a safe flight.*

#### Auditor Actions

- ☐ **Identified/Assessed** flight planning process and procedures (focus: flights are not commenced or continued unless intended airspace/airports of use have been assessed and determined to be safe for the planned operations).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: airspace/airports of intended use are assessed for safe operations prior to and during the conduct of a flight).
- ☐ **Coordinated** with FLT auditor (focus: flight crew preflight and en route assessment of airspace/airports of intended use).
- ☐ **Other Actions** (Specify)

#### Guidance

The term “reasonable means” in this standard is intended to denote the use, at the point of departure or while the aircraft is in flight, of information available to the operator either through official information published by the aeronautical information services or readily obtainable from other sources.

Guidance on safety risk assessments is contained in the Safety Management Manual (SMM) (Doc 9859).

The Risk Assessment Manual for Civil Aircraft Operations Over or Near Conflict Zones (Doc 10084) contains further guidance on risk assessment for air operators when flying over or near conflict zones.

### DSP 3.2.9A

If the Operator is authorized to conduct certain portions of a commercial flight under visual flight rules (VFR), the Operator shall have guidance and procedures that:

- (i) Specify the type of flight plan to be filed with the appropriate ATS unit;
- (ii) Require current meteorological reports, or a combination of current reports and forecasts, to indicate that meteorological conditions along the portion of the flight to be flown under VFR will, at the appropriate time, be such as to make compliance with VFR possible. **(GM)**

#### Auditor Actions

- ☐ **Identified** authorization for portions of flights to be conducted under VFR.
- ☐ **Identified/Assessed** guidance/procedures applicable to conducting portions of flights under VFR (focus: flight planning accounts for type of flight plan to be filed/required meteorological conditions; determination of expected times when meteorological conditions will permit compliance with VFR).
- ☐ **Interviewed** responsible operational control manager(s).

- ❑ **Observed** operational control/flight dispatch operations (focus: guidance/procedures for control of flights to be conducted under partial VFR, availability of meteorological reports, determination of expected times/conditions that will permit compliance with VFR).
- ❑ **Other Actions** (Specify)

## Guidance

The intent of this provision is to ensure:

- Operations that require compliance with VFR are practicable under the anticipated meteorological conditions;
- The operator has guidance and procedures for determining expected times when meteorological conditions will permit compliance with VFR.

The specification in item i) refers to the type of flight plan to be filed in instances where certain portions of a flight will be conducted under VFR. In some cases, it may be possible to identify VFR portions in a predominantly instrument flight rules (IFR) flight plan (e.g. Y and Z designation on an ICAO flight plan). In other cases, an IFR Flight Plan is normally filed for all flights and an instrument clearance obtained or cancelled en route in accordance with [FLT 3.10.2](#).

Guidance related to the filing of a composite ICAO flight plan, and the use of the Y designation for flights initially operated under IFR and Z designation for flights initially operated under VFR, is contained in Amendment 1 to the Procedures for Air Navigation Services–Air Traffic Management (PANS-ATM, Doc 4444).

## DSP 3.2.9B

The Operator shall have guidance and procedures to ensure a flight to be conducted in accordance with IFR *does not*:

- (i) Take off from the departure airport unless the meteorological conditions are at or above the operator's established airport takeoff operating minima for that operation; **and**
- (ii) Take off, or continue beyond the point of in-flight re-planning, unless at the airport of intended landing or at each required alternate airport, current meteorological reports or a combination of current reports and forecasts indicate that the meteorological conditions will be, at the estimated time of use (ETU), at or above the operator's established airport operating minima for that operation. **(GM)**

## Auditor Actions

- ❑ **Identified/Assessed** guidance/procedures for the assessment of airport meteorological conditions prior to departure of IFR flights (focus: flight planning determines that conditions at departure/destination/alternate airports meet all applicable requirements).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Observed** operational control/flight dispatch operations office (focus: procedures for monitoring/assessing meteorological conditions for operational airports).
- ❑ **Coordinated** with FLT auditor (focus: flight crew assessment of meteorological conditions for operational airports).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Alternate Airport, In-flight Re-planning Point and Estimated Time of Use (ETU).

The intent of this provision is to ensure:

- Flights do not take off or continue beyond the point of in-flight re-planning unless the meteorological conditions at each airport specified in i) or ii), are or will be at or above the operator's established airport operating minima for the operation at the ETU;
- The operator has guidance and procedures for determining the ETU.

The ETU specified in (ii) is typically the estimated time of arrival derived from the OFP. However, some operators may apply a time margin as required by the State.

The specification in item ii) would require the definition and application of alternate airport planning minima in accordance with [DSP 3.2.9C](#).

### DSP 3.2.9C

The Operator shall have guidance and procedures, approved or accepted by the State, for determining whether an approach and landing can be safely conducted at each required alternate airport at the ETU. Such guidance and procedures shall specify the appropriate incremental values for visibility (and ceiling, if required), to be added to the Operator's established airport operating minima. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** guidance/procedures for the application of safety margins in the assessment/selection of planned alternate airports (focus: flight planning takes into account defined additives/margins to alternate airport operating minima/times of arrival to account for forecast uncertainties, determination of ETU).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: procedures for monitoring/assessing approach/landing suitability for planned alternate airport, determination of ETU).
- ☐ **Coordinated** with FLT auditor (focus: flight crew assessment of suitability of planned alternate airports).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is for the operator to have a means to ensure, with a reasonable degree of certainty, that at the ETU of an alternate airport, the meteorological conditions will be at or above the operator's established operating minima for an instrument approach. This is practically accomplished through guidance and procedures for the definition and application of alternate planning minima and the determination of an ETU.

The specified visibility (and, if required, ceiling) additives are typically dependent on the approach facility configuration and State requirements for a ceiling to be taken into account.

The ETU for alternate airports is normally determined in accordance with the type of operational control system and requirements of the State:

- In a non-shared system of operational control, the ETU is typically expressed as a time margin (e.g. one hour before to one hour after the ETA at the alternate airport);
- In a shared system of operational control, the ETU is typically considered to be a specific point in time coupled with a requirement to ensure the alternate airport remains at or above appropriate minima for the duration of the flight.

Specific requirements for en route alternate airports are addressed in [DSP 3.6.5](#).

When determining an ETU, the operator might use a variable time margin based on specific flight parameters that can be monitored after departure by an FOO or FOA and communicated to the PIC.

An operator, in accordance with the requirements of the Authority, typically uses technical guidance for the development or application of alternate airport planning minima. Such guidance might be derived from one or more of the following source references, as applicable:

- ICAO Flight Planning and Fuel Management Manual (Doc 9976).
- Commission Regulation EC No. 965/2012.
- FAR 121.625–Alternate Airport Weather Minima.
- FAR 121.631(b)–Original Dispatch or Flight Release, Redispatch or Amendment of Dispatch or Flight Release.
- FAA OPSPEC C055 Table.

- Any equivalent reference document approved or accepted by the Authority for the development or application of alternate planning minima designed to conform to the specifications of the provision.

## 3.3 Aircraft Performance and Load Planning

### DSP 3.3.1

The Operator shall have guidance and procedures to ensure a planned flight does not exceed:

- The maximum performance takeoff, en route and landing weight limits, based upon environmental conditions expected at the times of departure, along the route of flight and at arrival;
- The aircraft structural ramp, takeoff and landing weight limits. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** guidance/procedures for application of aircraft performance data for planned flights (focus: flight planning accounts for aircraft takeoff/en route/landing performance weight limitations).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: guidance/procedures/restrictions that ensure flights do not exceed aircraft performance weight limitations).
- ☐ **Coordinated** with FLT auditor (focus: preflight consideration of aircraft performance limitations).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure the presence of guidance and procedures for the calculation of maximum takeoff and landing weights, based on takeoff, en route, landing performance, structural limitations as well as any applicable MEL restrictions. Additionally, such guidance and procedures address the means used to prevent an aircraft from being loaded in a manner that precludes a flight from being operated overweight (e.g. notification of weight restrictions to a Load Control Center/office or equivalent).

### DSP 3.3.2 (Intentionally open)

### DSP 3.3.3

The Operator shall ensure qualified personnel perform weight and balance calculations. **(GM)**

#### Auditor Actions

- ☐ **Identified** specific personnel that perform weight/balance calculations.
- ☐ **Identified/Assessed** weight/balance training/qualification program for operational control personnel (if applicable) (focus: applicable to personnel that perform weight/balance calculations; program includes demonstration of competence in weight/balance calculation).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** training/qualification records of selected operational control personnel (if applicable) (focus: completion of weight/balance training program by operational control personnel that perform weight/balance calculations).
- ☐ **Coordinated** with FLT auditor (if applicable) (focus: flight crew members are qualified to perform weight/balance calculations).
- ☐ **Coordinated** with ground handling operations (if applicable) (focus: load control personnel are qualified to perform weight/balance calculations).
- ☐ **Other Actions** (Specify)

## Guidance

Weight and balance calculations may be delegated to a FOO or an appropriately qualified FOA.

The PIC may complete weight and balance calculations, if qualified in accordance with ISM Section 2 (FLT), [Subsection 2.1](#), Training and Evaluation Program.

Load control personnel that perform functions within the scope of ground handling operations may complete weight and balance calculations if qualified in accordance with ISM Section 6 (GRH), [Subsection 2.1](#), Training Program.

## 3.4 Icing Conditions

### DSP 3.4.1

The Operator shall have guidance and procedures to ensure a flight to be operated in known or expected icing conditions shall not be commenced unless the aircraft is certificated and equipped to be operated in such conditions. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** guidance/procedures for consideration of aircraft type for flights planned into expected in-flight icing conditions (focus: flight planning accounts for aircraft certified/equipped for icing conditions).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected flight planning records (focus: aircraft certified/equipped for flight into icing conditions).
- ☐ **Coordinated** with MNT auditor (focus: verification of fleet(s) certified/equipped for in-flight icing conditions; identification of any exceptions).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure flights planned to operate in known icing conditions are only conducted using appropriately certificated and equipped aircraft, which includes consideration of inoperative items on the Minimum Equipment List (MEL). Additionally, if the operator uses a mixed fleet including aircraft that are and are not suitably equipped for operations in icing conditions, the operator would have a means to preclude unequipped aircraft from being used on flights in known icing conditions.

### DSP 3.4.2 (Intentionally open)

### DSP 3.4.3

If the Operator conducts flights from any airport when conditions are conducive to ground aircraft icing, the Operator shall have guidance and procedures to ensure a flight planned to operate in known or suspected ground icing conditions is subjected to the following:

- (i) The aircraft has been inspected for ice accretion;
- (ii) If necessary, the aircraft has been given appropriate de/anti-icing treatment. **(GM)**

**Note:** The specifications of this provision are applicable to commercial and/or non-commercial operations.

### Auditor Actions

- ☐ **Identified** the operation of commercial/non-commercial flights at airports/stations during times when there is potential for ground icing conditions.
- ☐ **Identified/Assessed** guidance/procedures for flights planned into airports with known/suspected ground icing conditions (focus: flight planning accounts for possibility of required aircraft de-/anti-icing operations).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected flight planning records (focus: consideration of requirement for aircraft de-/anti-icing operations).



- ☐ **Observed** operational control/flight dispatch operations (focus: procedures for flights planned to operate in known/suspected ground icing conditions).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to [GRH 4.2.1](#) located in ISM Section 6 for specifications and associated Guidance related to the establishment and maintenance of a De-/Anti-icing Program.

Additional guidance may be found in ICAO Doc 9640-AN/940, Manual of Aircraft Ground De-icing/Anti-icing Operations.

## 3.5 Aircraft Tracking

### DSP 3.5.1

The Operator shall have an aircraft tracking capability to track its aircraft throughout its areas of operations. **(GM)**

**Note:** A specific tracking interval or reporting method is not defined by this provision.

## Auditor Actions

- ☐ **Identified/Assessed** Aircraft tracking capability for duration of all flights (focus: operational control procedures/capability for the determination of aircraft position).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: aircraft tracking process).
- ☐ **Coordinated** with FLT auditor (focus: verification of flight crew responsibilities, if any, related to Aircraft tracking).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Aircraft Tracking.

The intent of this provision is to ensure operators implement the ground-based capability to track their aircraft throughout their planned (i.e. actual) area(s) of operations rather than all areas of potential operations as defined in the Air Operator Certificate (AOC) and related operations specifications.

This “core” tracking capability refers to a process that maintains and updates, at standardized intervals, a ground-based record of the four-dimensional (4D) position of individual aircraft in flight.

For the purposes of aircraft tracking the 4D position of an aircraft is defined by latitude, longitude, altitude, and time.

Aircraft tracking may be accomplished by obtaining aircraft position information from sources including, but not limited to, ACARS position reports, ADS-B position data, ADS-C position data, HF Radio position reports or Air Traffic Services Units (ATSUs). Use of commercial aircraft tracking services to track airplanes will generally suffice as a means to implement this ISARP if the service can track the aircraft across the operations.

This provision establishes the foundation that will support the implementation of the aircraft tracking provisions that follow.

Guidance on aircraft tracking implementation is contained in:

- ICAO Annex 6, Part 1.
- ICAO Aircraft Tracking Implementation Guidelines (Cir 347).
- ICAO Global Aviation Distress Safety System Concept of Operations Document.
- Commission Regulation EC No. 965/2012 CAT.GEN.MPA.205 and related AMC and GM.



### DSP 3.5.2

The Operator *should* track the position of an aircraft through automated reporting at least every 15 minutes for the portion(s) of the planned in-flight operation(s) under the following conditions:

- (i) The aircraft has a maximum certificated takeoff mass of over 27,000 kg and a seating capacity greater than 19, and
- (ii) Where an Air Traffic Services Unit (ATSU) obtains aircraft position information at greater than 15-minute intervals. **(GM)**

**Note:** *Variations to automated reporting intervals may be applied provided risks to the operation resulting from such variations are managed using a risk management process.*

**Note:** *An Operator in conformity with the specifications of this provision is deemed in conformity with DSP 3.5.3.*

#### Auditor Actions

- ☐ **Identified/Assessed** Aircraft tracking capability for duration of applicable flights (focus: operational control procedures/capability for the determination of aircraft position).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: aircraft tracking process).
- ☐ **Coordinated** with FLT auditor (focus: verification of flight crew responsibilities, if any, related to Aircraft tracking).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Aircraft Tracking, which includes definitions for 4D/15 Service and 4D/15 Tracking.

The intent of this recommendation is to encourage operators to obtain aircraft position data under the conditions stipulated. The provision recommends that four-dimensional aircraft position information be obtained by the operator using automated reporting means at 15-minute intervals (4D/15) or less when an ATSU obtains this information at greater than 15-minute intervals. It is important to note that this is a recommended practice applicable in all planned (i.e. actual) area(s) of operations rather than all areas of potential operations as defined in the Air Operator Certificate (AOC) and related operations specifications. It is also applicable to a wide range of aircraft given the low takeoff mass threshold.

The risk management process specified in this provision is intended to be strategic in nature and scope. It is not intended, for example, that a specific risk assessment be conducted on a tactical basis by operational personnel and/or the flight crew. Rather, the process would be used by the operator to develop mitigations that would be imbedded in policy and procedure (e.g. MEL, theater-specific guidance or other guidance for use by operational personnel) that would in turn allow for flight commencement (dispatch) in accordance with the risk management outcome(s) of the process.

Variations allow for situations where the technical challenges or the duration of exposure may not warrant and/or support 4D/15 tracking. The risk management process does not relieve operators of the responsibility to track their aircraft. It simply defines a risk-based methodology that allows for the commencement of a flight or series of flights when the recommended or required automated reporting interval is not achievable in accordance with either [DSP 3.5.2](#) or [3.5.3](#).

The circumstances when a risk assessment process would be applicable include the following singular (i.e. one- off) or long-term (i.e. continual) scenarios:

- Aircraft equipment failure prior to dispatch (commencement) rendering 4D/15 Tracking unserviceable;
- Systemic (non-aircraft dependent) failure rendering 4D/15 Tracking unachievable;
- Regular short exposure to lack of 4D/15 coverage (e.g. short A to B flights);
- Temporary airspace closures that may force unequipped aircraft onto routes that would typically require 4D/15 Tracking;
- Technologically challenging areas (e.g. Polar Routes);

- Other scenarios where, subject to risk assessment results, the technical challenges or the level of exposure may not warrant (justify) 4D/15 Tracking.

The risk management process specified in this provision may allow for variations in the means of reporting (e.g. manual vs. automated) as well as the reporting interval as long as the risks associated with such variations are appropriately managed. The risk management process would typically consider factors such as:

- Capability of the operator's operational control systems and processes, including those for contacting ATS units;
- Overall capability of the airplane and its systems;
- Available means to determine the position of, and communicate with, the airplane;
- Frequency and duration of gaps in automated reporting;
- Human factors consequences resulting from changes to flight crew procedures;
- Specific mitigation measures and contingency procedures.

The above reference to human factors consequences refers to the hazards associated with making manual position reports (e.g. HF, VHF, ACARS). Manual position reporting at the 15-minute interval defined for automated reporting is not considered a viable method to meet tracking requirements as the additional workload required would distract the flight crew from other duties and have a negative impact on the safety of the operation. Manual position reporting at reduced intervals could introduce a level of uncertainty regarding accuracy (i.e. introduce a greater potential for error).

Guidance on aircraft tracking is contained in:

- ICAO Annex 6, Part 1;
- ICAO Aircraft Tracking Implementation Guidelines (Cir 347);
- ICAO Global Aviation Distress Safety System Concept of Operations Document;
- Commission Regulation EC No. 965/2012 CAT.GEN.MPA.205 and related AMC and GM.

### DSP 3.5.3

If the Operator conducts flight operations in oceanic areas, the Operator shall track the position of an aircraft through automated reporting at least every 15 minutes for the portion(s) of the in-flight operation that is planned in an oceanic area(s) under the following conditions:

- The aircraft has a maximum certificated takeoff mass of over 45 500 kg and a seating capacity greater than 19; and
- Where an Air Traffic Services Unit (ATSU) obtains aircraft position information at greater than 15-minute intervals. **(GM)**

**Note:** For the purpose of aircraft tracking, an oceanic area is defined as the airspace that overlies waters outside the territory of a state.

**Note:** Variations to automated reporting intervals may be applied provided risks to the operation resulting from such variations are managed using a risk management process.

**Note:** An Operator in conformity with the specifications of [DSP 3.5.2](#) is deemed in conformity with the specifications of this provision.

### Auditor Actions

- ☐ **Identified/Assessed** Aircraft tracking capability for duration of applicable flights (focus: operational control procedures/capability for the determination of aircraft position).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: aircraft tracking process).
- ☐ **Coordinated** with FLT auditor (focus: verification of flight crew responsibilities, if any, related to Aircraft tracking).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to establish an automated aircraft position reporting interval that is to be maintained in oceanic areas by either the operator or by the relevant ATS unit. It is important to note that if tracking data becomes unavailable after flight commencement, there is no implied requirement for the operator to take on the tracking responsibility or have a backup means (note use of word “planned” in the body of the provision). Additionally, once airborne, if the aircraft operates outside of the planned route or area (e.g. unplanned diversion) and 4D/15 position data cannot be obtained, the operation may continue.

The risk management process specified in this provision is intended to be strategic in nature and scope. It is not intended, for example, that a specific risk assessment be conducted on a tactical basis by operational personnel and/or the flight crew. Rather, the process would be used by the operator to develop mitigations that would be imbedded in policy and procedure (e.g. MEL, theater specific guidance or other guidance for use by operational personnel) that would in turn allow for flight commencement (dispatch) in accordance with the risk management outcome(s) of the process.

Variations allow for situations where the technical challenges or the duration of exposure may not warrant and/or support 4D/15 tracking. The risk management process does not relieve operators of the responsibility to track their aircraft. It simply defines a risk-based methodology that allows for the commencement of a flight or series of flights when the recommended or required automated reporting interval is not achievable in accordance with either [DSP 3.5.2](#) or [DSP 3.5.3](#).

The circumstances when a risk assessment process would be applicable include the following singular (i.e. one- off) or long-term (i.e. continual) scenarios:

- Aircraft equipment failure prior to dispatch (commencement) rendering 4D/15 Tracking unserviceable;
- Systemic (non-aircraft dependent) failure rendering 4D/15 Tracking unachievable;
- Regular short exposure to lack of 4D/15 coverage (e.g. short A-to-B flights);
- Temporary airspace closures that may force unequipped aircraft onto routes that would typically require 4D/15 Tracking;
- Technologically challenging areas (e.g. Polar Routes);
- Other scenarios where, subject to risk assessment results, the technical challenges or the level of exposure may not warrant (justify) 4D/15 Tracking.

The risk management process may allow for variations in the means of reporting (e.g. manual vs. automated) as well as the reporting interval as long as the risks associated with such variations are appropriately managed. The risk management process would typically consider factors such as:

- Capability of the operator’s operational control systems and processes, including those for contacting ATS units;
- Overall capability of the airplane and its systems;
- Available means to determine the position of, and communicate with, the airplane;
- Frequency and duration of gaps in automated reporting;
- Human factors consequences resulting from changes to flight crew procedures; and
- Specific mitigation measures and contingency procedures.

The above reference to human factors consequences refers to the hazards associated with making manual position reports (e.g. HF, VHF, ACARS). Manual position reporting at the 15-minute interval defined for automated reporting is not considered a viable method to meet tracking requirements as the additional workload required would distract the flight crew from other duties and have a negative impact on the safety of the operation. Manual position reporting at reduced intervals could introduce a level of uncertainty regarding accuracy (i.e. introduce a greater potential for error).

Guidance on aircraft tracking is contained in:

- ICAO Annex 6, Part 1;
- ICAO Aircraft Tracking Implementation Guidelines (Cir 347);
- ICAO Global Aviation Distress Safety System Concept of Operations Document;
- Commission Regulation EC No. 965/2012 CAT.GEN.MPA.205 and related AMC and GM.

### 3.6 Flight Monitoring and In-Flight Management

#### DSP 3.6.1

If an FOO or FOA is used in a shared system of operational control, the Operator shall have procedures and equipment that ensure effective communication between the:

- (i) FOO and the PIC;
- (ii) If applicable, FOA and the PIC;
- (iii) FOO, PIC and maintenance. **(GM)**

#### Auditor Actions

- ☐ **Identified** use of FOO/FOA in shared operational control system (focus: applicable to FOO/FOA functions as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** procedures/equipment for communications within the operational control system (focus: capability for effective communication with flight crew/maintenance operations).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: FOO/FOA communication with flight crew/maintenance operations).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Operational Control–Shared Responsibility.

The specifications of this provision apply to FOO or FOA personnel who participate in an approved or accepted shared system of operational control and who are delegated authority and/or assigned responsibilities in accordance with [DSP 1.3.4](#) and/or [DSP 1.3.5](#), as applicable.

FOO or FOA personnel that participate in a partial shared system might lack the dedicated equipment necessary to maintain shared responsibility in flight.

The communications system can be direct voice or electronic, but an effective system would be reliable, clear and understandable over the entire route of the flight. An effective system would also perform adequately, and appropriate personnel would be knowledgeable in its use.

#### DSP 3.6.2

If required by the State, the Operator shall have a system of operational control that includes flight monitoring for the duration of a flight and ensures timely notification to the Operator by the PIC of en route flight movement and/or significant deviation from the operational flight plan. **(GM)**

#### Auditor Actions

- ☐ **Identified** regulatory requirement for an operational control system that includes flight monitoring.
- ☐ **Identified/Assessed** implementation of flight monitoring for duration of all flights (focus: operational control procedures/capability for timely PIC communication/notification of en route flight movement/OFP deviations).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: flight monitoring process; communication with flight crew).
- ☐ **Coordinated** with FLT auditor (focus: verification of flight crew notifications to operational control).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Flight Monitoring.

### DSP 3.6.3

The Operator *should* have a system of operational control that includes flight monitoring for the duration of a flight and ensures timely notification to the Operator by the PIC of en route flight movement and/or significant deviation from the operational flight plan. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** implementation of flight monitoring for duration of all flights (focus: operational control procedures/capability for timely PIC communication/notification of en route flight movement/OFP deviations).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: flight monitoring process; communication with flight crew).
- ☐ **Coordinated** with FLT auditor (focus: verification of flight crew notifications to operational control).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Flight Monitoring.

The intent of this provision is to ensure each flight conducted by the operator is “monitored” by suitably qualified operational control personnel in accordance with the IRM definition and the requirements of the applicable Authority.

### DSP 3.6.4

If the Operator has a system of operational control that includes automated flight monitoring, the Operator *should* have an adequate backup method of flight monitoring in case of failure of the automated system. **(GM)**

#### Auditor Actions

- ☐ **Identified** implementation of an automated flight monitoring system.
- ☐ **Identified/Assessed** implementation of a backup method of flight monitoring (focus: operational control plan/procedures/capability for flight monitoring in event of automated system failure; process for transition from automated system to backup method).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: backup flight monitoring process).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Automated Flight Monitoring System.

### DSP 3.6.5A

The Operator shall have guidance and procedures to ensure a flight is not continued toward the airport of intended landing unless the latest available information indicates, at the ETU, a landing can be made either at that airport or at least one destination alternate airport. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** guidance/procedures for monitoring/assessing conditions at flight destination/alternate airports (focus: flight continuation permitted only if information indicates landing can be made at destination/alternate airport).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: monitoring of destination/alternate airport conditions/information during flight).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is to ensure personnel with operational control responsibilities have access to the most current and accurate information available in order to support informed decision-making related to safe flight completion. This is especially important when the conditions under which a flight was originally planned have changed after takeoff (e.g. unplanned re-release) or because the flight was planned with a re-release point (a pre-planned re-release). In either case, the overriding intent is to ensure operational control personnel, including flight crews, have access to the most current and accurate information available. Access to such information is typically necessary to ensure flights do not proceed beyond the last possible point of diversion to an en route alternate airport (appropriate for the aircraft type) and continue to the destination when, in the opinion of either the PIC or, in a shared system of operational control, the PIC and FOO it is unsafe to do so.

The ETU for an airport of intended landing is normally determined in accordance with the type of operational control system and requirements of the State:

- In a non-shared system of operational control, the ETU is typically expressed as a time margin (e.g. one hour before to one hour after the ETA at the alternate airport);
- In a shared system of operational control, the ETU is typically considered to be a specific point in time coupled with a requirement to ensure the alternate airport remains at or above appropriate minima for the duration of the flight.

Information that would be useful in determining whether a landing can be made at the destination or any required alternate is typically related to:

- Meteorological conditions, both en route and at the airport of intended landing, to include hazardous phenomena such as thunderstorms, turbulence, icing and restrictions to visibility.
- Field conditions, such as runway condition and availability and status of navigation aids.
- En route navigation systems and facilities status, where possible failures could affect the safe continuation or completion of the flight.
- En route fuel supply, including actual en route consumption compared to planned consumption, as well as the impact of any changes of alternate airport or additional en route delays.
- Aircraft equipment that becomes inoperative, which results in an increased fuel consumption or a performance or operational decrement that could affect the flight crew's ability to make a safe landing at an approved airport.
- Air traffic management concerns, such as re-routes, altitude or speed restrictions and facilities or system failures or delays.
- Security concerns that could affect the routing of the flight or its airport of intended landing.

Refer to [Table 2.2](#) found in ISM Section 2 (FLT) for OM documentation requirements.

### DSP 3.6.5B

If the Operator selects and specifies en route alternate airports on the OFP, the Operator shall have guidance and procedures to ensure en route alternate airports selected and specified on the OFP are available for approach and landing, and the forecast at those airports is for conditions to be at or above the operating minima approved for the operation at the ETU. **(GM)**

## Auditor Actions

- ☐ **Identified** requirement for selection of en route alternate airports.
- ☐ **Identified/Assessed** guidance/procedures for selection/designation of en route alternate airports (focus: flight planning includes assessment/selection/designation on OFP of en route alternate airports with conditions that will permit approach/landing at ETU).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: specification of en route alternate airports).
- ☐ **Observed** operational control/flight dispatch operations (focus: monitoring of en route airports conditions/information during flight).
- ☐ **Other Actions** (Specify)



### Guidance

The intent of this provision is for the operator to have a methodology to protect a diversion *should* a situation occur that may require an aircraft to divert while en route. For example, such a methodology typically includes ensuring that operational control personnel and pilots are knowledgeable about diversion airport alternates, applicable meteorological conditions, and have the means to obtain information related to the availability of en route alternates.

One way to ensure a reasonable certainty that the weather conditions at a required en route alternate will be at or above operating minima approved for the operation is through the application and use of planning minima (at the planning stage) as specified in [DSP 3.2.9C](#). This is done to increase the probability that a flight will land safely after a diversion to an en route alternate airport.

The ETU for an en route alternate airport is typically understood to be the earliest to the latest possible landing time at that airport.

Refer to [Subsection 4.5](#) for provisions that specify the additional steps necessary to protect an en route alternate airport when aircraft are engaged in operations beyond 60 minutes (from a point on a route to an en route alternate airport) or ETOPS/EDTO.

### DSP 3.6.5C

The Operator shall have procedures to ensure that the inadequacy of any facilities observed during the course of flight operations is reported to the responsible authority without undue delay, and to further ensure that information relevant to any such inadequacy is immediately disseminated to applicable operating areas within the Operator's organization. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedures for identifying/reporting inadequacy of relevant/required facilities during course of flight operations (focus: inadequate facilities reported to responsible authority/communicated to applicable operating areas within organization).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected flight records (focus: identification/notification of inadequate facilities).
- ☐ **Observed** operational control/flight dispatch operations (focus: procedures for reporting of inadequate facilities observed during flights to applicable authorities/operational areas of organization).
- ☐ **Other Actions** (Specify)

### Guidance

The specifications of this provision address situations when operational control personnel learn of the inadequacy of facilities (e.g. navigation aid outages, runway closures) from flight crew reports, ATS, airport authorities or other credible sources. Operational control personnel would be expected to convey any safety-critical outages to applicable authorities and relevant operational areas within the organization.

Applicable authorities include those authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

### DSP 3.6.6

The Operator shall have guidance and procedures to ensure notification to the Operator when a flight has been completed. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** guidance/procedures for notification of flight completion (focus: operational control personnel receive notification once flight is completed).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** flight records (focus: flight completion notification).
- ☐ **Observed** operational control/flight dispatch operations (focus: procedures for flight completion notifications).



- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions associated with Flight Time (Aircraft).

Notification of the safe landing of an aircraft permits the operator to discard 4D/15 aircraft tracking data obtained in accordance with [DSP 3.5.2](#) and/or [DSP 3.5.3](#).

### 3.7 Emergency Response

**DSP 3.7.1**

If the Operator conducts international flights with aircraft that have emergency and survival equipment on board, the Operator shall ensure the availability of information for immediate communication to rescue coordination centers that describes such equipment, to include, as applicable:

- (i) The number, color and type of lifesaving rafts and pyrotechnics;
- (ii) Details of emergency medical and water supplies;
- (iii) Type and frequencies of the emergency portable radio equipment. **(GM)**

**Auditor Actions**

- ☐ **Identified** aircraft used for international flights that have emergency/survival equipment on board.
- ☐ **Identified/Assessed** availability of information that describes onboard emergency/survival equipment for the purpose of communication to rescue coordination centers in the event missing aircraft (focus: definition of required information to be communicated; responsibility for communication).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: preparedness to communicate emergency/survival equipment information to SAR centers).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of International Flight.

The intent of this provision is for an operator to have published information that describes the emergency and survival equipment carried on board aircraft engaged in international operations, and to have such information readily available when necessary for immediate communication to search and rescue (SAR) facilities.

**DSP 3.7.2**

The Operator shall have guidance and procedures to ensure FOO, FOA or other designated personnel:

- (i) Notify the appropriate authority in the quickest manner of any accident involving an aircraft that results in a fatal or serious injury to any person or substantial damage to the aircraft or property;
- (ii) Make position information of a flight in distress available to the appropriate organizations as established by the State. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** guidance/procedures for notification to appropriate authority in event of accident resulting in serious injury/substantial damage (focus: procedures/responsibility for providing timely accident notification).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: preparedness to provide accident notification to the appropriate authority).

❑ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Autonomous Distress Tracking (ADT)

The intent of this provision is to ensure applicable operational control personnel provide timely aircraft accident notification or position information of a flight in distress to the appropriate authority by designated personnel using the system specified in [DSP 1.4.2](#) and if applicable, the specifications of [ORG 1.7.11](#).

Position information of an aircraft in distress aims at establishing, to a reasonable extent, the location of a potential accident site within a 6 NM radius.

Descriptive information relevant to an aircraft in distress may be found in [Table 4.12](#) (xxx) located in ISM Section 4 (MNT).

**DSP 3.7.3**

If the Operator transports dangerous goods as cargo, the Operator shall ensure FOO, FOA and/or other designated operational control personnel:

- (i) Have access to the same information pertaining to dangerous goods carried as cargo on board the aircraft that is provided to the PIC;
- (ii) Are assigned the responsibility to provide detailed information without delay about dangerous goods carried as cargo to emergency services responding to an accident or serious incident involving the Operator's aircraft. **(GM)**

**Auditor Actions**

- ❑ **Identified** authority for transport of dangerous goods as cargo.
- ❑ **Identified/Assessed** guidance/procedures for notification to emergency services responding to an aircraft accident (focus: procedures/responsibility for providing timely dangerous goods information).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Observed** operational control/flight dispatch operations (focus: access to same dangerous goods information as provided to PIC; preparedness to provide dangerous goods information in event of accident).
- ❑ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of Dangerous Goods Regulations (DGR) and NOTOC (Notification to Captain).

The intent of this provision is to ensure:

- Applicable operational control personnel have access to the same dangerous goods information that has been provided to the PIC;
- The operator assigns an operational control person the responsibility to provide specific information regarding onboard dangerous goods to emergency services personnel that are responding to an accident or serious incident involving the operator's aircraft.

An operator, in accordance with requirements of the Authority, typically develops guidance related to the transport of dangerous goods based on technical information from one or more source reference documents, to include:

- Dangerous Goods Regulations (DGR);
- An equivalent dangerous goods manual, dangerous goods emergency response guide or other reference document approved or accepted by the Authority for the development of flight crew guidance related to the transportation of dangerous goods by air.

The dangerous goods information provided to the PIC is specified in [GRH 3.3.4](#) located in ISM Section 6.

## 4 Operational Control Requirements and Specifications

### General Guidance

Operators are increasingly reliant on the use of variations, including Operational Variations approved by the Authority. Such alternative means of compliance allow for greater operational flexibility without degrading the safety performance of an operational activity. This presumption is dependent on the presence of specific organizational and operational capabilities, the results of SRM activities and the determination of acceptable standards of safety performance.

Certain provisions in sub-sections 4.1, 4.3, and 4.5 contain a variation option applicable only to those operators that use SRM processes to support conformity with selected alternate airport selection, fuel planning and/or EDTO ISARPs. These options are typically presented as alternatives to one or more “prescriptive” specifications of the parent provision.

In order to take advantage of any variation, including Operational Variations approved by the Authority, operators would have the resources necessary to analyze operational hazards, manage the associated safety risks and achieve target levels of safety performance. These processes are typically attributed to the implementation of a safety management system (SMS).

The determination that operators will be able to reach a target level of safety performance necessary to ensure safety is dependent on numerous organizational and operational capabilities that typically include, but are not limited to, those that are compiled in the following table.

**Note:** The table is provided as guidance material and does not introduce new requirements or specifications. It should be used as an aid in evaluating an operator's ability to achieve conformity with the eligible provisions contained in this subsection.

Organizational and Operational Capabilities	Description
<b>Organizational and Operational Process Management and Control</b> Operators typically possess the requisite knowledge, skills, experience, resources and technologies necessary to implement and oversee the many systems and processes required to use variations, including Operational Variations approved by the Authority.	This is demonstrable organizational and operational process management and control that is dependent on robust subordinate or related processes including: <ul style="list-style-type: none"> <li>• The development of policy and procedure;</li> <li>• The staffing of positions with an appropriate number of qualified personnel;</li> <li>• Training to the operator's policy and procedure and to ensure personnel remain competent and qualified;</li> <li>• Implementation or the demonstration of performance in accordance with policy and procedure;</li> <li>• Data reporting, measurement and analysis for the purpose of monitoring the effectiveness and efficiency of systems, processes, policies and/or procedures;</li> <li>• An adjustment component or subsystem to respond to any underperformance or deviation and for the purpose of continuous improvement.</li> </ul>

Organizational and Operational Capabilities	Description
<p><b>Specific Operational Capabilities</b> (operational control, aircraft, airport, infrastructure and meteorological)</p>	<p>These are the key operator capabilities necessary to support operational activities related to alternate selection, fuel planning and/or ETOPS/EDTO including:</p> <ul style="list-style-type: none"> <li>• Operational control systems and standard operating procedures that provide the direction for the conduct of flight operations;</li> <li>• Ground-based and airborne tools and technologies to improve situational awareness and operational capability;</li> <li>• Flight monitoring that encompasses the activities necessary to effectively exercise operational control;</li> <li>• Field condition monitoring at the destination, en route, en route alternate and destination alternate airports (as applicable) nominated for use by the flight up until the flight is no longer dependent on the use of the applicable airports</li> <li>• Rapid and reliable communication capabilities;</li> <li>• Weather reporting and monitoring capability.</li> </ul>
<p><b>(Tactical) SRM processes</b> (specific to the development and use of variations, including Operational Variations approved by the Authority)</p>	<p>SRM processes interface with the internal system of production (related to a specific system or process) for data reporting, measurement and analysis, as well as other organizational systems. These include the interfaces with SMS and Quality systems to ensure operational systems and processes are subjected to the organization's overarching safety and quality assurance processes, and:</p> <ul style="list-style-type: none"> <li>• Appropriate data from many sources are isolated and extracted;</li> <li>• Reports from operational personnel are collated and analyzed;</li> <li>• Feedback and control references are provided against which hazard analysis and consequence management can be measured;</li> <li>• Material is provided for root cause and safety trend analysis;</li> <li>• Data are collected relevant to the mitigation of safety risks;</li> <li>• Identification and analysis of applicable hazards;</li> <li>• Assessment, control and of resultant safety risks.</li> </ul>

Organizational and Operational Capabilities	Description
<b>An Oversight Component</b> (safety performance monitoring and measurement)	This is the monitoring and measurement of safety performance through appropriate safety performance measures that continuously track system safety performance as necessary to determine whether an operator's system is truly operating in accordance with design expectations.

Refer to the IRM for the definition of Safety Risk Management (SRM).

The variation options in the applicable [sub-section 4](#) provisions allow for alternative means of compliance so long as hazards are identified and safety risk assessment processes are used to ensure safety risks are mitigated or controlled to an acceptable level

The applicable [sub-section 4](#) provisions are also designed to ensure the operator possesses the capabilities to sustain demonstrable levels of safety performance that are acceptable to the State and the operator.

## 4.1 Alternate and Isolated Airports

### DSP 4.1.1

The Operator shall have a system, process and/or procedures for alternate airport selection to ensure an appropriate takeoff alternate airport is selected and specified on the OFP whenever:

- (i) The meteorological conditions at the airport of departure are below the applicable airport operating landing minima, *and/or*
- (ii) Other operational conditions exist, as defined by the State or the Operator, that would preclude a return to the departure airport. **(GM)**

**Note:** *The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to takeoff alternate airport selection criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.*

#### Auditor Actions

- ☐ **Identified/Assessed** system/process/procedures for takeoff alternate airport selection (focus: flight planning includes assessment/selection/designation on OFP of takeoff alternate airport when meteorological/other conditions preclude flight return to departure airport).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: designation of takeoff alternate airport).
- ☐ **Observed** operational control/flight dispatch operations (focus: process for selection of takeoff alternate airports).
- ☐ **Coordinated** with FLT auditor(s) (focus: complementary process for selection/designation of takeoff alternate airport).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ☐ **Identified** applicable variation(s) used for takeoff alternate airport selection (focus: differences from any basic requirements specified in the provision).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Operational Variations.

The intent of this provision is to ensure a methodology exists for the selection and specification of takeoff alternate airports when required. The selection of such airports is typically intended to address an operational condition (e.g. an emergency during or immediately after takeoff) that would require the flight crew to land the aircraft as soon as practicable. Accordingly, the applicable operating landing minima specified in the provision would typically refer to the minimum ceiling and/or visibility/runway visual range for landing with an engine inoperative as established by the operator.

Takeoff alternates are typically selected during the planning stage but may be selected after flight commencement when necessary via radio, ACARS, or any other communication means acceptable to the operator and the State.

The appropriateness of an airport for selection as a takeoff alternate is dependent on many factors including, but not limited to, the operational conditions specified in [DSP 3.2.8](#).

An operator may use a system, a process or procedures alone or in any combination in order to fulfill operational requirements related to the selection of takeoff alternate airports. In all cases, however, the robustness of any methodologies used for takeoff alternate airport selection is commensurate with the breadth and complexity of the operation.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to alternate airport selection are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- Capabilities of the operator;
- Overall capability of the aircraft and its systems;
- Available airport technologies, capabilities and infrastructure;
- Quality and reliability of meteorological information;
- Identified hazards and safety risks associated with each alternate aerodrome variation; and
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Examples of variations related to the selection of alternate airports are contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

### DSP 4.1.2

The Operator shall have a system, process, and/or procedures for alternate airport selection to ensure a takeoff alternate airport selected in accordance with [DSP 4.1.1](#) is located within a specified flying time from the airport of departure as follows (as applicable to the Operator):

- (i) For aircraft with two engines, not more than one hour flying time from the airport of departure calculated at the single-engine cruise speed, determined from the aircraft operating manual in ISA and still air conditions using the actual takeoff mass.
- (ii) For aircraft with three or more engines, not more than two hours flying time from the airport of departure calculated at the all-engine operating cruise speed, determined from the aircraft operating manual in ISA and still air conditions using the actual takeoff mass.
- (iii) For aircraft engaged in ETOPS/EDTO, where an alternate airport meeting the flight time criteria of i) or ii) is not available, the first available alternate airport located within the maximum diversion flying time approved for the Operator considering the actual takeoff mass. **(GM)**

**Note:** Pre-existing approved ETOPS/EDTO calculations for the determination of threshold distances substantially similar to those specified in items i), ii) or iii) may be used to conform with maximum diversion flight time calculations. For example, operators may be authorized by the State to define diversion distances for each aircraft type, rounded up to easily recalled figures, that are based on



*maximum certificated takeoff mass or on takeoff masses largely representative of those used in operations.*

**Note:** The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to takeoff alternate airport selection criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.

#### Auditor Actions

- ☐ **Identified** operator procedures for designating takeoff alternate airports on the OFP.
- ☐ **Identified/Assessed** system/process/procedures for selection/designation of a takeoff alternate airport located a specified distance in flying time from the departure airport (focus: flight planning takes into account regulatory/operational conditions/requirements/factors applicable to the operator/flight; such conditions/requirements/factors that are considered/assessed in the takeoff alternate process are defined).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: designation of takeoff alternate airport in accordance with relevant factors).
- ☐ **Observed** operational control/flight dispatch operations (focus: process for selection/designation of takeoff alternate airports).
- ☐ **Coordinated** with FLT auditor(s) (focus: complementary distance criteria for selection/designation of takeoff alternate airport).

#### If the Operator conforms through Operational Variation (see Note), the following additional actions apply

- ☐ **Identified** applicable variation(s) used for takeoff alternate airport selection (focus: differences from any basic requirements specified in the provision).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

#### Guidance

The principal intent of this provision is to address the safety risks associated with continuing a flight to an alternate airport when a landing as soon as practicable is warranted, but a return to the airport of departure immediately after takeoff is not possible. As a practical matter, and to limit the exposure to such risks, this requires the operator to calculate the maximum diversion flight time for each aircraft type to ensure a takeoff alternate, when required, will be located within a prescribed flight time from the airport of departure.

An operator may use a system, process, and/or procedures alone or in any combination in order to fulfill operational requirements related to the selection of alternate airports. In all cases, however, the robustness of any methodologies used for takeoff alternate airport selection is commensurate with the breadth and complexity of the operation.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to alternate airport selection are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- Capabilities of the operator;
- Overall capability of the aircraft and its systems;



- Available airport technologies, capabilities and infrastructure;
- Quality and reliability of meteorological information;
- Identified hazards and safety risks associated with each alternate aerodrome variation; and
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Examples of variations related to the selection of alternate airports are contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## DSP 4.1.3 (Intentionally open)

### DSP 4.1.4

The Operator shall have a system, process and/or procedures for alternate airport selection that takes into account meteorological conditions and relevant operational information to ensure a minimum of one destination alternate airport is specified on the OFP and the ATS flight plan, except under one or more of the following conditions (as approved or accepted by the Authority based on the operations of the Operator):

- (i) When, based on the duration of the flight (from the departure airport, or from the point of in-flight re-planning to the destination), there is reasonable certainty that, at the ETU of the destination airport:
  - (a) The approach and landing may be made under visual meteorological conditions (VMC), as defined by the State; and
  - (b) Separate runways are usable with at least one runway having an operational instrument approach procedure.
- (ii) When, based on the duration of the flight (from the departure airport, or from the point of in-flight re-planning to the destination airport), there is reasonable certainty that, at the ETU of the destination airport, the visibility will be at least 3 miles (5 km) **and** the ceiling will be at or above one or more of the following prescribed heights, (as approved or accepted by the Authority based on the operations of the Operator):
  - (a) The ceiling height for VMC, as defined by the State, or
  - (b) 1,500 feet above the lowest (*TERPS*) circling MDA, if a circling approach is required and authorized for that airport, or
  - (c) 2,000 feet or 500 feet above the (*PANS-OPS*) circling height, whichever is greater, or
  - (d) 2,000 feet or 1,500 feet above the lowest applicable HAT/HAA, whichever is greater. **(GM)**

**Note:** The specifications of this provision are not applicable for flights conducted under isolated airport operations as specified in [DSP 4.1.7](#).

**Note:** Conformity with item ii) requires the definition of the ceiling and visibility expected at the ETU of the destination airport. Other determinants such as flight time (e.g. 6 hours) or the availability of separate runways may also be used to further limit the instances when a flight may depart without nominating a destination alternate but are not required to achieve conformity with item ii).

**Note:** The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to destination alternate airport selection criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.

### Auditor Actions

- ☐ **Identified** regulatory requirements (including AMC) and exceptions for designation of a minimum of one destination alternate airport.
- ☐ **Identified/Assessed** system/process/procedures for selection of a minimum of one destination alternate airport (focus: flight planning takes into account regulatory/operational conditions/

requirements/factors applicable to the operator/flight; such conditions/requirements/factors that are considered/assessed in the destination alternate airport selection process are defined).

- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs/ATS flight plans (focus: designation of destination alternate airport in accordance with relevant factors).
- ☐ **Observed** operational control/flight dispatch operations (focus: process for selection/designation of destination alternate airport).
- ☐ **Coordinated** with FLT auditor (focus: complementary distance criteria for selection/designation of a minimum of one destination alternate airport).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ☐ **Identified** applicable variation(s) used for destination alternate airport selection (focus: differences from any basic requirements specified in the provision).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of Domestic Flight, Isolated Airport, PANS-OPS and TERPS, and for the abbreviations HAT and HAA.

The principal intent of this provision is to address the safety risks associated with unavailability of the destination airport. As a practical matter this is typically accomplished by the selection and specification of alternate airports in accordance with the technical specifications of the provision and/or to otherwise ensure, to the extent reasonably practicable, that an airport of intended landing will be available to a flight at the ETU.

Item i) identifies the basic operational specifications for alternate airport selection, although an operator may conform to a minimum of one of the numbered specifications of the provision and be in overall conformance with the intent of the entire provision. Individual conformity with items i) and ii) is “as approved or accepted by the Authority based on the operations of the Operator” and dependent on many factors including the regulatory environment and the type of operations conducted.

The ETU is typically defined as one hour before to one hour after the estimated time of arrival at the destination airport.

Isolated airport operations, by definition, preclude the designation of a destination alternate airport and are conducted in accordance with the planning specifications of [DSP 4.1.7](#) and the fuel specifications of [DSP 4.3.11](#).

For the purposes of item ii), separate runways are two or more runways at the same airport configured such that if one runway is closed, operations to the other runway(s) can be conducted.

Applicable authorities typically include those authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

The operator may use a system, process and/or procedures alone or in any combination in order to fulfill operational requirements related to the selection of alternate airports. In all cases, however, the robustness of any methodologies used for destination alternate airport selection is commensurate with the breadth and complexity of the operation.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to alternate airport selection are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following.

- Capabilities of the operator;
- Overall capability of the aircraft and its systems;
- Available airport technologies, capabilities and infrastructure;
- Quality and reliability of meteorological information;
- Identified hazards and safety risks associated with each alternate aerodrome variation; and
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Examples of variations related to the selection of alternate airports are contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## DSP 4.1.5

The Operator shall have a system, process and/or procedures for alternate airport selection that takes into account meteorological conditions and relevant operational information to ensure a second destination alternate airport is specified on the OFP and the ATS flight plan under *one or more* of the following conditions (as approved or accepted by the Authority based on the operations of the Operator):

- (i) When, for the destination airport, meteorological conditions at the ETU will be below the Operator's established airport operating minima.
- (ii) When, for the destination airport, meteorological information is not available (unless the Authority will not permit the initiation of a flight in the absence of such information).
- (iii) If the Operator conducts operations to airports with "marginal" meteorological conditions as defined in the OM, when, for such operations, the meteorological conditions at the ETU of the destination *and* first alternate airports will be marginal.
- (iv) If the Operator conducts extended over-water operations as defined in the OM, when, for such operations, the meteorological conditions at the ETU of the destination airport will be below the Operator's established operating minima for that operation, *unless* there is a reasonable certainty that the first alternate airport will be at or above the Operator's established operating minima at the ETU. **(GM)**

**Note:** The specifications of this provision are not applicable for flights conducted under isolated airport operations as specified in [DSP 4.1.7](#).

**Note:** The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to destination alternate airport selection criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained

## Auditor Actions

- ☐ **Identified/Assessed** system/process/procedures for selection of a second destination alternate airport (focus: flight planning takes into account regulatory/operational conditions/requirements/factors applicable to the operator/flight; such conditions/requirements/factors that are considered/assessed in the destination alternate airport selection process are defined).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs/ATS flight plans (focus: designation of second destination alternate airport in accordance with relevant factors).
- ☐ **Observed** operational control/flight dispatch operations (focus: system/process for selection/designation of second destination alternate airport).
- ☐ **Coordinated** with FLT auditor(s) (focus: complementary criteria for selection/designation of second destination alternate airport).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ☐ **Identified** applicable variation(s) used for destination alternate airport selection (focus differences from any basic requirements specified in the provision).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

**Guidance**

The principal intent of this provision is to address the safety risks associated with lack of weather reporting for the destination airport or its unavailability at the ETU due to the prevailing meteorological conditions. As a practical matter this may be accomplished by the selection and specification of a second alternate in accordance with the technical specifications of the provision and/or to otherwise ensure, to the extent reasonably practicable, that an airport of intended landing will be available to a flight at the ETU.

An operator may conform to a minimum of one of the numbered specifications of the provision and be in overall conformity with the intent of the entire provision. Individual conformity with items i) through iv) is “as applicable to the operator” and dependent on many factors including the regulatory environment and the type of operations conducted.

Isolated airport operations, by definition, preclude the designation of any destination alternate airport and are conducted in accordance with the planning specifications of [DSP 4.1.7](#) and the fuel specifications of [DSP 4.3.11](#).

The specifications in ii) define a condition that triggers the selection and specification of a second destination alternate except in cases when the operator is not authorized to depart in the absence of any destination weather information. In such cases, the Authority may authorize departures without nominating a second destination alternate if, for example:

- The FOO and flight crew obtain and consider those weather reports and forecasts which are available;
- The FOO and flight crew ensure adequate contingency plans (such as extra fuel) are available to deal with an unfavorable change in conditions.

The term “marginal” as used in item (iii) is typically not defined by regulation. This, to some extent, is because the definition of what constitutes “marginal” depends on the nature of the meteorological conditions present, the type of operation being conducted and the capabilities of the airborne and ground-based equipment available. In any case, an operator, in order to conform to item iii) must clearly define the term including the conditions under which a second alternate is required.

The specifications in item iii) are typically applicable to flights conducted between airports within the territories of one nation or country, or between nearby countries as approved or accepted by the applicable authorities.

The specification in item iv) is applicable if the term “extended overwater operations” is defined by regulation of the State and by the operator. Such term is typically defined as an operation over water at a horizontal distance of more than 50 nautical miles from the nearest shoreline.

An operator may use a system, process and/or procedures alone or in any combination in order to fulfill operational requirements related to the selection of alternate airports. In all cases, however, the robustness of any methodologies for destination alternate airport selection is commensurate with the breadth and complexity of the operation.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to alternate airport selection are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- Capabilities of the operator;
- Overall capability of the aircraft and its systems;
- Available airport technologies, capabilities and infrastructure;
- Quality and reliability of meteorological information;
- Identified hazards and safety risks associated with each alternate aerodrome variation; and
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Examples of variations related to the selection of alternate airports are contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## DSP 4.1.6 (Intentionally open)

### DSP 4.1.7

If the Operator conducts isolated airport operations that preclude the selection of any destination alternate airport in accordance with [DSP 4.1.4](#) or [4.1.5](#), the Operator shall have a process to ensure, for each flight into an isolated destination airport:

- (i) The designation of a point of safe return (PSR);
- (ii) The flight does not continue past the PSR unless a current assessment of meteorological conditions, traffic, and other operational conditions indicate that a safe landing can be made at the ETU. **(GM)**

### Auditor Actions

- ☐ **Identified** operations to isolated airport that preclude selection/designation of destination alternate airports.
- ☐ **Identified/Assessed** process/procedures for designation/use of PSR in the conduct of isolated airport flights (focus: flight planning includes computing/designating PSR for each isolated airport flight; procedures for monitoring/assessing conditions during flight to allow/disallow flight continuation past PSR to destination airport).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected flight records (focus: designation/use of PSR for isolated airport flights).
- ☐ **Observed** operational control/flight dispatch operations (focus: process for designation of PSR for isolated airport flights; ensuring safe destination conditions for flight continuation past PSR).
- ☐ **Coordinated** with FLT auditor (focus: complementary PSR procedures for isolated airport flights).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Isolated Airport and Point of Safe Return (PSR).

The intent of this provision, in combination with the fuel carriage requirements specified in [DSP 4.3.11](#), is the mitigation of some risks associated with operations to those airports that preclude the selection of a destination alternate and, in addition, the creation of awareness among operational control personnel and the PIC as to the actual position of the PSR and the conditions necessary to continue beyond the PSR to the isolated airport.

For the purposes of this provision, an airport is considered isolated when there is no destination alternate appropriate for a given aircraft type within a prescribed flight time from the destination. A destination airport is typically considered isolated by the Authority when the fuel required to go-around from Decision Altitude/Height (DA/H) or the Missed Approach Point (MAP) at the destination airport and then divert to the nearest alternate exceeds, for a turbine engine aircraft, the fuel required to hold at the destination airport for two hours including final reserve fuel.



In the context of isolated airport operations, a PSR is the point of last possible diversion to an en route alternate. The specification in item i) requires that a PSR is to be determined for each flight to an isolated airport. While this point can be calculated and specified on the OFP at the planning stage, such a calculation does not typically take into account any discretionary fuel, or the real-time changes in fuel consumption that will occur after departure.

Therefore, since the PSR will typically be reached later in the flight than the point originally calculated in the OFP, an operator would normally provide practical instructions so that operational control personnel and the flight crew can calculate or determine the actual position of the PSR.

The Final Decision Point used in Decision Point Planning or the Pre-determined Point used in Pre-determined Point planning may be used to meet the intent of this specification in lieu of a specific PSR.

Guidance for planning operations to isolated airports, including the determination of a PSR, may be found in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## 4.2 Minimum Flight Altitudes and En Route Performance

### DSP 4.2.1

The Operator shall have guidance and procedures to ensure planned minimum flight altitudes are not less than those established by the applicable authorities. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** guidance/procedures for planning altitudes for all flights (focus: flight planning takes into account and ensures flights meet minimum altitude limitations established by regulation).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs/flight records (focus: planned flight altitudes within minimum altitude limits).
- ☐ **Observed** operational control/flight dispatch operations (focus: flight planning; altitude selection).
- ☐ **Coordinated** with FLT auditor (focus: process for selection of planned minimum altitudes that meet established safe limits).
- ☐ **Other Actions** (Specify)

#### Guidance

Operational flight planning includes a review of the route of flight, in conjunction with published aeronautical information, to ensure compliance with minimum flight altitudes. Such review could include:

- Minimum Safety Altitude (MSA);
- Minimum Descent Altitude/Height (MDA/H);
- Minimum En route Altitude (MEA);
- Minimum Obstruction Clearance Altitude (MOCA);
- Minimum Off-Route Altitude (MORA);
- Minimum Vectoring Altitude (MVA);
- Any other minimum altitudes prescribed by the Authority.

Applicable authorities include those authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

### DSP 4.2.2

The Operator shall have guidance and procedures to ensure provision of an OFP such that, if the most critical engine on an aircraft with two engines become inoperative at any point along the planned route of flight, the aircraft can continue to an airport and land safely without flying below the minimum flight altitude(s) at any points along the route. **(GM)**

## Auditor Actions

- **Identified/Assessed** guidance/procedures for consideration of en route critical engine failure for flights conducted by two-engine aircraft (focus: flight planning takes into account critical engine failure/flight diversion at any point on planned route without flying below minimum altitudes; designated en route alternates shown on OFP).
- **Interviewed** responsible operational control manager(s).
- **Examined** selected OFPs (focus: planned route of flight/en route alternate airports).
- **Observed** operational control/flight dispatch operations (focus: process that ensures OFP route for two-engine aircraft permits, in case of critical engine failure at any point, flight to proceed to an airport above minimum altitudes).
- **Coordinated** with FLT auditor (focus: complementary criteria for consideration of en route critical engine failure/selection of en route alternate airports).
- **Other Actions** (Specify)

## Guidance

Operational flight planning normally includes a review of the route of the flight in conjunction with published aeronautical and terrain data to ensure compliance with the minimum flight altitudes defined by the operator and/or applicable authorities. The specifications of this provision typically require a minimum amount of terrain clearance, specified by the operator and/or applicable authorities along the route of flight to assure continued safe flight and landing.

Applicable authorities include those authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

### DSP 4.2.3

If the Operator uses aircraft with three or more engines, the Operator shall have guidance and procedures for diversion planning and the provision of an OFP that ensures aircraft with three or more engines can *either*:

- (i) If a second engine becomes inoperative en route, continue from the point where two engines are assumed to fail simultaneously to an en route alternate airport at which the landing distance specification for alternate airports is complied with and where it is expected that a safe landing can be made, *or*
- (ii) If a single engine becomes inoperative en route, and for operations conducted in areas of the world with limited diversion options, the flight is planned with a more distant alternate than specified in item i) in order to provide for a diversion for any en route contingency that may limit the planned operation. Such diversion planning shall be conducted in accordance with the specifications of a program approved or accepted by the State that requires the Operator to actively manage the risk of subsequent engine failures or other flight limiting occurrences and:
  - (a) Contains special considerations for extended range flights conducted over remote areas designed to prevent the need for a diversion and protect the diversion to an alternate airport when it cannot be prevented;
  - (b) Uses aircraft designed and manufactured for the intended operation and maintained to ensure original reliability;
  - (c) Requires the Operator to implement and maintain a problem reporting, tracking and resolution system that contains a means for the prompt reporting, tracking and resolution of specific problems, as designated by the Operator or State, that could affect the safety of the operation;
  - (d) Requires a prescribed level of engine reliability, as measured by an in-flight shutdown rate (IFSD) determined by the Operator or State, where the risk of independent failures leading to a loss of thrust from two simultaneous engine failures ceases to limit the operation and other limiting factors come into play;



- (e) Designates a maximum diversion distance in cases where a diversion is necessary for any reason, including limiting airframe systems and reasons that do not have anything to do with aircraft reliability, such as passenger illness;
- (f) Requires the Operator to demonstrate to the applicable authorities that, when considering the impact of increasing diversion time, the operation can be conducted at a level of reliability which maintains an acceptable level of risk. **[PCO] (GM)**

**Note:** Item ii) is a Parallel Conformity Option [PCO] for item i); in effect until 31 December 2024.

## Auditor Actions

- ☐ **Identified/Assessed** guidance/procedures for consideration of en route engine failure for flights conducted by three/four-engine aircraft (focus: flight planning takes into account risks associated with single/dual engine failure/flight diversion; planned route will allow for single/dual engine failure at any point and continuation to an en route alternate/diversion airport for safe landing; designated en route alternates/diversion information shown on OFP).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: planned route of flight; en route alternate airports; diversion information).
- ☐ **Observed** operational control/flight dispatch operations (focus: process that ensures OFP route for three/four-engine aircraft permits, in case of one/two engine failure at any point, flight to proceed to an airport with safe landing).
- ☐ **Coordinated** with FLT auditor (focus: complementary criteria for consideration of en route single/dual engine failure, diversion options).
- ☐ **Other Actions** (Specify)

## Guidance

Operational flight planning normally includes a review of the route of flight along with published aeronautical information to ensure the designation of appropriate en route alternates that meet all operational and regulatory requirements.

Applicable authorities as specified in item f) includes those authorities that have jurisdiction over international operations conducted by an operator over the high seas or the territory of a state that is other than the State of the Operator.

## 4.3 Fuel Planning

### DSP 4.3.1

The Operator shall have a system, process and/or procedures to ensure an aircraft carries a sufficient amount of usable fuel to complete each planned flight safely and allow for deviations from the planned operation. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** system/process/procedures for fuel planning for all flights (focus: flight planning takes into account possible deviations from planned operation in calculating usable fuel for safe completion of flight).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: fuel load meets/exceeds minimum required departure/dispatch fuel).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures that ensure sufficient usable fuel for safe flight completion taking into account unplanned deviations).
- ☐ **Coordinated** with FLT auditor (focus: complementary procedures for assessing minimum required fuel).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is to define the foundation necessary to support the practical implementation of an operator's fuel policy. It also addresses the baseline criteria to be considered in any methodology used in the determination of total usable fuel required to complete each planned flight safely. Simply put, it requires an operator to use system, process and/or procedures alone or in any combination in order to fulfill operational requirements related to the implementation of its fuel policy. In all cases the robustness of any such methodologies is commensurate with the breadth and complexity of the operation and takes into account:

- The aircraft-specific data and operating conditions for the planned operation (see [DSP 4.3.2](#));
- The following components of usable fuel required in accordance with the respective provisions of this sub-section:
  - Taxi fuel (see [DSP 4.3.5](#));
  - Trip fuel in (see [DSP 4.3.6](#));
  - Contingency fuel (see [DSP 4.3.7](#));
- If required (as applicable to each flight):
  - Destination alternate fuel (see [DSP 4.3.8](#) or [DSP 4.3.9](#)), or
  - No-alternate fuel (see [DSP 4.3.10](#)), or
  - Isolated airport fuel (see [DSP 4.3.11](#)).
- Final reserve fuel (see [DSP 4.3.12](#));
- If required, additional fuel (see [DSP 4.3.13](#));
- If requested by the PIC, or the PIC and FOO in a shared system of operational control, discretionary fuel (see [DSP 4.3.14](#)).

Some regulatory authorities or operators may classify destination alternate fuel, no alternate fuel and isolated airport fuel under the common heading of "Alternate Fuel" in regulations and/or flight planning systems.

It is important for operational control personnel and the flight crew to have a clear and common understanding of the terms used in the operator's fuel policy, as such understanding is the key to successful flight planning and completion. Equally important is the notion that differences in terminology may exist from operator to operator. Regardless of the terms used, however, an operator can conform to the provisions of this sub-section if the pre-flight computation of usable fuel is substantially equivalent, allocates fuel in a similar fashion, and has the components that, when combined, result in an equivalent or greater amount of fuel.

Fuel calculations are typically made by a flight crew member, a Flight Operations Officer/Flight Dispatcher (FOO), or both.

Guidance on the organizational and operational systems and processes related to the implementation of fuel policy is contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

### DSP 4.3.2

The Operator shall have a system, process and/or procedures to ensure the amount of usable fuel to be carried on an aircraft in accordance with [DSP 4.3.1](#) is, as a minimum, based on the following data and operating conditions for each planned flight:

- (i) Current aircraft-specific data derived from a fuel consumption monitoring program, if available, or if current aircraft-specific data is not available, data provided by the aircraft manufacturer;
- (ii) The anticipated aircraft mass;
- (iii) Notices to Airmen (NOTAM);
- (iv) Current meteorological reports, or a combination of current reports and forecasts;
- (v) Applicable air traffic services procedures, restrictions and anticipated delays;

- (vi) The effects of deferred maintenance items and/or configuration deviations;
- (vii) Any other conditions that might cause increased fuel consumption. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** system/process/procedures for planning sufficient usable fuel for safe completion of all flights (focus: flight planning takes into account operating data/conditions that might cause/lead to increased fuel consumption; such operating data/conditions that are considered/assessed in usable fuel calculation process are defined).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** fuel policy (focus: guidance for calculation of minimum required departure/dispatch fuel).
- ☐ **Examined** selected OFPs (focus: operating factors considered as basis for required departure/dispatch fuel).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures that ensure planned flight usable fuel is based on all relevant data/operating conditions).
- ☐ **Coordinated** with FLT auditor (focus: complementary procedures for assessing minimum required fuel).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of NOTAM (Notice to Airmen).

The intent of this provision is to define the aircraft-specific data, manufacturer data, operating conditions and other factors that would be considered by an Operator during the pre-flight computation of the total usable fuel required for a planned flight. When considered in combination with [DSP 4.3.1](#), this provision helps to form the basic foundation for the means to complete the pre-flight calculation of usable fuel.

The specification in item i) refers to the process for ensuring actual aircraft fuel use approximates planned fuel use within an acceptable margin of error. This is practically accomplished by comparing the achieved in-flight performance of an aircraft to its predicted performance. Variations between the achieved performance and the predicted performance will result in a variation of the rate of fuel consumption which is typically accounted for by the operator during flight planning and in flight.

An operator may use a system, process and/or procedures alone or in any combination in order to fulfill operational requirements related to the implementation of fuel policy. In all cases, however, the robustness of any such methodologies is commensurate with the breadth and complexity of the operation.

Guidance on fuel planning including guidance related to the creation and maintenance of fuel consumption monitoring programs is contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## DSP 4.3.3–4.3.4 (Intentionally open)

### DSP 4.3.5

The Operator shall have a process and/or procedures to ensure the taxi fuel required in accordance with its fuel policy is the amount of fuel estimated to be consumed before takeoff, taking into account local conditions at the departure airport and auxiliary power unit (APU) fuel consumption. **(GM)**

**Note:** *The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to fuel planning criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.*

## Auditor Actions

- ☐ **Identified/Assessed** process/procedures for calculation of taxi fuel for all flights (focus: flight planning takes into account operating data/conditions that might cause/lead to increased taxi fuel

consumption; such operating data/conditions that are considered/assessed in taxi fuel calculation process are defined).

- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: operating data/conditions used as basis for taxi fuel).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures for calculating planned taxi fuel).
- ☐ **Coordinated** with FLT auditor(s) (focus: complementary procedures for assessing taxi fuel in accordance with fuel policy).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ☐ **Identified** applicable variation(s) used for fuel planning (focus: differences from any basic requirements specified in the provision).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure the accurate computation of taxi fuel in order, to the extent reasonably practicable, protect the remaining elements in the useable fuel equation. To achieve this aim, the computation of taxi fuel would take into account foreseeable taxi conditions and delays in order to result in an amount of fuel generally equal to or greater than the actual taxi fuel consumed before takeoff.

It is important to note that every usable fuel calculation typically takes into account unforeseen as well as foreseen deviations from the planned operation. Unforeseen taxi delays, for example, may be addressed by the use of Statistical Taxi Fuel, the uplift of discretionary fuel when deemed necessary by the PIC, or the partial consumption of contingency fuel. Consuming contingency fuel during taxi, however, would be carefully considered as its use on the ground may leave the flight crew with fewer options, once airborne, to compensate for other unforeseen factor(s).

Operators using a variation to determine taxi fuel would typically have the demonstrable capability, using historical data collection and analysis tools, to adjust taxi times to ensure continuous improvement in preflight taxi fuel calculations.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to fuel planning criteria are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- (i) Flight fuel calculations;
- (ii) Capabilities of the operator;
- (iii) Capabilities of the data-driven method used for determining usable fuel required;
- (iv) Capabilities of the fuel consumption monitoring program used for determining hull-specific fuel burn and/or the advanced use of alternate airports, as applicable;
- (v) Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Guidance on fuel planning, including pre-flight fuel calculation examples, is contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

**DSP 4.3.6**

The Operator shall have a process and/or procedures to ensure the trip fuel required in accordance with its fuel policy is the amount of fuel required to enable the aircraft to fly from takeoff, or from the point of in-flight re-planning, until landing at the destination airport taking into account the operating conditions specified in [DSP 4.3.2](#). **(GM)**

**Note:** *The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to fuel planning criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.*

**Auditor Actions**

- ☐ **Identified/Assessed** process/procedures for calculation of trip fuel for all flights (focus: flight planning takes into account operating data/conditions that might cause/lead to increased trip fuel consumption; such operating data/conditions that are considered/assessed in trip fuel calculation process are defined).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: operating data/conditions used as basis for trip fuel).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures for calculating planned trip fuel).
- ☐ **Coordinated** with FLT auditor(s) (focus: complementary procedures for assessing trip fuel in accordance with fuel policy).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ☐ **Identified** applicable variation(s) used for fuel planning (focus: deviation from basic ISARP requirements).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure the accurate computation of trip fuel in order, to the extent reasonably practicable, ensure that the total planned trip fuel burn is greater than or equal to the actual trip fuel burn.

The specifications of this provision define trip fuel for preflight planning and in-flight re-planning purposes, as well as to form the basis for the computation of other fuel amounts (e.g., contingency fuel, additional fuel). In this context, trip fuel is typically computed from either the departure airport or the point of in-flight re-planning until landing at the destination airport taking into account the operating conditions of [DSP 4.3.2](#). In the case of in-flight re-planning (planned or unplanned), the intent of this provision is for the operator to reconsider (re-compute) the trip fuel required from the re-planning point to the commercial (actual) destination.

Operators using a variation to determine trip fuel would typically have the demonstrable capability, using historical data collection and analysis tools, to adjust taxi times to ensure continuous improvement in trip fuel calculations.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to fuel planning criteria are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- (i) Flight fuel calculations;
- (ii) Capabilities of the operator;
- (iii) Capabilities of the data-driven method used for determining usable fuel required;
- (iv) Capabilities of the fuel consumption monitoring program used for determining hull-specific fuel burn and/or the advanced use of alternate airports, as applicable;
- (v) Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Guidance on fuel planning, including pre-flight fuel calculation examples, is contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

### DSP 4.3.7

The Operator shall have a process and/or procedures to ensure the contingency fuel required in accordance with its fuel policy is the amount of fuel required to compensate for unforeseen factors that could have an influence on the fuel consumption to the destination airport. Contingency fuel shall *not be lower than any one or more* of the following (as approved or accepted by the Authority based on the operations of the Operator):

- (i) Five (5) percent of the planned trip fuel or of the fuel required from the point of in-flight re-planning based on the consumption rate used to plan the trip fuel, but never lower than the amount required to fly for five (5) minutes at holding speed at 450 m (1,500 ft) above the destination airport in standard conditions.
- (ii) If approved or accepted by the Authority for domestic operations; an amount of fuel to fly for 45 minutes at normal cruising fuel consumption, including 30 minutes final reserve.
- (iii) If approved or accepted by the Authority for international operations, an amount of fuel to fly for 10 percent of the total time required to fly from the airport of departure or the point of in-flight re-planning to, and then land at, the airport to which it was released or re-released.
- (iv) If approved or accepted by the Authority for the purpose of reducing contingency fuel, not less than three (3) percent of the planned trip fuel or, in the event of in-flight re-planning, three (3) percent of the trip fuel for the remainder of the flight, provided that an en route alternate airport is available in accordance with the requirements of the Authority.
- (v) If approved or accepted by the Authority based on actual fuel consumption data, an amount of fuel sufficient for 20 minutes flying time based upon the planned trip fuel consumption provided that the operator has established a fuel consumption monitoring program for individual aircraft and uses valid data determined by means of such a program for fuel calculation.
- (vi) If approved or accepted by the Authority, an amount of fuel based on a statistical method that ensures an appropriate statistical coverage of the deviation from the planned to the actual trip fuel. This method is used to monitor the fuel consumption on each city pair/aircraft combination and the Operator uses this data for a statistical analysis to calculate contingency fuel for the applicable city pair/aircraft combination. **(GM)**

**Note:** Contingency fuel in accordance with item (iv), (v) and (vi) can never be lower than the amount of fuel required to fly for five (5) minutes at holding speed at 450 m (1,500 ft) above the destination airport in standard conditions.

**Note:** The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to fuel planning criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.



**Auditor Actions**

- ☐ **Identified/Assessed** process/procedures for calculation of contingency fuel for all flights (focus: flight planning takes into account unforeseen operating factors that might cause/lead to increased fuel consumption to the destination airport; such operating factors that are considered/assessed in contingency fuel calculation process are defined; minimum contingency fuel amount in accordance with regulatory requirements is defined).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: operating factors used as basis for contingency fuel).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures for calculating planned contingency fuel).
- ☐ **Coordinated** with FLT auditor(s) (focus: complementary procedures for assessing contingency fuel in accordance with fuel policy).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ☐ **Identified** variation(s) used for fuel planning (focus: differences from any basic requirements specified in the provision).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure fuel is allocated to compensate for unforeseen factors that could influence fuel burn to the destination airport. Such factors include, for example, deviations of an individual aircraft from expected fuel consumption data, forecast meteorological conditions expected taxi times before takeoff or planned routings and cruising altitudes/levels.

From a safety risk management perspective, contingency fuel is used to mitigate the risks associated with operational factors or hazards that cannot be planned, anticipated, or controlled. The risk associated with the improper calculation or complete consumption of contingency fuel is that of creating a low fuel state or a diversion that could subsequently affect Air Traffic Management (ATM) and other aircraft.

It is important to note that differences in fuel computation terminology may exist from operator to operator. For example, required contingency fuel may be a component of other fuel reserves mandated by the Authority. Regardless of the terms used, however, an operator can conform to the provision if the pre-flight computation of usable fuel allocates an equivalent or greater amount of fuel as specified in items i) through vi) and as applicable to the operator in order to compensate for unforeseen factors that could influence fuel burn to the destination airport.

An operator may conform to a minimum of one of the numbered specifications of the provision and be in overall conformity with the intent of the entire provision. Individual conformity with items i) through vi), however, is “as approved or accepted by the Authority based on the operations of the Operator” and dependent on many factors including the regulatory environment and the type of operations conducted.

The specification in item ii) protects 15 minutes of contingency fuel plus 30 minutes of final reserve fuel for a combined domestic reserve of 45 minutes.

Operators using variations to determine isolated airport fuel would typically have the demonstrable capability, using historical data collection and analysis tools, to adjust their fuel policy to ensure continuous improvement in the accuracy and adequacy of isolated airport fuel calculations.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to fuel planning criteria are typically approved or accepted by the State.



The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- Flight fuel calculations;
- Capabilities of the operator;
- Capabilities of the data-driven method used for determining usable fuel required;
- Capabilities of the fuel consumption monitoring program used for determining hull-specific fuel burn and/or the advanced use of alternate airports, as applicable;
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Examples related to the computation of contingency fuel are contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## DSP 4.3.8

The Operator shall have a process and/or procedures to ensure, *for flights that require a single destination alternate airport*, the destination alternate fuel required in accordance with its fuel policy is *not lower* than amount of fuel that will enable the aircraft to complete all of the following:

- (i) Perform a missed approach at the destination airport;
- (ii) Climb to the expected cruising altitude;
- (iii) Fly the expected routing to the destination alternate airport;
- (iv) Descend to the point where the expected approach is initiated;
- (v) Conduct the approach and landing at the destination alternate airport. **(GM)**

**Note:** The specifications of this provision are not applicable for flights conducted under isolated airport operations as specified in [DSP 4.1.7](#).

**Note:** The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to fuel planning criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.

### Auditor Actions

- ☐ **Identified/Assessed** process/procedures for calculation of destination alternate fuel for flights that require a single destination alternate airport (focus: flight planning takes into account fuel consumption required to divert from destination airport and proceed to/hold/land at alternate airport; diversion flight phases that are considered/assessed in single destination alternate fuel calculation process are defined).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: factors used as basis for single destination alternate fuel).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures for calculating destination alternate fuel for flights that require a single destination alternate airport).
- ☐ **Coordinated** with FLT auditor(s) (focus: complementary procedures for assessing single destination alternate fuel in accordance with fuel policy).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ☐ **Identified** applicable variation(s) used for fuel planning (focus: differences from any basic requirements specified in the provision).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).

- ❑ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ❑ **Other Actions** (Specify)

## Guidance

The intent of this provision is to ensure the accurate computation of destination alternate fuel when one destination alternate airport is required. Such computation ensures, to the extent reasonably practicable, that the planned fuel burn will be greater than or equal to the actual fuel burn.

From a safety risk management perspective, “destination alternate fuel” is used to mitigate the risks associated with the unavailability of the destination airport. The risk associated with the improper calculation or complete consumption of such fuel is that of creating a low fuel state or a diversion that could subsequently affect Air Traffic Management (ATM) and other aircraft.

Operators using variations to determine additional fuel would typically have the demonstrable capability, using historical data collection and analysis tools, to adjust their fuel policy to ensure continuous improvement in the accuracy and adequacy of additional fuel calculations.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to fuel planning criteria are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- Flight fuel calculations;
- Capabilities of the operator;
- Capabilities of the data-driven method used for determining usable fuel required;
- Capabilities of the fuel consumption monitoring program used for determining hull-specific fuel burn and/or the advanced use of alternate airports, as applicable;
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Examples of the computation of destination alternate fuel are contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## DSP 4.3.9

The Operator shall have a process and/or procedures to ensure, *for flights that require a second destination alternate*, the destination alternate fuel required in accordance with its fuel policy is *not lower* than the amount of fuel, as calculated in accordance with [DSP 4.3.8](#), that enables the aircraft to proceed to the destination alternate airport requiring the greater amount of fuel (**GM**).

**Note:** *The specifications of this provision are not applicable for flights conducted under isolated airport operations as specified in [DSP 4.1.7](#).*

**Note:** *The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to fuel planning criteria provided each variation is subjected to the Operator’s SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.*

## Auditor Actions

- ❑ **Identified/Assessed** process/procedures for calculation of destination alternate fuel for flights that require a second destination alternate airport (focus: planned isolated airport fuel is the calculated amount that enables flight to proceed from destination and hold/approach/land at the alternate airport requiring the most fuel; diversion flight phases that are considered/assessed in second destination alternate fuel calculation process are defined).
- ❑ **Interviewed** responsible operational control manager(s).
- ❑ **Examined** selected OFPs (focus: factors used as basis for second destination alternate fuel).

- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures for calculating destination alternate fuel for flights that require a second destination alternate airport).
- ☐ **Coordinated** with FLT auditor(s) (focus: complementary procedures for assessing second destination alternate fuel in accordance with fuel policy).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ☐ **Identified** applicable variation(s) used for fuel planning (focus: differences from any basic requirements specified in the provision).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure the accurate computation of destination alternate fuel when a second destination alternate airport is required. Such computation ensures, to the extent reasonably practicable, that the planned fuel burn will be greater than or equal to the actual fuel burn.

From a safety risk management perspective, “destination alternate fuel” as described in this provision is used to mitigate the risks associated with the unavailability of the destination or first alternate airport. The risk associated with the improper calculation or complete consumption of such fuel is that of creating a diversion or low fuel state that subsequently impacts Air Traffic Management (ATM) and other aircraft.

Operators using variations to determine alternate fuel would typically have the demonstrable capability, using historical data collection and analysis tools, to adjust their fuel policy to ensure continuous improvement in the accuracy and adequacy of alternate fuel calculations.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to fuel planning criteria are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- Flight fuel calculations;
- Capabilities of the operator;
- Capabilities of the data-driven method used for determining usable fuel required;
- Capabilities of the fuel consumption monitoring program used for determining hull-specific fuel burn and/or the advanced use of alternate airports, as applicable;
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Examples of the computation of alternate fuel are contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

### DSP 4.3.10

If the Operator conducts flights that do not require a destination alternate airport, the Operator shall have a process and/or procedures to ensure a supplemental amount of fuel is carried on such flights to provide for increased fuel consumption during the flight to the destination airport due to unforeseen operational occurrences. **(GM)**

**Note:** The specifications of this provision are not applicable if the contingency fuel calculated in accordance with [DSP 4.3.7](#) is sufficient to enable the aircraft to hold at an altitude of 450 m (1,500 ft) above the destination airport for 15 minutes at the holding speed based on standard conditions.

**Note:** The specifications of this provision are not applicable for flights conducted under isolated airport operations as specified in [DSP 4.1.7](#) and [DSP 4.3.11](#).

**Note:** The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to fuel planning criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.

#### Auditor Actions

- ☐ **Identified/Assessed** process/procedures for addition of supplemental fuel to provide for potential increased fuel consumption for flights that do not require a destination alternate airport (focus: planned supplemental fuel required when contingency fuel is not sufficient to fly at holding speed for 15 minutes at 450 m/1500 ft above destination airport).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: basis for addition of supplemental fuel).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures for calculating planned supplemental fuel for flights that require no destination alternate airport).
- ☐ **Coordinated** with FLT auditor(s) (focus: complementary procedures for assessing second destination alternate fuel in accordance with fuel policy).

#### If the Operator conforms through Operational Variation (see Note), the following additional actions apply

- ☐ **Identified** applicable variation(s) used for fuel planning (focus: deviation from basic ISARP requirements).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

#### Guidance

From a safety risk management perspective "no-alternate" fuel is intended to mitigate the safety risks associated with the occurrence of unforeseen operational contingencies associated with no-alternate operations. The risk associated with the improper calculation or complete consumption of such fuel is that of creating a low fuel state.

Operators using variations to determine isolated airport fuel would typically have the demonstrable capability, using historical data collection and analysis tools, to adjust their fuel policy to ensure continuous improvement in the accuracy and adequacy of isolated airport fuel calculations.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to fuel planning criteria are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- Flight fuel calculations;
- Capabilities of the operator;
- Capabilities of the data-driven method used for determining usable fuel required;

- Capabilities of the fuel consumption monitoring program used for determining hull-specific fuel burn and/or the advanced use of alternate airports, as applicable;
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Examples of the computation of alternate and contingency fuel are contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## DSP 4.3.11

If the Operator conducts isolated airport operations, the Operator shall have a process and/or procedures to ensure the isolated airport fuel calculated in accordance with its fuel policy is *not less* than the amount of fuel required to fly for two (2) hours at normal cruise consumption above the isolated destination airport, including the final reserve fuel calculated in accordance with [DSP 4.3.12](#). (GM)

**Note:** The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to fuel planning criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.

### Auditor Actions

- ☐ **Identified** conduct of isolated airport operations that preclude selection/designation of destination alternate airports.
- ☐ **Identified/Assessed** process/procedures for calculation of isolated airport fuel for flights to isolated airports (focus: planned isolated airport fuel is the amount of fuel sufficient to fly for two hours at normal cruise consumption above destination isolated airport, but not less than the greater of final reserve fuel).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: factors used as basis for isolated airport fuel).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures for calculating planned isolated airport fuel).
- ☐ **Coordinated** with FLT auditor(s) (focus: complementary procedures for assessing isolated airport fuel in accordance with fuel policy).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ☐ **Identified** applicable variation(s) used for fuel planning (focus: deviation from basic ISARP requirements).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure sufficient fuel is uplifted to mitigate the safety risks associated with isolated airport operations conducted in accordance with [DSP 4.1.7](#), and to protect final reserve fuel. As such, final reserve fuel must be computed and protected in accordance with [DSP 4.3.12](#) regardless of the method used to compute "isolated airport fuel"

As a practical matter destination airports are typically considered isolated by an authority when the fuel required to go-around from Decision Altitude/Height (DA/H) or the Missed Approach Point (MAP) at the destination airport and then divert to the nearest alternate exceeds, for a turbine engine aircraft, the fuel required to hold at the destination airport for two hours including final reserve fuel (e.g. 90 minutes hold + 30 minutes Final Reserve).



Operators using variations to determine additional fuel would typically have the demonstrable capability, using historical data collection and analysis tools, to adjust their fuel policy to ensure continuous improvement in the accuracy and adequacy of additional fuel calculations.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to fuel planning criteria are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- Flight fuel calculations;
- Capabilities of the operator;
- Capabilities of the data-driven method used for determining usable fuel required;
- Capabilities of the fuel consumption monitoring program used for determining hull-specific fuel burn and/or the advanced use of alternate airports, as applicable;
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Examples of the computation of isolated airport fuel are contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## DSP 4.3.12

The Operator shall have a process and/or procedures to ensure the final reserve fuel calculated in accordance with its fuel policy is not less than the amount of fuel required to fly for 30 minutes under speed and altitude conditions specified by the Operator and as approved or accepted by the Authority. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process/procedures for calculation of final reserve fuel for all flights (focus: planned final reserve fuel is an amount that is not less than fuel to fly for 30 minutes at holding speed at 450 m/1500 ft or fuel to fly 30 minutes under speed/altitude conditions approved/accepted by authority).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: factors used as basis for final reserve fuel).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures for calculating planned final reserve fuel).
- ☐ **Coordinated** with FLT auditor (focus: complementary procedures for assessing final reserve fuel in accordance with fuel policy).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure the allocation of an amount of fuel to be protected in flight and preserved upon landing at any airport. As such, it represents the last line of defense in a multi-layered strategy to ensure safe flight completion. It also serves as the demarcation line between normal and emergency fuel states for the purposes of the fuel state declarations in accordance with [FLT 3.14.17](#).

An operator may define the 30-minute final fuel reserve requirements using speed, altitude and/or other conditions that are in accordance with requirements of the Authority (e.g. 30 minutes at holding speed at 450m/1,500 ft above airport elevation in standard conditions).

## DSP 4.3.13

The Operator shall have a process and/or procedures to ensure the additional fuel calculated in accordance with its fuel policy is a supplementary amount of fuel required to be carried when the sum



of the trip fuel, contingency fuel, alternate fuel and final reserve fuel is *insufficient* to meet *any one* of the following conditions (as applicable to the Operator):

- (i) Allow the aircraft engaged in ETOPS/EDTO to comply with critical fuel scenario as established defined by the State.
- (ii) Allow the aircraft, as defined by the State, flying greater than 90 minutes from an alternate airport to:
  - (a) Descend as necessary and proceed to an alternate airport in the event of engine failure or loss of pressurization, whichever requires the greater amount of fuel based on the assumption that such a failure occurs at the most critical point along the route;
  - (b) Fly for 15 minutes at holding speed at 450 m (1,500 ft) above the alternate airport elevation in standard conditions;
  - (c) Make an approach and landing at the alternate airport.
- (iii) Allow for any additional operational requirements, as defined by the State or the Operator, not covered by items i) and ii). **(GM)**

**Note:** The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to fuel planning criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.

## Auditor Actions

- ☐ **Identified/Assessed** process/procedures for calculation of additional fuel for all flights (focus: planned additional fuel is required when the calculated sum of trip fuel/contingency fuel/alternate fuel/final reserve fuel is insufficient to meet defined operational conditions or, if applicable, when calculated using a variation; operational conditions that are considered/assessed to determine requirement for additional fuel are defined).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: factors used as basis for additional fuel).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures for calculating planned additional fuel when required).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ☐ **Identified** applicable variation(s) used for fuel planning (focus: deviation from basic ISARP requirements).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

## Guidance

Basic fuel planning, represented by the sum of the trip fuel, contingency fuel, alternate fuel and final reserve is predicated on the termination of a flight at the destination or destination alternate. As such, it only takes into account foreseen and unforeseen factors (excluding system failures) that could influence fuel consumption to the planned destination or destination alternate. The intent of this provision is to define the "additional fuel" required to protect against the very unlikely event of an engine failure or de-pressurization at the most critical point in the flight and presumes that the majority of the fuel used in basic fuel planning will still be available for use in proceeding to an en route alternate in the event of such an occurrence.

The specification in item i) applies to aircraft engaged in ETOPS/EDTO. It addresses the fuel necessary to comply with the ETOPS/EDTO critical fuel scenario as established by the State of the Operator. Such scenarios typically include additional controls to ensure sufficient fuel is uplifted for

conditions that would contribute to increased fuel burn (e.g. to account for icing, errors in wind forecasting, deterioration in cruise fuel burn performance, and APU use).

Operators using variations to determine no-alternate fuel would typically have the demonstrable capability, using historical data collection and analysis tools, to adjust their fuel policy to ensure continuous improvement in the accuracy and adequacy of no-alternate fuel calculations.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to fuel planning criteria are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- Flight fuel calculations;
- Capabilities of the operator;
- Capabilities of the data-driven method used for determining usable fuel required;
- Capabilities of the fuel consumption monitoring program used for determining hull-specific fuel burn and/or the advanced use of alternate airports, as applicable;
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

Examples of additional fuel calculations and critical fuel scenarios are contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## DSP 4.3.14

The Operator shall have a process and/or procedures to provide for the uplift of discretionary fuel in accordance with its fuel policy, which is the extra amount of fuel to be carried at the discretion of the PIC, or the PIC and FOO in a shared system of operational control. **(GM)**

### Auditor Actions

- ☐ **Identified** use of FOO in shared operational control system (focus: applicable to FOO/Flight Dispatcher function as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** process/procedures for addition of discretionary fuel for all flights (focus: planned discretionary fuel is designated when requested by PIC or requested by PIC/FOO in shared system of operational control).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected OFPs (focus: basis for addition of discretionary fuel).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures for uplift of discretionary fuel when requested by PIC or PIC/FOO).
- ☐ **Coordinated** with FLT auditor (focus: procedures for calculating/requesting discretionary fuel in accordance with fuel policy).
- ☐ **Other Actions** (Specify)

### Guidance

In a shared system of operational control, the PIC and the Flight Dispatcher/Flight Operations Officer (FOO) share the responsibility to ensure operating limitations are not exceeded and sufficient fuel is on board the aircraft to complete the planned flight safely.

## DSP 4.3.15 (Intentionally open)

## DSP 4.3.16

If the Operator uses FOO personnel, the Operator *should* have guidance for the purpose of increasing fuel state awareness. Such guidance *should* include one or more of the following:

- (i) One approximate final reserve fuel value applicable to each aircraft type and variant in the Operator's fleet.
- (ii) A value for the final reserve fuel for each flight presented on the OFP.
- (iii) A display in the Flight Planning System or Flight Monitoring System of the planned or actual final reserve fuel for each flight. **(GM)**

### Auditor Actions

- ☐ **Identified** use of FOO in shared operational control system (focus: applicable to FOO/Flight Dispatcher function as defined in [Table 3.1](#)).
- ☐ **Identified/Assessed** guidance for use by flight crew/FOO personnel for purpose of increasing fuel state awareness (focus: guidance provides means for PIC/FOO to easily determine an approximate final reserve fuel value for each aircraft type/variant).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: guidance to increase PIC/FOO fuel awareness; means for PIC/FOO to easily approximate final reserve fuel).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is for an operator to provide the means for operational control personnel to quickly determine an approximate final reserve fuel value for each aircraft type and variant in its fleet. Fuel values determined in accordance with this provision are not intended to be substitutes for the exact values calculated in accordance with [DSP 4.3.12](#), but rather as a quick reference used to heighten the awareness of operational control personnel during fuel planning and in-flight fuel management activities.

The specifications of this provision may be satisfied for all personnel involved in fuel planning through the use of tables or charts that represent fuel in the unit of measure appropriate for the operation and based on data derived from the Approved Flight Manuals (AFM) for all types and variants used in operations.

Alternatively, the specifications of this provision may be satisfied by a final reserve value presented on the OFP and/or by Flight Planning or Flight Monitoring Systems that can display the planned or actual final reserve fuel figure.

Examples of final reserve fuel tables or charts are contained in the ICAO Flight Planning and Fuel Management Manual (Doc 9976).

## 4.4 Oxygen

### DSP 4.4.1

If an FOO is used in a full shared system of operational control, the Operator shall have guidance and procedures for such personnel to ensure a flight is not commenced unless the aircraft has a sufficient amount of oxygen to supply crew members and passengers in accordance with [FLT 4.3.5](#). **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** guidance/procedures that specify consideration of aircraft oxygen systems in flight planning process (focus: flight planning takes into account sufficient aircraft stored breathing oxygen to supply crew/passengers).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: guidance/procedures to ensure sufficient stored breathing oxygen for planned flight in pressurized aircraft).

- ☐ **Coordinated** with maintenance operations (focus: verification that aircraft certified/equipped to meet oxygen requirements).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is to ensure operational control personnel with responsibilities related to flight planning or aircraft scheduling are provided with the necessary information regarding oxygen carriage requirements in order to appropriately match an aircraft to a planned route. This includes information regarding the supplemental oxygen requirements and escape routes necessary in case of a decompression in an area of high terrain.

If operational control personnel do not have responsibilities related to the carriage of supplemental oxygen, the pilot-in-command is responsible for carriage of supplemental oxygen as required.

Refer to Guidance associated with [FLT 4.3.5](#) located in ISM Section 2.

## 4.5 Operations Beyond 60 Minutes from an En Route Alternate Airport and ETOPS/EDTO

### DSP 4.5.1

If the Operator conducts flight operations beyond 60 minutes from a point on a route to an en route alternate airport, including ETOPS/EDTO, the Operator shall have a system, process and/or procedures to ensure such operations are planned and conducted in accordance with operational requirements and applicable regulations. **(GM)**

## Auditor Actions

- ☐ **Identified** conduct of flight operations, including ETOPS/EDTO, over routes beyond 60 minutes from alternate airport.
- ☐ **Identified/Assessed** system/process/procedures for planning flights conducted over routes beyond 60 minutes to an alternate airport (focus: flight planning for ETOPS/EDTO takes into account all applicable regulations/requirements).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Observed** operational control/flight dispatch operations (focus: process or procedures to ensure flights operated beyond 60 minutes from an alternate airport are conducted in accordance with applicable requirements).
- ☐ **Other Actions** (Specify)

## Guidance

An operator may use a system, process or procedures alone or in combination in order to fulfill operational requirements related to the conduct of operations beyond 60 minutes. In all cases, however, the robustness of any methodologies is commensurate with the breadth and complexity of the operation.

An operator, in accordance with the requirements of the Authority, typically uses technical guidance for the conduct of operations beyond 60 minutes, from a point on a route to an en route alternate airport. Such guidance might be derived from one or more of the following source references, as applicable:

- ICAO Annex 6, Part 1, Attachment C: Guidance for Operations by Turbine Engine Aeroplanes Beyond 60 minutes to an En route Alternate Aerodrome Including Extended Diversion Time Operations (EDTO).
- ICAO Flight Planning and Fuel Management Manual (Doc 9976).
- ICAO Extended Diversion Time Operations (EDTO) Manual (Doc 10085).
- FAA Advisory Circular - AC No: 120-42B: Extended Operations (ETOPS and Polar Operations).
- EASA Air OPS (regulation 965/2012) ANNEX V (Part-SPA) Subpart F: Extended Range Operations with Two-Engine Aeroplanes (ETOPS).

- EASA AMC 20-6, Rev 2 to Air OPS (regulation 965/2012): Extended Range Operation with Two-Engine Aeroplanes ETOPS Certification and Operation.
- Commission Regulation EC No. 965/2012 Annex V SPA.ETOPS.
- Any equivalent reference document approved or accepted by the Authority for the purpose of providing guidance for the conduct of flight operations by turbine engine aircraft beyond 60 minutes to an en route alternate airport.

### DSP 4.5.2

If the Operator conducts flight operations beyond 60 minutes from a point on a route to an en route alternate airport, including ETOPS/EDTO, the Operator shall have guidance and procedures to ensure (as applicable to the Operator):

- For all aircraft, en route alternate airports are identified and the most up-to-date information relative to such airports is available to the flight crew, including airport status and meteorological conditions;
- For aircraft with two engines engaged in ETOPS/EDTO, the most up-to-date information available to the flight crew indicates that conditions at identified en route alternate airports will be at or above the Operator's established airport operating minima for the operation at the ETU. **(GM)**

### Auditor Actions

- ☐ **Identified** conduct of flight operations, including ETOPS/EDTO, over routes beyond 60 minutes from alternate airport.
- ☐ **Identified/Assessed** guidance/procedures for planning flights conducted over routes beyond 60 minutes from alternate airport (focus: flight planning includes provision of information for flight crew that identifies en route alternate airports, indicates conditions at en route alternate airports will be at/above established airport operating minima for operation at the ETU).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected ETOPS/EDTO OFPs (focus: identification of en route alternate airports; information indicates conditions at/above operating minima).
- ☐ **Observed** operational control/flight dispatch operations (focus: guidance/procedures that ensure flight crew has up-to-date information relative to planned en route alternate airports for flight operations beyond 60 minutes from an en route alternate airport).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of item i) of this provision is to ensure operational control personnel and the flight crew are knowledgeable about diversion airport options and prevailing weather conditions appropriate for the type of operation conducted.

The intent of item ii) is to ensure a larger strategy exists for two-engine aircraft engaged in ETOPS/EDTO to protect a diversion regardless of the reason for the diversion (i.e. technical or non-technical reasons).

Guidance related to the identification and/or protection of en route alternate airports is contained in ICAO Annex 6, Part 1, Attachment C and the ICAO Extended Diversion Time Operations (EDTO) Manual (Doc 10085).

### DSP 4.5.3

If the Operator uses aircraft with two engines in ETOPS/EDTO, the Operator shall have guidance and procedures to select en route alternate airports for such operations, and ensure en route alternate airports are specified on:

- The OFP or other equivalent operational document available to the PIC in flight;
- The ATS flight plan where required by the State or the ATS system in use. **(GM)**

## Auditor Actions

- ☐ **Identified** the conduct of ETOPS/EDTO using aircraft with two engines.
- ☐ **Identified/Assessed** guidance/procedures for en route alternate selection/designation for ETOPS/EDTO conducted with two-engine aircraft (focus: flight planning includes selection/designation of en route alternate airports; en route alternate airports shown on OFP; shown on ATS flight plan in accordance with applicable regulatory requirements).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected ETOPS/EDTO OFPs (focus: designation of en route alternate airports).
- ☐ **Observed** operational control/flight dispatch operations (focus: guidance/procedures for selecting en route alternate airports and specifying on OFP and ATS flight plan for two-engine aircraft ETOPS/EDTO).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of the specification in item i) is to ensure en route alternates, when required, are selected and subsequently specified on the OFP or other equivalent operational document available to the PIC in flight.

The intent of the specification in item ii) is to ensure en route alternates, when required for ETOPS/EDTO, are specified on the ATS flight when required by the State or other applicable authority.

### DSP 4.5.4

If the Operator conducts ETOPS/EDTO, the Operator shall have guidance and procedures to ensure, for aircraft engaged in such operations:

- (i) A flight will not proceed beyond the threshold time unless the identified en route alternate airports are re-evaluated for availability and the most up-to-date information indicates that, during the ETU, conditions at those airports will be at or above the Operator's established airport operating minima for the operation;
- (ii) If any conditions are identified that would preclude a safe approach and landing at an identified en route alternate airport during the ETU, an alternative course of action has been determined;
- (iii) The most limiting EDTO-significant system time limitation (except for the most limiting fire suppression system), if any, indicated in the aircraft flight manual (directly or by reference) and relevant to a particular operation is not exceeded. **(GM)**

**Note:** The Operator may conform with item (iii) of this provision through Operational Variations approved by the Authority or other variations to EDTO significant system time limitation criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.

**Note:** Refer to [ORG 3.4.1](#) and [DSP 4.5.5](#) for cargo compartment fire suppression limitation exceedances.

## Auditor Actions

- ☐ **Identified** that ETOPS/EDTO is in use.
- ☐ **Identified/Assessed** guidance/procedures for the monitoring/assessment of en route alternate airport conditions during the conduct of ETOPS/EDTO (focus: designated en route alternate airports monitored/assessed during ETOPS/EDTO to verify continuation of planned flight; when conditions make designated en route alternate unusable, planned flight evaluated for change).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected ETOPS/EDTO OFPs (focus: designation of en route alternate airports).
- ☐ **Observed** operational control/flight dispatch operations (focus: guidance/procedures for monitoring/assessing en route alternate airports during ETOPS/EDTO).



- ❑ **Coordinated** with FLT auditor (focus: complementary procedures for monitoring/assessing conditions at en route alternates; coordination to re-evaluate planned flight in event en route alternate becomes unavailable).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ❑ **Identified** applicable variation(s) used for EDTO flight planning (focus: deviation from basic ISARP requirements).
- ❑ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ❑ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Threshold Time.

The intent of this provision is to ensure a larger strategy exists to preclude a diversion and to protect a diversion should one occur regardless of whether the diversion is for technical (aircraft system or engine) or non-technical reasons.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to EDTO significant system time limitation exceedance criteria are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- Capabilities of the operator;
- Overall reliability of the aircraft;
- Reliability of each time limited system;
- Relevant information from the aircraft manufacturer;
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

## DSP 4.5.5

If the Operator conducts flights beyond 60 minutes from a point on a route to an en route alternate airport, including EDTO, with aircraft that have a published cargo compartment fire suppression time limit, the Operator *should* have a system, process, and/or procedures to ensure the diversion time to an airport where a safe landing could be made does not exceed the cargo compartment fire suppression time capability reduced by an operational safety margin specified by the State. **(GM)**

**Note:** The Operator may conform with this provision through Operational Variations approved by the Authority or other variations to EDTO significant system time limitation criteria provided each variation is subjected to the Operator's SRM processes and safety performance monitoring to ensure an acceptable level of safety is maintained.

## Auditor Actions

- ❑ **Identified** operator procedures for designating destination alternate airports on the OFP.
- ❑ **Identified/Assessed** system/process/procedures for selection/designation of takeoff, en route and destination alternate airports located a specified distance in flying time from the planned route to ensure that the diversion time is within the specified cargo suppression time limit.
- ❑ **Interviewed** responsible operational control manager(s).

- ☐ **Examined** selected OFPs (focus: designation of alternate airports is in accordance with relevant factors to ensure time to specified alternate airport is within the cargo fire suppression time limit).
- ☐ **Observed** operational control/flight dispatch operations (focus: process for selection/designation of alternate airports).
- ☐ **Coordinated** with FLT auditor(s) (focus: complementary distance criteria for selection/designation of alternate airports).

**If the Operator conforms through Operational Variation (see Note), the following additional actions apply**

- ☐ **Identified** applicable variation(s) used for flight planning including EDTO (focus: deviation from basic ISARP requirements).
- ☐ **Examined** safety risk assessment(s) applicable to use of variation(s) (focus: consistent with applicable regulatory requirements; identification and mitigation of applicable risks).
- ☐ **Examined** records of safety performance monitoring applicable to use of variation(s) (focus: monitoring of risk associated with applicable variations).
- ☐ **Other Actions** (Specify)

### Guidance

The principal intent of this provision is that an operator's alternate airport selection system, process, and/or procedures ensure aircraft are operated within the specified cargo fire suppression time limit.

Cargo compartment fire suppression time capabilities will be identified in the relevant aircraft documentation when they are to be considered for the operation.

Fifteen minutes is an operational safety margin commonly specified by the State.

An operator may use a system, process, and/or procedures alone or in any combination to fulfill operational requirements related to the selection of alternate airports. In all cases, however, the robustness of any methodologies used for alternate airport selection is commensurate with the breadth and complexity of the operation.

A description of the typical relevant organizational and operational capabilities related to the use of variations, including Operational Variations approved by the Authority, can be found in the General Guidance at the beginning of this subsection.

Variations to EDTO significant system time limitation exceedance criteria are typically approved or accepted by the State.

The subordinate SRM processes of an existing organizational SMS can be applied to variations to ensure the desired level of safety is being achieved. Such SRM processes would typically consider at least the following:

- Capabilities of the operator;
- Overall reliability of the aircraft;
- Reliability of each time limited system;
- Relevant information from the aircraft manufacturer;
- Specific mitigation measures.

Guidance on safety risk management and performance of safety risk assessments is contained in the ICAO Safety Management Manual (SMM) (Doc 9859).

**Table 3.1—Operational Control Personnel**

This table categorizes operational control personnel, defines the scope of their authority, identifies their responsibilities and illustrates the relationship of such responsibilities to the operation as a whole. It shall be used for the purposes of applying relevant [Section 3](#) provisions and is provided to ensure suitably qualified persons are designated, where applicable, to support, brief and/or assist the pilot-in-command (PIC) or FOO or designated member of management in the safe conduct of each flight. The terms used in the table to identify operational control personnel are generic and might vary. Personnel, however, employed in operational control functions that are delegated the authority and/or assigned the responsibility to carry out functions, duties or tasks, as outlined in the table, are subject to the training and qualification requirements commensurate with their position.

<b>Operational Control ➡ ↓</b>	<b>Authority (<a href="#">DSP 1.3.4</a>)</b>	<b>Responsibilities, Including the Assignment of Functions, Duties or Tasks. (<a href="#">DSP 1.3.5</a> and <a href="#">1.3.6</a>)</b>	<b>Training and Qualification</b> <i>Operator shall designate responsibilities and ensure personnel are competent to perform the job function.</i>
<b>Administrative Support Personnel<sup>1</sup></b> (e.g. gate agent)	<b>None</b> Do <b>not</b> make recommendations or decisions regarding the operational control of a flight.	Provide, collect or assemble operational documents or data only.	Not subject to initial and recurrent training in the competencies of operational control in <a href="#">Table 3.5</a> and are qualified via On the Job Training (OJT), job descriptions, task cards, guidelines, checklists, training materials or other written means to establish competence.
<b>Flight Operations Assistant (FOA)<sup>4</sup></b> (e.g. Weather Analysts, Navigation Analysts/Flight Planning Specialists, Operations Coordinators/Planners, Maintenance controllers, Air Traffic Specialists), and Load Agents/Planners/Controllers unless qualified in accordance with GRH)	<b>None or limited to area(s) of expertise</b> May be authorized to make decisions or recommendations in area(s) of expertise. <sup>5</sup> (e.g., maintenance controller grounds aircraft.)	Support, brief and/or assist the PIC or FOO. Specializes in one or more of the elements of operational control. <sup>3</sup> Collects, provides filters, evaluates and applies operational documents or data relevant to <b>specific</b> elements of operational control. Makes recommendations or decisions in area(s) of expertise.	<b>For each area of expertise or specialization.<sup>3</sup></b> Subject to initial and continuing qualification in accordance with <a href="#">DSP 2.2.2</a> and <b>specific</b> competencies of <a href="#">Table 3.5</a> relevant to the job function and operations of the Operator.

**Table 3.1—Operational Control Personnel**

<b>Flight Dispatcher or Flight Operations Officer (FOO)<sup>4</sup> or Designated Member of Management</b> (e.g. Director of Operations or other post holder)	<b>None or limited or shared<sup>2</sup></b> May share operational control authority with the PIC. <sup>2</sup> May be authorized to make recommendations or decisions.	May share operational control responsibility with the PIC. <sup>2</sup> Support, brief, and/or assist the PIC. Collects, provides, filters, evaluates and applies operational documents or data relevant to <b>all</b> elements of operational control. <sup>3</sup> Makes recommendations or decisions.	Subject to initial and continuing qualification in accordance with <a href="#">DSP 2.2.2</a> and <b>all</b> competencies of <a href="#">Table 3.5</a> relevant to the operations of the Operator.
<b>Pilot in Command (PIC)</b>	<b>Full/shared<sup>2</sup></b> Has final authority to ensure the safe operation of the aircraft. May share authority and responsibility for operational control.	<b>Full/shared<sup>2</sup></b> Responsible for safe conduct of the flight. Collect, provide, filter, evaluate and applies operational documents or data relevant to <b>all</b> competencies of operational control. <sup>3</sup>	Subject to training and qualification requirements specified in ISM <a href="#">Section 2</a> .
<b>Legend</b>	<p><b>1</b> - Personnel lacking any authority or responsibility for operational control are identified in the table for the purposes of excluding them from the initial and continuing qualification provisions of this section.</p> <p><b>2</b> - FOO personnel used in conjunction with a shared system of operational share authority and responsibility with the PIC.</p> <p><b>3</b> - The competencies of operational control are contained in <a href="#">Table 3.5</a>. FOA personnel that specialize in one competency of operation control may be referred to as Weather Analysts, Navigation Analysts/Flight Planners, Operations Coordinators/Planners, Maintenance controllers, Air Traffic Specialists and Load Agents/Planners/Controllers unless qualified in accordance with GRH.</p> <p><b>4</b> - The terms used in this table to identify operational personnel are generic and may vary. Personnel used in operational control functions and assigned the responsibilities delineated in the table are subject to the relevant qualification and training provisions in this section.</p> <p><b>5</b> - Authority limited in scope to decision making in area of expertise.</p>		

**Table 3.2—Operations Manual (OM) Content Specifications**

This table contains the fundamental OM content specifications required to achieve conformity with [DSP 1.7.1](#). It also specifies [Section 2](#) (FLT) provisions that must be addressed in the sections of the OM relevant to personnel with responsibilities related to the operational control of flights.

**Note:** Specific policies, guidance, data and/or procedures that must be addressed in the sections of the OM relevant to operational control personnel can be found in individual [Section 3](#) provisions and are not duplicated in the table.

General Information		FLT ISARP
(i)	General information, to include:	None
	(a) Non-aircraft type related and/or standard operating procedures for each phase of flight, policies, procedures, checklists, descriptions, guidelines, emergency procedures and other relevant information;	None
	(b) Authorities, duties and responsibilities associated with the operational control of flights;	None
	(c) The requirement for commercial flights to be conducted under an IFR flight plan and in accordance with an IFR flight plan.	<a href="#">FLT 3.10.1</a>
Aircraft Operating Information		FLT ISARP
(ii)	Aircraft Operating Manual (AOM), to include:	None
	(a) Normal, abnormal/non-normal and emergency procedures, instructions and checklists;	None
	(b) Aircraft systems descriptions, limitations and performance data.	None
(iii)	MEL and CDL, to include applicability and a description of the relationship between the Minimum Equipment List (MEL) and the Master Minimum Equipment List (MMEL);	None
(iv)	Aircraft specific weight and balance instructions/data;	None
(v)	Instructions for the conduct and control of ground de/anti-icing operations.	<a href="#">FLT 3.9.6</a> , <a href="#">3.9.7</a>
Areas, Routes and Airport Information		FLT ISARP
(vi)	Route and airport instructions and information (departure, destination, en route and destination alternates, to include:	None
	(a) Airway manuals and charts, including information regarding communication facilities, navigation aids and minimum flight altitudes;	None
	(b) Airport charts, including the method for determining airport operating minima, operating minima values for destination and alternate airports and the increase of airport operating minima in case of degradation of approach or airport facilities;	None
	(c) Airport and runway analysis manual or documents:	None
	(d) If applicable, flight monitoring requirements and instructions to ensure the PIC notifies the operator of en route flight movement or deviations from the OFP including procedures for loss of communication between the aircraft and the FOO;	None
	(e) Instructions for the conduct of precision and non-precision approaches, including approach minima;	<a href="#">FLT 3.11.65</a> , <a href="#">3.11.67</a>
	(f) If applicable, procedures for the conduct of long-range navigation;	<a href="#">FLT 3.11.8</a> , <a href="#">3.11.9</a> , <a href="#">3.11.11</a>
	(g) Supplemental oxygen requirements and escape routes in case of decompression in an area of high terrain, if applicable;	<a href="#">4.3.5</a>
	(h) Regional guidance necessary to comply with local regulations.	None

**Table 3.2—Operations Manual (OM) Content Specifications**

<b>Training Information</b>		<b>FLT ISARP</b>
(vii)	Training Manual, to include:	None
(a)	Details of all relevant training programs, policies, directives and requirements, including curricula and syllabi, as applicable, for initial qualification, continuing qualification and other specialized training;	None
(b)	Curricula for ground training, evaluation and certification;	None
(c)	Comprehensive syllabi to include lesson plans, procedures for training and conduct of evaluations;	None
(d)	The training program for the development of knowledge and skills related to human performance (Crew Resource Management/Dispatch Resource Management, CRM/DRM).	None
<b>Other Information</b>		<b>FLT ISARP</b>
(viii)	Cabin safety and emergency procedures relevant to operational control personnel.	None
(ix)	Dangerous Goods manual or parts relevant to operational control personnel, to include information and instructions on the carriage of dangerous goods and action to be taken in the event of an emergency.	None
(x)	Security Manual or parts relevant to operational control personnel, including bomb search procedures.	None



**Table 3.3—Operational Flight Plan (OFP) Specifications**

The OM contains a description and specifications for the content and use of the OFP or equivalent document. The content of the OFP shall consist of, as a minimum, the following elements:

- (i) Aircraft registration;
- (ii) Aircraft type and variant;
- (iii) Date of flight and flight identification;
- (iv) Departure airport, STD, STA, destination airport;
- (v) Route and route segments with check points/waypoints, distances and time;
- (vi) Assigned oceanic track and associated information, as applicable;
- (vii) Types of operation (e.g. ETOPS/EDTO, IFR, ferry-flight);
- (viii) Planned cruising speed and flight times between waypoints/check points;
- (ix) Planned altitude and flight levels;
- (x) Fuel calculations;
- (xi) Fuel on board when starting engines;
- (xii) Alternate(s) for destination and, when applicable, takeoff and en route;
- (xiii) Relevant meteorological information.

**Table 3.4–Flight Information**

The Operator shall record and retain the following information for each flight:

- (i) Aircraft registration;
- (ii) Date;
- (iii) Flight number;
- (iv) Flight crew names and duty assignment;
- (v) Fuel on board at departure, en route and arrival;
- (vi) Departure and arrival point;
- (vii) Actual time of departure;
- (viii) Actual time of arrival;
- (ix) Flight time;
- (x) Incidents and observations, if any;
- (xi) Flight weather briefings;
- (xii) Dispatch or flight releases;
- (xiii) Load Sheet;
- (xiv) NOTOC;
- (xv) OFP;
- (xvi) ATS flight plan;
- (xvii) Communications records;
- (xviii) Fuel and oil records (obtained in accordance with [MNT 3.1.1](#));
- (xix) Aircraft tracking data to assist SAR in determining the last known position of the aircraft.

**Note:** *After an aircraft has landed safely, an operator may discard tracking data.*

**Table 3.5—Competencies of Operational Control**

The Operator shall ensure FOO or FOA personnel demonstrate knowledge and/or proficiency in the competencies of operational control appropriate to the assignment of responsibility to carry out operational control functions, duties, or tasks, to include, as applicable:

Competencies		FOA Relevancy Examples
(i)	Air law	<ul style="list-style-type: none"> <li>• Air Traffic Specialists</li> </ul>
(ii)	Flight performance	<ul style="list-style-type: none"> <li>• As relevant to function</li> </ul>
(iii)	Navigation	<ul style="list-style-type: none"> <li>• Navigation Analysts</li> <li>• Flight Planning Specialists</li> </ul>
(iv)	Aircraft General knowledge and instrumentation	<ul style="list-style-type: none"> <li>• As relevant to function</li> </ul>
(v)	Meteorology	<ul style="list-style-type: none"> <li>• Weather Analysts</li> <li>• Meteorologists</li> </ul>
(vi)	Mass and balance	<ul style="list-style-type: none"> <li>• Load Agents</li> <li>• Load Planners</li> <li>• Load Controllers</li> </ul>
(vii)	Operational procedures	<ul style="list-style-type: none"> <li>• As relevant to function</li> </ul>
(viii)	Flight planning and monitoring	<ul style="list-style-type: none"> <li>• Flight Planning Specialists</li> <li>• Flight Followers</li> </ul>

**Notes**

- FOO personnel that are assigned overall operational control responsibility for specific flights, assigned responsibilities in all competencies of operational control or used in shared systems of operational control demonstrate knowledge and/or proficiency in all applicable competencies in this table.
- FOO or FOA personnel assigned the individual responsibility to carry out specific operational control functions, duties or tasks demonstrate knowledge and/or proficiency in competencies relevant to area of expertise or function as determined by the operator or State.
- It is important to note that some operators might choose to assign the responsibility for specific operational control functions to fully qualified FOO personnel. In such cases an FOO is acting in a limited capacity and although qualified in all competencies of operational control, would be functionally acting as an FOA.
- Sub-topics for each competency course subject are developed in accordance with reference documents, approved or accepted by the state of the operator. Refer to [Table 3.6](#) for guidance material related to the development of syllabi outlines for each competency course subject.

**Table 3.6—Guidance for Development of Operational Control Competency Course Syllabi**

The Operator typically develops a competency course curriculum and related syllabi for each competency in [Table 3.5](#). Curriculum and associated syllabi development can be based on one or more source references or their equivalent:

- ICAO Doc 10106
- ICAO Doc 7192
- 14 CFR § 121.415 and 14 CFR § 121.422
- EASA ORO.GEN.110 and related AMC and GM

Competency Course Subjects		Examples of Syllabus Outlines (ICAO Doc 10106)
(i)	Air law	<p>To enable operational control personnel to identify the basic requirements for authorization to operate a commercial air transportation service, air law may include topics such as:</p> <ul style="list-style-type: none"> <li>• Conventions and agreements</li> <li>• National organizations and rulemaking process</li> <li>• Rules of the air, general</li> <li>• Air services and airspace</li> <li>• ATC separation and clearances</li> <li>• Search and rescue (SAR)</li> <li>• Security</li> <li>• ATS flight plan (FPL)</li> <li>• Flight safety, accident and incident</li> </ul>
(ii)	Flight performance	<p>To enable the operational control personnel to identify the basic elements of aircraft performance, flight performance may include topics such as:</p> <ul style="list-style-type: none"> <li>• Certification standards</li> <li>• Influencing variables on performance</li> <li>• Takeoff performance</li> <li>• Accelerate-stop distance</li> <li>• Balanced field length</li> <li>• Takeoff climb</li> <li>• Obstacle limits</li> <li>• Reduced/de-rated thrust</li> <li>• Cruise</li> <li>• Cost index</li> <li>• Driftdown</li> <li>• Landing performance</li> <li>• Quick turnaround limits</li> </ul>
(iii)	Navigation	<p>To enable the operational control personnel to identify the fundamentals of navigation and equipment used in navigation, navigation may include topics such as:</p> <ul style="list-style-type: none"> <li>• Basics of general navigation</li> <li>• Latitude, longitude</li> </ul>

**Table 3.6—Guidance for Development of Operational Control Competency Course Syllabi**

		<ul style="list-style-type: none"> <li>• Time and time conversions</li> <li>• Determining sunrise, sunset, civil twilight</li> <li>• Directions</li> <li>• Distance</li> <li>• Charts</li> <li>• Basics of radio navigation</li> <li>• NDB</li> <li>• VOR</li> <li>• DME</li> <li>• ILS</li> <li>• Radar</li> <li>• GPS/GNSS</li> <li>• RNAV</li> <li>• FMS</li> <li>• RNP</li> <li>• Satellite augmentation systems</li> </ul>
(iv)	Aircraft General knowledge and instrumentation	<p>To enable the operational control personnel to identify the main components and systems of an aircraft and their basic functions, aircraft general knowledge and instrumentation may include topics such as:</p> <ul style="list-style-type: none"> <li>• Units and basic definitions</li> <li>• Lift</li> <li>• Drag</li> <li>• Thrust</li> <li>• Weight</li> <li>• Flight mechanics</li> <li>• System design, loads, stresses, maintenance</li> <li>• Hydraulics</li> <li>• Landing gear</li> <li>• Primary and secondary flight controls</li> <li>• Pneumatics</li> <li>• Air conditioning systems</li> <li>• Ice and rain protection</li> <li>• Fuel</li> <li>• Electrics</li> <li>• Engines and APU</li> <li>• Flight management and navigation</li> <li>• Automatic flight</li> <li>• Communications</li> <li>• Fire protection</li> <li>• Equipment and furnishings</li> <li>• Indicating and recording systems</li> </ul>

**Table 3.6—Guidance for Development of Operational Control Competency Course Syllabi**

(v)	Meteorology	<p>To enable the operational control personnel to interpret meteorological information, reports, forecasts and warnings correctly and efficiently, meteorology may include topics such as:</p> <ul style="list-style-type: none"> <li>• Atmosphere, composition, extent, vertical division</li> <li>• Air temperature, definition and units</li> <li>• Atmospheric pressure and density</li> <li>• International standard atmosphere (ISA)</li> <li>• Altimetry</li> <li>• Wind</li> <li>• Clouds and fog</li> <li>• Precipitation</li> <li>• Air masses and fronts</li> <li>• Pressure systems</li> <li>• Climatology</li> <li>• Icing conditions</li> <li>• Turbulence</li> <li>• Wind shear</li> <li>• Thunderstorms</li> <li>• Flight hazards</li> <li>• Meteorological information</li> </ul>
(vi)	Mass and balance	<p>To enable the operational control personnel to identify the basic requirements for load planning, calculation of payload, loadsheet preparation, and aircraft balance, mass and balance may include topics such as:</p> <ul style="list-style-type: none"> <li>• Importance of structural limitations</li> <li>• Mass terms</li> <li>• Mass limits, structural limitations</li> <li>• Cargo compartment limitations</li> <li>• Mass calculations</li> <li>• Definition of center of gravity (CG)</li> <li>• Load and trim sheet, general considerations</li> </ul>



**Table 3.6—Guidance for Development of Operational Control Competency Course Syllabi**

(vii)	Operational procedures	<p>To enable the operational control personnel to policies, procedures, guidance, and instructions developed to perform their respective functions, operating procedures may include topics such as:</p> <ul style="list-style-type: none"> <li>• Operational control responsibilities</li> <li>• SMS</li> <li>• AOC</li> <li>• Operating manuals</li> <li>• Aircraft airworthiness</li> <li>• Operational limitations and minima</li> <li>• Duty time limitations and rest requirements</li> <li>• Operational flight plan contents</li> <li>• Anti-icing, de-icing</li> <li>• Security (unlawful events)</li> <li>• Abnormal and emergency procedures</li> <li>• Communication systems and procedures</li> </ul>
(viii)	Flight planning and monitoring	<p>To enable the operational control personnel to complete an operational flight plan in accordance with laid-down rules and standards and to apply the skills acquired to effectively maintain a flight watch, and monitor fuel consumption, en route weather including winds, aircraft performance including the limitations imposed by MEL restrictions, in-flight equipment failures, security problems, and the effects of and on hazardous materials, restricted articles, and perishable cargo, flight planning and monitoring may include topics such as:</p> <ul style="list-style-type: none"> <li>• Weather analysis</li> <li>• AIP/NOTAM analysis</li> <li>• Track selection &amp; flight level</li> <li>• Equipment requirements</li> <li>• Airport suitability</li> <li>• Fuel requirements</li> <li>• Payload planning</li> <li>• ETOPS/EDTO</li> <li>• MEL/CDL</li> <li>• ATC/ATM</li> <li>• Security (unlawful events)</li> <li>• Abnormal and emergency procedures</li> </ul>

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## Section 4 — Aircraft Engineering and Maintenance (MNT)

### Applicability

Section 4 is applicable to all operators, and addresses aircraft engineering and maintenance functions relevant to the airworthiness of the aircraft, engines and components.

Individual MNT provisions or sub-specifications within an MNT provision that:

- Do not begin with a conditional phrase are applicable unless determined otherwise by the Auditor.
- Begin with a conditional phrase “If the Operator...” are applicable if the Operator meets the condition(s) stated in the phrase.

An operator may choose to have certain functions within the scope of ground handling operations (e.g. aircraft loading, aircraft ground handling) performed by maintenance operations personnel. If this situation exists, the operator must be in conformity with the ISARPs contained in Section 6, Ground Handling Operations (GRH), that are applicable to the ground handling functions performed by maintenance operations personnel.

Where an operator outsources the performance of aircraft engineering and maintenance operational functions to external organizations, the operator retains overall responsibility for ensuring aircraft airworthiness, and must demonstrate processes for monitoring the applicable external organization(s) in accordance with MNT 1.11.7.

### General Guidance

Definitions of technical terms used in this ISM Section 4, as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

Many provisions in this section contain the phrase “organization that performs maintenance (or performs maintenance functions) for the Operator.” This phrase is inclusive and refers to any organizations that might perform maintenance on the operator’s aircraft, either an external maintenance organization or the operator’s own maintenance organization.

The term “maintenance” as used in above-referenced phrase means restoring or maintaining an aircraft, aircraft engine or aircraft component to or in an airworthy and serviceable condition through the performance of functions such as repair, modification, overhaul, inspection, replacement, defect rectification and/or determination of condition.

If a standard or recommended practice requires an operator to ensure that certain provisions (specifically in MNT subsection 4) are satisfied by an organization that performs maintenance or maintenance operational functions for the operator under a maintenance agreement, then the operator monitors such maintenance organization to ensure specifications in the relevant ISARPs are being fulfilled.

If the organization that has a maintenance agreement with the operator subcontracts certain maintenance functions to other maintenance organizations (as agreed between parties), then the operator’s monitoring of the contracted maintenance organization would also ensure such organization is performing oversight of all relevant subcontractors. For example, when an operator contracts with an airframe maintenance provider to conduct base maintenance and such maintenance provider then subcontracts certain maintenance activities or functions to one or more of its subcontractors, the operator’s monitoring would also ensure the contracted airframe maintenance provider is providing proper oversight of the relevant subcontractors.

## 1 Management and Control

### 1.1 Management System Overview

#### MNT 1.1.1

The Operator shall have a management system for maintenance operations that ensures:

- (i) Management of safety and quality in maintenance operations;
- (ii) Supervision and control of maintenance activities;

- (iii) Compliance with applicable regulations and standards of the Operator. **(GM)** ◀

**Auditor Actions**

- ☐ **Identified/Assessed** management system structure for MNT operations.
- ☐ **Interviewed** manager of MNT operations.
- ☐ **Assessed** status of conformity with all other MNT management system ISARPs.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of Maintenance (Aircraft) and Maintenance Operations.

Refer to Guidance associated with [ORG 1.1.1](#) located in ISM Section 1.

- ☐ Whenever the management system for maintenance operations involves another organization's management system (e.g. the case of continuing airworthiness management ensured by an organization external to the operator but belonging to the same airline business group the operator is part of) particular attention to the harmonization of the two management systems is necessary. In such cases, the operator is expected to arrange for the auditing appropriate logistic required to demonstrate and assess that the management systems are harmonized with each other.
- ☐ Management systems harmonization means the coordinated process by which the management systems of two or more organizations interact and share information and methods to reach common or consistent safety and compliance monitoring objectives.

**MNT 1.1.2**

The Operator shall have a staff of management personnel suitably matched to the scale and scope of maintenance operations to ensure:

- (i) Maintenance of all aircraft is performed in accordance with the Maintenance Program;
- (ii) All maintenance is carried out in accordance with policies and procedures contained in the Maintenance Management Manual (MMM). **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** maintenance management structure and individual manager appointments.
- ☐ **Identified** means of ensuring that all maintenance is performed in accordance with the Maintenance Program and the policies and procedures contained in the MMM.
- ☐ **Interviewed** manager(s) of maintenance operations.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of ETOPS, Extended Diversion Time Operations (EDTO), Maintenance Management Manual (MMM) and Maintenance Program.

The management personnel represent the maintenance management structure of the operator and are responsible for all maintenance functions. Dependent on the size of the operation and the organizational set up, the maintenance functions may be divided among individual managers or combined, as applicable to the airline structure.

The actual number of persons employed, and their qualifications, are dependent upon the tasks to be performed and thus dependent on the size and complexity of the operation (e.g. route network, line and/or charter operations, ETOPS/EDTO, fleet composition, aircraft complexity and age), number and locations of maintenance facilities and the amount and complexity of maintenance contracts. Consequently, the number of persons needed, and their qualifications, may differ greatly from one operator to another and a simple formula covering the whole range of possibilities is not feasible.

### MNT 1.1.3

The Operator shall have a manager of maintenance operations that is acceptable to the Authority, if required, and is responsible for ensuring:

- (i) The management of safety and security risks to maintenance operations;
- (ii) Maintenance operations are conducted in accordance with conditions and restrictions of the Air Operator Certificate (AOC), and in compliance with applicable regulations and standards of the Operator. **(GM) ◀**

#### Auditor Actions

- ☐ **Identified** manager for MNT operations.
- ☐ **Examined** job description of manager for MNT operations (focus: defines authority/accountability/responsibility for risk management/compliance with AOC requirements).
- ☐ **Interviewed** manager of MNT operations.
- ☐ **Interviewed** other managers in MNT operations.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Air Operator Certificate (AOC) and Authority.

In most regulatory jurisdictions the individual that is the manager of an operator's maintenance operations is required to be a post holder that is acceptable to the Authority.

Refer to [ORG 1.1.3](#) located in ISM Section 1.

## 1.2 Accountability, Authorities and Responsibilities

### MNT 1.2.1

The Operator shall ensure the management system for maintenance operations defines the safety accountability, authorities and responsibilities of management and non-management personnel that perform functions relevant to aircraft engineering and maintenance. The management system shall also specify:

- (i) The levels of management within maintenance operations with the authority to make decisions regarding risk tolerability with respect to aircraft airworthiness;
- (ii) Responsibilities for ensuring maintenance operations are conducted in accordance with conditions and restrictions of the AOC, applicable regulations and standards of the Operator;
- (iii) Lines of accountability throughout maintenance operations, including direct accountability on the part of senior management for ensuring aircraft airworthiness. **[SMS] (GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** defined safety accountability/authorities/responsibilities for ensuring aircraft airworthiness (focus: applicable to management/non-management personnel throughout the maintenance operations organization).
- ☐ **Interviewed** MNT operations manager and/or designated management representative(s).
- ☐ **Examined** job descriptions of selected management/non-management personnel in maintenance operations.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to Guidance associated with [ORG 1.3.1](#) located in ISM Section 1 for expanded information regarding accountability, authority and responsibility as applicable to management and non-management personnel.

**MNT 1.2.2**

The Operator shall have a process or procedure for the delegation of duties within the management system for maintenance operations that ensures managerial continuity is maintained when operational managers including, if applicable, post holders are unable to carry out work duties.

**(GM) ◀**

**Auditor Actions**

- ☐ **Identified/Assessed** processes for delegation of duties when MNT operations managers are absent.
- ☐ **Interviewed** MNT operations manager and/or designated management representative(s).
- ☐ **Examined** example(s) of delegation of duties due to absence of managers.
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is for an operator to have a process or procedure that ensures a specific person (or perhaps more than one person) is identified to assume the duties of any operational manager that is or is expected to be, for any reason, unable to accomplish assigned work duties.

For the purpose of this provision, the use of telecommuting technology and/or being on call and continually contactable are acceptable means for operational managers to remain available and capable of carrying out assigned work duties.

Refer to Guidance associated with [ORG 1.3.2](#) located in ISM Section 1, which addresses the performance of work duties and the use of telecommuting technology and/or being on call and continually contactable.

**MNT 1.2.3**

The Operator shall ensure a delegation of authority and assignment of responsibility within the management system for maintenance operations for liaison with regulatory authorities, original equipment manufacturers (OEMs) and other external entities relevant to maintenance operations.

**(GM) ◀**

**Auditor Actions**

- ☐ **Identified** corporate management individuals with authority for liaison with regulators and other external entities.
- ☐ **Interviewed** accountable executive and/or designated management representative(s).
- ☐ **Interviewed** manager(s) with authority for liaison with regulators and other external entities.
- ☐ **Crosschecked** to identify managers in operational areas with authority for liaison with regulators and other external entities.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to Guidance associated with [ORG 1.3.3](#) located in ISM Section 1.

**1.3 Maintenance Program****MNT 1.3.1**

The Operator shall provide, for the use and guidance of relevant maintenance and operational personnel, a Maintenance Program that is approved by the relevant Authority and contains information and data for each aircraft type/model and configuration in the Operator's fleet in accordance with specifications in [Table 4.1](#). The Maintenance Program shall satisfy:

- (i) Requirements of the State of Registry;
- (ii) Requirements of the State of Design;
- (iii) Requirements of the Operator;
- (iv) Maintenance specifications provided by the aircraft, engine and component OEMs. **(GM)**



### Auditor Actions

- ☐ **Identified** an approved maintenance program for each aircraft type.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected maintenance program(s) (content in accordance with specifications in [Table 4.1](#)).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Approved Maintenance Organization (AMO), State of Design and State of Registry.

An aircraft maintenance program is usually approved by the Authority. However, when an operator uses an aircraft registered in a different state, it is possible that the maintenance program could be approved by the authority of the State of Registry.

An operator's Authority typically holds the operator responsible for the definition, the control and the provision of Maintenance Data, and an Approved Maintenance Program for use by the operator and its maintenance organization.

The aircraft is maintained under one approved operator's aircraft maintenance program. When an operator wishes to change from one approved aircraft maintenance program to another approved program, a transfer/bridging check/inspection may need to be performed, as agreed with the Authority, in order to implement the change.

The operator's aircraft maintenance program typically contains a preface that defines the maintenance program contents, the inspection standards to be applied, permitted variations to task frequencies and, where applicable, any procedure to escalate established check/inspection intervals.

A reliability program provides an appropriate means of monitoring the effectiveness of the maintenance program. Maintenance program optimization relies on implementation of the reliability program.

Some operator's approved aircraft maintenance programs, not developed from the MRB Process, use reliability programs as the basis of the approval. The purpose of a reliability program is to ensure the aircraft maintenance program tasks are effective and carried out at appropriate time intervals. Actions resulting from the reliability program may result in the escalation or de-escalation, or addition or deletion, of maintenance tasks, as deemed necessary.

The maintenance program typically contains the following:

- The type/model and registration number of the aircraft, engines and, where applicable, auxiliary power units (APUs) and propellers;
- The name and address of the operator;
- The operator's reference identification of the program document, the date of issue and issue number;
- A statement signed by the operator to the effect the specified aircraft is maintained in accordance with the program and that the program is reviewed and updated as required;
- Contents/list of effective pages of the document;
- Check periods that reflect the anticipated use of the aircraft and where use cannot be anticipated, calendar time limits are included;
- Procedures for the escalation of established check periods, where applicable, and acceptable to the Authority;
- Provision to record date and reference to approved amendments incorporated in the program;
- Details of preflight maintenance tasks accomplished by maintenance personnel and not included in the Operations Manual for action by flight crew;
- The tasks and the periods (intervals/frequencies) at which each part of the aircraft, engines, APUs, propellers, components, accessories, equipment, instruments, electrical and radio

apparatus and associated systems and installations are to be inspected, together with the type and degree of inspection;

- The periods when items are checked, cleaned, lubricated, replenished, adjusted and tested;
- Details of specific structural inspections or sampling programs;
- Details of the corrosion control program, when applicable;
- The periods and procedures for the collection of engine health monitoring data;
- The periods when overhauls and/or replacements by new or overhauled parts are to be made;
- A cross-reference to other documents approved by the Authority that contain the details of maintenance tasks related to mandatory life-limitations, Certification Maintenance Requirements (CMRs) and Airworthiness Directives (ADs);

**Note:** *To prevent inadvertent variations to such tasks or intervals, these items would not be included in the main portion of the maintenance program document, or any planning control system, without specific identification of their mandatory status.*

- Details of, or cross-reference to, any required Reliability Program or statistical methods of continuous surveillance;
- A statement that practices and procedures to satisfy the program are to the standards specified in the Type Certificate Holder's Maintenance Instructions. When practices and procedures are included in a customized operator's maintenance manual approved by the Authority, the statement refers to this manual;
- Each maintenance task quoted is defined in the definitions section of the program.

An operator's approved aircraft maintenance programs are subject to periodic review to ensure they reflect current Type Certificate Holder's recommendations, revisions to the Maintenance Review Board Report and the mandatory requirements and maintenance needs of the aircraft. The operator reviews the detailed requirements at least annually for continued validity in light of the operating experience.

#### MNT 1.3.2

The Operator shall ensure the design and application of the Maintenance Program observes human factors principles. **(GM)**

#### Auditor Actions

- ☐ **Identified** an approved maintenance program for each aircraft type.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** the process for designing maintenance tasks.
- ☐ **Examined** selected Task Cards.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Human Factors Principles.

Specifically, with respect to observation of human factor principles in design and application of the maintenance program, the following guidance material provides information regarding the development of maintenance schedules/programs, including the development of the associated Task Cards, hereafter referred to as the "Maintenance Item."

Some Maintenance Items might not be developed through the in-house Task Card design process, but rather would be taken directly from the Design Approval Holder (DAH) who has considered human factors principles in the development process.

In cases where the operator has the requisite capabilities and chooses to develop a Maintenance Item, attention is applied to the Human Factors layout of the Maintenance Item that typically includes, but is not limited to:

- Layout of the Maintenance Item;
- Language used;

- Clear and concise instructions that are as brief and succinct as possible;
- Standardization of all Task Cards, to include the appropriate warnings;
- All notes, warnings and cautions are apparent by the suggested use of boxing, bolding, italicizing and underlining text;
- Clear instructions for the mechanic/inspector as to where to sign, certify, initial, date the task;
- Where possible, the use of color to display Maintenance Items and Task Cards;
- Where a Maintenance Item has important graphic details, the graphics are included;
- Full amplification of some tasks rather than referral to a separate document that may distract the mechanic;
- Referral to the applicable Approved Data.

Guidance material for the application of human factors principles may be found in the ICAO Human Factors Training Manual, Document 9683.

### MNT 1.3.3

The Operator shall ensure amendments to the Maintenance Program:

- (i) Are approved by the Authority unless the Operator has been approved to amend the Maintenance Program without requiring approval of the Authority;
- (ii) Are furnished to all organizations and/or persons to whom the Maintenance Program has been issued.

#### Auditor Actions

- ☐ **Identified/Assessed** maintenance program (focus: defines processes for amendment approval and dissemination).
- ☐ **Identified** the organizations and/or persons to which the maintenance program(s) are issued.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of recent maintenance program amendments (focus: if applicable, approval by Authority; dissemination to all program users).
- ☐ **Other Actions** (Specify)

## 1.4 Provision of Resources

### MNT 1.4.1

The Operator shall ensure the existence of the facilities, workspace, equipment and supporting services, as well as the work environment, that are necessary to allow all maintenance to be performed in accordance with the Maintenance Program. **(GM)** ◀

**Note:** *Conformity with this provision does not require specifications to be documented by the Operator.*

#### Auditor Actions

- ☐ **Observed/Assessed** physical resources and services (focus: adequacy to meet Maintenance Program needs).
- ☐ **Identified/Assessed** processes for oversight of external maintenance providers (focus: evaluation of facilities/workspace/equipment/supporting services).
- ☐ **Interviewed** MNT operations manager and/or designated management representative(s).
- ☐ **Assessed** adequacy of maintenance facilities, workspace and working environment.
- ☐ **Observed** aircraft part/component installation/replacement (focus: adequate facilities/workspace/equipment for maintenance activity performed).
- ☐ **Observed** line maintenance operations (focus: adequate facilities/workspace/equipment for maintenance activity performed).

- ☐ **Observed** aircraft parts/components management/handling (focus: adequate facilities/workspace/equipment for handling of aircraft parts/components).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to Guidance associated with [ORG 1.5.2](#) located in ISM Section 1.

Implementation of this standard (i.e. adequacy of physical resources, work environment) is typically assessed through observations made by the auditor(s) during the course of the on-site audit.

**MNT 1.4.2**

The Operator shall have a selection process for management and non-management positions within maintenance operations organization that require the performance of functions relevant to aircraft airworthiness. Such process shall ensure candidates are selected on the basis of knowledge, skills, training and experience appropriate for the position. **(GM)** ◀

**Auditor Actions**

- ☐ **Identified/Assessed** standards and processes for selection of MNT operations personnel in functions relevant to safety and security of aircraft operations.
- ☐ **Interviewed** MNT operations manager and/or designated management representative(s).
- ☐ **Interviewed** personnel that perform MNT functions relevant to the safety or security of aircraft operations.
- ☐ **Other Actions** (Specify)

**Guidance**

A corporate personnel selection policy that applies to all operational areas of the organization will serve to satisfy this specification.

Refer to Guidance associated with [ORG 1.5.3](#) located in ISM Section 1.

**MNT 1.4.3**

The Operator shall ensure availability of the facilities, personnel, equipment and other resources, as necessary, for the implementation of management and control functions, as specified in [Table 4.2](#).

**Auditor Actions**

- ☐ **Observed** facilities, personnel, equipment and other resources used for the maintenance management and control functions specified in [Table 4.2](#).
- ☐ **Other Actions** (Specify)

## 1.5 Communication

**MNT 1.5.1**

The Operator shall have a system that enables effective communication of relevant safety and operational information within the maintenance operations management system and in all areas where maintenance operations are conducted. Such system shall ensure:

- (i) Personnel maintain an awareness of the SMS;
- (ii) Safety-critical information is conveyed;
- (iii) External service providers who conduct outsourced maintenance and/or perform maintenance functions for the Operator are provided with information relevant to operations conducted. **[SMS] (GM)** ◀

**Auditor Actions**

- ☐ **Identified/Assessed** system(s) for communicating information relevant to operations within the MNT operations organization.
- ☐ **Interviewed** MNT operations manager and/or designated management representative(s).
- ☐ **Examined** examples of information communication/transfer in MNT operations.

- ☐ **Interviewed** selected non-management operational personnel in MNT operations.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 4.2.1](#) located in ISM Section 1 for expanded information regarding methods of communication.

## 1.6 Documentation System

**MNT 1.6.1** (Intentionally open)

**MNT 1.6.2** (Intentionally open)

### MNT 1.6.3

The Operator shall have a system for the management and control of documentation and/or data used directly in the conduct or support of maintenance operations. Such system shall ensure documentation:

- (i) Meets all required elements specified in [Table 1.1](#);
- (ii) Contains legible and accurate information;
- (iii) Is presented in a format appropriate for use in operations. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** management and control system for documentation used in MNT operations.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected parts of the MMM and other maintenance operations documents (focus: legibility/accuracy/format; approval as applicable).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Documentation, Electronic Documentation and Paper Documentation.

Refer to [ORG 2.5.1](#) and associated Guidance, and [Table 1.1](#), located in ISM Section 1.

## 1.7 Maintenance Management Manual (MMM)

### MNT 1.7.1

The Operator shall have, for the use and guidance of relevant maintenance and operational personnel, a Maintenance Management Manual that is accepted or approved by the Authority. The MMM may be issued in separate parts and shall contain maintenance policies, procedures and information as specified in [Table 4.3](#). The design of the manual shall observe Human Factors principles. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** the MMM.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** the MMM (regulatory approval/acceptance and content in accordance with specifications in [Table 4.3](#)).
- ☐ **Other Actions** (Specify)

## Guidance

An MMM is a document that defines how an operator, through its AMO and all contracted AMOs, accomplishes and controls its aircraft maintenance activities. This document typically sets out:

- The description of the maintenance management system and its senior personnel;
- Each location where maintenance is carried out;
- The Approved Data for accomplishing aircraft maintenance;
- The procedures by which Engineering and Maintenance is managed.

The MMM provides all Engineering and Maintenance personnel with the necessary information to enable them to accomplish their duties and allow the Authority to understand and approve how the operator and its AMO comply with the applicable Airworthiness Requirements.

The MMM can comprise one manual or a suite of manuals. The MMM may have specific sections extracted to form a customized manual for distribution to maintenance contractors, line stations and others, as applicable.

The MMM can be a generic term for the MCM, QPM, MOM, QM, IPM, MME and others. The purpose of the MMM is to set forth the procedures, means and methods of the operator in fulfilling its maintenance responsibilities. Compliance with its contents assures fulfillment of the operator's maintenance responsibilities.

The management section in the MMM may be produced as a stand-alone document and made available to the key personnel required to be familiar with its contents.

Working procedures between the operator and AMO are established and may be produced as any number of separate procedures manuals and cross-referenced from the management part of the MMM.

Personnel from both the operator and the AMO are normally expected to be familiar with sections of the manuals that are relevant to the work they carry out.

Responsibilities and procedures for revisions to the management part of the MMM and any associated manuals are typically specified.

The Quality Manager of the operator is normally responsible for monitoring revisions to the MMM unless otherwise agreed by the Authority.

Unless the Authority has agreed via a procedure stated in the amendment section of the MMM that certain defined classes of amendments may be incorporated without prior Authority approval, this process would normally include monitoring revisions to the associated procedures manuals.

The MMM normally has at least the following four main parts to cover the items in [Table 4.3](#):

- Organization and management;
- Maintenance procedures;
- Quality system procedures;
- Contracted maintenance procedures and paperwork.

The MMM also typically contains:

- An organization chart;
- Procedures to ensure:
  - Each aircraft operated is maintained in an airworthy condition;
  - The operational and emergency equipment necessary for an intended flight is serviceable;
  - The Certificate of Airworthiness of each aircraft operated remains valid.
- A description of the quality system;
- A description of the procedure for receiving, amending and distributing all necessary airworthiness data from the type certificate holder or Type Design Organization;
- A statement signed by the operator confirming the MMM and any incorporated documents identified therein reflect the operator's means of compliance with the Authority requirements;
- A description of the MMM amendment control procedure;



- A means of identifying each page of the MMM. This can be in the form of a list of effective pages with each page numbered and either dated or marked with a revision number;
- A description of the system used to distribute the MMM, including a distribution list; for non-scheduled work, temporary copies of the relevant portions of the MMM, or any incorporated reference, may be sent via facsimile transmission;
- A detailed description of the procedures used to ensure that any maintenance tasks required by the maintenance schedule, airworthiness directives or any task required for the rectification of a defect are completed within the required time constraints;
- A statement that indicates the maintenance program meets all applicable instructions for continuing airworthiness developed by the Type Certificate Holder as issued or amended by the operator's reliability program, STC holders, DERs, ODAs and/or DOA;
- A statement that indicates the changes or deviations from the Type Certificate Holder's Maintenance Instructions or OEM maintenance specifications are made in accordance with the operator's approved procedures;
- A description of the evaluation program required by these standards;
- A description of the defect rectification and control procedures, including details of:
  - The methods used to detect and report recurring defects;
  - The procedures for scheduling the rectification of defects whose repair has been deferred. If these procedures have not been incorporated into the MEL preamble.
- The procedures used to report service difficulties in accordance with these standards;
- A description of the technical dispatch procedures, including procedures for ferry-flight authorizations, EDTO (equivalent terms: ETOPS, EROPS, LROPS), all weather operations and/or any other special operations;
- A description of personnel records to be retained;
- A description of the procedure used to ensure the empty weight and balance of each aircraft is recorded in accordance with the applicable State of Registry/Authority requirements;
- Maintenance arrangements and a list of all such arrangements, including the procedure used to communicate to an approved maintenance organization the maintenance requirements for planned and unforeseen maintenance activities, as well as those mandated by airworthiness directives;
- Procedure for revising and maintaining the MMM up to date and current;
- Approval of the Authority through approval of the list of effective pages or, in the case of manuals containing a small number of pages, approval can be identified on each page.

Refer to the Guidance associated with [MNT 1.3.2](#) for information that explains and addresses human factors principles.

### **MNT 1.7.2** (Intentionally open)

#### **MNT 1.7.3**

The Operator shall ensure the MMM is amended as necessary to keep information contained therein up to date and to address:

- (i) Changes to maintenance or airworthiness requirements;
- (ii) Changes in the organization or activities;
- (iii) Inadequacies identified through internal or external audit;
- (iv) Conformity with applicable requirements.

#### **Auditor Actions**

- ☐ **Identified** the process(es) for amending the MMM.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** the MMM for currency.

- ☐ **Examined** the content of selected amendments to the MMM.
- ☐ **Other Actions** (Specify)

## **MNT 1.7.4–1.7.5** (Intentionally open)

### **MNT 1.7.6**

The Operator shall ensure a copy of the current version of the MMM, or relevant portions thereof, is promptly made available to:

- (i) Applicable authorities;
- (ii) Each organization or person that performs or certifies maintenance for the Operator;
- (iii) All other organizations or persons to whom the MMM has been issued.

#### **Auditor Actions**

- ☐ **Identified/Assessed** the process(es) for dissemination of the MMM.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** the distribution list for dissemination of the MMM.
- ☐ **Examined** selected records of MMM and amendment distribution(s) to organizations/persons that perform/certify maintenance.
- ☐ **Other Actions** (Specify)

### **MNT 1.7.7**

If the Operator makes available relevant portions of the MMM as specified in [MNT 1.7.6](#), the Operator shall ensure policies and procedures contained therein are sufficiently comprehensive such that all relevant guidance and information is available to any maintenance organization or person that performs maintenance for the Operator under that portion of the manual. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** the process(es) for dissemination of the MMM.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** the distribution list for dissemination of the MMM to organizations and/or persons.
- ☐ **Examined** selected records of MMM distribution (portion only) to organizations/persons that perform maintenance.
- ☐ **Other Actions** (Specify)

#### **Guidance**

The intent of this standard is to ensure that when the Operator is making available (by any means like: hardcopy, softcopy e-mailed or otherwise distributed etc.) only portions of the MMM, such portions contain sufficient detail of the policies, procedures, guidance, and information which the entities mentioned in [MNT 1.7.6](#) require or have to comply with.

## **1.8 Maintenance Records System**

### **MNT 1.8.1**

The Operator shall have a system for the management and control of maintenance records to ensure the content and retention of such records is in accordance with requirements of the Authority, as applicable, and to ensure operational records are subjected to standardized processes for:

- (i) Identification;
- (ii) Legibility;
- (iii) Maintenance;
- (iv) Retrieval;
- (v) Protection, integrity and security;
- (vi) Disposal, deletion (electronic records) and archiving. **(GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** management and control system for operational records in MNT operations.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected maintenance records.
- ☐ **Observed** AD/SB management (focus: content/retention of AD/SB records are in accordance with requirements of the Authority).
- ☐ **Observed** aircraft parts/components management/handling (focus: content/retention of parts/components records are in accordance with requirements of the Authority).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Maintenance Records.

The operator is responsible for the maintenance records of the operator's aircraft irrespective whether the records are retained at the operator's location, at a maintenance organization or any other location.

An operator normally receives and retains a completed Certificate of Release to Service from the maintenance organization. The system for storing such maintenance records is described in the operator's MMM.

Methods of storing maintenance records acceptable to the Authority are in paper form, in a computer database or a combination of both methods. Records stored on microfilm or optical disc form are also acceptable.

For paper systems, use of robust material that can withstand normal handling and filing ensures records can remain legible throughout the required retention period.

Computer systems normally have at least one backup system, which is updated within 24 hours of any maintenance performed. Additionally, each computer terminal normally contains program safeguards to prevent any alteration of the database by unauthorized personnel.

Microfilming or optical storage of maintenance records may be carried out at any time and be as legible as the original record and remain so for the required retention period.

Information on times, dates, cycles referred to as "summary maintenance records" are the records that give an overall picture on the state of maintenance of the aircraft and any life-limited aircraft component. The current status of all life-limited aircraft components indicates the component life limitation, total number of hours, accumulated cycles or calendar time and the number of hours/cycles/time remaining before the required expiry time of the component is reached.

The current status of Airworthiness Directives (AD) identifies the applicable ADs including revision or amendment numbers. Where an AD is generally applicable to the aircraft or component type but is not applicable to the particular aircraft or component, this is identified. The AD status includes the date on which the AD was accomplished. If the AD is controlled by flight hours or flight cycles, it includes the aircraft or engine or component total flight hours or cycles, as appropriate. For repetitive ADs, only the last application is recorded in the AD status. The status also specifies which part of a multi-part AD has been accomplished and the method, where a choice is available in the AD.

Details of current modifications and repairs require substantiating data supporting compliance with the airworthiness requirements. This can be in the form of a Supplemental Type Certificate, Service Bulletin, Structural Repair Manual or similar approved document. If the airworthiness data for modification and repair is produced by the maintenance organization in accordance with existing national regulations, all detailed documentation necessary to define the change and its approval are to be retained. Scheduled maintenance requirements following STC incorporation are required to be clearly identified as well. The substantiating data may include:

- Compliance program;
- Master drawing or drawing list, production drawings and installation instructions;
- Engineering reports (static strength, fatigue, damage tolerance, fault analysis);
- Ground and flight test program and results;

- Mass and balance change data;
- Maintenance and repair manual supplements;
- Maintenance program changes and instructions for continuing airworthiness;
- Aircraft flight manual supplement.

Maintenance records are required to be stored safely from fire, flood, theft and alteration.

Computer backup discs and cassettes are to be stored in a different location from those containing the current working discs and tape cassettes and in a safe environment.

The operator is required to ensure, when a maintenance organization used by the operator terminates its operation, the maintenance organization returns all retained maintenance records to the operator.

Refer to guidance associated with [ORG 2.6.1](#) located in ISM Section 1.

## MNT 1.8.2

If the Operator uses an electronic system for the management and control of maintenance operations records, the Operator shall ensure the system provides for a scheduled generation of backup record files associated with maintenance operations. **(GM)** ◀

### Auditor Actions

- ☐ **Identified/Assessed** management and control system for operational records in MNT operations.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected record(s) of backup files for electronic records.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 2.6.2](#) located in ISM Section 1.

## 1.9 Aircraft Systems/Equipment

### MNT 1.9.1

The Operator shall ensure all aircraft in its fleet are equipped with, in accordance with conditions of applicability, the aircraft systems and equipment specified in [Table 4.11](#). **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** fleet aircraft systems/equipment (focus: systems/equipment in accordance with [Table 4.11](#) for aircraft types in operator's fleet).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** records of installation, inspection and/or maintenance of selected systems/equipment.
- ☐ **Observed** line flight operations (FLT/CAB auditors) or inspected static aircraft (focus: sampled aircraft have applicable systems/equipment installed).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is that in accordance with conditions of applicability, which includes requirements of the relevant authority, the systems and equipment specified in [Table 4.11](#) are installed on each aircraft type in the operator's fleet.

The condition of applicability of some system or equipment requirements is predicated on the use of an aircraft type in a certain type of operation (e.g. long-range over-water flights). Where an operator has a fleet of an aircraft type of which some are not used in the conditional operation, then the operator would typically have to demonstrate a segregation system that prevents such aircraft from being used in the conditional operation.

The operator or the Authority may prescribe additional requirements for aircraft systems or equipment installation.

## MNT 1.9.2

The Operator *should* ensure all aircraft in its fleet are equipped with, in accordance with conditions of applicability, the aircraft systems and equipment specified in [Table 4.14](#). (GM)

### Auditor Actions

- ☐ **Identified/Assessed** fleet aircraft systems/equipment (focus: systems/equipment in accordance with [Table 4.14](#) for aircraft types in operator's fleet).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** records of installation, inspection and/or maintenance of selected systems/equipment.
- ☐ **Observed** line flight operations (FLT/CAB auditors) or inspected static aircraft (focus: sampled aircraft have applicable systems/equipment installed).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is that in accordance with conditions of applicability, which includes requirements of the relevant authority, the systems and equipment specified in [Table 4.14](#) should be installed on each aircraft type in the operator's fleet.

The condition of applicability of some system or equipment requirements is predicated on the use of an aircraft type in a certain type of operation (e.g. long-range over-water flights). Where an operator has a fleet of an aircraft type of which some are not used in the conditional operation, then the operator would typically have to demonstrate a segregation system that prevent such aircraft from being used in the conditional operation.

The operator or the Authority may prescribe additional requirements for aircraft systems or equipment installation.

## 1.10 Quality Assurance Program

### MNT 1.10.1

The Operator shall have a quality assurance program that provides for auditing of the management system and all functions of maintenance operations to ensure the Operator is:

- (i) Complying with applicable regulations and standards;
- (ii) Satisfying stated maintenance operational needs;
- (iii) Identifying areas requiring improvement;
- (iv) Identifying hazards to operations;
- (v) Assessing the effectiveness of safety risk controls. [SMS] (GM) ◀

### Auditor Actions

- ☐ **Identified/Assessed** quality assurance program in maintenance operations (focus: role/purpose within organization/SMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management/operational areas).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected maintenance operations audit reports (focus: audit scope/process/organizational interface).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 2.1.1](#) located in ISM Section 1.



## MNT 1.10.2

The Operator shall have a process for addressing findings that result from audits conducted under the quality assurance program, which ensures:

- (i) Identification of root cause(s);
- (ii) Development of corrective action, as appropriate, to address findings;
- (iii) Implementation of corrective action in appropriate areas of maintenance operations;
- (iv) Evaluation of corrective action to determine effectiveness. **(GM)** ◀

### Auditor Actions

- **Identified/Assessed** process for addressing/closing maintenance operations audit findings.
- **Interviewed** responsible quality assurance program manager.
- **Examined** selected audit reports/records (focus: identification of root cause, development/implementation of corrective action, follow-up to evaluate effectiveness).
- **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 2.1.7](#) located in ISM Section 1.

## MNT 1.10.3

The Operator shall ensure significant issues arising from maintenance operations quality assurance and risk management are subject to management review in accordance with [ORG 4.1.1](#).

**[SMS] (GM)** ◀

### Auditor Actions

- **Identified/Assessed** process for management review of maintenance operations quality assurance issues (focus: continual improvement of quality assurance program).
- **Interviewed** responsible quality assurance program manager.
- **Examined** selected records/documents of management review of maintenance operations quality assurance program issues (focus: specific issues/changes identified and implemented to improve quality assurance program).
- **Other Actions** (Specify)

### Guidance

Refer to [ORG 4.1.1](#), [ORG 4.1.2](#) and associated guidance in ISM Section 1.

## MNT 1.10.4

The Operator shall ensure functions related to the maintenance operations quality assurance program are performed by qualified personnel that are either employees of the Operator or independent external quality assurance agents. **(GM)**

### Auditor Actions

- **Identified/Assessed** the selection and training program for quality assurance auditors.
- **Interviewed** responsible manager(s).
- **Examined** selected auditor qualifications and training records.
- **Other Actions** (Specify)

### Guidance

Refer to [ORG 2.1.9](#) for the standard applicable to assess the status to be satisfied by “qualified personnel”



## MNT 1.10.5

The Operator shall have an audit planning process and sufficient resources to ensure audits of maintenance operations are:

- (i) Scheduled at intervals to meet regulatory and management system requirements;
- (ii) Conducted within the scheduled interval. **(GM) ◀**

### Auditor Actions

- ☐ **Identified/Assessed** quality assurance audit planning process in maintenance operations (focus: audits planned/scheduled/conducted in accordance with applicable internal/external requirements).
- ☐ **Identified/Assessed** audit resources (focus: availability of sufficient auditors/other resources to accomplish audit plan).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Crosschecked** audit plan with selected audit reports, to verify adherence to plan (focus: audits conducted in accordance with audit plan).
- ☐ **Other Action** (Specify)

### Guidance

Refer to Guidance associated with [ORG 2.1.5](#) located in ISM Section 1.

## 1.11 Quality Control of Outsourced Operations and of Products

### MNT 1.11.1A

If the Operator has external service providers conduct outsourced maintenance and/or maintenance functions, the Operator *shall* ensure a service provider selection process is in place that ensures:

- (i) Relevant safety and security selection criteria are established;
- (ii) Service providers are evaluated against these criteria prior to selection. **(GM) ◀**

### Auditor Actions

- ☐ **Identified/Assessed** selection process for external service providers.
- ☐ **Interviewed** manager and/or designated management representative(s).
- ☐ **Examined** selected records/documents that demonstrate application of the selection process.
- ☐ **Coordinated** to verify implementation of selection process in all operational areas.
- ☐ **Other Actions** (specify)

### Guidance

The intent of this provision is for an operator to define relevant safety and security criteria for use in the evaluation and potential selection of maintenance service providers. This is the first step in the management of external service providers and would take place prior to the operator signing an agreement with a provider. The process needs to be applied only once leading up to the selection of an individual service provider.

Refer to the guidance associated with [ORG 1.6.1](#) located in ISM Section 1.

### MNT 1.11.1B

The Operator shall ensure a maintenance agreement has been executed with each external maintenance organization that performs maintenance functions for the Operator; such maintenance agreement shall:

- (i) Specify all maintenance requirements and define all tasks to be performed;
- (ii) Comply with the procedures governing maintenance arrangements, as specified in the MMM. **(GM)**



**Auditor Actions**

- ☐ **Identified/Assessed** processes for contract/agreement production/execution with external service providers that conduct outsourced maintenance operations functions.
- ☐ **Interviewed** responsible manager(s) in MNT operations.
- ☐ **Examined** selected maintenance operations outsourcing contracts/agreements (focus: inclusion of maintenance requirements/definition of tasks to be performed; compliance with MMM).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure, where an operator is not approved as a maintenance organization or an operator's maintenance organization is an independent organization, there is a contract between the operator and the Approved Maintenance Organization specifying all work to be performed by the Approved Maintenance Organization.

A clear, unambiguous and sufficiently detailed specification of work and assignment of responsibilities ensures that no misunderstanding can arise between the parties concerned (operator, maintenance organization and the State of Registry/Authority) that could result in a situation where work that has a bearing on the airworthiness or serviceability of aircraft is not, or will not, be properly performed.

Special attention is typically paid to procedures and responsibilities to ensure that all maintenance work is performed, service bulletins are analyzed, and decisions taken on accomplishment, airworthiness directives are completed on time and all work, including non-mandatory modifications, is carried out in accordance with approved data and to the latest standards.

The requirement for a maintenance agreement applies to all functions and/or maintenance work outsourced to external maintenance organizations. The content of such agreements may be more or less detailed depending on the complexity and type of the outsourced maintenance function, as well as the type of work to be performed (e.g. from substantial maintenance providers such as heavy maintenance or engine overhaul to simple line maintenance tasks or minor component repair tasks). Accordingly, agreements may be contractual in nature or less complex, such as a work order issued by the operator to the maintenance provider (within the framework of a general outsourcing agreement between the two entities or to address a "one-off" maintenance event).

**MNT 1.11.2**

The Operator shall ensure each maintenance agreement with an external maintenance organization that performs maintenance functions for the Operator documents specific maintenance safety and quality standards required to be fulfilled by the respective external maintenance organization. Such standards shall provide the basis for a monitoring process as specified in [MNT 1.11.7. \(GM\)](#) ◀

**Auditor Actions**

- ☐ **Identified/Assessed** processes for contract/agreement production/execution with external service providers of MNT operational functions.
- ☐ **Interviewed** responsible manager(s) in MNT operations.
- ☐ **Examined** MNT operations contracts/agreements (focus: contain or provide reference to specific maintenance safety/quality standards).
- ☐ **Other Actions** (Specify)

**Guidance**

In all cases, if maintenance is expected to be accomplished in accordance with specific industry standards, an acceptable agreement identifies and specifies the standards by their exact name.

The following guidance provides information regarding any maintenance work related to aircraft and aircraft components carried out for the operator by external organizations (i.e. contractors) under a formal contract or agreement.

**Note:** *The operator carries the ultimate responsibility for airworthiness and ensures before each flight that all required maintenance has been properly carried out. This includes all maintenance carried out by contractors.*

The formal maintenance agreement document is not intended to provide detailed work instructions to the contractor. Rather, such functions would typically be addressed through procedures established by the operator and contractor.

A Maintenance Agreement typically includes some, but is not necessarily limited to, the following:

- An approval process for the contractor by the operator and where applicable the contractors and/or the operator's Authority;
- A list of facilities where the maintenance is to be carried out, including a list of satellite facilities that the contractor may use;
- A 'Statement of Work' (SOW) for the Maintenance Agreement that contains the detailed technical requirements, including references to maintenance intervals, manuals, Airworthiness Directives (ADs), Service Bulletins (SBs) and operator special requirements. A clear, unambiguous and sufficiently detailed SOW and assignment of responsibilities are required to ensure no misunderstanding arises between the operator, the contractor and the operator's Authority that could result in a situation where the work, which has a bearing on the airworthiness or the serviceability of operator's aircraft, is not properly performed;
- A requirement for the contractor to produce a suitable quality plan for the project;
- Use and control of parts and materials;
- Process for the approval of deviations from maintenance documents;
- A need for an internal evaluation system by the contractor;
- Access by the operator's quality assurance department staff for the purpose of evaluating ongoing quality;
- A reporting structure that immediately notifies the operator of any significant defects;
- A system of completing, reviewing, retaining maintenance records;
- A system of calibration of tooling and equipment;
- A system of operator supplied product;
- A system of inspecting and testing, i.e., a quality control system;
- A system of handling unsatisfactory product;
- A system of handling, storage, packaging and delivery;
- A system of product identification and traceability;
- A system of training by the contractor of its staff as well as a system of training the contractor by the operator;
- A system of Release To Service of an aircraft or component;
- A system for communication between the operator and the contractor;
- A system of periodic review meetings to include some or all of those below:
  - Contract Review Meeting
  - Workscope Planning Meeting
  - Technical Meeting (ADs/CNs/SBs)
  - Commercial and/or Logistics Meeting
  - Quality Meeting
  - Reliability Meeting

### **MNT 1.11.3–1.11.4** (Intentionally open)

#### **MNT 1.11.5**

The Operator shall have a process to maintain a listing of external providers of maintenance services and products, to include:

- (i) Organizations that are currently approved to perform maintenance on the Operator's aircraft, engines, components and/or parts;
- (ii) Vendors that are currently approved to supply, directly to the Operator, parts, components and other materials for use in maintenance of the Operator's aircraft. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** the process(es) for tracking external maintenance organizations.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** the list of approved external AMOs (or equivalent).
- ☐ **Other Actions** (Specify)

**Guidance**

In establishing conformity with item (ii), it is acceptable to have the listings integrated into the Materials Management process.

**MNT 1.11.6**

The Operator shall have a process to ensure relevant training and/or training material is provided to each external organization that performs maintenance functions for the Operator. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** the process(es) for providing training documentation to external maintenance organizations.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected training documentation provided to external maintenance organizations.
- ☐ **Other Actions** (Specify)

**Guidance**

The provision of training and/or training material ensures that external organization(s) are aware of an Operator's processes and procedures to the extent of their impact on the execution and documentation of the maintenance functions which the external organization(s) perform for the Operator.

Establishing the relevance and extent of training and training materials which are provided to the appropriate external organizations is dependent on the Operator's specifics like, for example, administration of paperwork-forms-databases, certification and recording requirements.

Such process to ensure training and training materials is commensurate with the functions performed for the Operator by the external organization and the examples given in this GM are neither a minimum nor a maximum of the type of training which the process is intended to ensure.

**MNT 1.11.7**

The Operator shall have monitoring processes to ensure external approved maintenance organizations that perform maintenance for the Operator:

- (i) Comply with applicable regulations and safety and quality requirements;
- (ii) Have procedures that are acceptable to the Authority granting the approval;
- (iii) Perform all maintenance in accordance with requirements of the Operator. **(GM) ◀**

**Auditor Actions**

- ☐ **Identified/Assessed** (focus: monitoring process ensures provider fulfils applicable safety/security requirements).
- ☐ **Interviewed** responsible manager(s) in MNT operations.
- ☐ **Examined** selected records/reports resulting from monitoring of maintenance operations service providers (focus: monitoring process ensures provider fulfils applicable safety/security requirements).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to Guidance associated with [ORG 2.2.1](#) located in ISM Section 1.

### MNT 1.11.8

The Operator *should* include auditing as a process for the monitoring of external maintenance organizations that perform maintenance for the Operator. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** auditing processes used for monitoring external MNT service providers.
- ☐ **Interviewed** responsible manager(s) in MNT operations.
- ☐ **Examined** selected records/reports resulting from auditing of maintenance operations service providers (focus: audit process ensures provider is fulfilling applicable safety/security requirements).
- ☐ **Other Actions** (Specify)

#### Guidance

The operator establishes a plan acceptable to the State of Registry/Authority to specify when and how often the operator's maintenance activities are monitored. Reports are produced at the completion of each monitoring investigation that includes details of discrepancies and non-compliance with procedures or requirements.

The feedback process addresses who is required to rectify discrepancies and non-compliance in each particular case and the procedure to be followed if rectification is not completed within appropriate timescales. The manager responsible for the maintenance organization is also responsible for monitoring and ensuring action on any outstanding items.

To ensure effective compliance with the operator's maintenance activities, the following elements have proven to work well:

- Product sampling: the part inspection of a representative sample of the aircraft fleet;
- Defect sampling: the monitoring of defect rectification performance;
- Concession sampling: the monitoring of any concession allowing extensions to scheduled maintenance;
- On-time maintenance sampling: the monitoring of maintenance intervals (flying hours, calendar time, flight cycles) for aircraft and their components;
- Sampling reports of un-airworthy conditions and maintenance errors.

Refer to Guidance associated with [ORG 2.2.2](#) located in ISM Section 1.

### MNT 1.11.9

The Operator shall have processes that ensure:

- (i) Aircraft parts and materials are only obtained from approved sources;
- (ii) Certification documentation requirements are specified;
- (iii) Traceability to the last certifying organization for used or surplus parts;
- (iv) A statement of conformity or certification test results is retained for hardware and raw materials (e.g. extrusions, sheet or bar stock);
- (v) Inventory storage of consumable material is managed to ensure traceability of manufacturer batch/lot control. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the process(es) for the management and control of parts and materials.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected incoming parts documentation.
- ☐ **Examined** traceability of selected parts.
- ☐ **Observed** aircraft parts/components management/handling (focus: processes for management of acquisition/certification/traceability/inventory for aircraft parts/components).
- ☐ **Other Actions** (Specify)

## Guidance

An external maintenance organization that performs contracted maintenance functions for the operator may perform the tasks specified in i) through v).

An aircraft part fabricated or manufactured for an operator by a non-approved maintenance organization is produced under the quality system of either the operator or the external maintenance organization. Such an arrangement must be approved by the Authority.

An operator is not required to keep records of traceability that would track the use of batch-controlled consumables.

## 1.12 Safety Management

### Risk Management

#### MNT 1.12.1

The Operator shall have a hazard identification program for maintenance operations that includes a combination of reactive and proactive methods of hazard identification. **[SMS] (GM) ◀**

#### Auditor Actions

- ❑ **Identified/Assessed** safety hazard identification program in MNT operations (focus: program identifies hazards to aircraft operations; describes/defines method(s) of safety data collection/analysis).
- ❑ **Identified/Assessed** role of MNT operations in the organization-wide, cross-discipline safety hazard identification program (focus: participation with other operational disciplines).
- ❑ **Interviewed** responsible manager(s) in MNT operations.
- ❑ **Interviewed** person(s) that perform analysis of MNT operational data for the purpose of identifying hazards to aircraft operations.
- ❑ **Examined** examples of hazards to aircraft operations that have been identified through data collection and analysis in MNT operations.
- ❑ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Hazard (Aircraft Operations), Base Maintenance, Line Maintenance, Risk Management and Safety Risk.

Hazard identification is an element of the Safety Risk Management component of the SMS framework.

The operator typically applies its safety hazard identification program to the full scope of maintenance operations associated with maintaining its aircraft, which includes line and base maintenance.

Refer to Guidance associated with [ORG 3.1.1](#) located in ISM Section 1.

#### MNT 1.12.2

The Operator shall have a safety risk assessment and mitigation program in maintenance operations that specifies processes to ensure:

- (i) Hazards are analyzed to determine corresponding safety risk(s) to aircraft operations;
- (ii) Safety risks are assessed to determine the requirement for risk mitigation action(s);
- (iii) When required, risk mitigation actions are developed and implemented in maintenance operations. **[SMS] (GM) ◀**

#### Auditor Actions

- ❑ **Identified/Assessed** safety risk assessment and mitigation program in MNT operations (focus: hazards analyzed to identify/define risk; risk assessed to determine appropriate action; action implemented/monitored to mitigate risk).



- ❑ **Identified/Assessed** role of maintenance operations in cross-discipline safety risk assessment/mitigation program (focus: participation with other operational disciplines).
- ❑ **Interviewed** responsible manager(s) in MNT operations.
- ❑ **Interviewed** person(s) that perform safety risk assessments in MNT operations.
- ❑ **Examined** selected records/documents that illustrate risk assessment and resulting risk mitigation action(s) in MNT operations.
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Risk Register, Safety Risk, Safety Risk Assessment (SRA), Safety Risk Management and Safety Risk Mitigation.

Risk assessment and mitigation is an element of the Safety Risk Management component of the SMS framework.

The operator typically applies its safety risk assessment and mitigation program to the full scope of maintenance operations associated with maintaining its aircraft, which includes line and base maintenance.

Hazards relevant to the conduct of maintenance operations are potentially associated with:

- Weather (e.g. temperature, precipitation);
- Work environment (e.g. lighting, temperature, noise/vibration, ventilation, hazardous/toxic substances, cleanliness, floor condition, body position, physical facility layout changes);
- Infrastructure (e.g. inadequate, uncontrolled or lack of equipment/tools);
- Automation limitations (e.g. poor assumptions based on misunderstanding of automation functionality);
- Foreign Object Debris (FOD);
- Personnel (e.g. not enough, lack or ineffective training, lack of skills, shift work, inadequate shift patterns);
- Aircraft and parts (e.g. different configurations, lack or difficulty of access);
- Technical data (e.g. uncontrolled, not up to date, inadequate layout of Task Cards, lack of understanding or difficulty in using electronic documentation or IT system);
- Inadequate communication (e.g. language differences, comprehension);
- Changes in processes, procedures, IT platforms, organizational, tooling and equipment.

Refer to Guidance associated with [ORG 3.2.1](#) located in ISM Section 1.

## Operational Reporting

### MNT 1.12.3

The Operator shall have an operational safety reporting system in maintenance operations that:

- (i) Encourages and facilitates feedback from personnel to report safety hazards, expose safety deficiencies and raise safety concerns;
- (ii) Includes analysis and management action as necessary to address safety issues identified through the reporting system. **[SMS] (GM) ◀**

## Auditor Actions

- ❑ **Identified/Assessed** operational safety reporting system in MNT operations (focus: system urges/facilitates reporting of hazards/safety concerns; includes analysis/action to validate/address reported hazards/safety concerns).
- ❑ **Interviewed** responsible manager(s) in MNT operations.
- ❑ **Interviewed** person(s) that perform operational safety report review/analysis/follow-up in maintenance operations.
- ❑ **Examined** data that confirm an effective maintenance operations safety reporting system (focus: quantity of reports submitted/hazards identified).



- ❑ **Examined** records of selected maintenance operations safety reports (focus: analysis/follow-up to identify and address reported hazards/safety concerns).
- ❑ **Other Actions** (Specify)

## Guidance

Safety reporting is a key aspect of SMS hazard identification and risk management.

Safety issues are generally associated with the various operations (internal and outsourced) that are conducted for the purpose of ensuring aircraft are maintained in an airworthy condition.

Refer to Guidance associated with [ORG 3.1.2](#) located in ISM Section 1.

## MNT 1.12.4

The Operator *should* have a confidential safety reporting system in maintenance operations that encourages and facilitates the reporting of events, hazards and/or concerns resulting from or associated with human performance in maintenance operations. **(GM)** ◀

## Auditor Actions

- ❑ **Identified/Assessed** confidential safety reporting system in MNT operations (focus: system urges/facilitates reporting of events/hazards/safety concerns caused by humans; report/reporters are de-identified; includes analysis/action to validate/address reported hazards/safety concerns).
- ❑ **Interviewed** responsible manager(s) in MNT operations.
- ❑ **Examined** records of selected maintenance operations confidential safety reports (focus: report/reporter de-identification; analysis/follow-up to identify/address reported hazards/safety concerns).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Human Factors Principles and Human Performance.

Refer to Guidance associated with [ORG 3.1.3](#) located in ISM Section 1.

## Safety Assurance

## MNT 1.12.5

The Operator shall have processes for setting safety performance indicators (SPIs) and, as applicable, safety performance targets (SPTs) as means to monitor its safety performance, achievement of its safety objectives and to validate the effectiveness of risk controls. **[SMS] (GM)** ◀

## Auditor Actions

- ❑ **Identified/Assessed** program for setting SPIs and SPTs in maintenance operations (focus: program defines the development and implementation of SPIs that are aligned with safety objectives).
- ❑ **Interviewed** responsible manager(s) in maintenance operations.
- ❑ **Examined** selected performance indicators (focus: SPIs and SPTs are being used to monitor operational performance toward effectiveness of risk controls and achievement of safety objectives).
- ❑ **Examined** selected records/documents that identify tracking of maintenance operations SPIs and SPTs (focus: tracking used to assess/monitor operational safety performance, assess/validate risk control effectiveness).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Safety Assurance, Safety Objective, Safety Performance Indicator (SPI) and Safety Performance Target (SPT).

Setting SPIs that are consistent with safety objectives is an element of the Safety Assurance component of the SMS framework.



SPIs are used by an operator to track and compare its operational performance against the achievement of its safety objectives and to focus attention on the performance of the organization in managing operational risks and maintaining compliance with relevant regulatory requirements.

SPTs define short-term and medium-term safety performance management desired achievements. They act as 'milestones' that provide confidence that the organization is on track to achieving its safety objectives and provide a measurable way of verifying the effectiveness of safety performance management activities. The setting of SPTs is normally accomplished after considering what is realistically achievable and, where historical trend data are available, the recent performance of the particular SPI.

It is not always necessary or appropriate to set or define SPTs as there could be some SPIs that are better monitored for trends rather than against a targeted number. Safety reporting is an example of when having a target could either discourage people not to report (if the target is not to exceed a number) or to report trivial matters to meet a target (if the target is to reach a certain number).

Refer to Guidance associated with [ORG 1.4.1](#) (safety objectives) and [ORG 1.4.2](#) (SPIs and SPTs) located in ISM Section 1.

## SMS Training

### MNT 1.12.6

The Operator shall have a program that ensures its aircraft engineering and maintenance personnel are trained and competent to perform SMS duties. The scope of such training shall be appropriate to each individual's involvement in the SMS. **[SMS] (GM) ◀**

**Note:** The specifications of this provision are applicable to personnel of the Operator that perform aircraft engineering and maintenance functions.

#### Auditor Actions

- ☐ **Identified/Assessed** SMS training program for maintenance operations (focus: program ensures training for the operator's maintenance operations personnel as appropriate to individual SMS involvement).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected initial and recurrent MNT training curricula/syllabi for management/non-management personnel (focus: training in individually relevant SMS duties/responsibilities).
- ☐ **Examined** selected MNT management/non-management personnel training records (focus: completion of SMS training).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Operational Function (Aircraft Operations).

SMS training is an element of the Safety Promotion component of the SMS framework.

Refer to Guidance associated with [ORG 4.3.1](#) located in ISM Section 1.

### MNT 1.12.7

If the Operator outsources aircraft engineering and maintenance operational functions to external service providers, the Operator *should* have a program that ensures personnel of external service providers are trained and competent to perform SMS duties. The scope of such training *should* be appropriate to individual involvement in the Operator's SMS. **[SMS] (GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** SMS training program for maintenance operations (focus: program ensures training for maintenance operations personnel of external service providers as appropriate to individual SMS involvement).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected outsourcing contracts/agreements (focus: inclusion of requirement of SMS training for applicable service provider personnel).

- ☐ **Examined** selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures applicable personnel of service providers have completed SMS training).
- ☐ **Other Actions** (Specify)

## Guidance

SMS training is an element of the Safety Promotion component of the SMS framework.

Refer to Guidance associated with [ORG 4.3.2](#) located in ISM Section 1.

## 2 Maintenance Control

### 2.1 Control System

#### MNT 2.1.1

The Operator shall have a maintenance control system that is in accordance with procedures acceptable to the Authority and ensures:

- (i) Each aircraft is maintained in an airworthy condition;
- (ii) Operational and emergency equipment necessary for flight is serviceable;
- (iii) The Certificate of Airworthiness of each aircraft remains valid;
- (iv) The maintenance of the aircraft is performed in accordance with the Maintenance Program as specified in [MNT 1.3.1](#).

## Auditor Actions

- ☐ **Identified/Assessed** the system for control of aircraft maintenance.
- ☐ **Identified** the procedures for renewal of certificate of airworthiness (CoA).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected individual aircraft records for CoA.
- ☐ **Other Actions** (Specify)

#### MNT 2.1.2

The Operator shall have guidance and procedures to ascertain if trends for oil consumption are such that an aircraft has sufficient oil to complete each flight. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** guidance/procedures for monitoring aircraft engine oil consumption (focus: oil consumption monitored; trends identified for individual aircraft; consumption trends accounted for prior to each flight to ensure completion).
- ☐ **Interviewed** responsible operational control manager(s).
- ☐ **Examined** selected aircraft oil consumption records (focus: consumption monitored, trends identified and accounted for prior to flights).
- ☐ **Other Actions** (Specify)

## Guidance

The designation of a minimum oil quantity is typically provided by the manufacturer, while the determination, monitoring and replenishment of oil supply are the responsibilities of engineering and maintenance and/or the flight crew in accordance with ISM Section 2 (FLT), [Table 2.2](#), item v).

### 2.2 Maintenance Planning

#### MNT 2.2.1

The Operator shall have a system for forecasting and tracking required maintenance activities.

## Auditor Actions

- ☐ **Identified/Assessed** the system for forecasting and tracking required maintenance activities.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** maintenance scheduling/planning personnel.
- ☐ **Examined** selected scheduled/planned maintenance tasks.
- ☐ **Observed** AD/SB management (focus: planning system includes tracking/forecasting of AD/SB action/limits).
- ☐ **Other Actions** (Specify)

### MNT 2.2.2

The Operator shall have a system for tracking hours, cycles and calendar time for aircraft, engines and life-limited components.

## Auditor Actions

- ☐ **Identified/Assessed** the system for tracking hours, cycles and calendar time for aircraft, engines and life-limited components.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** one aircraft, engine and life-limited component.
- ☐ **Other Actions** (Specify)

## 2.3 Parts Installation

### MNT 2.3.1

The Operator shall have a process to ensure that no new part is installed on an aeronautical product unless such part meets the standards of airworthiness applicable to the installation of new parts and, in addition, meets a minimum of one of the following:

- (i) The new part has marking identifying it as a part specified in the type design conforming to a recognized national or international standard, or
- (ii) The new part has been approved for use on an aeronautical product, in accordance with the type certificate/STC, if the part was originally designed and manufactured for non-aeronautical use, or
- (iii) The new part was manufactured under a Parts Manufacturer Approval (PMA), or
- (iv) The new part was produced by the Operator using approved procedures for the purpose of maintaining or altering its own aeronautical product. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** the process for managing and controlling new parts and parts installation.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** inspection of incoming parts.
- ☐ **Examined** selected parts installed on aircraft as new parts.
- ☐ **Observed** aircraft part/component installation/replacement (if applicable) (focus: new part/component being installed meets applicable standards of airworthiness).
- ☐ **Observed** aircraft parts/components management/handling (focus: control process for ensuring new parts meet applicable standards of airworthiness).
- ☐ **Other Actions** (Specify)

## Guidance

The operator is responsible for providing an external AMO with approved documentation that contains information about parts allowed to be installed on its aircraft. Such documentation enables the external AMO to validate the airworthy condition of the part and its certification for installation on the aeronautical product being maintained. The “approved documentation” category typically

includes as necessary, without being limited to, any of the following: MMM, IPC (including Supplements), AD, SB, Work Order, Repair Order, Form 8130-3/EASA Form 1/or equivalent.

The production of parts by an operator for its own use, as specified in item iv), is acceptable provided there are approved procedures identified in the MMM.

#### **MNT 2.3.2**

The Operator shall have a process to ensure that no used part is installed on an aeronautical product unless such part meets the standards of airworthiness applicable to the installation of used parts and is any of the following:

- (i) An airworthy part that has been removed from an aircraft for immediate installation on another aircraft, **or**
- (ii) An airworthy part that has undergone maintenance for which a maintenance release has been signed by an appropriately rated Approved Maintenance Organization (AMO), **or**
- (iii) An airworthy part that has undergone an approved repair or alteration that restored the certificated level of airworthiness to a used part. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** the process for managing and controlling used parts and parts installation.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected parts installed on aircraft for certificates.
- ☐ **Observed** aircraft part/component installation/replacement (if applicable) (focus: used part/component being installed meets applicable standards of airworthiness).
- ☐ **Observed** aircraft parts/components management/handling (focus: control process for ensuring used parts meet applicable standards of airworthiness).
- ☐ **Other Actions** (Specify)

#### **Guidance**

The operator is responsible for providing an external AMO with approved documentation that contains information about parts allowed to be installed on its aircraft. Such documentation enables the external AMO to validate the airworthy condition of the part and its certification for installation on the aeronautical product being maintained. The "approved documentation" category typically includes as necessary, without being limited to, any of the following: MMM, IPC (including Supplements), AD, SB, Work Order, Repair Order, Form 8130-3/EASA Form 1/or equivalent.

#### **MNT 2.3.3**

The Operator shall have a process to ensure that no used life-limited part is installed on an aeronautical product unless such part meets the standards of airworthiness applicable to the installation of life-limited parts and:

- (i) The technical history of the part is available to demonstrate the time in service, as authorized for that part in the type certificate governing the installation, has not been exceeded;
- (ii) The technical history referred to in sub-paragraph i) is incorporated into the technical record for the aeronautical product on which the part is installed. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** the process for managing and controlling used life-limited parts and parts installation.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** personnel that execute procedures for tracking life-limited parts.
- ☐ **Traced** the technical history of selected life-limited parts.
- ☐ **Observed** aircraft part/component installation/replacement (if applicable) (focus: used life-limited part/component being installed meets applicable standards of airworthiness).

- ☐ **Observed** aircraft parts/components management/handling (focus: control process for ensuring used life-limited parts meet applicable standards of airworthiness).
- ☐ **Other Actions** (Specify)

### Guidance

The operator is responsible for providing an external AMO with approved documentation that contains information about parts allowed to be installed on its aircraft.

In general, it is best for an operator to have a fully traceable history for all life-limited parts. Not all parts have a fixed life. The life of some parts might be variable depending on the way the part has been used in the past. For example, load-bearing parts (e.g. landing gear components) that can be installed on different aircraft types (e.g. A319, A320, A321) will have a shorter life if installed on the heavier aircraft (as opposed to the same part installed on a lighter aircraft). Therefore, a complete history of these types of components is critical in knowing exactly when the life of the part will expire. For parts that have a fixed life (e.g. batteries, slides), traceability to birth is not a requirement. However, in such cases, it is very important that the operator has documentation that shows clearly that the used part has not exceeded its airworthiness life limit.

## 2.4 Deferred Maintenance

### MNT 2.4.1

The Operator shall have a maintenance control function that is responsible for approving, controlling, monitoring and scheduling non-routine and deferred maintenance activities, including MEL/CDL requirements.

#### Auditor Actions

- ☐ **Identified** the description of the maintenance control center (MCC) (or equivalent).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** personnel responsible for selected maintenance control functions.
- ☐ **Examined** maintenance control processes/procedures.
- ☐ **Other Actions** (Specify)

### MNT 2.4.2

The Operator shall have a process to ensure deferred maintenance items (defects) are tracked and corrected within the required intervals prescribed by the MEL, CDL or the appropriate maintenance data. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the process(es) for managing deferred maintenance items.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** MCC personnel.
- ☐ **Examined** selected records of deferred maintenance items.
- ☐ **Traced** the tracking and correction of selected deferred maintenance item(s).
- ☐ **Observed** line maintenance operations (focus: Open/closed MEL/CDL and other deferred maintenance items are being deferred in accordance with approved MEL/CDL requirements or the appropriate maintenance data).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Maintenance Data.

The intent of this provision is to ensure an operator has a process to rectify all aircraft defects within the limits prescribed by the approved MEL, CDL or the appropriate maintenance data. Postponement of any defect rectification cannot typically be permitted without the operator's awareness and agreement, and in accordance with a procedure approved by the State of Registry/Authority.

**MNT 2.4.3**

If the Operator has a MEL/CDL items short-time extension/deviation approval process, the Operator shall ensure the process is approved by the Authority. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** the process for MEL/CDL short-time escalation approval.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records that reflect MEL/CDL short-term escalation approval.
- ☐ **Observed** line maintenance operations (focus: Open/Closed MEL/CDL items are being deferred in accordance with approved MEL/CDL requirements).
- ☐ **Other Actions** (Specify)

**Guidance**

An acceptable short-time extension/deviation approval process from the established MEL/CDL typically ensures that use of such a process is possible only in exceptional circumstances and with sound justification.

**2.5 Continuing Airworthiness Information****MNT 2.5.1**

The Operator shall have processes to:

- (i) Obtain and assess continuing airworthiness information, including Airworthiness Directives (ADs), Alert Service Bulletins and recommendations from the organizations responsible for aircraft type design, and
- (ii) Implement the resulting actions that are mandatory or considered necessary in accordance with procedures acceptable to the Authority. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** the process(es) for obtaining, assessing and implementing ADs and ASBs.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of AD and SB compliance, including Task Cards.
- ☐ **Traced** selected AD(s) and/or SB(s) from receipt to implementation.
- ☐ **Observed** AD/SB management (focus: AD/SB process includes identification, planning, accomplishment, certification, recording, follow-up monitoring).
- ☐ **Observed** line maintenance operations (focus: ADs for which compliance can be physically checked, if applicable).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of Authority, Service Bulletin (which includes the definition of Alert Service Bulletin) and Design Approval Holder (DAH).

Continuing airworthiness information and recommendations typically include:

- Airworthiness Directives that are developed by the Authority;
- Alert Service Bulletins, Airworthiness Limitations, maintenance planning and accomplishment instructions that are developed by the Type Design Organization(s) in accordance with their obligations as Design Approval Holder (DAH) for the respective product.

If improvements identified in the assessment process are considered by the operator as necessary to meet its safety and reliability needs, the current planning, accomplishment instructions, and/or airworthiness limitations may need to be adjusted through the implementation process.



### MNT 2.5.2

The Operator shall have a process to monitor and assess maintenance and operational experience with respect to aircraft continuing airworthiness as prescribed by the relevant Authority. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the process(es) for monitoring/assessing maintenance and operational experience in relation to continuing airworthiness.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** personnel that execute procedures that address continuing airworthiness.
- ☐ **Other Actions** (Specify)

#### Guidance

Aircraft continuing airworthiness is usually prescribed by the authority of the State of Registry. However, it is possible that continuing airworthiness instructions could be affected by the authority of the State of the Operator and/or the State of Design.

### MNT 2.5.3

The Operator shall have a program for the management of the minimum equipment lists (MELs) used in its fleet operations. Such program shall ensure MELs:

- (i) Are approved by the State of the Operator and/or State of Registry if applicable;
- (ii) Include the latest applicable MMEL provisions released by the Type Certificate Holder(s);
- (iii) Are relevant to and customized for the type/model of aircraft in the Operator's fleet;
- (iv) Identify applicable maintenance procedures called upon by the MEL items and such procedures are readily available for implementation by the appropriate maintenance personnel;
- (v) Include, as applicable, aircraft systems and equipment required for operations in conformity with special authorizations as specified in [FLT 1.2.1](#). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the procedure(s) for revising the MEL per the MMEL applicable revision.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of MEL usage requiring an (M) procedure.
- ☐ **Examined** MEL (focus: MEL revision is in conformity with the latest applicable MMEL provisions and is customized for the type/model of aircraft in operator's fleet, including required equipment for operations in accordance with applicable special authorizations).
- ☐ **Observed** line maintenance operations (focus: MEL is customized for the applicable aircraft type/model).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Minimum Equipment List (MEL) and Master Minimum Equipment List (MMEL).

The relevance and customization of the MEL is performed by the operator to reflect the configuration particular to each aircraft type in its fleet (e.g. the long-range or extended-range version, the engine type/model, the optional equipment installed etc.). The MEL typically does not include MMEL provisions that are not relevant to the actual configuration of the operated aircraft.

The timeframe in which the applicable MMEL revisions released by the type certificate holder (TCH) are incorporated into the MEL is acceptable to the Authority.

The maintenance procedures as specified in (iv) are identified by an (M) symbol in the MEL.

The intent is that all maintenance procedures are developed to a sufficient level.



## 2.6 Repairs and Modifications

### MNT 2.6.1

The Operator shall have a process to ensure all modifications and repairs:

- (i) Are carried out using approved data;
- (ii) Comply with airworthiness requirements of the Authority and State of Registry.

#### Auditor Actions

- ☐ **Identified/Assessed** the process(es) for managing modifications and repairs.
- ☐ **Identified/Assessed** the procedures for maintaining technical records of modifications and repairs.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of aircraft modification(s) and/or repair(s).
- ☐ **Observed** aircraft part/component installation/replacement (focus: installation/replacement accomplished using approved data/in accordance with regulations).
- ☐ **Observed** AD/SB management (focus: AD/SB process ensures modifications/repairs accomplished using approved data/in accordance with regulations).
- ☐ **Observed** line maintenance operations (focus: Compare the repair status and the physical status of the aircraft/engine(s)/propeller(s) and their repaired components as applicable).
- ☐ **Other Actions** (Specify)

## 2.7 Defect Recording and Control

### MNT 2.7.1

The Operator shall have processes for defect recording and control, including the management of recurring defects, to address:

- (i) Documenting troubleshooting history;
- (ii) Tracking chronic or repetitive unserviceable items;
- (iii) Implementing instructions for corrective action;
- (iv) Ensuring rectification takes into account the methodology used in previous repair attempts.

#### Auditor Actions

- ☐ **Identified/Assessed** the process(es) for recording and controlling defects.
- ☐ **Identified/Assessed** the process(es) for tracking and correcting chronic or repetitive unserviceable items.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** personnel that execute procedures that address chronic or repetitive unserviceable items.
- ☐ **Examined** corrective action records for selected chronic unserviceable items.
- ☐ **Traced** the process for developing corrective action for chronic unserviceable item(s).
- ☐ **Other Actions** (Specify)

## 2.8 Extended Diversion Time Operations (EDTO)

### MNT 2.8.1 (Intentionally open)

### MNT 2.8.2

If the Operator is approved to operate twin engine aircraft in ETOPS/EDTO conditions, the Operator shall ensure compliance with:

- (i) Maintenance requirements applicable to the respective operations and to the specific type(s) of aircraft operated under ETOPS/EDTO.

- (ii) The requirements specified in [Table 4.5](#).

All ETOPS/EDTO requirements, including supportive program procedures, duties and responsibilities, shall be identified for and be subject to revision.

## Auditor Actions

- ☐ **Identified/Assessed** regulatory approval for the conduct of ETOPS/EDTO.
- ☐ **Identified** twin engine aircraft types approved for the conduct of ETOPS/EDTO.
- ☐ **Identified/Assessed** maintenance program for twin engine aircraft approved for the conduct of ETOPS/EDTO (focus: compliance with applicable regulatory/OEM requirements and satisfaction of all eligible requirements specified in [Table 4.5](#)).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected ETOPS/EDTO aircraft maintenance records (focus: compliance with maintenance program requirements).
- ☐ **Other Actions** (Specify)

## 2.9 Aircraft Recorders

### MNT 2.9.1

The Operator shall have a Maintenance Program that provides for the periodic conduct of operational checks, functional checks and evaluations of recordings from the Flight Data Recorder (FDR) and Cockpit Voice Recorder (CVR) to ensure the continued serviceability of the recording systems. Such program shall ensure checks and/or evaluations of the recording systems:

- (i) Are conducted at least annually or at an extended interval approved by the Authority;
- (ii) For the FDR, include analysis of the recorded data validity, quality, and system calibration (if applicable) in accordance with the manufacturer's requirements or as required by the Authority;
- (iii) For the CVR, include analysis of the recorded audio data validity, quality and intelligibility in accordance with the manufacturer's requirements or as required by the Authority. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** process(es) for checking/evaluating the serviceability of FDR and CVR systems (focus: inspections/evaluations conducted annually unless there is an approved extension; recorded data is analyzed and systems are calibrated as required).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of FDR and CVR serviceability checks/evaluations.
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is for the operator to have a Maintenance Program that provides for the periodic conduct of operational checks, functional checks and evaluations of recordings from the FDR and CVR to ensure the continued serviceability of and provision of appropriate recordings by such equipment.

This provision establishes no limitation with respect to "On/Off aircraft" performance of the maintenance tasks enabling the operator to be in conformity with the provisions as long as the content and periodicity of the tasks follow the manufacturer's requirements or requirements of the Authority.

The use of the wording "manufacturer's requirements" in this provision refers to requirements from the aircraft manufacturer (i.e. the holder of the airworthiness approval for the installation design of the flight recorder system as specified by TC or STC) and the manufacturer(s) of the equipment (i.e. recorders).

The "system calibration" requirement is applicable when a recorder system has dedicated sensors and the integrity and calibration of those sensors are not checked by other means.

It is expected that a “readout report” is produced to document each time a recording assessment/analysis has been performed by the operator or by an external service provider for the operator.

The specifications of this provision are also applicable, in their respective parts, to the case of “integrated recorders” that collect/record data through multiple systems contained within a single recording unit. Such integrated systems might include, in one unit, any combination of an FDR, CVR, AIR or DLR.

It is recognized that an operator with an FDA program that comprises aircraft recorder and other equipment that satisfies all requirements of [MNT 2.9.1](#) may use such program as the means of conforming with this standard.

In the absence of requirements from both the manufacturer and the Authority, the operator would typically have to develop its own recorder evaluation requirements.

The Maintenance Program referred to in this standard is expected to comprise tasks in addition to the recorder system self-test or built-in-test functions, unless specified otherwise by the manufacturer or approved by the Authority.

#### **MNT 2.9.2**

If the Operator uses aircraft with Data Link Communication (DLC) capabilities and such aircraft are equipped with a Data Link Recorder (DLR), the Operator shall have a DLR Maintenance Program that includes a periodic evaluation of the recording system and an assessment of DLR performance:

- (i) In accordance with the manufacturer’s requirements or as required by the Authority;
  - (ii) At least every 24 months or, if applicable, at an extended interval approved by the Authority.
- (GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** Maintenance Program(s) of aircraft that have data link recording capability (focus: inspections/evaluations conducted biennially unless there is an approved extension; recorded data is analyzed).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of FDR and/or CVR (with DLR) serviceability checks/evaluations (focus: biennial analysis of recorded data).
- ☐ **Other Actions** (Specify)

#### **Guidance**

Refer to the IRM for the definition of Data Link Recorder (DLR).

The intent of this provision is for an operator to have a DLR maintenance program that is applicable to all DLRs installed on aircraft in the operator's fleet. Such program provides for the periodic conduct of evaluations of recordings from the DLR to ensure a continued recording capability and that accurate and usable data are provided by the respective aircraft equipment.

A DLR may be integrated with a CVR, an FDR, or with a combination FDR/CVR unit.

The use of the wording “manufacturer’s requirements” in this provision refers to requirements from the aircraft manufacturer (i.e. the holder of the airworthiness approval for the installation design of the flight recorder system as specified by TC or STC) and/or the equipment (i.e. recorder) manufacturer.

In the absence of requirements from both the manufacturer and the Authority, the operator would typically have to develop its own DLR evaluation requirements.

The Maintenance Program referred to in this standard is expected to comprise tasks in addition to the recorder system self-test or built-in-test functions, unless specified otherwise by the manufacturer or approved by the Authority.

## 2.10 Electronic Navigation Data Management

### MNT 2.10.1

If the Operator uses aircraft with electronic navigation capabilities, the Operator shall have a procedure to ensure the timely insertion of current and unaltered electronic navigation data to all applicable aircraft. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the procedure(s) for inserting/loading electronic data into aircraft navigation systems.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of electronic navigation data insertion/loading.
- ☐ **Observed** line maintenance operations (focus: verify currency of aircraft navigation databases).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure a procedure for the insertion of databases for use in aircraft navigation systems prior to the first flight on the effective date for the new database.

## 2.11 Reduced Vertical Separation Minima (RVSM)

### MNT 2.11.1

If the Operator is authorized for RVSM operations, the Operator shall have procedures that ensure aircraft used in such operations are maintained in a manner to continuously meet airworthiness requirements necessary for the safe conduct of RVSM operations. Such procedures shall be in accordance with requirements of the aircraft OEM.

#### Auditor Actions

- ☐ **Identified/Assessed** the program for maintenance and repair of aircraft used in RVSM operations.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** frontline maintenance personnel.
- ☐ **Examined** maintenance records for selected RVSM aircraft.
- ☐ **Other Actions** (Specify)

## 2.12 Reporting to the Authority

### MNT 2.12.1

The Operator shall have a procedure to provide the Authority with aircraft in-service information as prescribed by the Authority. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the procedure(s) for providing continuing airworthiness information to the Authority.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** personnel that provide airworthiness information to the Authority.
- ☐ **Examined** selected airworthiness reports to the Authority.
- ☐ **Other Actions** (Specify)

#### Guidance

Guidance may be found in ICAO Annex 8, Part II, 4.2.4.

**MNT 2.12.2**

The Operator shall have a procedure for reporting to the applicable authority defects or un-airworthy conditions in accordance with requirements contained in [Table 4.4](#). **(GM)**

**Auditor Actions**

- ☐ **Identified** the process(es) for reporting defects and un-airworthy conditions to the Authority and (if applicable) Type Certificate Holder.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** personnel that execute procedures for reporting defects and un-airworthy conditions.
- ☐ **Examined** selected defects and un-airworthy condition reports to the Authority and (if applicable) Type Certificate Holder.
- ☐ **Other Actions** (Specify)

**Guidance**

The required reporting procedure would specifically identify/name the elements in points (ii), (iii) and (iv) of [Table 4.4](#) while also ensuring that a system is in place for considering additional requirements of the Authority per item (v) of [Table 4.4](#).

The intent of item (i) of [Table 4.4](#) is to ensure that the list of operator-reportable defects or un-airworthy conditions is open to the individual assessment made by the operator for occurrences outside of the 15 cases specifically identified/named in the table.

The existence of a Service Difficulty Reporting (SDR) system, established by the Authority and with which an operator is in compliance, would normally constitute an acceptable basis for conformity with this provision provided that such SDR system addresses the elements of [Table 4.4](#).

When the State of the Operator is different from the State of Registry, the operator would normally report to the airworthiness authorities of both the State of the Operator and the State of Registry.

**MNT 2.12.3–2.12.6** (Intentionally open)**MNT 2.12.7**

The Operator shall have a procedure to transmit to the organization responsible for the type design of the aircraft information on faults, malfunctions, defects and other occurrences that could affect the continuing airworthiness of aircraft. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** the procedure(s) for transmitting fault/malfunction information to the organization responsible for the type design of the aircraft.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected fault/malfunction information reports to the organization responsible for the type design of the aircraft.
- ☐ **Other Actions** (Specify)

**Guidance**

The “organization responsible for the type design of the aircraft” should be considered as being, based on the nature of reportable information, the holder of: the aircraft, engine or propeller type-certificate (TCH), a restricted type-certificate (RTC), a supplemental type-certificate (STC), an approval for a repair or a change to the respective type design. While reporting beyond the TCH is encouraged, the eligibility of reporting to other categories than the TCH should be left to the discretion of the operator.

## 3 Technical Records

### 3.1 Aircraft Maintenance Records

#### MNT 3.1.1

The Operator shall have a program to ensure the following maintenance records are maintained:

- (i) Total time in service (hours, calendar time and cycles, as appropriate,) of the aircraft, engines and all life-limited components;
- (ii) Current status of compliance with all mandatory continuing airworthiness information;
- (iii) Appropriate details of modifications and repairs;
- (iv) Time in service (hours, calendar time and cycles, as appropriate,) since last overhaul of the aircraft, engines or its components subject to a mandatory overhaul life;
- (v) Current aircraft status of compliance with the Maintenance Program;
- (vi) Detailed maintenance records to show that all requirements for signing of a maintenance release have been met. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the maintenance records program.
- ☐ **Identified** the requirements for maintenance records that must be retained.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected maintenance records (focus: specified records are retained/maintained).
- ☐ **Observed** AD/SB management (focus: records system includes current status of AD/SB compliance, individual aircraft compliance).
- ☐ **Other Actions** (Specify)

#### Guidance

Contracted maintenance organizations are normally required to maintain detailed records, to include certification documents that support the issuance of a maintenance release. Such requirement is typically specified in contractual arrangements, and implementation verified through oversight by the operator.

#### MNT 3.1.2

The Operator shall have a procedure to ensure that records specified in [MNT 3.1.1](#) are retained as follows:

- (i) Records in sub-paragraphs i) to v) are retained for a minimum period of 90 days after the aircraft, engine and component, to which they refer, has been permanently withdrawn from service;
- (ii) Records in sub-paragraph vi) are retained for a minimum period of one year after the signing of the maintenance release. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the requirements and procedure(s) for retaining maintenance records.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected maintenance records (to verify the period of time records are retained).
- ☐ **Other Actions** (Specify)

#### Guidance

Item i) is applicable to aircraft that an operator has permanently taken out of service for any reason (e.g. scrapping).

#### MNT 3.1.3

The Operator shall have processes to ensure, when an aircraft becomes involved in an accident or incident, the related flight recorder records and, to the extent possible, the associated flight recorders

are preserved and retained in safe custody pending disposition in accordance with the appropriate investigation.

## Auditor Actions

- ☐ **Identified** the process(es) for custody of FDR/CVR and retention of associated records after an aircraft accident.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** personnel that execute process(es) in the event of an aircraft accident.
- ☐ **Other Actions** (Specify)

### MNT 3.1.4

The Operator shall have processes to ensure applicable aircraft maintenance records for aircraft currently listed on the AOC:

- (i) In the event of a temporary change of operator, are made available to the new operator;
- (ii) In the event of a permanent change of operator, transferred to the new operator.

## Auditor Actions

- ☐ **Identified/Assessed** the process(es) for the provision of maintenance records to a new operator.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** personnel that execute process(es) for providing maintenance records to a new operator.
- ☐ **Other Actions** (Specify)

## 3.2 Aircraft Technical Log (ATL)

### MNT 3.2.1

The Operator shall have a process to ensure all aircraft have an aircraft technical log (ATL) or approved equivalent that comprises elements specified in [Table 4.6](#).

## Auditor Actions

- ☐ **Identified** the process(es) for management of the ATL or approved equivalent.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** a minimum of one ATL (content in accordance with specifications in [Table 4.6](#)).
- ☐ **Coordinated** with FLT auditor (verify ATL is maintained for aircraft operations).
- ☐ **Other Actions** (Specify)

### MNT 3.2.2

The Operator shall have processes for the management of the ATL or approved equivalent as specified in [MNT 3.2.1](#) to ensure, with respect to the ATL or approved equivalent:

- (i) Entries are current and cannot be erased or deleted;
- (ii) Descriptions of errors or discrepancies that have been corrected remain readable and identifiable;
- (iii) Entries are retained to provide a continuous record of the last six months of operations.

## Auditor Actions

- ☐ **Identified/Assessed** the process(es) for management of the ATL or approved equivalent.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** a minimum of one ATL.
- ☐ **Examined** selected ATL(s).
- ☐ **Other Actions** (Specify)



## 3.3 (Intentionally open)

## 3.4 Airworthiness Directives

### MNT 3.4.1

The Operator shall maintain records of Airworthiness Directives (ADs) and Service Bulletins (SBs) or equivalents accomplished in accordance with the MMM.

#### Auditor Actions

- ☐ **Identified** the process(es) for maintaining records of AD and SB accomplishment.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of ADs and SBs that have been accomplished.
- ☐ **Observed** AD/SB management (focus: AD/SB process accomplished/recorded in accordance with MMM).
- ☐ **Other Actions** (Specify)

## 4 Maintenance Organizations

### 4.1 Approval

#### MNT 4.1.1

The Operator shall have a process to ensure an aircraft is not operated unless it is maintained and released to service by an Approved Maintenance Organization (AMO) that:

- (i) Is acceptable to the Authority;
- (ii) Has established procedures acceptable to the Authority to ensure maintenance practices are in compliance with all relevant requirements;
- (iii) Maintains the validity of its approval through compliance with the requirements for an approved maintenance organization acceptable to the Authority. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the process(es) for the selection of AMOs.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Approved Maintenance Organization (AMO).

#### MNT 4.1.2 (Intentionally open)

#### MNT 4.1.3

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has an approval document that contains, as a minimum, the:

- (i) Name and location of the AMO;
- (ii) Date of issue and period of validity of the approval;
- (iii) Scope of the approval. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for regulatory approval in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.

- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying mandatory information on AMO approval documents).
- ☐ **Other Actions** (Specify)

## Guidance

The specification in item iii) of this provision is satisfied by the operator ensuring that the AMO approval document contains the type and level of work required by the operator.

A repair station or Approved Maintenance Organization certificate is usually delivered with ratings in one or more of the following categories or their equivalents:

- Aircraft;
- Avionics;
- Engine;
- Propeller;
- Structure and Corrosion Protection Control Program;
- Component;
- Welding;
- NDT.

## MNT 4.1.4 (Intentionally open)

### MNT 4.1.5

If the Operator has maintenance performed outside the State of the Operator by a maintenance organization that does not hold an *approval* document issued by the Authority, the Operator shall have a process to ensure such maintenance organization has been *recognized* by the Authority. (GM)

## Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for regulatory approval in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Other Actions** (Specify)

## Guidance

It is possible for an operator to enter into an arrangement for primary maintenance with an organization that is not an approved/accepted Maintenance Organization within the State of Registry when the arrangement is in the interest of the operator by simplifying the management of its maintenance. In such a situation, the maintenance organization is normally approved under the laws of a State that has an agreement with the State of Registry of the operator, and the operator applies its own control processes that ensure the existence of and compliance with the provisions MNT [sub-section 4](#).

## 4.2 Management

### MNT 4.2.1

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a manager who, if applicable, is acceptable to the relevant Authority and has responsibility for the management and supervision of the maintenance organization.

## Auditor Actions

- ☐ **Identified** the requirement criteria for management in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).

- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying responsibilities/regulatory acceptance of AMO managers).
- ☐ **Other Actions** (Specify)

### MNT 4.2.2

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has appropriate post holders with responsibilities for ensuring the maintenance organization is in compliance with the requirements for an approved maintenance organization as accepted by the Authority. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for the qualifications of personnel in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying qualifications/regulatory acceptance of AMO post holder personnel).
- ☐ **Other Actions** (Specify)

#### Guidance

The person or persons appointed represent the maintenance management structure of the organization and is/are responsible for all functions specified in the maintenance organization. The specified functions may be subdivided under individual managers within smaller maintenance organizations, ensuring that responsibility for all functions is allocated.

Dependent upon the extent of approval, maintenance organizations typically have, as a minimum, the following personnel: a base maintenance manager, a line maintenance manager, a workshop manager and a quality manager, all of whom report to the accountable executive, if applicable. In small maintenance organizations, subject to approval by the State of Registry/Authority, the accountable executive may also carry responsibility for other managerial positions. Deputies are normally appointed for all managerial positions, and procedures make clear who deputizes for any particular manager in the case of lengthy absence of said manager(s). The length of absence to justify deputizing is the period beyond which the organization or department cannot function properly due to such absence.

The accountable executive is responsible for ensuring that all necessary resources are available to accomplish maintenance to support the organization's maintenance organization approval.

Regardless of the size of the maintenance organization, managers appointed for the combination of the identified functions would indirectly report to the accountable executive through the base maintenance manager, line maintenance manager, workshop manager or quality manager, as appropriate.

Certifying personnel may report to any of the managers specified, depending upon which type of control the approved maintenance organization uses: licensed engineers, independent inspection or dual function supervisors. The monitoring of quality compliance remains an independent function.

### MNT 4.2.3

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has the necessary personnel to plan, perform, supervise, inspect and release the maintenance work to be performed. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for human resources in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.

- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying adequacy of AMO maintenance human resources).
- ☐ **Other Actions** (Specify)

**Guidance**

The “necessary personnel” requirement addresses both the number and the (certificated) qualification/competence of the personnel. Personnel are typically employed or contracted by an AMO as acceptable to the Authority and in a proportion that ensures organizational stability. The qualification/competence of the personnel and the number of personnel are normally commensurate with the scope of approval of the AMO by the Authority. In some cases, the process put in place by an operator could require the AMO to support its “necessary personnel” status with an appropriately detailed and updated maintenance man-hour plan.

**4.3 Quality Assurance****MNT 4.3.1**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has an independent quality assurance program that:

- (i) Meets the specifications contained in [Table 4.7](#);
- (ii) Monitors compliance with applicable regulations, requirements and the Maintenance Procedures Manual (MPM) of the AMO;
- (iii) Addresses the specific requirements of the Operator as specified in the maintenance agreement;
- (iv) Is under the sole control of the Quality Manager or the person assigned managerial responsibility for the program. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** the requirement criteria for a QA program in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying AMO quality assurance programs meet all applicable requirements).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Maintenance Procedures Manual (MPM).

The primary objectives of the quality system are to enable the AMO to ensure it can deliver a safe product and remain in compliance with all requirements.

An essential element of the quality system is the independent audit. The independent audit is an objective process of routine sample checks of *all* aspects of the approved maintenance organization's ability to carry out all maintenance to the required standards. This process typically includes:

- Product sampling, as this is the end result of the maintenance process, which represents an objective overview of the complete maintenance-related activities; product sampling is intended to complement the requirement for certifying personnel to be satisfied that all required maintenance has been properly carried out before the issue of the certificate of release to service;
- A percentage of random audits carried out on a sample basis when maintenance is being carried out; random audits include audits done during the night for those organizations that work at night.

Another essential element of the quality system is the quality feedback system. The principal function of the quality feedback system is to ensure all findings resulting from the independent quality audits of the organization are properly investigated and corrected in a timely manner:

- Independent quality audit reports are sent to the relevant department(s) for rectification action proposing target rectification dates;
- Rectification dates are discussed with such department(s) before the quality department or nominated quality auditor confirms dates in the report;
- The relevant department(s) rectifies findings within agreed rectification dates and informs the quality department or nominated quality auditor of the completion of such rectifications.

The accountable executive is kept informed of any safety issues and the extent of compliance with authority requirements. The accountable executive also holds regular meetings with personnel to check progress on rectification. In large organizations such meetings may be delegated on a day-to-day basis to the quality manager, subject to the accountable executive meeting at least twice per year with the senior personnel involved to review the overall performance and receiving at least a half yearly summary report on findings of non-compliance.

All records pertaining to the independent quality audit and the quality feedback system are retained for at least two evaluation cycles after the date of closure of the finding to which they refer, or for such period as to support changes to the audit time periods, whichever is the longer.

**Note:** *The quality feedback system may not be contracted to outside persons.*

It is not intended that this QA Program be based on a system of end product inspection, but rather upon periodic verifications of all aspects of the systems and practices used for the control of maintenance to ensure compliance with regulations and with the operator's approved procedures.

The aim of the program is to provide an unbiased picture of the AMO's performance to verify that activities comply with the MPM and confirm that the systems and procedures described in the MPM remain effective and are achieving the AMO's requirements.

## **MNT 4.3.2–4.3.4** (Intentionally open)

### **MNT 4.3.5**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a process for periodic review of the quality assurance program by the Quality Manager or the person assigned managerial responsibility for the program for the purpose of ensuring compliance with current requirements of the Maintenance Program and the MMM.

#### **Auditor Actions**

- ☐ **Identified/Assessed** the requirement criteria for a QA program in the AMO selection and oversight process(es).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verify AMOs conduct periodic internal review of quality assurance programs).
- ☐ **Other Actions** (Specify)

## **MNT 4.3.6** (Intentionally open)

### **MNT 4.3.7**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a process to immediately report to the Operator any defects, un-airworthy conditions, failures or malfunctions specified in [MNT 2.12.2](#).

#### **Auditor Actions**

- ☐ **Identified/Assessed** the requirement criteria for a defect reporting in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: process to verify AMOs provide mandatory reporting of defects/conditions/failures/malfunctions).
- ☐ **Other Actions** (Specify)

## 4.4 Personnel

### MNT 4.4.1

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator uses maintenance personnel:

- (i) That are appropriately licensed and/or authorized to sign the maintenance release;
- (ii) Whose competence has been established in accordance with a procedure and to a level acceptable to the authority granting approval for the maintenance organization. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for qualifications of personnel in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: process for verifying AMO personnel are licensed/authorized to sign maintenance release).
- ☐ **Observed** aircraft part/component installation/replacement (focus: personnel signing maintenance release are appropriately licensed/authorized).
- ☐ **Observed** line maintenance operations (focus: personnel signing maintenance release are appropriately licensed/authorized).
- ☐ **Other Actions** (Specify)

#### Guidance

Licensing typically ensures maintenance personnel have met the basic requirements of an applicable authority in terms of age, knowledge, experience and, if required, medical fitness and skill, and have demonstrated the required knowledge and skill in a manner specified by the authority.

Planners, mechanics, specialized services personnel, supervisors and certifying personnel are typically assessed for competence by an on-the-job evaluation and/or examination relevant to their particular job or role within the organization before unsupervised work is permitted.

To assist in the assessment of competence, job descriptions are recommended for each job role in the organization. Basically, the assessment establishes that:

- Planners are able to interpret maintenance requirements into maintenance tasks and have an appreciation that they have no authority to deviate from the maintenance data;
- Mechanics are able to carry out maintenance tasks to any standard specified in the maintenance data and notify supervisors of mistakes requiring rectification to meet required maintenance standards;
- Specialized services personnel are able to carry out specialized maintenance tasks to the standard specified in the maintenance data and will both inform and await instructions from their supervisor in any case where it is impossible to complete the specialized maintenance in accordance with the maintenance data;
- Supervisors are able to ensure that all required maintenance tasks are carried out and where not completed or where it is evident that a particular maintenance task cannot be carried out in accordance with the maintenance data, it is to be reported to the responsible person for appropriate action. In addition, for those supervisors who also carry out maintenance tasks, that they understand such tasks are not to be undertaken when incompatible with their management responsibilities;
- Certifying personnel are able to determine when the aircraft is or is not ready to be released to service.

Knowledge of organizational procedures relevant to each individual's particular role in the organization is important, particularly in the case of planners, specialized services personnel, supervisors and certifying personnel.

### MNT 4.4.2

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a means for providing a positive identification of maintenance personnel that are approved to perform and certify maintenance. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** requirement for identification of personnel approved to perform/certify maintenance in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** AMO selection records (focus: process for identifying personnel approved to perform/certify maintenance).
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: identification of personnel approved to perform/certify maintenance).
- ☐ **Observed** aircraft part/component installation/replacement (focus: personnel are approved to perform/certify maintenance).
- ☐ **Observed** line maintenance operations (focus: personnel are approved to perform/certify maintenance).
- ☐ **Other Actions** (Specify)

#### Guidance

A database, signature roster or other equivalent mechanisms are typically used to identify such personnel.

## 4.5 Training Program

### MNT 4.5.1

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a training program that requires all maintenance personnel to receive initial and recurrent training that is appropriate to individually assigned tasks and responsibilities, and provides maintenance personnel with the:

- (i) Knowledge of regulations, standards and procedures in accordance with requirements in the MMM;
- (ii) Knowledge and skills related to human performance, including coordination with, as applicable, other maintenance personnel and/or flight crew. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for an overall training program in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying AMOs have initial/recurrent training programs for maintenance personnel).
- ☐ **Observed** line maintenance operations (focus: personnel signing maintenance release receive initial and recurrent training that are appropriate to individually assigned tasks and responsibilities).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Human Factors Principles and Human Performance.

The intent of this provision is for the operator to ensure appropriate initial and recurrent training for maintenance personnel and to ensure such training takes into account the knowledge and skills specified.



Maintenance personnel receive training in human performance to promote an understanding of the human factors (e.g. human capabilities, limitations, and the interface(s) between human and system components) involved in performing maintenance duties and coordinating with other maintenance personnel and/or flight crew. These human factors are taken into account during training to reduce human error in maintenance activities, including activities performed by an external AMO.

**MNT 4.5.2–4.5.3** (Intentionally open)

**MNT 4.5.4**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a training program that provides for continuation training on an interval not to exceed 36 months, which may be reduced to a lesser interval based on findings generated by the QA Program. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** the requirement criteria for continuation training of personnel in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying AMOs have program for continuation training at maximum 36-month interval).
- ☐ **Other Actions** (Specify)

**Guidance**

Continuation training is a two-way process to ensure that relevant maintenance personnel remain current in terms of procedures, human factors and technical knowledge, and that the approved maintenance organization receives feedback on the adequacy of its procedures and maintenance instructions. Due to the interactive nature of this training, consideration would be given to the possibility that such training has the involvement of the quality department to ensure feedback is actioned. Alternatively, there is a procedure to ensure that feedback is formally passed from the training department to the quality department to initiate action.

Continuation training would cover changes in relevant State of Registry/Authority requirements, changes in organization procedures and the modification standard of the products being maintained plus human factor issues identified from any internal or external analysis of incidents. It would also address instances where personnel failed to follow procedures and the reasons why particular procedures are not always followed. In many cases, the continuation training reinforces the need to follow procedures and ensure that incomplete or incorrect procedures are identified so they can be corrected. This does not preclude the possible need to carry out a quality audit of such procedures.

The program for continuation training lists all relevant maintenance personnel and when training will take place, the elements of such training and an indication it was carried out reasonably on time as planned. Such information is subsequently transferred to the certifying personnel record.

The referenced procedure is specified in the MPM.

Continuation training requirements are intended to apply to personnel performing and certifying maintenance, as well as to planners, inspectors of incoming goods and other maintenance personnel that have safety-critical responsibilities.

Refer to the Guidance associated with [MNT 1.3.2](#) for information that explains and addresses human factors principles.

**MNT 4.5.5**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a training and qualification program for auditors used in the QA Program.

### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for the training of QA auditors in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying AMOs have training/qualification program for quality assurance auditors).
- ☐ **Other Actions** (Specify)

#### MNT 4.5.6

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a training program that provides for initial and continuation training for receiving inspectors.

### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for the training of receiving inspectors in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying AMOs have initial/recurrent training program for receiving inspectors).
- ☐ **Other Actions** (Specify)

#### MNT 4.5.7

If the Operator uses a maintenance organization that has maintenance personnel taxi the Operator's aircraft on the movement area of an airport, the Operator shall have a process to ensure such maintenance personnel are authorized, competent and qualified to conduct aircraft taxi operations.

### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for the qualifications of personnel that taxi aircraft in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying training/qualification of AMO personnel authorized to taxi aircraft, if applicable).
- ☐ **Other Actions** (Specify)

## 4.6 Facilities and Physical Resources

#### MNT 4.6.1

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has the basic facilities and work environment, appropriate for the maintenance tasks to be performed for the Operator, to include:

- (i) A place of business, with a fixed address;
- (ii) Communications equipment/software, such as telephones, facsimile machines, email and others;
- (iii) Any devices used to establish when a particular aircraft requires maintenance. This may include planning bulletin boards, card files or a computer system;
- (iv) A secure, dry storage area to retain aircraft technical records. **(GM)**

## Auditor Actions

- ☐ **Observed/Assessed** facilities/equipment/storage/work environment.
- ☐ **Examined** selected AMO oversight/monitoring reports. (focus: verifying adequate AMO facilities/work environment to perform maintenance).
- ☐ **Interviewed** MNT operations manager and/or designated management representative(s).
- ☐ **Other Actions** (Specify)

## Guidance

### General:

- Aircraft hangar and aircraft component workshop structures need to be to a standard that prevents the ingress of rain, hail, ice, snow, wind and dust, and aircraft hangar and aircraft component workshop floors are sealed to minimize dust generation.
  - Aircraft hangars and aircraft component workshops provide protection from the normal prevailing local weather elements that are expected throughout any 12-month period.
  - Hangars used to house aircraft together with office accommodation would be such that the working environment permits personnel to carry out work tasks in an effective manner and temperatures are such that personnel can carry out required tasks without undue discomfort.
  - Dust and any other airborne contamination are kept to a minimum and not be permitted to reach a level in the work task area where visible aircraft/component surface contamination is evident.
  - An adequate level of lighting ensures each inspection and maintenance task can be carried out.
  - Noise levels are not permitted to rise to the point of distracting personnel from carrying out inspection tasks. Where it is impractical to control the noise source, such personnel would be provided with the necessary personal equipment to stop excessive noise causing distraction during inspection tasks.
  - Where a particular maintenance task requires the application of specific environmental conditions different to the foregoing, then such conditions would be observed. Such specific conditions are identified in the approved maintenance instructions.
- For both base and line maintenance where dust or other airborne contamination results in visible surface contamination, all susceptible systems are sealed until acceptable conditions are re-established.

### Aircraft Base Maintenance:

- Aircraft hangars or equivalent facilities are available, large enough to accommodate aircraft on planned base maintenance.
- If the maintenance organization does not own the hangar, it may be necessary to establish proof of tenancy.
- Sufficient hangar space to carry out planned base maintenance will need to be demonstrated by the preparation of a projected aircraft hangar visit plan, relative to the maintenance program.
  - The aircraft hangar visit plan is updated on a regular basis.

### Aircraft Component Maintenance:

- Aircraft component workshops are large enough to accommodate the components on planned maintenance.

### Aircraft Line Maintenance:

- Hangars are not essential but access to hangar accommodation is necessary during inclement weather for minor scheduled work and lengthy defect rectification.

- The working environment for line maintenance is such that the particular maintenance or inspection task can be carried out without undue distraction. If the working environment deteriorates to an unacceptable level due to temperature, moisture, hail, ice, snow, wind, light, dust or other airborne contamination, then the particular maintenance or inspection tasks is suspended until satisfactory conditions are re-established.

## Office Accommodations:

- Allows incumbents, whether they are management, planning, technical records, quality or certifying personnel, to carry out their designated tasks in a manner that contributes to good aircraft maintenance standards.
- Aircraft maintenance personnel are provided with an area where they may study maintenance instructions and complete maintenance records in a proper manner.
- Storage for technical records is secure and dry.
- *It is acceptable to combine any or all of the above requirements into one office subject to the personnel having sufficient room to carry out assigned tasks.*

### MNT 4.6.2

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has the necessary technical data, equipment, tools and material to perform the work for which the maintenance organization has been approved, to include:

- (i) Equipment and tools necessary to comply with the work specified in the agreement between the Operator and the maintenance organization;
- (ii) Sufficient supplies and spare parts to ensure timely rectification of defects with regard to the Minimum Equipment List (MEL) provisions as specified in the agreement between the Operator and the maintenance organization. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for technical data, equipment, tools and material in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying adequacy of AMO data/equipment/supplies/parts to perform maintenance).
- ☐ **Observed** aircraft part/component installation/replacement (focus: availability/use of necessary technical data/equipment/tools/material for maintenance activity being performed).
- ☐ **Observed** line maintenance operations (focus: availability/use of necessary technical data/equipment/tools/material for maintenance activity being performed).
- ☐ **Observed** aircraft parts/components management/handling (focus: availability/use of necessary technical data/equipment/tools/material for management/handling of aircraft parts/components).
- ☐ **Other Actions** (Specify)

## Guidance

Tools and equipment, as specified in the Approved Data, can be made available when needed. Tools and equipment, which require to be controlled in terms of servicing or calibration to measure specified dimensions and torque figures, are to be clearly identified and listed in a control register, including any personal tools and equipment that the organization agrees can be used. Where the manufacturer specifies a particular tool or equipment, then that tool or equipment is used, unless the AMO has an approved procedure to determine the equivalency of alternative tooling/equipment and the procedure documented in the MPM.

The availability of equipment and tools indicates permanent availability except in the case of any tool or equipment that is so rarely needed that its permanent availability is not necessary.

A maintenance organization approved for base maintenance has sufficient aircraft access equipment and inspection platforms/docking such that the aircraft may be properly inspected.

The supplies necessary to perform maintenance work refer to readily available raw material and aircraft components, in accordance with the manufacturer's recommendations, unless the organization has an established spares provisioning procedure.

#### **MNT 4.6.3**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has facilities suitable for the storage of parts, equipment, tools and material under conditions that provide security and prevent deterioration of and damage to stored items. Such processes shall ensure:

- (i) Clean work areas, including management offices;
- (ii) Parts and material properly identified and stored;
- (iii) Oxygen and other high-pressure bottles properly identified and stored;
- (iv) Flammable, toxic or volatile materials properly identified and stored;
- (v) Equipment identified and protected. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** the requirement criteria for facilities in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying adequate AMO storage facilities for parts/tools/equipment/material).
- ☐ **Observed** aircraft parts/components management/handling (focus: adequate storage facilities for aircraft parts/components).
- ☐ **Other Actions** (Specify)

#### **Guidance**

Storage facilities for serviceable aircraft components are clean, well-ventilated and maintained at an even dry temperature to minimize the effects of condensation. Storage recommendations from the manufacturers for aircraft components are to be followed.

Storage racks are strong enough to hold aircraft components and provide sufficient support for large aircraft components such that the component is not distorted during storage.

All aircraft components, wherever practicable, remain packaged in protective material to minimize damage and corrosion during storage.

#### **MNT 4.6.4**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a shelf-life program for applicable items, which includes a requirement for the shelf-life limit to be controlled and displayed.

#### **Auditor Actions**

- ☐ **Identified/Assessed** the requirement criteria for a shelf-life program in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying acceptable AMO shelf-life program for applicable stored items).
- ☐ **Observed** aircraft parts/components management/handling (focus: shelf-life program for applicable stored aircraft parts/components).
- ☐ **Other Actions** (Specify)



**MNT 4.6.5**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a receiving inspection program that:

- (i) Assures incoming material has the required certification documentation and traceability;
- (ii) Includes a process for verification of incoming part tags to ensure information on the tag (e.g. part name, part number, serial number, modification and/or any other applicable reference information) matches the corresponding information on the part.

**Auditor Actions**

- ☐ **Identified/Assessed** the receiving inspection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of incoming material (focus: certification documentation and traceability).
- ☐ **Examined** selected records of verification of incoming part tags.
- ☐ **Examined** selected AMO oversight/monitoring reports. (focus: verifying acceptable AMO receiving inspection programs).
- ☐ **Observed** aircraft parts/components management/handling (focus: program for ensuring receiving inspection of incoming aircraft parts/components).
- ☐ **Other Actions** (Specify)

**4.7 Material Handling****MNT 4.7.1**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a secure quarantine area for rejected parts and materials awaiting disposition.

**Auditor Actions**

- ☐ **Identified/Assessed** the requirement criteria for a secure parts/materials quarantine area in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying adequate AMO parts/materials quarantine area).
- ☐ **Observed** aircraft parts/components management/handling (focus: secure quarantine area(s) adequate for rejected aircraft parts/components).
- ☐ **Other Actions** (Specify)

**MNT 4.7.2**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a process for segregating aircraft serviceable parts, aircraft non-serviceable parts, and non-aircraft parts.

**Auditor Actions**

- ☐ **Identified/Assessed** the requirement criteria for a parts segregation process in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying acceptable AMO process for segregating parts).
- ☐ **Observed** segregated parts.



- ☐ **Observed** aircraft parts/components management/handling (focus: process for segregating serviceable/non-serviceable/non-aircraft parts/components).
- ☐ **Other Actions** (Specify)

**MNT 4.7.3**

The Operator shall have a process to ensure each maintenance organization that handles, or performs maintenance on, electrostatic sensitive devices (ESD) for the Operator has an ESD Program. Such ESD program shall comply with applicable manufacturer instructions and the specifications contained in [Table 4.8](#). (GM)

**Auditor Actions**

- ☐ **Identified** the requirement criteria for an ESD program in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying acceptable AMO ESD program).
- ☐ **Observed** aircraft parts/components management/handling (focus: ESD program in accordance with [Table 4.8](#)).
- ☐ **Other Actions** (Specify)

**Guidance**

Consideration is typically given to the scope of work of the maintenance organization in determining the applicability of ESD requirements.

**MNT 4.7.4**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a method of storage that assures sensitive parts and equipment, such as, but not limited to, oxygen system components (oxygen generators and bottles), O-rings and electrostatic sensitive devices are properly packaged, identified and stored to protect them from damage and contamination. (GM)

**Auditor Actions**

- ☐ **Identified/Assessed** the requirement criteria for the storage of sensitive parts in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying acceptable AMO methods for storage of sensitive parts/equipment).
- ☐ **Observed** aircraft parts/components management/handling (focus: methods for ensuring proper identification/storage of sensitive aircraft parts/components).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure maintenance organizations comply with storage recommendations from the manufacturers, with particular emphasis on recommendations with respect to temperature and humidity.

Consideration is to be given to the scope of work of the AMO in determining applicability of specific handling and/or storage requirements.

**MNT 4.7.5**

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a process that assures aircraft components and parts are shipped in suitable containers that provide protection from damage and, when specified by the OEM, ATA-300 or equivalent containers shall be used.



### Auditor Actions

- ☐ **Identified** the requirement criteria for the shipping of aircraft components and parts in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying acceptable AMO methods/containers for shipping aircraft components/parts).
- ☐ **Observed** aircraft parts/components management/handling (focus: process for ensuring aircraft parts/components are shipped in suitable containers).
- ☐ **Other Actions** (Specify)

## 4.8 (Intentionally open)

## 4.9 Procedures Manual

### MNT 4.9.1

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator provides for the use and guidance of relevant maintenance personnel a Maintenance Procedures Manual (MPM), which may be issued in separate parts, that contains information, as specified in [Table 4.9](#). (GM)

### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for an MPM in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying acceptable AMO MPM in accordance with [Table 4.9](#)).
- ☐ **Examined** MPM (if available).
- ☐ **Other Actions** (Specify)

### Guidance

The MPM is a document that defines how an Approved Maintenance Organization accomplishes and controls its aircraft maintenance activities.

The MPM provides all personnel of the AMO with the necessary information to enable them to accomplish their duties and allows the Authority to understand and approve how the AMO complies with the applicable Airworthiness Requirements.

The MPM can comprise one manual or a suite of manuals. The MPM may have specific sections extracted to form a customized manual for distribution to maintenance contractors, line stations and others as applicable.

The purpose of the MPM is to set forth the procedures, means and methods for the AMO to accomplish maintenance. Compliance with its contents assures fulfillment of the AMO's responsibilities.

The management section in the MPM may be produced as a stand-alone document and made available to the key personnel who need to be familiar with its contents.

The list of AMO Certifying Personnel may be produced as a separate document.

Responsibilities and procedures for revisions to the management part of the MPM and any associated manuals are to be specified.

The Quality Manager of the AMO is responsible for monitoring revisions of the MPM, unless otherwise agreed by the Authority.

Unless the Authority has agreed via a procedure stated in the amendment section of the MPM that certain defined classes of amendments may be incorporated without prior Authority approval, this process would typically include monitoring revisions to the associated procedures manuals.

The MPM also normally contains the following information:

- A brief description of the organization that includes:
  - The approximate size of the organization;
  - The geographic location of the office facilities and/or the base of operations, when not co-located;
  - Where necessary to ensure comprehension, a chart depicting the distribution of the functions.
- A statement signed by the maintenance organization confirming the MPM and any incorporated documents identified therein reflect the Organization's means of compliance with the Authority requirements;
- A description of the maintenance procedures and the procedures for completing and signing a maintenance release when maintenance is based on a system other than that of an approved maintenance organization;
- A description of the procedures for monitoring, assessing and reporting maintenance and operational experience;
- A description of procedures for assessing continuing airworthiness information and implementing any resulting actions;
- A description of the procedures for implementing action resulting from mandatory continuing airworthiness information;
- A description of procedures for ensuring that unserviceable items affecting airworthiness are recorded and rectified;
- A description of the procedures for advising the State of Registry/Authority/operator of significant in-service occurrences;
- A table of contents;
- A description of the MPM amendment control procedure;
- A means of identifying each page of the MPM. This can be in the form of a list of effective pages, with each page numbered and either dated or marked with a revision number;
- A description of the system used to distribute the MPM, including a distribution list; for non-scheduled work, temporary copies of the relevant portions of the MPM or any incorporated reference;
- Where the organization uses standards for the performance of elementary work or servicing different from those recommended by the manufacturer, the identification of those standards;
- Procedures to ensure regulatory information and technical data appropriate to the work performed are used in respect of elementary work and servicing;
- Details of the methods used to record the maintenance, elementary work or servicing performed, including the method of recording of defects in the technical record required by these standards;
- A detailed description of the procedures used to ensure that any maintenance tasks required by the maintenance schedule, airworthiness directives or any task required for the rectification of a defect are completed within the required time constraints;
- A description of the evaluation program required by these standards;
- A description of the defect rectification and control procedures, including details of:
  - The methods used to detect and report recurring defects;
  - The procedures for scheduling the rectification of defects whose repair has been deferred.
- The procedures used to report service difficulties in accordance with these standards;
- A description of the technical dispatch procedures, including procedures for ferry-flight authorizations, EDTO (equivalent terms: ETOPS, EROPS, LROPS), all-weather operation or any other special operation;

- Procedures to ensure that only parts and materials that meet the requirements of the State of Registry/Authority/operator are used in the performance of elementary work or servicing, including details of any spare part pool arrangements that have been entered into;
- A description of the methods used to ensure that the personnel authorized to perform elementary work or servicing are trained as required by the Authority and qualified in accordance with these requirements, as applicable;
- A description of personnel records to be retained;
- Details of the procedures applicable to maintenance arrangements and a list of all such arrangements, including the procedure used to communicate to an approved maintenance organization the maintenance requirements for planned and unforeseen maintenance activities, as well as those mandated by airworthiness directives;
- Procedure for revising and maintaining the MPM up to date and current;
- Approval of the Authority through approval of the list of effective pages or, in the case of manuals containing a small number of pages, approval can be identified on each page;
- Procedures used for the storage and control of petroleum, oil and other lubricants, as required by national regulations.

### MNT 4.9.2

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a process to amend the MPM as necessary to keep the information contained therein up to date.

#### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for an MPM amendment process in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports. (focus: process for verifying acceptable AMO MPM amendment process).
- ☐ **Examined** MPM for currency (if available).
- ☐ **Other Actions** (Specify)

### MNT 4.9.3

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has a process to furnish copies of all amendments to the MPM promptly to all organizations or persons to whom the manual has been issued.

#### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for an MPM distribution process in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: process for verifying acceptable AMO MPM distribution/dissemination processes).
- ☐ **Other Actions** (Specify)

## 4.10 Maintenance Release

### MNT 4.10.1

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator produces a completed and signed maintenance release that certifies all maintenance work performed has been completed satisfactorily and in accordance with the approved data and procedures described in the MPM of the maintenance organization. Such maintenance release shall include:

- (i) Basic details of the maintenance performed;
- (ii) A reference of the approved data used and, if required, the revision status;
- (iii) Maintenance tasks that were not accomplished;
- (iv) The date maintenance was completed;
- (v) When applicable, identity of the approved maintenance organization;
- (vi) Identity of the person(s) that sign the release. **(GM)**

### Auditor Actions

- ☐ **Identified** the requirement criteria for the production of the maintenance release in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: verifying AMO production of completed/signed maintenance release that certifies maintenance performed in accordance with MPM).
- ☐ **Observed** line maintenance operations (focus: production of complete maintenance release for specific maintenance activity being performed).
- ☐ **Observed** aircraft part/component installation/replacement (focus: production of complete maintenance release for specific maintenance activity being performed).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Maintenance Organization Exposition.

An operator has the option of defining when the revision status of approved data (that was used during the performance of maintenance) must be included in the maintenance release. The process that defines such requirement is typically documented in the operator's MMM.

A requirement for the documented revision status to be part of the maintenance release might depend on the particular approved data that is referenced. For example, if the Aircraft Maintenance Manual that was used for maintenance is distributed online, there would be an online record of the revision that was available at the time of maintenance, which might obviate the need for that information to be documented in the maintenance release. Conversely, the revision status of certain engineering documents and/or drawings might not be found online or be otherwise available, in which case the operator could opt to require the revision status to be included in the maintenance release for the purpose of ensuring traceability.

### *Aircraft CRS*

A Certificate of Release to Service (CRS) is required before flight:

- At the completion of any maintenance package specified by the aircraft operator;
- At the completion of any defect rectification, while the aircraft operates flight services between scheduled maintenance.

The maintenance package may include any one or a combination of the following elements: a check or inspection from the operator's aircraft maintenance program, Airworthiness Directives, overhauls, repairs, modifications, aircraft component replacements and defect rectification.

New defects or incomplete maintenance work orders identified during maintenance are brought to the attention of the operator for the specific purpose of obtaining agreement to rectify such defects or complete the missing elements of the maintenance work order. In the case where the aircraft operator declines to have such maintenance carried out and provided this missing element/defect does not affect the airworthiness of the aircraft, this fact is entered in the aircraft CRS before issue of such certificate.

## *Component CRS*

A CRS is necessary at the completion of any maintenance on an aircraft component while off the aircraft.

The authorized release certificate/airworthiness approval tag constitutes the aircraft component certificate of release to service when one AMO maintains an aircraft component for another AMO.

When an AMO maintains an aircraft component for use by the organization, an authorized release certificate/airworthiness approval tag may or may not be necessary, depending upon the organization's internal release procedures defined in the maintenance organization exposition and approved by the Authority.

## 4.11 Tooling and Calibration

### MNT 4.11.1

The Operator shall have a process to ensure each maintenance organization that performs maintenance for the Operator has procedures for controlling and documenting the calibration of tools, including personnel-owned tools, and for preventing out-of-service and due-for-calibration tools and/or equipment from being used, in accordance with specifications in [Table 4.10](#). (GM)

### Auditor Actions

- ☐ **Identified/Assessed** the requirement criteria for the tool calibration in the AMO selection process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected AMO selection records.
- ☐ **Examined** selected AMO oversight/monitoring reports (focus: process for verifying acceptable AMO tool calibration program).
- ☐ **Observed** line maintenance operations (focus: proper calibration of tools used in maintenance activity being performed).
- ☐ **Observed** aircraft part/component installation/replacement (focus: proper calibration of tools used in maintenance activity being performed).
- ☐ **Other Actions** (Specify)

### Guidance

The control of these tools and equipment requires that the organization has a procedure to inspect/service and, where appropriate, calibrate such items on a regular basis and indicate to users that the item is within any inspection or service or calibration time limit. A clear system of labeling of all tooling, equipment and test equipment is therefore necessary, providing information on:

- When the next inspection or service or calibration is due;
- Whether the item is serviceable or unserviceable and the reason for its unserviceability.

A register is maintained for all precision tooling and equipment together with a record of calibrations and standards used.

Inspection, service or calibration of tools and equipment on a regular basis is in accordance with the equipment manufacturer's instructions except where the maintenance organization can justify by means of results that a different time period is appropriate in a particular case.

The procedural approach complies with the applicable standards authority (e.g. US Bureau of Standards or a country's approved standards certificate from the testing facility).

**Table 4.1—Maintenance Program Specifications**

The Operator's Maintenance Program shall contain the following information for each aircraft:

- (i) Maintenance tasks and the intervals at which these tasks are to be performed, taking into account the anticipated use of the aircraft;
- (ii) When applicable, a continuing structural integrity program;
- (iii) A system that identifies mandatory maintenance tasks, and their corresponding intervals, for tasks that have been specified as mandatory in the approval of the type design, (i.e. Certification Maintenance Requirements or CMRs);
- (iv) Procedures for changing or deviating from (i), (ii) and (iii) above;
- (v) The reliability program and descriptions of any required health monitoring for aircraft, engines, propellers and associated parts where the maintenance program was derived using the Maintenance Review Board process;
- (vi) The procedure for periodic review of the Maintenance Program to ensure it considers current Type Certificate Holder's recommendations, revisions to the Maintenance Review Board Report, mandatory requirements and other applicable requirements from the Authority.

**Table 4.2–Maintenance Management and Control Functions**

The Operator shall provide for facilities, workspace, equipment, personnel and supporting services, as well as work environment, as necessary to ensure the implementation of the following maintenance management and control functions:

- (i) The initial development of the maintenance schedule;
- (ii) Scheduling maintenance, elementary work and servicing to be performed within the time constraints specified in the approved maintenance schedule;
- (iii) Scheduling the accomplishment of Airworthiness Directives (ADs);
- (iv) Operation of an evaluation program to ensure that all required procedures and, in particular the maintenance schedule, continue to be effective and in compliance with the applicable regulations;
- (v) The proper dispatch of aircraft, with regard to:
  - (a) Control of defects;
  - (b) Availability of spare parts;
  - (c) Conformity with the type design;
  - (d) Requirements of other applicable operating rules.
- (vi) Liaison with approved maintenance organizations for the performance of maintenance;
- (vii) The development and update of the Maintenance Management Manual.



**Table 4.3—Maintenance Management Manual Content Specifications**

The MMM shall contain the following maintenance policies, procedures and information:

- (i) A description of the administrative arrangements between the operator and the approved maintenance organization;
- (ii) Names (or titles) and duties of the person or persons whose responsibilities are to ensure that maintenance is carried out in accordance with the MMM;
- (iii) A description of aircraft types and models to which the manual applies;
- (iv) A description of the maintenance procedures and the procedures for completing and signing a maintenance release when maintenance is based on a system other than that of an approved maintenance organization;
- (v) A reference to the approved maintenance program;
- (vi) A description of the methods used for the completion and retention of maintenance records, and including procedures for retaining backup records;
- (vii) A description of the procedures for monitoring, assessing and reporting maintenance and operational experience;
- (viii) A description of the procedures for complying with the service information reporting requirements;
- (ix) A description of procedures for assessing continuing airworthiness information and implementing any resulting actions;
- (x) A description of the procedures for implementing action resulting from mandatory continuing airworthiness information;
- (xi) A description of establishing and maintaining a system of analysis and continued monitoring of the performance and efficiency of the maintenance program, in order to improve and correct any deficiency in that program;
- (xii) A description of procedures for ensuring that unserviceable items affecting airworthiness are recorded and rectified;
- (xiii) A description of the procedures for advising the Authority of significant in-service occurrences;
- (xiv) The scope, structure and functionality of the management system for maintenance operations, to include a description of departments, positions, authorities, duties, responsibilities and the interrelation of functions and activities within the system;
- (xv) A process to ensure all amendments to the MMM are approved by the Authority and/or Operator, as applicable;
- (xvi) A description of the procedures to ensure operational and emergency equipment necessary for flight is serviceable;
- (xvii) A description of the procedures to ensure the Certificate of Airworthiness of each aircraft remains valid;
- (xviii) A description of the duties, responsibilities and reporting relationships within the Quality Assurance Program, or a reference to a separate quality assurance manual, if such description is found in that manual.

**Table 4.4—Defect Reporting Specifications**

The Operator shall have a procedure for reporting, to the Authority the following defects or un-airworthy conditions:

- (i) General
  - (a) Any failure, malfunction or defect where the safety of operation was or could have been endangered or which could have led to an unsafe condition.
- (ii) Aircraft Structure
  - (a) Any failure of aircraft primary structure or a principal structural element;
  - (b) Cracks, permanent deformation or corrosion or defect or damage of aircraft primary structure or principal structural element that a repair scheme is not already provided in the manufacturer's repair manual, or that occur after repair;
  - (c) Any part of the aircraft that would endanger the aircraft or any person by becoming detached in flight or during operations on the ground;
  - (d) Major defect or damage to aircraft structure;
  - (e) Defects or damage to aircraft structures, if more than allowed tolerances.
- (iii) Powerplant
  - (a) Uncommanded loss of thrust/power, shutdown or failure of any engine;
  - (b) Uncontained failure of engine compressor, turbines;
  - (c) Inability to feather or un-feather a propeller.
- (iv) Aircraft Systems or Equipment
  - (a) Fire or explosion;
  - (b) Smoke, toxic or noxious fumes in the aircraft;
  - (c) Fuel leakage that results in substantial loss, or is a fire hazard;
  - (d) Fuel system malfunction that has significant effect on fuel supply and/or distribution;
  - (e) Fire warnings, except those immediately confirmed as false;
  - (f) Unwanted landing gear or gear doors extension/retraction;
  - (g) Significant loss of braking action.
- (v) If applicable, additional requirements of the Authority.

**Table 4.5—ETOPS/EDTO Maintenance Requirements for Twin Turbine Engine Aircraft**

The Operator shall ensure the following for twin turbine engine aircraft that are used for ETOPS/EDTO:

- (i) The titles and numbers of all airworthiness modifications, additions and changes that were made to qualify aircraft systems for ETOPS/EDTO are provided to the Authority;
- (ii) Any changes to maintenance and training procedures, practices or limitations previously proven or validated by the manufacturer and established in the qualification for ETOPS/EDTO are approved by the Authority before being adopted;
- (iii) A reliability monitoring and reporting program is developed and implemented prior to approval and continued after approval (i.e. new aircraft type);
- (iv) Prompt implementation of required modifications and inspections that could affect propulsion system reliability;
- (v) Procedures to prevent an aircraft from being dispatched for ETOPS/EDTO after an engine shutdown or ETOPS/EDTO-significant system failure on a previous flight until the cause of such failure has been positively identified and the necessary corrective action completed. Confirmation that such corrective action has been effective may, in some cases, require the successful completion of a subsequent flight prior to dispatch on an extended range operation;
- (vi) A procedure to ensure the airborne equipment will continue to be maintained at the level of performance and reliability required for ETOPS/EDTO;
- (vii) A process for monitoring in-flight shutdowns (IFSD);
- (viii) A procedure to assess and report to the Authority the following items concerning ETOPS/EDTO:
  - In-Flight Shutdown (IFSD);
  - Diversion or turn-back;
  - Un-commanded thrust/power changes or engine surges;
  - Inability to control the engine or obtain the desired thrust/power;
  - Failures or malfunctions of ETOPS/EDTO significant system having a detrimental effect to ETOPS/EDTO flight.
- (ix) A procedure to minimize scheduled or unscheduled maintenance during the same maintenance visit on more than one parallel or similar ETOPS/EDTO-significant system. Minimization can be accomplished by staggering maintenance tasks, performing and/or supervising maintenance by a different technician, or verifying maintenance correction actions prior to the aircraft entering an ETOPS/EDTO flight segment.
- (x) The list of ETOPS/EDTO Significant Systems/Sub-systems (i.e. the list including, for a given aircraft, any system/sub-system whose failure or degradation could adversely affect the safety of an ETOPS/EDTO flight or whose continued functioning is important to the safe flight and landing of an aircraft during an ETOPS/EDTO diversion).
- (xi) The list of maintenance program tasks identified as having ETOPS/EDTO significance (i.e. the list of maintenance tasks affecting any ETOPS/EDTO Significant System/Sub-system).
- (xii) The reliability program supplemented, as applicable, to take into account the ETOPS/EDTO requirements and specific analysis such as:
  - Engine Condition Monitoring Program (ECMP);
  - Oil Consumption Monitoring Program;
  - APU in-flight Start Program.
- (xiii) The list of ETOPS/EDTO Qualified Maintenance Personnel as well as the training program and qualification procedures of such personnel.
- (xiv) The procedure to integrate in the MMM all applicable Configuration, Maintenance and Procedures (CMP) provisions issued by the manufacturer of the aircraft.

**Table 4.6—Aircraft Technical Log (ATL) Specifications**

The Operator shall have a process to ensure all aircraft have an aircraft technical log (ATL) or approved equivalent that comprises the following elements:

- (i) Aircraft nationality and registration;
- (ii) Date;
- (iii) Place of departure;
- (iv) Place of arrival;
- (v) Time of departure;
- (vi) Time of arrival;
- (vii) Hours of flight;
- (viii) Incidents, observations, as applicable;
- (ix) Details of defects and rectifications/actions taken;
- (x) Signature or identity of the person recording the defect;
- (xi) Signature and identity of the person signing the release following maintenance. \*\*

\*\* The signature and identity shall: (1) be traceable to the individual making the entry; and (2) satisfy the requirements specified in the aircraft release to service procedure of the MMM (i.e. be either a handwritten or electronic signature system or company-controlled stamp identity system, as approved by the Authority).

**Table 4.7–Quality Assurance Program Specifications and Control Processes**

The Operator shall ensure each maintenance organization that performs maintenance for the Operator has an independent Quality Assurance Program that includes the following elements:

- (i) An internal audit/evaluation program;
- (ii) An established audit schedule that ensures all applicable regulations, requirements and technical activities described within the MPM of the AMO are checked on established intervals, as described in the MPM;
- (iii) A record of audit findings and corrective and/or preventive actions;
- (iv) Follow-up procedures to ensure necessary corrective/preventive actions (both immediate and long-term) implemented by the Maintenance Organization are effective;
- (v) A record-keeping system to ensure details of evaluation findings, corrective actions, preventive actions and follow-up are recorded, and that the records are retained for two complete evaluation cycles.

**Table 4.8—ESD Program Specifications**

The Operator shall ensure each maintenance organization that handles or performs maintenance on electrostatic sensitive devices (ESD) for the Operator has an ESD Program that addresses the following:

- (i) Removal and installation on the aircraft;
- (ii) Appropriate warning and caution signs, as well as decals, are placed in areas where ESDs are handled;
- (iii) Devices are contained in ESD-approved packaging are sealed and properly labeled;
- (iv) Devices not contained in ESD-approved sealed packaging are handled by personnel using, as applicable, approved earthing (i.e. grounding) straps and/or mats, and:
  - (a) For maintenance activities that require floor grids where ESDs are handled, the floor grids are grounded;
  - (b) Are not stored on shelving covered with carpet, foam, vinyl or any other material that can store or produce an electrical charge;
  - (c) Earthing straps and mats are tested to ensure conductivity at regular intervals or prior to use and such test results are recorded.

**Table 4.9—Maintenance Procedures Manual Content Specifications**

The Operator shall ensure each maintenance organization that performs maintenance for the Operator provides for the use and guidance of relevant maintenance personnel a Maintenance Procedures Manual (MPM), which may be issued in separate parts, that contains the following information:

- (i) A brief description of the organization that includes:
  - (a) A general description of the scope of work authorized under the organization's terms of approval;
  - (b) A general description of the organization's facilities.
- (ii) A description of the procedures for implementing changes affecting the approval of the maintenance organization;
- (iii) A description of the organization procedures and quality or inspection system;
- (iv) Names and duties of the responsible personnel;
- (v) Names and duties of the person or persons whose responsibilities are to ensure that maintenance is carried out in accordance with the MPM;
- (vi) A description of the procedures used to establish the competence of maintenance personnel;
- (vii) A description of the methods used for the completion and retention of the Operator's maintenance records, including procedures for retaining backup records;
- (viii) A description of the procedure for preparing the maintenance release and the circumstances under which the release is to be signed;
- (ix) The process for authorizing personnel to sign the maintenance release and the scope of their authorization;
- (x) A description of any additional procedures for complying with the Operator's maintenance procedures and requirements;
- (xi) A description of the procedures for complying with the service information reporting requirements;
- (xii) A description of the procedure for receiving, amending and distributing within the maintenance organization, all necessary airworthiness data from the type certificate holder or aircraft Type Design Organization;
- (xiii) A description, when applicable, of contracted activities.



**Table 4.10—Tooling and Calibration Program Specifications**

△ The Operator shall ensure each maintenance organization that performs maintenance for the Operator has procedures for controlling and documenting the calibration of tools, including personnel-owned tools, and for preventing out-of-service and due-for-calibration tools and/or equipment from being used. The procedures shall include the following elements:

- (i) Calibration date;
- (ii) Identity of individual or vendor that performed calibration or check;
- (iii) Calibration due date;
- (iv) A calibration certificate for each item calibrated by an outside agency;
- (v) Details of adjustments and repairs;
- (vi) Repair history of the tool;
- (vii) The part number and serial number of the standard used to perform the calibration.

**Table 4.11–Required Aircraft Systems and Equipment**

As specified in [MNT 1.9.1](#), aircraft in the Operator's fleet shall be equipped with, in accordance with conditions of applicability, the systems and equipment specified in this table. Where referenced, refer to guidance material in [Table 4.12](#) or [Table 4.13](#).

	Equipment	Applicability	Requirement	Notes
(i)	Quick-donning oxygen mask	Aircraft operated at flight altitudes above 25000 feet.	A quick-donning oxygen mask for each flight crew member.	
(ii)	Dangerous loss of pressurization device	Aircraft intended to be operated at flight altitudes above 25000 feet for which the individual certificate of airworthiness is first issued on or after 1 July 1962.	A device that provides positive warning to the pilot of any dangerous loss of pressurization.	
(iii)	Protective Breathing Equipment (PBE)	All aircraft.	PBE that: (a) Protects the eyes, nose and mouth of each crew member while on flight duty; provides oxygen for a period of not less than 15 minutes. (b) Allows the flight crew to communicate using the aircraft radio equipment and to communicate by interphone with each other while at their assigned duty stations.	<p><b>Note:</b> The specifications for PBE shall be satisfied by equipment that protects the eyes, nose and mouth (e.g. smoke hood, full face oxygen mask or combination of smoke goggles and oxygen mask) and has an oxygen supply that is portable or provided by the aircraft supplemental oxygen system.</p> <p><b>Note:</b> PBE intended for flight crew use shall be conveniently located on the flight deck and be easily accessible for immediate use by each required flight crew at their assigned duty station.</p>
		Passenger aircraft required to be operated with cabin crew.	(c) A unit of PBE located in the cabin adjacent to each required cabin crew station.	
		Passenger aircraft not required to be operated with cabin crew.	(d) A unit of portable PBE located in the cabin adjacent to each hand-held fire extinguisher.	
		Cargo aircraft and passenger aircraft operated without cabin crew.	(e) An additional unit of portable PBE located adjacent to the flight deck hand-held fire extinguisher.	

**Table 4.11—Required Aircraft Systems and Equipment**

		Cargo aircraft with a cargo compartment accessible to crew member in flight.	(f) An additional unit of portable PBE located outside but adjacent to the entrance of the accessible cargo compartment.	
		Cargo aircraft with a hand-held fire extinguisher in a supernumerary compartment.	(g) An additional unit of portable PBE located adjacent to the hand-held fire extinguisher. <b>GM</b> See <a href="#">Table 4.12</a> (iii)	
(iv)	Hand-held fire extinguishers	All aircraft.	(a) A minimum of one hand-held fire extinguisher located on the flight deck.	<b>Note:</b> <i>Hand-held fire extinguishers shall be of a type that will minimize the hazard of toxic gas concentration.</i>
		Passenger aircraft	(b) Hand-held fire extinguishers uniformly distributed throughout the cabin of passenger aircraft (when two or more extinguishers are required) to be readily accessible at each galley not located on a main passenger deck and, if applicable, to be available for use in each cargo compartment that is accessible to the crew. <b>(GM)</b> See <a href="#">Table 4.12</a> (iv)	
(v)	Crash axe or crowbar	All aircraft.	A minimum of one crash axe or crowbar located on the flight deck and/or the passenger cabin. <b>(GM)</b> See <a href="#">Table 4.12</a> (v)	<b>Note:</b> <i>Unless constrained by certification or security requirements of the Authority and/or State.</i>
(vi)	Flashlight (torch)	All aircraft intended to be operated at night.	A flashlight (torch) at each flight crew station. <b>(GM)</b> See <a href="#">Table 4.12</a> (vi)	

**Table 4.11–Required Aircraft Systems and Equipment**

(vii)	Emergency Locator Transmitters (ELTs)	Aircraft used for international flights with more than 19 passenger seats for which the individual certificate of airworthiness was first issued before 1 July 2008.	One automatic ELT or two ELTs of any type or, if approved by the Authority, a robust and automatic means to accurately determine, following an accident during which the aircraft is severely damaged, the location of the point of end of flight.	<p><b>Note:</b> These specifications are applicable to all aircraft used to conduct international flights unless an agreement exists between all states transited by the aircraft. In such cases, ELT equipage is in accordance with the requirements as set forth by the applicable Authorities.</p> <p><b>Note:</b> All ELTs except those specified in the previous note must be capable of broadcasting simultaneously on 406 and 121.5 MHz.</p>
		Aircraft used for international flights with more than 19 passenger seats for which the individual certificate of airworthiness was first issued on or after 1 July 2008.	Two ELT of any type one of which shall be automatic or, if approved by the Authority one ELT and a robust and automatic means to accurately determine, following an accident during which the aircraft is severely damaged, the location of the point of end of flight.	
		Aircraft used for international flights with 19 or less passenger seats for which the individual certificate of airworthiness was first issued before 1 July 2008.	One ELT of any type or, if approved by the Authority, a robust and automatic means to accurately determine, following an accident during which the aircraft is severely damaged, the location of the point of end of flight.	
		Aircraft used for international flights with 19 or less passenger seats for which the individual certificate of airworthiness was first issued after 1 July 2008.	One automatic ELT or, if approved by the Authority, a robust and automatic means to accurately determine, following an accident during which the aircraft is severely damaged, the location of the point of end of flight.	
(viii)	Underwater Locator Beacon (ULB) attached to aircraft fuselage	Aircraft applicability as defined by the State.	ULB installation in accordance with requirements of the State.	
(ix)	Underwater Locator Beacon (ULB) attached to non-deployable FDR container	Aircraft applicability as defined by the State.	ULB installation in accordance with requirements of the State.	

**Table 4.11—Required Aircraft Systems and Equipment**

(x)	Airborne Collision Avoidance System II (ACAS II)	All aircraft.	An ACAS II. <b>(GM)</b> See <a href="#">Table 4.12</a> (x)	<b>Note:</b> Such system shall use a software version approved or accepted by the applicable authorities as appropriate for the airspace or area of operation.
(xi)	Airborne weather radar system	All aircraft.	An airborne weather radar system capable of detecting thunderstorms and other potentially hazardous weather conditions when operating in areas where such weather conditions could be expected to exist along the route either at night or under instrument meteorological conditions.	
(xii)	Ground Proximity Warning System (GPWS)	All aircraft.	A GPWS that: (a) Automatically provides a warning to the flight crew when the aircraft is in close proximity to the earth's surface; and (b) Has a forward-looking terrain-avoidance function. <b>(GM)</b> See <a href="#">Table 4.12</a> (xii)	
(xiii)	Flight Data Recorder (FDR)	All aircraft.	A digital FDR that (a) Uses solid state digital recording; (b) Is capable of recording, as a minimum, the last 25 hours of aircraft operation; (c) Records time, altitude, airspeed, normal acceleration and heading; (d) Is of a type that is in accordance with requirements of the Authority.	

**Table 4.11–Required Aircraft Systems and Equipment**

(xiv)	Cockpit Voice Recorder (CVR)	All aircraft	A CVR capable of retaining the information recorded during at least the last two hours of its operation.	<b>Note:</b> The CVR must not use magnetic tape or wire.
		All aircraft of a maximum certificated take-off mass of over 27 000 kg for which the individual certificate of airworthiness was first issued on or after 1 January 2022.	A CVR capable of retaining the information recorded during at least the last twenty-five hours of its operation. <b>(GM)</b> See <a href="#">Table 4.12</a> (xiv)	<b>Note:</b> An operator may conform to the twenty-five hours requirement of <a href="#">Table 4.11</a> (xiv) through Active Implementation (AI) as long as the Implementation Action Plan (IAP) projects conformance on or before 31 August 2026.
(xv)	Data Link Recorder (DLR)	Aircraft using datalink communications for the authorization and/or control of the aircraft flight path and for which the individual certificate of airworthiness was first issued on or after 1 January 2016.	A DLR that records the applicable data link messages is integrated with a CVR or an FDR, or with a combination FDR/CVR unit. <b>(GM)</b> See <a href="#">Table 4.12</a> (xv)	
		Aircraft using datalink communications for the authorization and/or control of the aircraft flight path, that: <ul style="list-style-type: none"> <li>• Have the individual aircraft certificate of airworthiness first issued before 1 Jan 2016, and</li> <li>• Had no approved modification available for DLC on the aircraft type (make/ model/ series) prior to 1 January 2016, and</li> <li>• Were modified on or after 1 Jan 2016 for such use.</li> </ul>		<b>Note:</b> Effective 1 September 2023, the previous recommended practice is upgraded to this standard; IOSA registration will require conformance by the Operator.  <b>Note:</b> An operator may conform to <a href="#">Table 4.11</a> (xv) requirements, for aircraft with individual aircraft certificate of airworthiness first issued before 1 Jan 2016, through Active Implementation (AI) as long as the Implementation Action Plan (IAP) projects conformance on or before 31 August 2026.

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**Table 4.11—Required Aircraft Systems and Equipment**

(xvi)	First aid kits	All aircraft.	One or more first aid kits located to be readily accessible for use by the flight crew and, if applicable, supernumeraries. <b>(GM)</b> See <a href="#">Table 4.13</a>	<b>Note:</b> This specification is applicable to commercial and/or non-commercial operations.
		Passenger aircraft	First aid kits distributed as evenly as practicable throughout the cabin to be readily accessible for use by crew members in the cabin. <b>(GM)</b> See <a href="#">Table 4.13</a>	
(xvii)	Seats and associated restraint devices	All aircraft.	Flight crew seats fitted with a safety harness for each flight crew member. <b>(GM)</b> See <a href="#">Table 4.12</a> (xvii)	<b>Note:</b> This specification is applicable to commercial and/or non-commercial operations.
		Passenger aircraft	A seat (or berth) for each person over a specific age as determined by the State, with each seat (or berth) fitted with a safety harness, seat belt or restraining device. <b>(GM)</b> See <a href="#">Table 4.12</a> (xvii)	
		Aircraft that transport supernumeraries	A seat fitted with a seat belt (or safety harness) for each supernumerary. <b>(GM)</b> See <a href="#">Table 4.12</a> (xvii)	
(xviii)	Cabin crew seats	Passenger aircraft operated with cabin crew.	Forward or rearward facing seats at each emergency evacuation station for use by cabin crew members. Such seats are located near floor level exits and fitted with a safety harness.	



**Table 4.11—Required Aircraft Systems and Equipment**

(xix)	Megaphones	Passenger aircraft with a seating capacity of more than 60 passengers operated with cabin crew.	<p>Portable battery-operated megaphones, stowed in a manner to be readily accessible for use by crew members.</p> <p>A number of megaphones in accordance with requirements of the Authority but not less than:</p> <ul style="list-style-type: none"> <li>(a) One megaphone for aircraft with more than 60 and less than 100 passenger seats;</li> <li>(b) Two megaphones for aircraft with 100 or more passenger seats.</li> </ul> <p><b>(GM)</b> <a href="#">Table 4.12</a> (xix)</p>	
(xx)	Life jacket or equivalent individual flotation device	Aircraft used for over-water flights with or without cabin crew.	<p>A minimum of one life jacket or equivalent individual flotation device for each person on board, with each life jacket or flotation device fitted with a means for electric illumination and stowed for easy accessibility from individual seating positions.</p> <p><b>(GM)</b> See <a href="#">Table 4.12</a> (xx)</p>	
(xxi)	Lifesaving rafts	Aircraft used for long-range over-water flights.	<p>Lifesaving rafts with sufficient capacity to accommodate all persons on board, with each raft stowed in a manner to facilitate ready use during a ditching emergency. Lifesaving rafts contain:</p> <ul style="list-style-type: none"> <li>(a) Life-sustaining equipment as appropriate to the flight to be undertaken;</li> <li>(b) Equipment for making pyrotechnical distress signals.</li> </ul>	<p><b>Note:</b> <i>This specification is applicable to all aircraft, except cargo aircraft that have been granted a specific exemption by the Authority.</i></p>

**Table 4.11—Required Aircraft Systems and Equipment**

(xxii)	Signaling devices and lifesaving equipment	Aircraft used for flights across land areas that have been designated by the state(s) concerned as areas in which search and rescue would be especially difficult.	Equipped with signaling devices and lifesaving equipment (including, means of sustaining life) in accordance with requirements of the applicable state(s).	
(xxiii)	Fire suppression system	Passenger aircraft with a cargo compartment that is accessible to crew members in flight.	Such compartments are equipped with, as applicable, either: (a) A built-in cargo compartment fire suppression system, or (b) A portable fire suppression system is available for use in such compartments by a crew member and/or appropriately qualified supernumeraries. <b>(GM)</b> <a href="#">Table 4.12</a> (xxiii)	
		Aircraft that have a cargo compartment not accessible to a crew member in flight, for which the application for certification was submitted on or after 2 March 2004.	Each cargo compartment is equipped with a built-in fire detection system and a built-in fire starvation or suppression system. <b>(GM)</b> See <a href="#">Table 4.12</a> (xxiii)	
(xxiv)	Cargo restraint system	All aircraft transporting cargo.	A cargo restraint system, which may include barriers, ULDs, nets, straps, chains, tie-downs and/or floor locks that prevent cargo from shifting and: (a) Blocking or reducing access to emergency exits; (b) Obstructing the flow of required fire retardants; (c) Interfering with design features of the aircraft critical to the safety of flight (e.g. flight controls).	

**Table 4.11–Required Aircraft Systems and Equipment**

(xxv)	Humane killer device, (if carried on board).	On cargo aircraft used in the transport of livestock, if humane killer device is carried on board.	Humane killer device stowed in a secure manner with only controlled access during flight.	
(xxvi)	Flight deck door	<p>Aircraft used for passenger flights with:</p> <ul style="list-style-type: none"> <li>• A maximum certificated takeoff mass in excess of 54 500 kg, or</li> <li>• Of a maximum certificated takeoff mass in excess of 45 500 kg and with a passenger seating capacity greater than 19, or</li> <li>• With a passenger seating capacity greater than 60.</li> </ul>	<p>An approved flight deck door that:</p> <p>(a) Is designed to resist penetration by small arms fire, grenade shrapnel or forcible intrusions by unauthorized persons.</p> <p>(b) Is capable of being locked and unlocked from either pilot station.</p> <p>(c) Has the associated means for monitoring the entire door area outside the flight crew compartment to identify persons requesting entry and to detect suspicious behavior or potential threat.</p> <p>(GM) See <a href="#">Table 4.12</a> (xxvi)</p> <p>(d) Has the means by which cabin crew members or other authorized persons can notify the flight crew in the event of suspicious activity or a security breach.</p> <p>(GM) See <a href="#">Table 4.12</a> (xxvi)</p>	<p><b>Note:</b> A smoke barrier or curtain is not acceptable for addressing this specification for a flight deck door.</p>
(xxvii)	Cabin emergency escape path marking system	Aircraft used for passenger flights with or without cabin crew, and with more than 9 passenger seats for which the individual certificate of airworthiness was first issued after 1 January 1958.	<p>A system that enables visual identification of the emergency escape paths and exits in darkness and conditions of reduced visibility.</p> <p>(GM) See <a href="#">Table 4.12</a> (xxvii)</p>	

**Table 4.11—Required Aircraft Systems and Equipment**

(xxviii)	Smoke detection system in lavatories	Aircraft used for passenger flights with or without cabin crew, and with 10 or more passenger seats.	A smoke detection system in the lavatories. <b>(GM)</b> See <a href="#">Table 4.12</a> (xxviii)	
(xxix)	Built in fire extinguisher in lavatories	Aircraft used for passenger flights with or without cabin crew, with 20 or more passenger seats, and for which the application for certification was submitted on or after 2 March 2004.	A built-in fire extinguisher system for each lavatory receptacle intended for the disposal of towels, paper or waste. <b>(GM)</b> See <a href="#">Table 4.12</a> (xxix)	
(xxx)	Autonomous distress position transmission system	Aircraft of a maximum certificated takeoff mass of over 27 000 kg for which the individual certificate of airworthiness is first issued on or after 1 January 2024.	<p>A system that autonomously transmits information from which aircraft position can be determined by the Operator at least once every minute when in distress and:</p> <ul style="list-style-type: none"> <li>(a) Automatically activates transmission of position information when the aircraft is sensed to be in distress;</li> <li>(b) Has a means for information transmission to be activated manually;</li> <li>(c) Transmits information that contains a time stamp;</li> <li>(d) In the event aircraft electrical power is lost, transmits position information for at least the expected duration of the entire flight.</li> </ul> <p><b>(GM)</b> See <a href="#">Table 4.12</a> (xxx)</p>	<p><b>Note:</b> Applicable aircraft shall be equipped with such system as of 1 January 2025.</p> <p><b>Note:</b> An operator may conform to the equipage date of applicable aircraft in <a href="#">Table 4.11 (xxx)</a> through Active Implementation (AI) as long as the Implementation Action Plan (IAP) projects conformance on or before 31 August 2026.</p>

**Table 4.12—Guidance Material: Required Aircraft Systems and Equipment**

(i)–(ii)	(Intentionally open)																							
(iii)	<p>The term “adjacent to” in the context of this standard means next to, close to or alongside the associated item.</p> <p>The intent of (iii) (g) is that a unit of PBE is installed in the supernumerary compartment for use in conjunction with the associated fire extinguisher.</p>																							
(iv)	<p>The requirements for hand-held fire extinguishers in this specification are applicable only to areas of the aircraft other than the flight deck. Specific requirements for the flight deck are found in <a href="#">Table 4.11</a> (iv) (a).</p> <p>The minimum number of hand-held fire extinguishers required for passenger aircraft is determined by the Authority and is typically based on the number of passengers the aircraft is authorized to carry.</p> <p>The following list provides the typical minimum numbers of hand-held fire extinguishers based on aircraft passenger seats:</p> <table><tr><th>Seats installed</th><th>Number of fire extinguishers</th><th>Seats installed</th><th>Number of fire extinguishers</th></tr><tr><td>7 to 30</td><td>One (1)</td><td>301 to 400</td><td>Five (5)</td></tr><tr><td>31 to 60</td><td>Two (2)</td><td>401 to 500</td><td>Six (6)</td></tr><tr><td>61 to 200</td><td>Three (3)</td><td>501 to 600</td><td>Seven (7)</td></tr><tr><td>201 to 300</td><td>Four (4)</td><td>601 or more</td><td>Eight (8)</td></tr></table>				Seats installed	Number of fire extinguishers	Seats installed	Number of fire extinguishers	7 to 30	One (1)	301 to 400	Five (5)	31 to 60	Two (2)	401 to 500	Six (6)	61 to 200	Three (3)	501 to 600	Seven (7)	201 to 300	Four (4)	601 or more	Eight (8)
Seats installed	Number of fire extinguishers	Seats installed	Number of fire extinguishers																					
7 to 30	One (1)	301 to 400	Five (5)																					
31 to 60	Two (2)	401 to 500	Six (6)																					
61 to 200	Three (3)	501 to 600	Seven (7)																					
201 to 300	Four (4)	601 or more	Eight (8)																					
(v)	<p>The intent of this specification is to ensure crash axes and/or crowbars are installed in accordance with:</p> <ul style="list-style-type: none"><li>• Applicable certification requirements (e.g. aircraft type certification or for issuance of the Air Operator Certificate);</li><li>• Applicable security requirements.</li></ul>																							
(vi)	<p>This specification is normally satisfied by the installation of a fixed light or torch attached to the aircraft structure, such as a “Grimes Light.”</p> <p>Operators wishing to use flight crew member flashlights to conform to the specifications of this specification need to demonstrate the means of ensuring the carriage, accessibility and serviceability of such flashlights.</p>																							
(vii)–(ix)	(Intentionally open)																							
(x)	<p>It is important to note that this specification does not refer to a specific ACAS II software version and that technical requirements related to the required ACAS software version vary widely and may be based on one or more of the following criteria:</p> <ul style="list-style-type: none"><li>• Date of issue of an aircraft’s individual certificate of airworthiness;</li><li>• Deadline for initial equipage or retrofit set by an applicable Authority;</li><li>• Area(s) of operation, including operations over the high seas or under the jurisdiction of an authority other than the Authority of the operator;</li><li>• Type of airspace (e.g. RVSM).</li></ul> <p>Technical guidance for the operational requirements applicable to ACAS II is contained in one or more of the following documents as relevant to the operations conducted by the operator:</p> <ul style="list-style-type: none"><li>• ICAO Annex 10, Volume IV;</li><li>• FAA InFO (Information for Operators) 12010 dated 06/26/12;</li><li>• FAA Booklet “Introduction to TCAS II Version 7.1” dated 02/28/11;</li><li>• FAA Advisory Circular AC 120-55C (Air Carrier Operational Approval and Use of TCAS II) dated 03/18/13;</li></ul> <p>Commission Regulation (EU) No 1332/2011 of 16 December 2011–“Laying down common airspace usage requirements and operating procedures for airborne collision avoidance.”</p>																							

**Table 4.12—Guidance Material: Required Aircraft Systems and Equipment**

(xi)	(Intentionally open)
(xii)	<p>A GPWS provides a warning when it senses the aircraft is in close proximity to the earth's surface and not in the landing configuration, which typically means the landing gear is not down and locked, and/or the flaps are not in a landing position.</p> <p>Different systems are available and acceptable as a GPWS with a forward-looking terrain avoidance (FLTA) function, as specified in item ii) of this specification. The following guidance is an overview only; it is not to be construed as technical specifications for an acceptable system.</p> <p>A GPWS with a FLTA function could also be known as a predictive terrain awareness and warning system (TAWS), and provides:</p> <ul style="list-style-type: none"> <li>• A forward-looking capability and terrain clearance floor;</li> <li>• The flight crew, by means of visual and aural signals, and a terrain awareness display, with an alerting time necessary to prevent controlled flight into terrain events.</li> </ul> <p>An acceptable system provides a forward-looking capability and terrain clearance floor protection in areas of operations and surrounding airports of intended use. Such systems generally have:</p> <ul style="list-style-type: none"> <li>• A navigation system that provides accurate aircraft position (e.g. GPS or equivalent);</li> <li>• A means of displaying aircraft and terrain information;</li> <li>• A means of providing visual and aural signals;</li> <li>• A terrain database(s) for all areas of potential operations and surrounding airports of intended use.</li> </ul> <p>If an obstacle database is commercially available and obstacle detection/display functionality is installed, an obstacle database for all areas of potential operations is used in conformity with <a href="#">FLT 4.2.7</a>.</p>
(xiii)	(Intentionally open)
(xiv)	The Note and the AI statement in the 5th column of <a href="#">Table 4.11</a> (xiv) are relevant to both applicable aircraft categories specified in the 3rd column.
(xv)	<p>Applicable data link messages as specified in the Requirement column would be those messages related to the authorization and/or control of the aircraft flight path.</p> <p>The use of Aircraft Communication Addressing and Reporting System (ACARS) Air Traffic Services (ATS) supported application Pre-Departure Clearance (PDC) is different from the use of Controller-Pilot Data Link Communication-Departure Clearance (CPDLC-DCL) and does not require to be recorded by the DLR.</p> <p>The minimum recording duration of the DLR is typically equal to the recording duration of the CVR.</p>
(xvi)	(Intentionally open)
(xvii)	The safety harness typically incorporates a device that will automatically restrain the occupant's torso in the event of rapid deceleration.
(xviii)	(Intentionally open)
(xix)	<p>If located in overhead bins or other cabin compartments, megaphones, in order to be readily accessible, would be kept free from and/or not covered by cabin baggage, cabin supplies or other items.</p> <p>The intent of this provision is that aircraft are equipped with no less than the specified number of megaphones. If a greater number of megaphones is required by the Authority, then the operator would have to be in compliance with the requirement of the Authority.</p>
(xx)	<p>Refer to the IRM for the definition of Over-water Flights.</p> <p>Seat cushions that are designed to float may be considered individual flotation devices.</p> <p>State regulations might permit baby survival cots or infant life jackets to be stowed together in one or more common cabin locations (e.g. in a bustle or doghouse) on passenger aircraft.</p>

**Table 4.12—Guidance Material: Required Aircraft Systems and Equipment**

	Under such circumstances, an operator would typically have procedures to ensure such items are handed to the parents of infants when required.
(xxi)–(xxii)	(Intentionally open)
(xxiii)	<p>This specification is applicable to passenger aircraft only and is intended to ensure a means of fire suppression in cargo compartments accessible to crew members.</p> <p>For the purposes of this specification, “in flight” is defined as the period that starts the moment the aircraft is ready to move for the purpose of taking off and ends the moment it finally comes to rest at the end of the flight and the engine(s) are shut down.</p> <p>Ideally, the fire detection system and fire starvation or suppression system as specified in this standard would be designed to account for a sudden and extensive fire that could be caused by an explosive or incendiary device, or by dangerous goods.</p> <p>Refer to the guidance associated with <a href="#">FLT 1.12.2</a> for the hazards relevant to the conduct of aircraft operations that are typically addressed as part of a safety risk assessment and mitigation program.</p>
(xxiv)–(xxv)	(Intentionally open)
(xxvi)	<p>Item (b): The design of the reinforced flight deck door typically takes into account safety requirements, such as decompression panels, emergency exit capability for the flight crew and emergency access for rescuers. Also, a secondary locking device, such as a deadbolt or cross bar, is installed in case the automated locking device is defective.</p> <p>The aircraft MEL would contain any restrictions pertinent to use of the door in line operations, including, if applicable, a secondary locking system.</p> <p>Item (c): For monitoring the area outside the flight deck door, a closed-circuit television (CCTV) system is an acceptable method of conformance. However, a CCTV system is not required in order to conform to this provision. Implementation of other procedural methods in accordance with applicable regulations is also considered acceptable.</p> <p>Item (d): This specification requires a system or device(s) for use by the cabin crew or other authorized persons to notify the flight crew of any security compromise in the cabin.</p>
(xxvii)	An escape path marking system typically consists of any type of illumination that is designed to facilitate the evacuation of the aircraft.
(xxviii)	In certain regulatory jurisdictions there is typically a requirement for the lavatory smoke detection system to provide a warning that can be readily detected by the flight and/or cabin crew.
(xxix)	In certain regulatory jurisdictions there is typically a requirement for the fire extinguisher to discharge automatically into each lavatory waste receptacle in the event of a fire.
(xxx)	An aircraft is in a distress condition when it is in a state that, if the aircraft behavior event is left uncorrected, can result in an accident. Examples of aircraft behavior events that could activate distress information transmission include, but are not limited to, unusual attitudes, unusual speed conditions, collision with terrain and total loss of thrust/propulsion on all engines and ground proximity warnings.



**Table 4.13—Guidance Material: First Aid Kits**

The minimum number of first aid kits required for passenger aircraft is determined by the Authority and is typically based on the number of passengers the aircraft is authorized to carry.

The following list provides typical minimum numbers of cabin first aid kits based on passenger seats:

Seats installed	Number of first aid kits	Seats installed	Number of first aid kits
100 or fewer	One (1)	301 to 400	Four (4)
101 to 200	Two (2)	401 to 500	Five (5)
201 to 300	Three (3)	501 or more	Six (6)

The contents of an aircraft first aid kit would typically include:

- List of kit contents;
- Antiseptic swabs (10/packs);
- Bandage, adhesive strips;
- Bandage, gauze 7.5 cm × 4.5 m;
- Bandage, triangular 100 cm folded and safety pins;
- Dressing, burn 10 cm × 10 cm;
- Dressing, compress, sterile 7.5 cm × 12 cm approx.;
- Dressing, gauze, sterile 10.4 cm × 10.4 cm approx.;
- Adhesive tape, 2.5 cm (roll);
- Skin closure strips;
- Hand cleanser or cleansing towelettes;
- Pad with shield or tape for eye;
- Scissors, 10 cm (if permitted by applicable regulations);
- Adhesive tape, surgical 1.2 cm × 4.6 m;
- Tweezers, splinter;
- Disposable gloves (several pairs);
- Thermometers (non-mercury);
- Resuscitation mask with one-way valve;
- First aid manual (an operator may decide to have one manual per aircraft in an easily accessible location);
- Incident record form.

**Note:** First aid kit does not normally include ammonia inhalants.

If permitted by applicable regulations, first aid kits could include the following medications:

- Mild to moderate analgesic;
- Antiemetic;
- Nasal decongestant;
- Antacid;
- Antihistaminic;
- Antidiarrheal.

In states where regulations do not allow any medications in the first aid kit, affected operators may carry an extra kit containing the above medications to be used passively (i.e. only given to a passenger on specific request by the passenger).

**Table 4.14—Recommended Aircraft Systems and Equipment**

Aircraft in the Operator's fleet *should* be equipped with, in accordance with conditions of applicability, the systems and equipment specified in this table. Where referenced, refer to guidance material in [Table 4.15](#).

	Equipment	Applicability	Recommendation	Notes
(i)	Emergency Locator Transmitters (ELTs)	All aircraft.	A minimum of one automatic ELT that operates on 121.5 and 406 MHz simultaneously.	<b>Note:</b> This specification applies to aircraft engaged in all types of operations, regardless of any exemptions or authorizations issued by the Authority or other applicable authorities.
(ii)	Cockpit Voice Recorder (CVR)	Aircraft of a maximum certificated take-off mass of over 27 000 kg for which the individual certificate of airworthiness is first issued on or after 1 January 2018	An alternate power source that powers at least one CVR <b>(GM)</b> See <a href="#">Table 4.15</a> (i)	
(iii)	Airborne Collision Avoidance System II (ACAS II)	All aircraft.	Equipped with an ACAS II using software version 7.1. <b>(GM)</b> See <a href="#">Table 4.15</a> (ii)	
(iv)	Forward-looking wind shear warning system	All aircraft.	Equipped with a forward-looking wind shear warning system	
(v)	Flight deck door	All aircraft used for passenger flights.	Equipped, where practicable, with an approved flight deck door that is: (a) Capable of being locked and unlocked from either pilot station; (b) Designed to resist penetration by small arms fire, grenade shrapnel or forcible intrusions by unauthorized persons.	

**Table 4.14—Recommended Aircraft Systems and Equipment**

(vi)	Data Link Recorder (DLR)	<p>Aircraft using datalink communications for the authorization and/or control of the aircraft flight path that:</p> <ul style="list-style-type: none"> <li>• Have the individual aircraft certificate of airworthiness first issued before 1 January 2016, and</li> <li>• Had an approved modification available for DLC on the aircraft type (make/model/series) prior to 1 January 2016, and</li> <li>• Were modified on or after 1 January 2016 for such use.</li> </ul>	<p>A DLR that records the applicable data link messages is integrated with a CVR or an FDR or with a combination FDR/CVR unit. (GM) See <a href="#">Table 4.15 (v)</a></p>	<p><b>Note:</b> <i>This recommended practice will not be upgraded to a standard.</i></p>
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**Table 4.14—Recommended Aircraft Systems and Equipment**

(vii)	Autonomous distress position transmission system	Aircraft of a maximum certificated takeoff mass of over 5 700 kg for which the individual certificate of airworthiness is first issued on or after 1 January 2023.	<p>A system that autonomously transmits information from which aircraft position can be determined by the Operator at least once every minute when in distress and:</p> <ul style="list-style-type: none"> <li>(a) Automatically activates transmission of position information when the aircraft is sensed to be in distress;</li> <li>(b) Has a means for information transmission to be activated manually;</li> <li>(c) Transmits information that contains a time stamp;</li> <li>(d) In the event aircraft electrical power is lost, transmits position information for at least the expected duration of the entire flight.</li> </ul> <p><b>(GM)</b> See <a href="#">Table 4.15</a> (vi)</p>	
(viii)	Runway Overrun Awareness and Alerting System (ROAAS)	All turbine-engined aircraft of a maximum certificated takeoff mass of over 5 700 kg for which the individual certificate of airworthiness is first issued on or after 1 January 2026.		<p><b>Note:</b> Effective 1 September 2025, this recommended practice will be upgraded to a standard; IOSA registration will require conformance by the Operator.</p>

**Table 4.15—Guidance Material: Recommended Aircraft Systems and Equipment**

(i)	An alternate power source automatically engages and provides ten minutes, plus or minus one minute, of operation whenever aircraft power to the CVR is lost, either by normal shutdown or other occurrence. The alternate source is typically located as close as practicable to the CVR and powers the CVR and its associated flight deck area microphone components.
(ii)	The intent of this specification is to encourage the earliest practicable deployment of ACAS II with software version 7.1. It is recognized, however, that ACAS software version requirements vary widely based on the criteria contained in the Guidance Material found in <a href="#">Table 4.12</a> (vii).
(iii)–(iv)	(Intentionally open)
(v)	Applicable data link messages as specified in the Requirement column would be those messages related to the authorization and/or control of the aircraft flight path. The minimum recording duration of the DLR is typically equal to the recording duration of the CVR.
(vi)	An aircraft is in a distress condition when it is in a state that, if the aircraft behavior event is left uncorrected, can result in an accident. Examples of aircraft behavior events that could activate distress information transmission include, but are not limited to, unusual attitudes, unusual speed conditions, collision with terrain and total loss of thrust/propulsion on all engines and ground proximity warnings.

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IT'S SAFER  
TO KNOW**

**IMPROVE YOUR  
SAFETY CULTURE  
WITH MEASUREABLE,  
ACTIONABLE AND  
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RESULTS**

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## Section 5 — Cabin Operations (CAB)

### Applicability

**Section 5** addresses the safety and security requirements associated with the aircraft passenger cabin. All standards and recommended practices (ISARPs) in this section are applicable to an operator that conducts passenger flights with cabin crew.

Individual CAB provisions or sub-specifications within a CAB provision that:

- Do not begin with a conditional phrase are applicable unless determined otherwise by the Auditor.
- Begin with a conditional phrase “If the Operator...” are applicable if the Operator meets the condition(s) stated in the phrase.
- Begin with a conditional phrase “If the Operator conducts passenger flights with or without cabin crew...” are applicable if the Operator conducts passenger flights without cabin crew.

Additional ISARPs applicable to an operator that conducts passenger flights without cabin crew are located in **Section 2 (FLT)** of this manual.

Specifications applicable to the carriage of supernumeraries are located in **Section 2 (FLT)** of this manual.

Where an operator outsources the performance of cabin operations functions to external service providers, the operator retains overall responsibility for ensuring the management of safety in such operations and must demonstrate processes for monitoring applicable external service providers in accordance with **CAB 1.10.2**.

### General Guidance

Definitions of technical terms used in this ISM **Section 5**, as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

Refer to the IATA Cabin Operations Best Practices Guide for practical information and guidance related to cabin safety policies and procedures, (<http://www.iata.org/publications/Pages/cabin-safety-guide.aspx>).

## 1 Management and Control

### 1.1 Management System Overview

#### CAB 1.1.1

The Operator shall have a management system for the cabin operations organization that ensures control of cabin crew operations in the passenger cabin and the management of safety and security outcomes. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** management system structure for cabin operations.
- ☐ **Interviewed** manager of CAB operations.
- ☐ **Assessed** status of conformity with all other CAB management system ISARPs.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Cabin Crew, Operations and Operator.

Refer to Guidance associated with **ORG 1.1.1** located in ISM Section 1.

**CAB 1.1.2**

The Operator shall have a manager for cabin operations that:

- (i) If required, is a post holder acceptable to the Authority;
- (ii) Has the authority and is responsible for the management and supervision of all cabin operations activities;
- (iii) Is responsible for the management of safety and security risks to cabin operations. **(GM) ◀**

**Auditor Actions**

- ☐ **Identified** manager for cabin operations.
- ☐ **Examined** regulatory requirement for a post holder as manager for cabin operations.
- ☐ **Examined** job description of manager for cabin operations (authority/accountabilities/responsibilities).
- ☐ **Interviewed** manager of cabin operations.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Post Holder.

The term “manager” is generic; the actual title associated with this position will vary with each operator.

The manager for cabin operations might be referred to as a post holder, director or other title as specified by the State.

In certain regulatory jurisdictions the individual that fills the position of manager of cabin operations may require nomination as a director or post holder as specified in [ORG 1.1.3](#).

**1.2 Accountability, Authorities and Responsibilities****CAB 1.2.1**

The Operator shall ensure the cabin operations management system defines the safety accountability, authorities and responsibilities of management and non-management personnel that perform functions relevant to the safety and/or security of cabin operations. The management system shall also specify:

- (i) The levels of management with the authority to make decisions regarding risk tolerability with respect to the safety and/or security of cabin operations;
- (ii) Responsibilities for ensuring cabin operations are conducted in accordance with applicable regulations and standards of the Operator;
- (iii) Lines of accountability throughout cabin operations, including direct accountability for safety and/or security on the part of cabin operations senior management. **[SMS] (GM) ◀**

**Auditor Actions**

- ☐ **Identified/Assessed** defined safety accountability/authorities/responsibilities (focus: applicable to management/non-management personnel throughout cabin operations organization).
- ☐ **Interviewed** cabin operations manager and/or designated management representative(s).
- ☐ **Examined** job descriptions of selected management/non-management personnel in cabin operations.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to Guidance associated with [ORG 1.3.1](#) located in ISM Section 1 for expanded information regarding accountability, authority and responsibility as applicable to management and non-management personnel.

### CAB 1.2.2

The Operator shall have a process or procedure for the delegation of duties within the cabin operations management system that ensures managerial continuity is maintained when operational managers including, if applicable, post holders are unable to carry out work duties. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** processes for delegation of duties when cabin operations managers are absent.
- ☐ **Interviewed** cabin operations manager and/or designated management representative(s).
- ☐ **Examined** example(s) of delegation of duties due to absence of managers.
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is for an operator to have a process or procedure that ensures a specific person (or perhaps more than one person) is identified to assume the duties of any operational manager that is or is expected to be, for any reason, unable to accomplish assigned work duties.

For the purpose of this provision, the use of telecommuting technology and/or being on call and continually contactable are acceptable means for operational managers to remain available and capable of carrying out assigned work duties.

Refer to Guidance associated with [ORG 1.3.2](#) located in ISM Section 1, which addresses the performance of work duties and the use of telecommuting technology and/or being on call and continually contactable.

### CAB 1.2.3

The Operator shall ensure a delegation of authority and assignment of responsibility within the management system for liaison with regulatory authorities, original equipment manufacturers and other external entities relevant to cabin operations. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified** cabin operations management individuals with authority for liaison with regulators and other external entities.
- ☐ **Interviewed** cabin operations manager/designated management representative(s).
- ☐ **Examined** selected records of liaison with regulators and other external entities.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to Guidance associated with [ORG 1.3.3](#) located in ISM Section 1.

### CAB 1.2.4

The Operator shall ensure the duties and responsibilities of cabin crew members are defined and described in the Operations Manual (OM). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** defined cabin crew member duties and responsibilities in the OM.
- ☐ **Interviewed** cabin operations manager/designated management representative(s).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Cabin Crew Member and Operations Manual (OM).

The intent of this provision is that OM documentation describes:

- Duties and responsibilities for cabin crew members, including, if applicable, cabin crew leader;
- Chain and succession of command on board the aircraft.

**CAB 1.2.5**

The Operator shall ensure cabin crew members maintain familiarity with laws, regulations and procedures pertinent to the performance of their duties. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** method for ensuring cabin crew members maintain familiarity with applicable laws, regulation and procedures.
- ☐ **Interviewed** cabin operations manager/designated management representative(s).
- ☐ **Other Actions** (Specify)

**Guidance**

An operator might use other methods that complement training to ensure cabin crew members remain knowledgeable of the laws, regulations, rules, guidelines and other information that is relevant in the performance of duties. For example, cabin crew members might have destination-specific information or briefing books that explain the customs and immigration processes associated with flying into foreign destinations. Additionally, laws, regulations and procedures might be reviewed to the extent necessary during cabin crew briefings prior to duty assignments.

**1.3 Communication****CAB 1.3.1**

The Operator shall have a system that enables effective communication of relevant safety and operational information throughout the cabin operations management system and in all areas where cabin operations are conducted. Such system shall ensure:

- (i) Personnel maintain an awareness of the SMS;
- (ii) Safety-critical information is conveyed;
- (iii) If applicable, external service providers are provided with information relevant to operations conducted. **[SMS] (GM) ◀**

**Auditor Actions**

- ☐ **Identified/Assessed** system(s) for communication of information relevant to operations within the cabin operations organization.
- ☐ **Interviewed** cabin operations manager/designated management representative(s).
- ☐ **Examined** examples of information communication/transfer in cabin operations.
- ☐ **Interviewed** non-management cabin crew members.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to Guidance associated with [ORG 4.2.1](#) located in ISM Section 1 for expanded information regarding methods of communication.

**CAB 1.3.2**

The Operator shall have processes to ensure information relevant to cabin crew policies, procedures and responsibilities is communicated to all cabin crew members, and to ensure essential operational information or guidance is communicated to the cabin crew prior to each flight. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** process(es) for communication of information relevant policies/procedures/responsibilities to cabin crew members prior to each flight.
- ☐ **Interviewed** cabin operations manager/designated management representative(s).
- ☐ **Examined** examples of information provided to cabin crew members prior to flight.

- ☐ **Observed** line cabin operations (focus: cabin crew has received essential operational information/guidance prior to flight).
- ☐ **Other Actions** (Specify)

### Guidance

Processes are in place to ensure information regarding policies, procedures and responsibilities is made available to cabin crew members on a regular and timely basis. Vehicles for communication typically include the OM, operations bulletins, bulletin board notices, safety bulletins, electronic platforms, electronic computer messages, telephone calls or any other effective means.

Also, a process is in place to ensure essential information necessary for the safe conduct of a flight is communicated to the cabin crew prior to the departure of each flight or series of flights. Such process would include a means for cabin crew members to acknowledge receipt of essential information. Written or verbal confirmation to a responsible manager that is recorded is considered an acceptable means of acknowledgement.

## 1.4 Provision of Resources

### CAB 1.4.1

The Operator shall have the necessary facilities, workspace, equipment and supporting services, as well as work environment, to satisfy cabin operations safety and security requirements. **(GM)** ◀

**Note:** *Conformity with this provision does not require specifications to be documented by the Operator.*

### Auditor Actions

- ☐ **Observed/Assessed** physical facilities/workspace/equipment/work environment.
- ☐ **Interviewed** cabin operations manager/designated management representative(s).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 1.5.2](#) located in ISM Section 1.

Implementation (i.e. adequacy of physical resources and work environment) is typically assessed through observations made by the auditor during the course of the on-site audit.

### CAB 1.4.2

The Operator shall have a selection process for management and non-management positions within cabin operations organization that require the performance of functions relevant to the safety or security of cabin operations. Such process shall ensure candidates are selected on the basis of knowledge, skills, training and experience appropriate for the position. **(GM)** ◀

### Auditor Actions

- ☐ **Identified/Assessed** standards and processes for selection of personnel in functions relevant to safety/security in cabin operations.
- ☐ **Interviewed** cabin operations manager/designated management representative(s).
- ☐ **Interviewed** personnel that perform functions relevant to the safety/security of in cabin operations.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 1.5.3](#) located in ISM Section 1.

The operational positions subject to the specifications of this provision typically include those management personnel required to ensure control and supervision of cabin operations in accordance with [CAB 1.1.1](#), as defined by the operator or Authority.

A corporate personnel selection policy that applies to all operational areas of the organization serves to satisfy specifications in this provision.

## 1.5 Documentation System

**CAB 1.5.1** (Intentionally open)

**CAB 1.5.2** (Intentionally open)

### **CAB 1.5.3**

The Operator shall have a system for the management and control of documentation and/or data used directly in the conduct or support of cabin operations. Such system shall ensure documentation:

- (i) Meets all required elements specified in [Table 1.1](#);
- (ii) Contains legible and accurate information;
- (iii) Is presented in a format appropriate for use in cabin operations. **(GM)** ◀

#### **Auditor Actions**

- ☐ **Identified/Assessed** management and control system for documentation used in cabin operations.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected parts of the cabin OM (focus: legibility/accuracy/format; approval as applicable).
- ☐ **Other Actions** (Specify)

#### **Guidance**

Refer to the IRM for the definitions of Documentation, Electronic Documentation and Paper Documentation. Refer to [ORG 2.5.1](#) and associated Guidance, and [Table 1.1](#), located in ISM Section 1.

## 1.6 Operations Manual (OM)

### **CAB 1.6.1**

The Operator shall have an Operations Manual (OM), which may be issued in separate parts, that contains the policies, procedures and other guidance or information necessary for cabin crew members to perform their duties and be in compliance with applicable regulations, laws, rules and Operator standards. The content of the OM shall be in accordance with specifications in [Table 5.1](#). **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** cabin OM or, if applicable, separate documents that comprise the OM.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected sections or parts of the cabin OM.
- ☐ **Other Actions** (Specify)

#### **Guidance**

Refer to the IRM for the definition of Practical Manual.

The complete content of the OM for cabin operations may be issued in more than one document or manual. For example, an operator might choose to issue a practical manual, which would be a controlled document and considered part of the OM. A practical manual, which might be referred to as a quick reference handbook (QRH), typically comprises checklists and other selected information and material taken directly from the OM. Such document is typically used by cabin crew members in performing onboard duties and procedures during normal, abnormal and/or emergency operations.

Likewise, whereas the operational and training areas of cabin operations specified in [Table 5.1](#) are all included in the OM, they are typically issued in separate documents. For example, the cabin crew training program might be outlined in a training document, while policies, procedures, checklists are specified in operational documents.

**CAB 1.6.2**

If required by the Authority, the Operator shall have a process to ensure the OM, including updates and revisions, is submitted for acceptance or approval. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** process(es) for submission of OM, including updates/revisions, to Authority for acceptance/approval.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** examples of acceptance/approvals of recent revisions to the cabin (OM).
- ☐ **Other Actions** (Specify)

**Guidance**

The OM contains a list of effective pages and, if applicable, displays evidence of approval or acceptance by the Authority.

The manual (or revisions) is (are) typically accepted or approved, as applicable, prior to issuance to cabin crew members and before any operational procedures contained in the manual are implemented.

In some states, the regulatory authority might have a passive process for providing acceptance of the manual. In such case, the process defines the procedural steps and provides a record of the completed steps and date of acceptance.

**CAB 1.6.3**

The Operator shall have a process to ensure cabin crew members are issued or have direct access to, as a minimum, those parts of the OM that address duties and responsibilities relevant to the safety and security of cabin operations. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** process(es) for ensuring cabin crew members are issued or have direct access to relevant parts of cabin OM.
- ☐ **Interviewed** cabin operations manager and/or designated management representative(s).
- ☐ **Examined** parts of OM that require direct access by cabin crew members during flight.
- ☐ **Observed** line cabin operations (focus: cabin crew has direct access to parts of OM with duties/responsibilities relevant to safety/security of cabin operations).
- ☐ **Other Actions** (Specify)

**Guidance**

The specifications in this provision are applicable to the OM whether issued or accessible in paper or electronic form.

**CAB 1.6.4**

The Operator shall have a process to ensure holders of the OM enter the most current amendments or revisions into the manual and maintain the manual in an up-to-date condition. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** process(es) that ensure cabin crew members record/enter revisions/amendments to OM to maintain up-to-date condition.
- ☐ **Identified/Assessed** process(es) for checking cabin crew member OM's (focus: validation that OM are maintained in up-to-date condition).
- ☐ **Interviewed** cabin operations manager/designated management representative(s).
- ☐ **Observed** line cabin operations (focus: cabin crew member OM amendments/revisions are up to date).
- ☐ **Other Actions** (Specify)



**Guidance**

When the OM is issued in paper form, a process (checking or other methods) is designed to ensure the manual is kept up to date by individual cabin crew members. For example, a process could be established whereby a periodic check of the OM of each cabin crew member is conducted on a scheduled basis (e.g. during recurrent training, line evaluation or preflight briefing).

When the OM is made accessible in electronic form, a process (checking or other method) is designed to ensure the electronically accessed manual is up to date.

The operator is responsible for amending onboard paper or electronic manuals. The cabin crew can cross check updates to either type of manual during their preflight check to ensure it contains the most recent updates, revisions and information.

**CAB 1.6.5**

The Operator shall ensure a minimum of one complete version of the OM as specified in [CAB 1.6.1](#) is accessible on board the aircraft for passenger flights and located in a manner that provides for:

- (i) If used directly for the conduct of cabin operations, immediate access by each cabin crew member;
- (ii) If used as a reference document only, unobstructed access by the cabin crew. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** onboard availability/access of OM to cabin crew members.
- ☐ **Interviewed** cabin operations manager/designated management representative(s).
- ☐ **Observed** line cabin operations (focus: onboard accessibility of complete version of OM).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of Electronic Flight Bag (EFB), Practical Manual.

The number of complete OMs on board the aircraft would be determined by how the manual is used by the cabin crew.

It is not envisaged that the cabin crew would refer to the OM during an emergency situation or when an immediate response is required (e.g. during critical stages of flight). Therefore, there is no requirement for the OM to be immediately available to cabin crew members while they are seated in crew seats.

The onboard OM may be in the form of hard printed copies or as electronic media installed on fixed or portable electronic devices.

Provision of the OM electronically, either within an Electronic Flight Bag (EFB) or installed on cabin crew personal electronic devices, can offer more immediate availability of the OM to cabin crew members within their working environment or on their person. In any case, one or more access terminals or devices would be located so the cabin crew has immediate and/or unobstructed access to the OM as applicable to the way the manual is used, the size of the aircraft, and the number of cabin crew members.

A safety risk assessment would typically be conducted to determine appropriate mitigations, policies and procedures to ensure sufficient charging of the device(s) for the duration of the flight and to address the possibility of a device malfunction preventing access to the OM.

Item (i) specifies the use of the onboard OM directly for the conduct of cabin operational functions (e.g. using checklists, making cabin announcements). When the OM is used in this manner, because each cabin crew member will require access at any time to perform their duties, it might be necessary to have more than one copy available depending on the size of the aircraft and the number of cabin crew members.

Item (ii) specifies the use of the onboard OM only as a reference manual, which would occur when a practical manual is used directly for the conduct of cabin operational functions (see [CAB 1.6.7](#)). For example, the OM might be used as a reference to perform a more detailed check of a policy or process. Where the OM is used only as a reference, a minimum of one copy, either electronic or

printed, would be required and located so cabin crew members always has access. The flight deck may be an acceptable location for the OM if there are no other suitable locations within the cabin.

### CAB 1.6.6

The Operator shall ensure information in the OM pertaining to cabin crew duties and responsibilities is published in the designated common language(s) of the Operator, as specified in [CAB 3.1.3](#).

#### Auditor Actions

- ☐ **Identified/Assessed** use of designated common language(s) to present OM information pertaining to cabin crew duties/responsibilities.
- ☐ **Interviewed** cabin operations manager/designated management representative(s).
- ☐ **Examined** parts of OM published in designated common language.
- ☐ **Observed** line cabin operations (focus: OM published in designated common language).
- ☐ **Other Actions** (Specify)

### CAB 1.6.7

If the Operator publishes a practical manual for use by the cabin crew in the performance of cabin operations duties, the Operator shall ensure one or more copies of the up-to-date practical manual are on board the aircraft for passenger flights and located in a manner that provides for immediate access by each cabin crew member. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** onboard availability/access of practical manual to cabin crew members.
- ☐ **Interviewed** cabin operations manager/designated management representative(s).
- ☐ **Examined** practical manual used by cabin crew members.
- ☐ **Observed** line cabin operations (if applicable) (focus: one or more copies of up-to-date practical manual on board; cabin crew has immediate access to practical manual).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Practical Manual.

A practical manual (or QRH, QRM) is a condensed version of the OM designed for use by personnel in conducting frontline operations. It contains selected reference information, policies, procedures, illustrations, memory aids, checklists and/or other material necessary from the OM to ensure standardization in performing normal duties and addressing non-normal, abnormal and/or emergency situations.

A practical manual is typically required to be in the possession of each individual cabin crew member in electronic or printed format, or available at each cabin crew station or other location that ensures immediate access by each cabin crew member.

## 1.7 Records System

### CAB 1.7.1

The Operator shall have a system for the management and control of cabin operations records to ensure the content and retention of such records is in accordance with requirements of the Authority, as applicable, and to ensure operational records are subjected to standardized processes for:

- (i) Identification;
- (ii) Legibility;
- (iii) Maintenance;
- (iv) Retrieval;
- (v) Protection, integrity and security;
- (vi) Disposal, deletion (electronic records) and archiving. **(GM)** ◀

**Auditor Actions**

- ☐ **Identified/Assessed** management and control system for operational records in cabin operations.
- ☐ **Examined** regulatory requirement(s) for management/control of operational records in cabin operations.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected operational records in cabin operations.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to guidance associated with [ORG 2.6.1](#) located in ISM Section 1.

**CAB 1.7.2**

If the Operator uses an electronic system for the management and control of cabin operations records, the Operator shall ensure the system provides for a scheduled generation of backup record files. **(GM)** ◀

**Auditor Actions**

- ☐ **Identified/Assessed** management and control system for electronic records in cabin operations.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected record(s) of backup files for electronic records.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to Guidance associated with [ORG 2.6.2](#) located in ISM Section 1.

**1.8 (Intentionally open)****1.9 Quality Assurance Program****CAB 1.9.1**

The Operator shall have a quality assurance program that provides for the auditing and evaluation of the cabin operations management system and operational functions at planned intervals to ensure the organization is:

- (i) Complying with applicable regulations and standards;
- (ii) Satisfying stated operational needs;
- (iii) Identifying areas requiring improvement;
- (iv) Identifying hazards to operations;
- (v) Assessing the effectiveness of safety risk controls. **[SMS] (GM)** ◀

**Auditor Actions**

- ☐ **Identified/Assessed** quality assurance program in cabin operations (focus: role/purpose within organization/SMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management/operational areas).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Interviewed** selected operational managers (focus: interface with quality assurance program).
- ☐ **Examined** selected cabin operations audit reports (focus: audit scope/process/organizational interface).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Quality Assurance (QA).

Refer to Guidance associated with [ORG 2.1.1](#) located in ISM Section 1 for typical audit program requirements.

The specifications of this provision would typically apply to periodic audits of the training program, whether training is conducted by the operator or outsourced to an external service provider.

Audits are conducted at intervals that meet the requirements of the operator and/or the Authority.

### **CAB 1.9.2**

The Operator shall have a process to ensure significant issues arising from cabin operations quality assurance and risk management are subject to management review in accordance with [ORG 4.1.1](#). **[SMS] (GM) ◀**

#### **Auditor Actions**

- ☐ **Identified/Assessed** process for management review of cabin operations quality assurance issues (focus: continual improvement of quality assurance program).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected records/documents of management review of cabin operations quality assurance program issues (focus: specific issues/changes identified and implemented to improve quality assurance program).
- ☐ **Other Actions** (Specify)

#### **Guidance**

Significant issues are typically defined by the individual operator and are regarded as those issues that could impact the safety, security and/or quality of cabin operations.

Refer to [ORG 4.1.1](#), [4.1.2](#), and associated guidance located in ISM Section 1.

### **CAB 1.9.3**

The Operator shall have a process for addressing findings that result from audits conducted under the quality assurance program, which ensures:

- (i) Identification of root cause(s);
- (ii) Development of corrective action as appropriate to address findings;
- (iii) Implementation of corrective action in appropriate area(s) of cabin operations;
- (iv) Evaluation of corrective action to determine effectiveness. **(GM) ◀**

#### **Auditor Actions**

- ☐ **Identified/Assessed** process for addressing/closing cabin operations audit findings.
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected audit reports/records (focus: identification of root cause, development/implementation of corrective action, follow-up to evaluate effectiveness).
- ☐ **Other Actions** (Specify)

#### **Guidance**

Refer to Guidance associated with [ORG 2.1.7](#) located in ISM Section 1.

### **CAB 1.9.4**

The Operator shall have an audit planning process and sufficient resources to ensure audits of cabin operations are:

- (i) Scheduled at intervals to meet regulatory and management system requirements;
- (ii) Conducted within the scheduled interval. **(GM) ◀**

#### **Auditor Actions**

- ☐ **Identified/Assessed** quality assurance audit planning process in cabin operations (focus: audits planned/scheduled/conducted in accordance with applicable internal/external requirements).

- ☐ **Identified/Assessed** audit resources (focus: availability of sufficient auditors/other resources to accomplish audit plan).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Crosschecked** audit plan with selected audit reports to verify adherence to plan (focus: audits conducted in accordance with audit plan).
- ☐ **Other Action** (Specify)

## Guidance

Refer to Guidance associated with [ORG 2.1.5](#) located in ISM Section 1.

## 1.10 Quality Control of Outsourced Operations and Products



### CAB 1.10.1A

If the Operator has external service providers conduct outsourced cabin operations functions, the Operator *shall* ensure a service provider selection process is in place that ensures:

- (i) Safety-relevant selection criteria are established;
- (ii) Service providers are evaluated against these criteria prior to selection. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** selection process for external service providers.
- ☐ **Interviewed** responsible manager in cabin operations.
- ☐ **Examined** selected records/documents that demonstrate application of the selection process.
- ☐ **Other Actions** (specify)

## Guidance

The intent of this provision is for an operator to define relevant safety and security criteria for use in the evaluation and potential selection of cabin operations service providers. This is the first step in the management of external service providers and would take place prior to the operator signing an agreement with a provider. The process need be applied only once leading up to the selection of an individual service provider.

Refer to the guidance associated with [ORG 1.6.1](#).

### CAB 1.10.1B

If the Operator has external service providers conduct outsourced cabin operations functions, the Operator shall have a process to ensure a contract or agreement is executed with such external service providers. Contracts or agreements shall identify the application of specific documented requirements that can be monitored by the Operator to ensure requirements that affect the safety and/or security of cabin operations are being fulfilled by the service provider. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** processes for contract/agreement production/execution with external service providers that conduct outsourced cabin operations functions.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** selected cabin operations outsourcing contracts/agreements (focus: inclusion of or reference to specific requirements applicable to external service providers).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Operational Function (Aircraft Operations) and Outsourcing.

This provision only addresses cabin operations functions that are voluntarily outsourced to external service providers. An example of such a function would be the training of cabin crew members conducted by an external training organization.

Functions that are associated with the aircraft cabin but would not normally be conducted by the cabin operations organization (e.g. aircraft catering) are not addressed by this provision.

Refer to Guidance associated with [ORG 1.6.2](#) located in ISM Section 1.

### CAB 1.10.2

If the Operator has external service providers conduct outsourced cabin operations functions, the Operator shall have a process to monitor such external service providers to ensure requirements that affect the safety and/or security of cabin operations are being fulfilled. **(GM)** ◀

**Note:** *IOSA registration as the only means to monitor is acceptable provided the Operator obtains the latest of the applicable audit report(s) through official program channels and considers the content of such report(s).*

#### Auditor Actions

- ☐ **Identified/Assessed** (focus: monitoring process ensures provider fulfils applicable safety/security requirements).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** selected records/reports resulting from monitoring of cabin operations service providers (focus: monitoring process ensures provider fulfils applicable safety/security requirements).
- ☐ **Other Actions** (Specify)

#### Guidance

Monitoring and control of external organizations typically includes random sampling, product audits, supplier audits, or other similar methods.

Refer to Guidance associated with [ORG 2.2.1](#) located in ISM Section 1.

If an operator outsources any cabin operations function(s) to external service providers as specified in [CAB 1.10.1](#), then the operator would be required to meet the specifications of this provision.

### CAB 1.10.3

If the Operator has external service providers conduct outsourced cabin operations functions, the Operator *should* include auditing as a process for the monitoring of external service providers in accordance with [CAB 1.10.2](#). **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** auditing processes used for monitoring external cabin operations service providers.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** selected records/reports resulting from auditing of cabin operations service providers (focus: audit process ensures provider is fulfilling applicable safety/security requirements).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to Guidance associated with [ORG 2.2.2](#) located in ISM Section 1.

### CAB 1.10.4

The Operator *should* have a process to ensure equipment or other operational products relevant to the safety of aircraft operations that are purchased or otherwise acquired from an external vendor or supplier meet the product technical requirements specified by the Operator prior to being used in the conduct of operations. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** processes for acceptance of products acquired for use in cabin operations.
- ☐ **Interviewed** responsible manager(s) in cabin operations.

- ☐ **Examined** selected product acceptance records (focus: products meet cabin operations technical requirements).
- ☐ **Other Actions** (Specify)

## Guidance

Examples of products addressed by this provision could include:

- Operational manuals produced by external suppliers;
- Cabin door or passenger service unit training devices;
- Video training programs.

Refer to Guidance associated with [ORG 2.3.1](#) located in ISM Section 1.

## 1.11 Safety Management

### Risk Management

#### CAB 1.11.1

The Operator shall have a hazard identification program in the cabin operations organization that includes a combination of reactive and proactive methods of hazard identification. **[SMS] (GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** safety hazard identification program in cabin operations (focus: program identifies hazards to aircraft operations; describes/defines method(s) of safety data collection/analysis).
- ☐ **Identified/Assessed** role of cabin operations in the organization-wide, cross-discipline safety hazard identification program (focus: participation with other operational disciplines).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Interviewed** person(s) that perform analysis of cabin operational data for the purpose of identifying hazards.
- ☐ **Examined** examples of hazards to aircraft operations that have been identified through data collection and analysis in cabin operations.
- ☐ **Other Action** (Specify)

## Guidance

Refer to the IRM for the definitions of Hazard (Aircraft Operations), Risk Management and Safety Risk.

Hazard identification is an element of the Safety Risk Management component of the SMS framework.

Refer to Guidance associated with [ORG 3.1.1](#) located in ISM Section 1.

#### CAB 1.11.2

The Operator shall have a safety risk assessment and mitigation program in the cabin operations organization that specifies processes to ensure:

- (i) Hazards are analyzed to determine corresponding safety risks to aircraft operations;
  - (ii) Safety risks are assessed to determine the requirement for risk mitigation action(s);
  - (iii) When required, risk mitigation actions are developed and implemented in cabin operations.
- [SMS] (GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** safety risk assessment and mitigation program in cabin operations (focus: hazards analyzed to identify/define risk; risk assessed to determine appropriate action; action implemented/monitored to mitigate risk).





- ☐ **Identified/Assessed** role of cabin operations in cross-discipline safety risk assessment/mitigation program (focus: participation with other operational disciplines).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Interviewed** person(s) that perform safety risk assessments in cabin operations.
- ☐ **Examined** selected records/documents that illustrate risk assessment and resulting risk mitigation action(s) in cabin operations.
- ☐ **Other Action** (Specify)

### Guidance

Refer to the IRM for the definitions of Risk Register, Safety Risk, Safety Risk Assessment (SRA), Safety Risk Management and Safety Risk Mitigation.

Risk assessment and mitigation is an element of the Safety Risk Management component of the SMS framework.

Potential hazards typically associated within cabin operations include, but are not limited to:

- Inadvertent slide deployment;
- Smoke/fire/fumes;
- Turbulence;
- Unruly passengers;
- Cabin crew injury/incapacitation;
- Carriage of lithium batteries in the cabin;
- Inflight product and services;
- Service of hot food and beverages.

Refer to Guidance associated with [ORG 3.2.1](#) located in ISM Section 1.

### Operational Reporting

#### CAB 1.11.3

The Operator shall have an operational safety reporting system in the cabin operations organization that:

- (i) Encourages and facilitates cabin operations personnel to submit reports that identify safety hazards, expose safety deficiencies and raise safety concerns;
- (ii) Ensures mandatory reporting in accordance with applicable regulations;
- (iii) Includes analysis and cabin operations management action to address safety issues identified through the reporting system. **[SMS] (GM) ◀**

### Auditor Actions

- ☐ **Identified/Assessed** operational safety reporting system in cabin operations (focus: system urges/facilitates reporting of hazards/safety concerns; includes analysis/action to validate/address reported hazards/safety concerns).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Interviewed** person(s) that perform operational safety report review/analysis/follow-up in cabin operations.
- ☐ **Examined** data that confirm an effective cabin operations safety reporting system (focus: quantity of reports submitted/hazards identified).
- ☐ **Examined** records of selected cabin operations safety reports (focus: analysis/follow-up to identify and address reported hazards/safety concerns).
- ☐ **Other Actions** (Specify)

### Guidance

Safety reporting is a key aspect of SMS hazard identification and risk management.

Refer to Guidance associated with [ORG 3.1.2](#) located in ISM Section 1.

**CAB 1.11.4**

The Operator *should* have a confidential safety reporting system in the cabin operations organization that encourages and facilitates the reporting of events, hazards and/or concerns resulting from or associated with human performance in operations. **(GM) ◀**

**Auditor Actions**

- ❑ **Identified/Assessed** confidential safety reporting system in cabin operations (focus: system urges/facilitates reporting of events/hazards/safety concerns caused by humans; report/reporters are de-identified; includes analysis/action to validate/address reported hazards/safety concerns).
- ❑ **Interviewed** responsible manager(s) in cabin operations.
- ❑ **Examined** records of selected cabin operations confidential safety reports (focus: report/reporter de-identification; analysis/follow-up to identify/address reported hazards/safety concerns).
- ❑ **Other Actions** (Specify)

**Guidance**

Refer to Guidance associated with [ORG 3.1.3](#) located in ISM Section 1.

**Safety Performance Monitoring and Management****CAB 1.11.5**

The Operator shall have processes in the cabin operations organization for setting safety performance indicators (SPIs) and, as applicable, safety performance targets (SPTs) as means to monitor the achievement of its safety objectives and to validate the effectiveness of safety risk controls. **[SMS] (GM) ◀**

**Auditor Actions**

- ❑ **Identified/Assessed** program for setting SPIs and SPTs in cabin operations (focus: program defines the development and implementation of SPIs that are aligned with safety objectives).
- ❑ **Interviewed responsible** manager(s) in cabin operations.
- ❑ **Examined** selected SPIs (focus: SPIs and SPTs are being used to monitor operational performance toward effectiveness of risk controls and achievement of safety objectives).
- ❑ **Examined** records/documents that identify tracking of cabin operations SPIs and SPTs (focus: tracking used to assess/monitor operational safety performance, assess/validate risk control effectiveness).
- ❑ **Other Action** (Specify)

**Guidance**

Refer to the IRM for the definitions of Safety Assurance, Safety Objective, Safety Performance Indicator (SPI) and Safety Performance Target (SPT).

Setting SPIs that are consistent with safety objectives is an element of the Safety Assurance component of the SMS framework.

SPIs are used by an operator to track and compare its operational performance against the achievement of its safety objectives and to focus attention on the performance of the organization in managing operational risks and maintaining compliance with relevant regulatory requirements.

SPIs in cabin operations are usually expressed as a reduction in the rate or number of specifically identified occurrences or conditions. Examples could include inadvertent slide deployments, turbulence-related injuries in the cabin, fumes or fires, and rapid deplaning/emergency evacuation events.

SPTs define short-term and medium-term safety performance management desired achievements. They act as 'milestones' that provide confidence that the organization is on track to achieving its safety objectives and provide a measurable way of verifying the effectiveness of safety performance management activities. The setting of SPTs is normally accomplished after considering what is realistically achievable and, where historical trend data are available, the recent performance of the particular SPI.

It is not always necessary or appropriate to set or define SPTs as there could be some SPIs that are better monitored for trends rather than against a targeted number. Safety reporting is an example of when having a target could either discourage people not to report (if the target is not to exceed a number) or to report trivial matters to meet a target (if the target is to reach a certain number).

Refer to Guidance associated with [ORG 1.4.1](#) (safety objectives) and [ORG 1.4.2](#) (SPIs and SPTs) located in ISM Section 1.

## 2 Training and Qualification

### General Guidance

Many of the provisions of this subsection contain specifications related to the recurring frequency of training and evaluation events for cabin crew members. Such provisions, with a few exceptions, define cycles or intervals for the completion of recurrent training and/or evaluation expressed in months since training was first completed or qualification was first established. It is important to note, however, that for the purpose of conformance with these provisions, such intervals are nominal and the actual interval may vary slightly. For example, an operator may adjust the frequency of evaluations to minimize overlap, provide scheduling flexibility, preserve the original qualification date, and/or ensure evaluations are consistently completed in accordance with the nominal cycle set forth by the State and/or applicable authorities. Accommodations of this nature are commonplace and vary widely by regulatory jurisdiction. In all cases, however, the auditor will make the determination of whether or not such accommodations fit within the nominal cycles established in each provision.

### 2.1 Training Program

#### CAB 2.1.1A

The Operator shall have a training and evaluation program that is approved or accepted by the Authority, and that ensures cabin crew members understand their responsibilities and are competent to perform the duties and functions associated with cabin operations. The cabin crew training program shall also, as a minimum, address:

- (i) Initial qualification;
- (ii) Continuing qualification;
- (iii) Re-qualification;
- (iv) If applicable, aircraft transition or conversion;
- (v) If applicable, other specialized training requirements;
- (vi) If applicable, each traditional training program requirement that is replaced by a requirement under an Advanced Qualification Program (AQP) as approved or accepted by the Authority. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** requirement for specified training/qualification courses applicable to each aircraft type in cabin crew training/evaluation program.
- ☐ **Identified/Assessed** program elements under AQP (as applicable); program has regulatory approval.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** training/qualification course curriculum (focus: inclusion of applicable training/qualification courses).
- ☐ **Examined** training/qualification records of selected cabin crew members (focus: completion of applicable training/qualification courses).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Advanced Qualification Program (AQP) and Continuing Qualification.

AQP incorporates the elements and specifications contained in [CAB 2.1.1B](#), [Table 5.2](#) and [Table 5.3](#).

#### **CAB 2.1.1B**

If the Operator conducts cabin crew training and evaluation in accordance with an AQP, such AQP shall be approved or accepted by the Authority and incorporate the applicable elements and specifications contained in [Table 5.2](#) and [Table 5.3](#). **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** cabin crew AQP (focus: regulatory approval, incorporation of elements/specifications in accordance with [Tables 5.2](#) and [5.3](#)).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** initial/recurrent/requalification/aircraft type course curricula/syllabi for training of cabin crew members.
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

#### **Guidance**

An operator, in accordance with the requirements of the Authority, typically uses technical guidance for the development of an AQP. Such guidance might be derived from one or more of the following source references, as applicable:

- Office of the Federal Register, (2 October 1990), Special Federal Aviation Regulation 58—Advanced Qualification Program, Federal Register, Vol. 55, No. 91, Rules and Regulations (pp. 40262–40278).
- FAA 14 CFR Part 121, Subpart Y.
- FAA Advisory Circular 120–54A, Advanced Qualification Program (23 June 2006).
- FAA Advisory Circular 120–51 (3 January 1995), Crew Resource Management Training, Federal Aviation Administration, Washington DC: U.S. Department of Transportation.
- Any equivalent reference document approved or accepted by the Authority for the development of an advanced training and qualification program designed to conform to the specifications of [Table 5.2](#) and [Table 5.3](#).

#### **CAB 2.1.2**

The Operator shall ensure all cabin crew members complete an initial training course:

- (i) As part of the cabin crew qualification process for individuals who have not previously been qualified as a cabin crew member for the Operator;
- (ii) Prior to being assigned duties as a cabin crew member. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** requirements for completion of initial training by cabin crew members.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** records of initial training of selected cabin crew members.
- ☐ **Other Actions** (Specify)

#### **Guidance**

An AQP may allow for deviations and/or an abbreviated curriculum for initial/new hire cabin crew training in a merger or acquisition situation.

#### **CAB 2.1.3**

The Operator shall ensure all cabin crew members complete a recurrent training course once every 12 months or, if applicable, in accordance with the Operator's AQP as specified in [CAB 2.1.1B](#) in order to remain qualified to perform duties as a cabin crew member. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** requirements for completion of recurrent training by cabin crew members.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** records of recurrent training of selected cabin crew members.
- ☐ **Other Actions** (Specify)

### Guidance

An operator typically has a process that tracks qualification requirements to ensure cabin crew members complete recurrent training in a timely manner to remain qualified.

The nominal cycle for the completion of the recurrent training course by each cabin crew member is 12 months and, during that period, each cabin crew member receives training in the subject areas applicable to the course for that 12-month period.

As a means of ensuring flexibility in the scheduling process, in some regulatory jurisdictions an operator may be permitted to increase the maximum cycle for the completion of recurrent training by cabin crew members up to 15 months with no change to the original training anniversary date of each cabin crew member. Such flexibility, however, would not alter the requirement for a basic 12-month recurrent training cycle for cabin crew members.

In the event a cabin crew member becomes unqualified for any reason (e.g., extended leave of absence), completion of re-qualification training would establish a new anniversary date (superseding the original anniversary date) upon which recurrent training would be based.

An AQP may have an approved extension to the duration of Continuing Qualification cycle if evidence substantiates the extension maintains or increases the level of safety for the operator. A Continuing Qualification cycle may be extended up to a maximum of 39 months. Additionally, an individual crewmember may be assigned an augmented or additional training and/or evaluation schedule based on performance during training, qualification or in line operations.

### CAB 2.1.4

The Operator shall have a cabin crew requalification training course, which shall be completed:

- (i) By individuals who have failed to remain qualified as a cabin crew member;
- (ii) As part of the process to regain qualification to perform duties as a cabin crew member;
- (iii) If applicable, in accordance with the Operator's AQP as specified in [CAB 2.1.1B](#). **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** requirements for completion of requalification training by cabin crew members.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** records of requalification training of selected cabin crew members.
- ☐ **Other Actions** (Specify)

### Guidance

An operator typically has a process that tracks qualification requirements to ensure, when cabin crew members become unqualified for any reason, such crew members complete applicable requalification training prior to being assigned to perform duties as a cabin crew member.

An AQP typically includes remediation methodology in its approved documentation describing strategies that will be used to remediate unsuccessful testing, validation, or evaluation. Remediation may not require completion of a requalification course. An AQP may allow for flexibility of requalification requirements based on the Qualification Standards and additional parameters set by the operator. Any deviations from traditional training requirements will be included in its approved documentation.

[CAB 2.1.1B](#) addresses overall AQP elements and specifications, as well as Authority approval/acceptance requirements.

**CAB 2.1.5**

The Operator shall have aircraft type training, which shall be completed by cabin crew members as part of the process to qualify and remain qualified to perform cabin crew duties on each type of aircraft to which they may be assigned. As a minimum, subjects covered under aircraft type training shall include:

- (i) Aircraft systems;
- (ii) Exit locations and operation;
- (iii) Emergency equipment locations and operation;
- (iv) Emergency assignments;
- (v) Unique features of the aircraft cabin (as applicable for variants of a common aircraft type). **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** requirements for completion of aircraft type training by cabin crew members.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** course syllabus for aircraft type training of cabin crew members.
- ☐ **Examined** records of aircraft type training of selected cabin crew members.
- ☐ **Other Actions** (Specify)

**Guidance**

An aircraft type training course for cabin crew members would include the description, locations and operation of an aircraft and its equipment.

Instruction in aircraft systems typically includes:

- Aircraft interior, passenger seats and restraints;
- Crew member seats and restraints;
- Aircraft-specific duties and responsibilities;
- Galley systems;
- Communication systems;
- Lighting systems;
- Oxygen systems.

Instruction on exit locations and operation addresses the types of exits on an aircraft.

Instruction on emergency equipment locations and operation addresses slides, rafts, slide/rafts, ramp slide/rafts, life jackets and other flotation devices.

Sub-specification iv): The term “emergency assignments” refers to specific duties assigned to cabin crew members during emergency situations.

A process, in accordance with requirements of the Authority, would be used to qualify cabin crew members that concurrently operate aircraft of different types or operate variants within one aircraft type. The qualification process would typically address the differences between variants or types.

**CAB 2.1.6**

The Operator shall require instructors and evaluators that train and/or evaluate cabin crew members to successfully complete an instructor and/or evaluator training course that ensures such instructors and evaluators have an adequate level of knowledge and standardization to provide, as applicable, instruction or evaluation in the cabin crew training program. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** requirements for completion of instructor/evaluator training by instructors/evaluator that deliver training courses to or evaluate cabin crew members.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** course curriculum/syllabus for training of cabin crew training instructors.



- ☐ **Examined** records of instructor training of selected cabin crew training instructors/evaluators.
- ☐ **Other Actions** (Specify)

### Guidance

The syllabus for the cabin crew instructor training program typically focuses on instruction techniques and provides the level of technical knowledge relevant to the areas in which the individual instructor will deliver instruction.

An AQP typically distinguishes between instructor and evaluator duty positions. However, the instructor/evaluator role may be assumed by the same person. Distinct training is typically provided focusing on instruction and evaluation techniques.

### CAB 2.1.7

The Operator shall ensure cabin crew training courses include testing or evaluation by written, oral or practical means to satisfy requirements for cabin crew members to demonstrate adequate knowledge, competency and proficiency to perform duties, execute normal, abnormal and emergency procedures, and operate emergency and lifesaving equipment. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** policy/requirement for testing/evaluation in training courses for cabin crew members.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** Testing and evaluation options used.
- ☐ **Examined** testing/evaluation records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

### Guidance

Testing or evaluation, which may be accomplished using oral, written or practical means, ensures a thorough knowledge of and the ability to perform duty assignments and execute functions in the cabin.

Written tests and practical drills would be sufficiently thorough to ensure adequate coverage of all safety duties and functions to be performed in an emergency.

Written tests need not be lengthy (e.g. 10 multiple choice questions) provided test questions are drawn from a large pool of questions that address a broad range of subjects. If tests include questions on commercial subjects (e.g. procedures associated with food and beverage services), then testing methods would ensure there are a sufficient number of test questions to adequately evaluate knowledge of safety aspects.

Grading as part of evaluation would be calibrated such that high scores on non-safety issues do not override or mask low scores on important safety-related material.

Typically, the process includes grading standards that define the minimum passing score for all testing to measure and indicate the level of safety competency. Similarly, grading standards are needed when evaluating the performance of cabin crew members during practical training exercises.

Refer to [CAB 2.2.5](#), which contains specifications and guidance that address practical training exercises.

Approved AQP documentation typically identifies applicable testing/validation/evaluation strategies. Such strategies may include the following: train-to-proficiency, knowledge validation, cognitive skill validation, motor skill validation and operating experience, as well as first look and line evaluation.

**Note:** *Train-to-proficiency may occur in the form of instruction, review, practice or performance, and does not require data collection.*

### CAB 2.1.8

The Operator shall ensure the completion of required training by cabin crew members is recorded and such records are retained in accordance with [CAB 1.7.1](#).



**Auditor Actions**

- ☐ **Identified/Assessed** means of maintaining records of training of cabin crew members.
- ☐ **Examined** regulatory requirement for retention of cabin crew member training records.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

**2.2 Program Elements****General Guidance**

Many of the provisions of this subsection make reference to cabin crew training conducted in accordance with an AQP that is approved or accepted by the Authority as specified in [CAB 2.1.1B](#).

If applicable, AQP allows development of proficiency-based training programs that encourage innovation in the methods and technologies used during instruction and evaluation, as well as in the efficient management of the training systems. Since these innovations may require some deviations from traditional regulations, the approved qualification standards may replace the applicable portions of the existing regulations and/or training guidance. These deviations or variances will be defined in the approved AQP documentation.

Additionally, an approved AQP Entry Level Analysis may be documented to achieve the most effective use of training resources. An Entry Level Analysis may also be used to identify where training is not needed or to justify alternative curriculum tracks or modules targeted at expected differences in entry background.

In an AQP, criticality and currency determination guides how and when training objectives are trained, validated or evaluated. A task factor analysis will be documented within the approved training qualification standards.

Conformance Applicability (CA) Tables are embedded in certain provisions in this sub-section to indicate how aspects or factors relevant to cabin crew training and qualification must be addressed or satisfied for an operator to be in conformity with the provision. Each CA table contains four columns that address the following relevant aspects/factors:

- **Specific to Aircraft Type:** Indicates whether the training specified in the provision must account for or be tailored to aircraft type or crew position.
- **Included in Initial/Requalification Training:** Indicates whether the training specified in the provision must be included as part of initial and requalification training.
- **Included in Recurrent Training:** Indicates whether the training specified in the provision must be included as part of recurrent training/continuing qualification and, as applicable, specifies the maximum recurrent interval.
- **Conformance through AQP:** Indicates whether the specified training and/or evaluation, including the associated recurrent training/continuing qualification interval, if any, may be replaced by equivalent requirements as part of, as applicable, the operator's AQP.

**CAB 2.2.1**

The Operator shall ensure cabin crew members receive training or orientation to provide familiarity with basic aviation subjects relevant to cabin operations and cabin crew duties. Such training or orientation shall be part of the cabin crew initial training course and, as a minimum, address the following subject areas:

- (i) Applicable regulations;
- (ii) Aviation terminology;
- (iii) Basic theory of flight;
- (iv) Relevant aircraft systems;
- (v) Altitude physiology;
- (vi) Standard operating procedures for cabin operations on the ground and all phases of flight. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of training in basic aviation subjects in cabin crew initial training course.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of initial training course for cabin crew members.
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

## Guidance

Training or orientation in aviation subjects typically would address, on a basic level:

- State, international and company-specific regulations;
- Aviation terminology and theory of flight necessary in the performance of cabin duties;
- Basic flight subjects such as major aircraft components, critical surfaces (including contamination), pressurization system, weight and balance, meteorology, turbulence, communications equipment and air traffic control;
- Subjects associated with altitude physiology, such as effects of altitude, hypoxia, the aircraft oxygen system and operation, gas expansion, depressurization and decompression sickness;
- Philosophy, structure and application of standard operating procedures.

If such training is delivered in a classroom setting, some of the content may be accomplished via distance and/or e-learning prior to attending the classroom portion.

Under an AQP, initial training may be referred to as indoctrination and qualification training.

## CAB 2.2.2

The Operator shall ensure cabin crew members receive training that provides knowledge of safety policies and procedures associated with the preflight, in-flight and post-flight phases of cabin operations. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Requalification Training	Included in Recurrent Training	Conformance through AQP/ATQP/EBT
Yes*	Yes	Yes (every 24 months)	Yes
* Where multiple aircraft types are operated, this training shall cover all relevant aircraft-specific differences in safety equipment and/or safety and security procedures.			

## Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of preflight/inflight/post-flight safety training for cabin crew initial/requalification/recurrent training courses.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of initial/requalification/recurrent training courses for cabin crew members, including regulatory requirement for frequency of recurrent training courses.
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

## Guidance

Training in safety policies and procedures typically addresses:

- Crew coordination and communication;
- Sterile flight deck;
- Mandatory briefings;

- Safety checks;
- Passenger acceptance and handling;
- Cabin baggage;
- Personal electronic devices;
- Fueling with passengers on board;
- Turbulence;
- Flight and cabin crew member incapacitation;
- Flight deck access.

## CAB 2.2.3

The Operator shall ensure cabin crew members receive training that provides the knowledge required to execute emergency procedures. Such training shall, as a minimum, address emergency procedures associated with:

- (i) Cabin fires;
- (ii) Smoke and fumes;
- (iii) Emergency landing (land and water);
- (iv) Planned cabin evacuation (land and water);
- (v) Unplanned cabin evacuation (land and water);
- (vi) Medical emergencies.

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Requalification Training	Included in Recurrent Training	Conformance through AQP
Yes*	Yes	Yes (every 24 months)	Yes
* Where multiple aircraft types are operated, this training shall cover all relevant aircraft-specific differences in safety equipment and/or safety and security procedures.			

## Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of cabin emergency procedures training in cabin crew initial/requalification/recurrent training courses.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of initial/requalification/recurrent emergency procedures training courses for cabin crew members, including regulatory requirement for frequency of recurrent training courses.
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

## CAB 2.2.4

The Operator shall ensure cabin crew members receive training that provides the knowledge required to understand the function and operation of cabin emergency equipment and to execute associated preflight checks. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Requalification Training	Included in Recurrent Training	Conformance through AQP
Yes	Yes	Yes (every 24 months)	Yes

## Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of cabin emergency equipment training in cabin crew initial/requalification/recurrent training courses (focus: function/operation of equipment).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of initial/requalification/recurrent emergency equipment training courses for cabin crew members, including regulatory requirement for frequency of recurrent training courses.
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

## Guidance

Aircraft type-training courses may include training in the use of specific emergency equipment such as slides, rafts, slide/rafts and ramp slide/rafts.

### CAB 2.2.5

The Operator shall ensure cabin crew members complete practical training exercises consisting of cabin drills and hands-on operation of cabin equipment. As a minimum, focus areas within the scope of practical training exercises shall include:

- (i) Cabin exit operations (normal and emergency) for each aircraft and exit type;
- (ii) Cabin emergency evacuation;
- (iii) If the operator uses aircraft equipped with cabin doors that have emergency egress slides:
  - (a) Initial training: Use of emergency egress slide(s);
  - (b) Requalification and recurrent training: Use of emergency egress slide(s) in accordance with requirements of the Authority.
- (iv) Firefighting;
- (v) Oxygen administration;
- (vi) If required, ditching. **(GM)**

**Note:** If applicable, cabin crew members may complete practical training exercises through participation in event management scenarios in accordance with the Operator's AQP as specified in [CAB 2.1.1B](#).

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Requalification Training	Included in Recurrent Training	Conformance through AQP
Yes	Yes	Yes*	Yes
* All focus areas within the scope of practical training exercises shall be addressed not less than once every 36 months.			

## Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of practical training exercises (cabin drills and hands-on operation of cabin equipment) in cabin crew initial/requalification/recurrent training courses.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of initial/requalification/recurrent training exercises in courses for cabin crew members (focus: frequency of exercises/courses and regulatory requirement for frequency of recurrent training exercises/courses).
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Wet Drill.

Practical training exercises to satisfy this provision typically include procedures associated with the use of cabin systems and equipment, to include the public address and intercom systems, life-rafts, life preservers, PBE/smoke hoods, as well as operation of the door(s), deployment and use of emergency egress slide(s), fighting an actual or simulated fire, operation of hand fire extinguishers, passenger briefings and in-flight decompression (group drill).

Personal electronic devices powered by rechargeable lithium-ion (LI) batteries are common in the passenger cabin. The batteries in such devices have the potential for overheating (thermal runaway), explosion and fire. An operator might consider a practical training exercise that simulates a LI battery fire in the cabin, thus requiring the cabin crew members to implement firefighting procedures appropriate for this type of fire.

Hands-on practical training exercises might involve the use of actual aircraft emergency and lifesaving equipment or might be conducted using realistic and functional simulators or mock-ups.

A requirement for a practical training exercise for ditching is determined by the State. An operator that conducts over-water and/or long-range over-water flights would typically ensure cabin crew members complete practical training exercises in ditching.

An operator might elect to include a wet drill as part of initial training as a means of providing hands-on familiarization with ditching equipment and procedures. A wet drill would require cabin crew members to go into the water and then climb into a raft, or to board a raft in the water directly from an aircraft exit (with cabin crew members not going into the water).

When using the actual aircraft to conduct training in emergency exit operations, emergency operation can be simulated by disarming the exits and having the trainee accomplish all steps as though the door were armed.

Due to challenges and problems associated with using actual aircraft systems, cabin simulators or training mock-ups are typically used to the extent possible. If cabin exit simulators or training mock-ups are not available, practical hands-on drills are performed on board actual aircraft, which, to preclude disruption of training, would necessitate a documented program and aircraft schedule.

### CAB 2.2.6

If the Operator uses pressurized aircraft, the Operator shall ensure cabin crew members receive training in high altitude depressurization. Such training shall provide:

- (i) An understanding of the effects on crew and passengers;
- (ii) The knowledge necessary to execute associated emergency procedures. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Requalification Training	Included in Recurrent Training	Conformance through AQP
Yes*	Yes	Yes (every 24 months)	Yes
* Where multiple aircraft types are operated, this training shall cover all relevant aircraft-specific differences in safety equipment and/or safety and security procedures.			

## Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of high-altitude depressurization training in cabin crew initial/requalification/recurrent training courses.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of initial/requalification/recurrent training courses for cabin crew members (focus: effects on crew and passengers, execution of associated emergency procedures and frequency of recurrent training courses).
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

## Guidance

Training in depressurization may be conducted in the classroom, via distance and/or e-learning, as a practical exercise, or by using a combination of methods.

A video presentation on the effects of hypoxia and a re-enactment of an explosive depressurization to emphasize the visual effects on the crew and passengers is an example of one means of presenting depressurization training. A presentation that includes photos, accompanied by a group discussion, is another example of a means of presenting such material.

### CAB 2.2.7

The Operator shall ensure cabin crew members receive training in dangerous goods awareness, recognition and emergency action. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Requalification Training	Included in Recurrent Training	Conformance through AQP
No	Yes	Yes*	Yes
* All subjects within the scope of dangerous goods training shall be addressed not less than once within the 24-month period from the previous training in dangerous goods.			

## Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of dangerous goods training (awareness/recognition/emergency action) in cabin crew initial/requalification/recurrent training courses.
- ☐ **Examined** regulatory requirement for frequency of training in dangerous goods in cabin crew recurrent training.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of initial/requalification/recurrent training courses for cabin crew members.
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

## Guidance

This provision specifies the minimum dangerous goods awareness training required for cabin crew members and is applicable to an operator regardless of whether such operator *transports or does not* transport dangerous goods.

The curriculum for dangerous goods training is determined by the operator and may vary depending on specific responsibilities and duty function(s).

Recurrent training in dangerous goods is completed within a validity period that expires 24 months from the previous training to ensure knowledge is current, unless a shorter period is defined by a competent authority. However, when such recurrent training is completed within the final 3 months of the 24-month validity period, the new validity period may extend from the month on which the recurrent training was completed until 24 months from the expiry month of the current validity period. If such recurrent training is completed *prior* to the final three months of the validity period, the new validity period would extend 24 months from the month the recurrent training was completed.

Refer to DGR 1.5 and Appendix H.6 for guidance that includes adapted task lists for well-defined job functions.

### CAB 2.2.8

The Operator shall ensure cabin crew members receive training in human performance to gain an understanding of the human factors involved in conducting cabin safety duties and coordinating with the flight crew during the execution of onboard emergency procedures. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Requalification Training	Included in Recurrent Training	Conformance through AQP
No	Yes	Yes (every 36 months)	Yes

## Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of cabin operations human performance training in cabin crew initial/requalification/recurrent training courses.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of initial/requalification/recurrent training courses in human performance for cabin crew members (focus: cabin safety duties, coordination with flight crew during execution of onboard emergency procedures, regulatory requirements for frequency of recurrent training courses).
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Crew Resource management (CRM), Human Factors Principles and Human Performance.

Training in human performance usually includes basic human factors concepts and crew resource management (CRM).

### CAB 2.2.9

If the Operator uses aircraft that require more than one cabin crew member, the Operator shall ensure cabin crew members receive training that provides the necessary awareness of other cabin crew assignments and procedures to assure fulfillment of all cabin crew duties in the event of an emergency situation.

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Requalification Training	Included in Recurrent Training	Conformance through AQP
No	Yes	Yes (every 24 months)	Yes

## Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of cabin crew assignments/procedures awareness training in cabin crew initial/requalification/recurrent training courses.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of initial/requalification/recurrent training courses for cabin crew members (focus: awareness of other cabin crew assignments, fulfillment of cabin crew duties during emergency situations, regulatory requirements for frequency of recurrent training courses).
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

### CAB 2.2.10

The Operator *should* ensure cabin crew members participate in joint training activities or exercises with flight crew members for the purpose of enhancing onboard coordination and mutual understanding of the human factors involved in addressing emergency situations and security threats. **(GM)**



**Note:** If applicable, cabin-flight crew training as specified in this provision may be accomplished through activities or exercises delivered independently to cabin and flight crew members in accordance with the Operator's AQP as specified in [CAB 2.1.1B](#).

## Auditor Actions

- ☐ **Identified/Assessed** requirement for joint cabin crew/flight crew training activities/exercises.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of joint cabin crew/flight crew training activities/exercises (focus: onboard coordination, mutual understanding of human factors involved in emergencies/security threats).
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

## Guidance

Joint training provides a forum to focus on the coordination and communication necessary between the flight and cabin crews and the subjects associated with emergency procedures, security procedures and human factors. To the extent possible, such training would include joint practical training exercises. If such exercises are not possible, joint interactive discussion in the subject areas is an acceptable alternative.

The intent of this provision is that the specified training is delivered jointly to cabin and flight crew members together in a common location. However, under certain specific conditions, conformity with this provision may be accomplished through training delivered independently to cabin and flight crew members:

- When approved or accepted by the Authority under an AQP, or
- When the cabin crew training and flight crew training occurs at different geographical locations or on different training cycles.

When training is delivered independently under the above conditions, learning objectives are determined jointly through interdepartmental coordination and subsequently incorporated into the respective cabin crew and flight crew training curricula. It is possible that, although the learning objectives are determined jointly, the development of curricula and administration of the training occurs independently within each department.

## CAB 2.2.11

The Operator shall ensure cabin crew members receive training that provides knowledge in first aid and inflight medical events. As a minimum, subjects within the scope of first aid training include:

- (i) Life-threatening medical emergencies;
- (ii) Cardiopulmonary resuscitation (CPR);
- (iii) Management of injuries;
- (iv) Management of illnesses;
- (v) First-aid equipment and supplies;
- (vi) If applicable, medical equipment and supplies. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Requalification Training	Included in Recurrent Training	Conformance through AQP
No	Yes	Yes*	Yes
* All subjects within the scope of first aid training shall be addressed every 36 months.			

**Auditor Actions**

- ☐ **Identified/Assessed** requirement for completion of first aid training in cabin crew initial/requalification/recurrent training courses.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of initial/requalification/recurrent training in first aid for cabin crew members (focus: scope/content/frequency of training, regulatory requirements for frequency of recurrent training).
- ☐ **Examined** training records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

**Guidance**

Under an AQP, initial training may be referred to as indoctrination and qualification training.

Training typically provides knowledge and skill in five subject areas appropriate for cabin crew members. Suggested subject areas are as follows:

1. Altitude physiology (working at altitude):
  - Changes in atmospheric pressure;
  - Relative hypoxia;
  - Trapped gas;
  - Decompression sickness;
  - Cabin depressurization;
  - Hyperventilation;
  - Cabin air quality.
2. Travel health:
  - Immunization;
  - Protection against infectious diseases;
  - Circadian rhythm and jet lag;
  - Fatigue management;
  - Personal safety (e.g. use of alcohol, other drugs, traffic safety).
3. Standards and regulations:
  - First aid training and equipment (ICAO standards and/or CAA regulations);
  - Reporting of communicable diseases (ICAO standards and WHO International Health Regulations);
  - Aircraft disinfection and disinsection (application of insecticide);
  - Biohazard waste disposal.
4. Procedures and resources:
  - Seeking medical advice (ground and/or in flight);
  - Medical equipment (e.g. first aid kit, medical kit, oxygen);
  - Death on board;
  - Birth on board;
  - Documentation to be completed;
  - PIC notification and communication.
5. First aid (problem recognition and management):
  - Assessing a casualty;
  - Lifesaving procedures:
    - Assess ABC (adult, child, infant);
    - Choking;

- CPR (practical training);
  - Recovery position.
- Medical problems:
  - The unconscious (underlying causes);
  - Suspected communicable diseases;
  - Respiratory disorders (asthma, hyperventilation, chronic lung diseases, persistent coughing);
  - Cardiovascular disorders (angina, heart attack, shock, DVT);
  - Abdominal problems (vomiting, diarrhea, pain, heartburn, bleeding);
  - Nervous system disorders (headache, seizure, stroke);
  - Ear, nose and throat problems such as barotrauma (body damage caused by pressurization difference) and/or epistaxis (nose bleed);
  - Behavioral/psychological disorders (panic attack, alcohol intoxication, irrational behavior);
  - Other problems (diabetes, allergic reaction, pregnancy related).
- Trauma:
  - Wounds and bleeding (practical training);
  - Burns;
  - Head and neck injury;
  - Eye injury;
  - Musculoskeletal injury;
  - Chest and abdominal injury.

Initial training would typically address all the subject areas listed above.

Unless there were changes to the altitude physiology, travel health and regulations components, it would not be necessary to review these areas each year. However, in the event of changes, cabin crew members would typically be promptly advised, and such changes may then be addressed during the next recurrent training.

The procedures, resources and first aid subject areas may be addressed in recurrent training, to include testing and evaluation. Selected elements included in these subject areas would be addressed each year in recurrent training such that all elements are addressed during every 36-month period or, if applicable, in accordance with the Operator's AQP.

CPR is a lifesaving procedure that requires practice in order to maintain competence. Therefore, it is recommended that cabin crew members complete recurrent training in the most current CPR procedures on an annual basis.

It is recommended that elements chosen to be reviewed each year be built into practical scenarios. Scenario-based training is advantageous because:

- It requires the crew to function as a team;
- Scenarios might be designed to cover multiple aspects of first aid, as well as subjects from other areas, such as altitude physiology and regulations;
- It stimulates participation and improves retention.

Other training methods would also be acceptable as long as it can be reasonably established that cabin crew members have the knowledge and skills to apply first aid and lifesaving procedures at any given time.

### **CAB 2.2.12**

The Operator shall ensure cabin crew members complete initial and recurrent security training as approved or accepted by the State, and in accordance with the Operator's security training program as specified in [SEC 2.1.1](#). Cabin crew security training shall address the following subject areas:

- (i) Determination of the seriousness of any occurrence;

- (ii) Causes of disruptive behavior on board and management of such types of incidents;
- (iii) Crew communication and coordination;
- (iv) Policy and procedures associated with flight deck access;
- (v) Appropriate self-defense responses;
- (vi) Use of non-lethal protective devices assigned to crew members for use as authorized by the State;
- (vii) Understanding the behavior of terrorists so as to facilitate the ability to cope with hijacker behavior and passenger responses;
- (viii) Situational training exercises regarding various threat conditions;
- (ix) Flight deck procedures to protect the aircraft;
- (x) Aircraft search procedures;
- (xi) As practicable, guidance on least-risk bomb locations. **(GM)**

Conformance Applicability			
Specific to Aircraft Type	Included in Initial/Requalification Training	Included in Recurrent Training	Conformance through AQP
No	Yes	Yes (every 36 months)	Yes

**Note:** Cabin crew members shall complete initial security training prior to being assigned to operational duties.

## Auditor Actions

- ☐ **Identified/Assessed** cabin crew security training program (focus: approval/acceptance by the State; meets applicable requirements of other states).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** selected initial/recurrent training/qualification course curricula/syllabi (focus: security training is included; required subjects are addressed).
- ☐ **Examined** selected cabin crew member training/qualification records (focus: completion of security training).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Security Program.

Cabin crew members are directly involved in the implementation of security measures and thereby require an awareness of obligations to the Security Program of the operator.

Crew security training would normally be in accordance with applicable regulations and/or the civil aviation security program of the State, and where no regulatory guidance exists, in accordance with the policy of the operator.

Specific subject areas included in recurrent security training are typically identified and derived from an analysis of actual or likely situations or trends experienced during line operations.

Fight deck access as specified in item (iv) would typically include persons authorized for flight deck access as well as flight deck entry/exit procedures.

Non-lethal devices as specified in item (vi) typically include handcuffs or restraints.

Training as specified in item (vii) typically addresses topics or tactics as appropriate for the operator that might be associated with or could be used to facilitate crew-passenger reaction to or interaction with hijackers (e.g. conflict management, use of passive or non-passive cooperation, understanding Stockholm Syndrome, identification of and response to hijacker types/motives).

Training exercises as specified in item (viii) are typically interactive in nature, and scenarios or situations (e.g. bomb threat, hijacking, unruly passenger) may be presented using various accepted training methods (e.g. live role playing, table top, computer-based training).

Training as specified in item (xi) is applicable to aircraft types that have designated least-risk bomb locations.

## CAB 2.2.13

If the Operator uses aircraft that require more than one cabin crew member, the Operator shall ensure applicable cabin crew members have completed cabin crew leadership training (if applicable, as approved or accepted by the Authority) prior to being assigned to duties as a designated cabin crew leader, in accordance with CAB 3.1.2.

### Auditor Actions

- ☐ **Identified/Assessed** requirement for leadership training for cabin crew members assigned as cabin crew leader on aircraft that require more than one cabin crew member.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** curriculum/syllabus of leadership training course for cabin crew leaders.
- ☐ **Examined** training records of selected cabin crew members designated as cabin crew leader.
- ☐ **Other Actions** (Specify)

## 2.3 Line Qualification

### CAB 2.3.1

The Operator shall ensure cabin crew members complete supervised line flight experience as part of the cabin crew initial qualification process and prior to being assigned unsupervised duties as a cabin crew member. Supervised line flight experience shall be completed during one or more actual line flight segments and shall require a cabin crew member to demonstrate an understanding of all responsibilities and competency to perform the duties and execute the procedures associated with cabin operations. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** requirement for supervised line flight experience as part of initial qualification (focus: completion required prior to being assigned to unsupervised duties).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** criteria/activities/responsibilities included in supervised line experience (initial qualification).
- ☐ **Examined** selected cabin crew member training/qualification records (focus: completion of supervised line training prior to being assigned to unsupervised duties).
- ☐ **Other Actions** (Specify)

### Guidance

Supervised line flight experience is typically referred to as a familiarization flight or operating experience.

Where an operator uses more than one aircraft type, such supervised line experience may be accomplished on any one type.

Line flight experience (or familiarization flights) for cabin crew members, as part of the initial qualification process, may be conducted under the supervision of cabin crew members assigned cabin leadership responsibilities in normal line operations (e.g. purser, cabin leader, lead flight attendant, onboard leader or other similar positions) or specially qualified to conduct these particular supervisory responsibilities. This activity does not require the presence of a cabin crew instructor or evaluator to provide the necessary supervision; however, it is important the person conducting the supervision has received training and understands the responsibilities for the cabin crew position(s) being observed.

Line flight experience is normally conducted using a checklist that contains the duties and procedures that are being observed. The results of the observation are recorded. The checklist might be, but is not necessarily, retained with other cabin crew training records.

If permitted by the Authority, a group line indoctrination training flight conducted in the aircraft is an acceptable means of conforming to this provision if:

- The conduct of such training flight is defined by the Authority, including the training objectives that must be satisfied by cabin crew members;
- The operator conducts the training flight in accordance with all requirements defined by the Authority.

#### CAB 2.3.2

If the Operator uses aircraft that require only one cabin crew member, the Operator shall ensure cabin crew members complete supervised line flight experience on such aircraft as part of the cabin crew qualification or re-qualification process and prior to being assigned to perform unsupervised duties on an aircraft as the sole operating cabin crew member. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of supervised line flight experience as part of initial qualification/requalification of cabin crew members with duties on aircraft that require only one cabin crew member (focus: completion required prior to being assigned to unsupervised duties).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** criteria/activities/responsibilities included in supervised line experience (initial qualification/requalification single cabin crew member aircraft).
- ☐ **Examined** selected cabin crew member training/qualification records (focus: completion of supervised line training prior to being assigned to unsupervised duties).
- ☐ **Other Actions** (Specify)

#### Guidance

Requalification training is required when a cabin crew member has been absent from all flying duties for the period of time as determined by the Authority, and the last recurrent check has expired.

Supervised line flight experience might be referred to as a familiarization flight.

Because there is no backup or support from other cabin crew members on an aircraft requiring only one cabin crew member, it is important that each cabin crew member has some line experience on such aircraft under supervision prior to being assigned to duties in line operations as the sole cabin crew member on an aircraft.

Line flight experience for cabin crew members may be conducted under the supervision of cabin crew members assigned cabin leadership responsibilities in normal line operations (e.g. purser, cabin leader, lead flight attendant, onboard leader or other similar positions) or specially qualified to conduct these particular supervisory responsibilities. This activity does not necessarily require the presence of a cabin crew instructor or evaluator to provide the supervision.

#### CAB 2.3.3

The Operator *should* ensure cabin crew members complete supervised line flight experience as part of the cabin crew re-qualification process and prior to being assigned unsupervised duties on any aircraft requiring more than one cabin crew member. **(GM)**

**Note:** *If applicable, supervised line flight experience for cabin crew member requalification may be accomplished through use of a modified curriculum in accordance with the Operator's AQP as specified in [CAB 2.1.1B](#).*

#### Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of supervised line flight experience as part of cabin crew requalification (focus: completion required prior to being assigned to unsupervised duties).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** criteria/activities/responsibilities included in supervised line experience (requalification).



- ☐ **Examined** training/qualification records of selected cabin crew members (focus: completion of supervised line experience prior to being assigned to unsupervised duties).
- ☐ **Other Actions** (Specify)

## Guidance

Requalification training is required when a cabin crew member has been absent from all flying duties for the period of time as determined by the Authority, and the last recurrent check has expired.

Supervised line flight experience is typically referred to as a familiarization flight.

This provision would be applicable to an operator that has aircraft in its fleet that require *two or more cabin crew members*.

Line flight experience for cabin crew members as part of the re-qualification training course may be conducted under the supervision of cabin crew members assigned cabin leadership responsibilities in normal line operations (e.g. purser, cabin leader, lead flight attendant, onboard leader or other similar positions) or specially qualified to conduct these particular supervisory responsibilities. This activity does not necessarily require the presence of a cabin crew instructor or evaluator to provide the necessary supervision.

An approved AQP Entry Level Analysis may be documented to achieve the most effective use of training resources. An Entry Level Analysis may also be used to identify where training is not needed or to justify alternative curriculum tracks or modules targeted at expected differences in entry background.

### CAB 2.3.4

The Operator *should* ensure cabin crew members receive a periodic line evaluation or check while performing their duties during line operations. **(GM)**

**Note:** *If applicable, a periodic line evaluation or check may be accomplished through use of a modified curriculum in accordance with the Operator's AQP as specified in [CAB 2.1.1B](#).*

## Auditor Actions

- ☐ **Identified/Assessed** requirement for completion of periodic line evaluation/check of cabin crew members.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** process/criteria/content for periodic line evaluation/checks of cabin crew members.
- ☐ **Examined** training/qualification records of selected cabin crew members.
- ☐ **Other Actions** (Specify)

## Guidance

The line evaluation check of cabin crew members is typically conducted by a cabin crew member who has been specially qualified and designated to conduct dedicated supervisory activities (e.g. evaluator, instructor, purser or other similar supervisory position).

The periodic line evaluation or check of cabin crew members is normally conducted using a checklist that contains the standards for performance that are being evaluated. The results of the evaluation or check would be recorded on the checklist, which is retained with other cabin crew qualification records.

## 2.4 SMS Training

### CAB 2.4.1

The Operator shall have a program that ensures its cabin operations personnel are trained and competent to perform SMS duties. The scope of such training shall be appropriate to each individual's involvement in the SMS. **[SMS] (GM) ◀**

**Note:** *The specifications of this provision are applicable to personnel of the Operator that perform cabin operations functions.*



## Auditor Actions

- ❑ **Identified/Assessed** SMS training program for cabin operations personnel (focus: program ensures training for the operator's cabin operations personnel as appropriate to individual SMS involvement).
- ❑ **Interviewed** SMS manager and/or designated management representative(s).
- ❑ **Examined** selected initial and recurrent training curricula/syllabi for management/non-management personnel (focus: training in individually relevant SMS duties/responsibilities).
- ❑ **Examined** selected management/non-management personnel training records (focus: completion of SMS training).
- ❑ **Other Action** (Specify)

## Guidance

Refer to the IRM for the definition of Operational Function (Aircraft Operations).

SMS training is an element of the Safety Promotion component of the SMS framework.

### CAB 2.4.2

If the Operator outsources cabin operations functions to external service providers, the Operator *should* have a program that ensures personnel of external service providers are trained and competent to perform SMS duties. The scope of such training *should* be appropriate to individual involvement in the Operator's SMS. **[SMS] (GM) ◀**

## Auditor Actions

- ❑ **Identified/Assessed** SMS training program for cabin operations (focus: program ensures training for applicable cabin operations personnel of external service providers as appropriate to individual SMS involvement).
- ❑ **Interviewed** SMS manager and/or designated management representative(s).
- ❑ **Examined** selected outsourcing contracts/agreements (focus: inclusion of requirement of SMS training for applicable service provider personnel).
- ❑ **Examined** selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures applicable personnel of service providers have completed SMS training).
- ❑ **Other Actions** (Specify)

## Guidance

SMS training is an element of the Safety Promotion component of the SMS framework.

Refer to Guidance associated with [ORG 4.3.2](#) located in ISM Section 1.

## 3 Line Operations

### 3.1 Cabin Crew Requirements

#### CAB 3.1.1

The Operator shall specify and require a minimum number of cabin crew members for each aircraft type to ensure a safe and expeditious aircraft evacuation and to perform the necessary functions in an emergency. Such minimum cabin crew specification(s) shall:

- (i) Be based on aircraft seating capacity or number of passengers carried;
- (ii) Be in accordance with minimum cabin crew requirements of the Authority;
- (iii) If the Operator has procedures for a temporary reduction of minimum cabin crew complement during a case of incapacitation or unforeseen circumstances at a stopover (layover) point where a replacement cannot be obtained, require such procedures to be approved or accepted by the Authority. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** minimum cabin crew specification(s) (focus: specifications cover each aircraft type; are based on aircraft seating capacity or number of passengers carried; are in accordance with requirements of the Authority).
- ☐ **Identified** regulatory requirement for minimum cabin crew complement for each aircraft type.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** onboard documentation specifying minimum cabin crew requirements.
- ☐ **Observed** line cabin operations (focus: cabin crew complement in accordance with minimum cabin crew requirements).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of State Acceptance and State Approval.

#### CAB 3.1.2

If the Operator uses aircraft that require more than one cabin crew member, the Operator shall ensure, for flights on such aircraft:

- (i) Designation of a suitably qualified cabin crew leader who has overall responsibility for the conduct and coordination of normal and emergency cabin procedures.
- (ii) A defined delegation of leadership duties during inflight rest periods and/or in the event of unexpected incapacitation of the cabin crew leader. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** means of designating cabin crew leaders for flights with more than one cabin crew member.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** responsibilities cabin crew leaders.
- ☐ **Observed** line cabin operations (focus: designation of a cabin crew leader).
- ☐ **Other Actions** (Specify)

### Guidance

The position of cabin crew leader might have a different title or name according to the operator (e.g. purser, lead flight attendant, senior cabin crew member or onboard leader).

Suitably qualified cabin crew leaders are normally those with a prerequisite amount of experience as an operating cabin crew member, as defined by the operator (e.g. one year of full-time experience) and who have completed cabin crew leadership training as specified in [CAB 2.2.13](#).

New operators could be required to establish alternative minimum experience requirements.

Leadership duties would normally be delegated during incapacitation or inflight rest periods to a cabin crew member who has undergone the operator's cabin crew leadership training course or, if none have had leadership training, the most experienced cabin crew member.

#### CAB 3.1.3

The Operator shall have procedures to ensure communication between the cabin crew and flight crew during line operations is conducted in the designated common language(s) of the Operator, as specified in [FLT 3.1.1](#). **(GM)**

### Auditor Actions

- ☐ **Identified/assessed** procedures for use of common language in line operations (focus: requirement that communication between cabin/flight crew is in designated common language(s)).
- ☐ **Interviewed** responsible manager(s) in cabin operations.

- ☐ **Observed** line cabin operations (focus: cabin crew communication with flight crew in designated common language).
- ☐ **Other Actions** (Specify)

## Guidance

The specifications contained in [FLT 3.1.1](#) require an operator to designate a common language that is used by flight crew members for communication with the cabin crew during line operations.

In cases when the cabin crew includes members who do not all speak the common language, cabin crew members would normally be assigned to work positions throughout the cabin to ensure any communication with the flight crew is conducted by members who speak the common language.

During long haul operations, the crew rest schedule is typically structured so a sufficient number of cabin crew members who speak the common language are available and in position to communicate with the flight crew when necessary.

Refer to [FLT 3.1.1](#) in Section 2 (FLT) of this manual.

## CAB 3.1.4A

The Operator shall have a methodology for managing fatigue-related safety risks to ensure fatigue occurring in one flight, successive flights or accumulated over a period of time does not impair a cabin crew member's alertness and ability to perform safety-related cabin duties. Such methodology shall consist of:

- (i) Flight time, flight duty period, duty period limitations and rest period requirements that are in accordance with the applicable prescriptive fatigue management regulations of the State while managing fatigue hazards using the SMS processes that are in place for managing safety hazards in general, and/or
- (ii) If applicable, the Operator's Fatigue Risk Management System (FRMS) approved or accepted by the State and established in accordance with [FLT 3.4.3B](#). **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** requirements/methodology for cabin crew fatigue management and/or FRMS in accordance with regulations of the State.
- ☐ **Identified/Assessed** FRMS (if applicable) (focus: approved/accepted by State, incorporates elements as specified in [CAB 3.1.4B](#)).
- ☐ **Identified/Assessed** tracking/scheduling processes (focus: processes take into account cabin crew time/flight duty period/duty period/rest period limitations in the duty assignment of cabin crew members).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Interviewed** selected scheduling personnel.
- ☐ **Examined** selected cabin crew duty assignment records/rosters (focus: examples of application of cabin crew fatigue management limitations/mitigations).
- ☐ **Observed** cabin crew scheduling operations (focus: scheduling includes management of fatigue-related safety risk).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Fatigue Risk Management System (FRMS).

The intent of this provision is to ensure an operator establishes a methodology for the management of cabin crew member fatigue in a manner that:

- Is based upon scientific principles and knowledge;
- Is consistent with the prescriptive fatigue management and/or FRMS regulations of the State;
- Precludes fatigue from endangering safety of the flight.

Where authorized by the State, the operator may use a Fatigue Risk Management System (FRMS) in accordance with [CAB 3.1.4B](#) alone or in combination with prescriptive flight time, flight duty period, duty period limitations and rest period requirements as the means for managing fatigue-related risks.

Guidance for the implementation of an FRMS is contained in the IATA Fatigue Management Guide for Airline Operators and, as applicable, other reference documents approved or accepted by the State for the purpose of FRMS implementation (e.g. FAA, AC 120–103A–Fatigue Risk Management Systems for Aviation Safety).

### **CAB 3.1.4B**

If the Operator uses an FRMS to manage cabin crew fatigue-related safety risks, the Operator shall incorporate scientific principles and knowledge within the FRMS, comply with any applicable requirements for managing cabin crew fatigue as established by the State or Authority and, as a minimum:

- (i) Define and document the FRMS policy;
- (ii) Incorporate risk management processes for fatigue hazard identification, risk assessment and risk mitigation;
- (iii) Develop and maintain effective FRMS safety assurance processes;
- (iv) Establish and implement effective FRMS promotion processes. **(GM)**

### **Auditor Actions**

- ☐ **Identified/Assessed** FRMS policy/components/elements, compliance with fatigue risk management requirements of State/Authority.
- ☐ **Identified/Assessed** FRMS processes for cabin crew fatigue-related risk management data collection/analysis/hazard identification, safety risk assessment, safety risk mitigation/control.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Interviewed** selected personnel that perform cabin crew fatigue safety risk management functions.
- ☐ **Examined** selected examples of fatigue risk management (focus: hazard identified, risk assessed, mitigation action developed and implemented).
- ☐ **Observed** cabin crew scheduling operations (focus: scheduling includes management of fatigue-related safety risk in accordance with an approved FRMS).
- ☐ **Other Action** (Specify)

### **Guidance**

The intent of this provision is to ensure fatigue occurring either in one flight, successive flights or accumulated over a period of time does not impair a cabin crew member's alertness and ability to safely perform safety-related cabin duties.

Where authorized by the State, the operator may use an FRMS as a means to determine that variations from prescriptive fatigue management policies demonstrate an acceptable level of safety. Guidance for the implementation of an FRMS is contained in the IATA Fatigue Management Guide for Airline Operators and, as applicable, other reference documents approved or accepted by the State for the purpose of FRMS implementation (e.g. FAA, AC 120–103A–Fatigue Risk Management Systems for Aviation Safety).

The applicability of this provision is limited to those operations wherein fatigue is managed in accordance with the FRMS as defined in the operator's FRMS documentation. It is important to note, however, that an FRMS may be used alone or in combination with prescriptive flight time, flight duty period limitations and rest period requirements as the means for managing fatigue related risks.

The components of an effective FRMS as specified in this provision are described in the following table.

FRMS Component	Item	Description
FRMS policy and documentation	(i)	<p>Policy:</p> <ul style="list-style-type: none"> <li>• Defines FRMS Terms of Reference</li> <li>• Defines scope of FRMS operations</li> <li>• Identifies FRMS elements</li> <li>• Reflects shared responsibility</li> <li>• States safety objectives</li> <li>• Declares management commitment</li> <li>• Identifies lines of accountability</li> </ul> <p>Documentation:</p> <ul style="list-style-type: none"> <li>• Policy and objectives</li> <li>• Processes and procedures</li> <li>• Accountabilities, responsibilities and authorities</li> <li>• Mechanism for involvement of all stakeholders</li> <li>• FRMS training records</li> <li>• Planned and actual times worked</li> <li>• Outputs (findings, recommendations, actions)</li> </ul>
Fatigue risk management processes	(ii)	<ul style="list-style-type: none"> <li>• Fatigue hazard identification (reactive/proactive/predictive processes)</li> <li>• Safety risk assessment</li> <li>• Safety risk mitigation</li> </ul>
FRMS safety assurance processes	(iii)	<ul style="list-style-type: none"> <li>• FRMS performance monitoring</li> <li>• Operational and organizational change management</li> <li>• Continual FRMS improvement</li> </ul>
FRMS promotion processes	(iv)	<ul style="list-style-type: none"> <li>• Training programs (for management, crew members and all other involved personnel under the FRMS)</li> <li>• Communication plan (explains FRMS policies, procedures and responsibilities to all relevant stakeholders, and also describes communication channels)</li> </ul>



## CAB 3.1.4C

If the Operator uses an FRMS to manage cabin crew fatigue-related safety risks, the Operator *should* ensure the organizational activities specified in [CAB 3.1.4B](#) related to the management of cabin crew fatigue-related risks are integrated with the Operator's organizational safety management system (SMS). **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** integration of FRMS elements in organizational SMS.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Interviewed** selected personnel that perform cabin crew fatigue-related safety risk management functions.

- ☐ **Examined** selected examples of cabin crew fatigue-related hazards addressed/analyzed under organization-wide safety risk assessment/mitigation program.
- ☐ **Other Action** (Specify)

### Guidance

The intent of this provision is to ensure the “tactical” organizational activities specified in [CAB 3.1.4B](#) interface with organizational safety risk management activities. This includes interfaces with SMS and Quality systems to ensure operational systems and processes are subjected to the organization's overarching safety and quality assurance processes.

Guidance for the integration of FRMS and SMS is described in the IATA/ICAO/IFALPA Fatigue Management Guide for Airline Operators.

### CAB 3.1.5

The Operator shall have a process to ensure flight time, flight duty periods and rest periods for cabin crew members are recorded and retained for a minimum period of time in accordance with applicable regulations. **(GM)**

### Auditor Actions

- ☐ **Identified** process for retention of duty and rest periods.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** time limits for retention of duty and rest periods.
- ☐ **Examined** selected records of duty and rest periods.
- ☐ **Other Actions** (Specify)

### Guidance

For each cabin crew member, flight/duty time records would typically consist of:

- The start, duration and end of each flight duty period;
- The start, duration and end of each duty period;
- Rest periods;
- Flight time.

If computer software is used for cabin crew planning and scheduling, the operator would ensure the software provides appropriate warnings when individual flight segments or series of flight segments are projected to exceed applicable maximum or minimum limits.

### CAB 3.1.6

The Operator shall consider the following as duty time for the purpose of determining required rest periods and calculating duty time limitations for operating cabin crew members:

- (i) Entire duration of the flight;
- (ii) Pre-operating deadhead time;
- (iii) Training period(s) immediately prior to a flight;
- (iv) Administrative or office time immediately prior to a flight (for cabin crew members that serve in a management function). **(GM)**

### Auditor Actions

- ☐ **Identified** the means of calculation of duty time limitations for operating cabin crew members.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** criteria for calculating duty time and rest period limits.
- ☐ **Examined** selected records of duty times and rest periods.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM of the definition of Deadheading.

Training periods and administrative or office time before a flight, without an intermediate rest period before flying duty, is considered continuous duty time.

The intent of this provision is to ensure an operator considers non-flight duty time that is likely to induce fatigue into the calculation of duty time limitations and the determination of required rest periods.

**CAB 3.1.7**

The Operator shall have a policy that ensures cabin crew members, prior to being assigned to duty, will not be affected by factors that could impair human performance. Such factors include, as a minimum:

- (i) Pregnancy;
- (ii) Illness, surgery or use of medication(s);
- (iii) Blood donation;
- (iv) Deep underwater diving.
- (v) Fatigue whether occurring in one flight, successive flights or accumulated over a period of time **(GM)**

**Auditor Actions**

- ☐ **Identified** policy that ensures that, prior to being assigned to duty, cabin crew members will not be affected by factors that could impair human performance.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** selected evidence of implementation of the policy (if available).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is to ensure an operator's policies address the "fitness for duty" of cabin crew members. Such policy typically assigns responsibility to the individual cabin crew member to report and remain "fit for duty" in accordance with the specifications.

**3.2 Cabin Crew Policies and Procedures****CAB 3.2.1**

The Operator shall have procedures that specify cabin crew functions, applicable to each aircraft type, and actions to be executed during an emergency or situation requiring an emergency evacuation.

**Auditor Actions**

- ☐ **Identified/Assessed** procedures for emergencies and emergency evacuations.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: procedures that specify cabin crew functions/actions for an emergency/emergency evacuation situation).
- ☐ **Other Actions** (Specify)

**CAB 3.2.2**

The Operator shall have procedures to ensure a coordinated and expeditious cabin evacuation during aircraft fueling operations with passengers embarking, on board or disembarking. As a minimum, procedures shall require:

- (i) Cabin exits are designated for rapid deplaning or emergency evacuation, and routes to such exits are unobstructed;
- (ii) The area outside designated emergency evacuation exits is unobstructed;
- (iii) One cabin crew member or other qualified person is positioned by the boarding door(s);



- (iv) Means of communication are established among cabin crew members and with passengers;
- (v) A suitable method of communication is established between qualified persons that monitor passenger safety and personnel that have responsibility for fueling operations. **(GM)**

### Auditor Actions

- ☐ **Identified** the specified procedures for cabin evacuation during aircraft fueling operations with passengers embarking, on board or disembarking.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: cabin crew procedures to ensure coordinate/expeditious cabin evacuation during fueling operations with passengers on board).
- ☐ **Other Actions** (Specify)

### Guidance

During fueling operations with passengers on board the aircraft, the designation of exits for rapid deplaning or evacuation takes into account various factors, which would typically include:

- Aircraft type (e.g. some aircraft types might require the designation of over-wing exits for evacuation);
- Number of cabin crew members on board;
- The method being used for passenger boarding and/or deplaning (e.g. boarding bridge, air stairs);
- Exterior obstructions (e.g. catering vehicle) that might render an exit unusable for an emergency evacuation;
- Interior obstructions (e.g. catering trolley) that might block the route to one or more emergency evacuation exits.

Cabin crew procedures ensure a method of communication is established.

- Among cabin crew members positioned throughout the cabin for the purpose of coordination should a passenger evacuation be required (when more than one cabin crew member is required to be on board);
- Between the cabin crew and passengers (one way) for the purpose of providing instructions should a passenger evacuation be required;
- Between the cabin crew and the flight crew (when the flight crew is on board) for the purpose of ensuring notification when fueling operations are in progress and when a passenger evacuation is required;
- Between the cabin crew and the flight crew and/or ground handling personnel for the purpose of ensuring notification when fueling operations must be discontinued for any reason.

### CAB 3.2.3

The Operator shall have a procedure to ensure the cabin crew verifies that:

- (i) Passenger and crew baggage in the passenger cabin is securely stowed;
- (ii) If applicable, cargo packages and/or passenger items being transported in passenger seats are properly secured. **(GM)**

### Auditor Actions

- ☐ **Identified** procedure for cabin crew to verify cabin security (focus: baggage and cargo packages/passenger items are stowed or properly secured).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: cabin crew procedure to verify baggage and cargo packages/passenger items are stowed or properly secured).
- ☐ **Other Actions** (Specify)

**Guidance**

The intent of this provision is for an operator to have a procedure for verification by the cabin crew that all baggage and, if applicable, cargo packages and/or passenger items being transported in passenger seats are stowed or properly secured.

Some operators might transport smaller cargo packages (e.g. mail, COMAT items) secured in cabin passenger seats.

Some operators might transport certain passenger items secured in cabin passenger seats. These types of items are typically large, valuable or fragile articles belonging to passengers that are not conducive to transport as checked baggage or appropriate for stowage in overhead bins/lockers (e.g. large musical instruments, certain electronic equipment, prominent trophies, works of art). Such items might thus be secured and carried in a dedicated cabin passenger seat (which might be purchased by the passenger-owner for the purpose of transporting the item).

Loading procedures and limitations for securing such items are defined in [GRH 3.4.12](#), which is located in Section 6 (GRH) of this manual.

**CAB 3.2.4A**

The Operator shall have procedures for the opening and closing of aircraft cabin access doors during normal operations. Such procedures shall define:

- (i) Who is responsible for opening and closing aircraft cabin access doors;
- (ii) When doors should be opened and closed;
- (iii) Appropriate methods of communication and/or coordination between the cabin or flight crew and ground personnel to ensure safety is maintained during normal door operations. **(GM)**

**Note:** This provision is assessed in conjunction with [GRH 3.2.5](#) and, if applicable, [FLT 3.13.11](#).

**Auditor Actions**

- ☐ **Identified/assessed** procedures for opening and closing cabin access doors in conjunction with [GRH 3.2.5](#) and if applicable [FLT 3.13.11](#).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: cabin crew procedures for opening/closing cabin access doors).
- ☐ **Coordinated** with FLT and GRH auditors (focus: complementary FLT and GRH procedures for opening and closing of aircraft cabin access doors).
- ☐ **Other Actions** (Specify)

**Guidance**

Depending on aircraft size and type of operation, procedures may require that the flight crew, cabin crew or ground handling personnel are assigned responsibility for the opening and/or closing of aircraft cabin access doors.

Procedures and associated responsibilities for opening and closing of cabin access doors can vary according to the situation (e.g. an operator may have different requirements for a flight with the cabin/flight crew on board versus an aircraft towing operation without crew on board).

Procedures would address and mitigate safety hazards such as fall from height, entrapment and personnel injury during door operation.

Conformity with this provision is assessed in conjunction with [GRH 3.2.5](#) and, if applicable, [FLT 3.13.11](#).

**CAB 3.2.4B**

If the Operator uses aircraft equipped with cabin doors that have an automatic slide or slide/raft deployment system, the Operator shall have cabin crew procedures for arming and disarming such door systems. **(GM)**

**Auditor Actions**

- ☐ **Identified** procedures for arming and disarming door systems.

- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: cabin crew procedures for arming/disarming applicable cabin door slides/slide rafts).
- ☐ **Other Actions** (Specify)

### Guidance

This standard addresses door systems that are designed to automatically deploy a slide or slide/raft for emergency evacuation if the door is opened with the system in the armed mode. Such door systems are typically armed once the door has been closed for flight and disarmed at the end of a flight and prior to the door being opened for passenger and/or crew deplaning.

Depending on the type of aircraft and door system, the pack that contains the slide or slide/raft might be mounted in the door itself, or might be mounted in the fuselage, tail cone or other location.

### CAB 3.2.5

The Operator shall require cabin crew members to be seated with their safety harness fastened:

- (i) During the takeoff and landing phases of flight;
- (ii) Whenever the pilot-in-command (PIC) so directs. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** requirements and conditions for cabin crew members to be seated with their safety harness fastened.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: cabin crew seated/safety harness fastened for takeoff/landing, when directed by PIC).
- ☐ **Other Actions** (Specify)

### Guidance

The safety harness consists of the seat belt and shoulder straps.

### CAB 3.2.6

The Operator *should* require cabin crew members to be seated with their safety harnesses fastened when the aircraft is taxiing, except to perform safety-related duties. **(GM)**

### Auditor Actions

- ☐ **Identified** means of ensuring cabin crew are seated with safety harness fastened when aircraft is taxiing, except to perform safety-related duties.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: cabin crew seated/safety harness fastened for taxi operations, except to perform safety duties).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to minimize the risk of cabin crew injury and/or incapacitation in the event of a sudden stop or ground collision during aircraft taxi operations.

During departure taxiing, safety-related duties are those that are directly associated with completion of the passenger safety briefing and the securing of the cabin as defined in [CAB 3.2.7](#). Safety-related duties also include any response to an abnormal or medical situation. Duties associated with passenger service should be discontinued during taxi.

During arrival taxiing, safety-related duties are those that are associated with preparing the aircraft for arrival. Any passenger service duties should be delayed until after the aircraft has arrived at the gate.

**CAB 3.2.7**

The Operator shall have procedures for preparation of the cabin prior to takeoff and landing. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** procedures for cabin preparation prior to takeoff and landing.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: cabin crew procedures for cabin preparation prior to takeoff/landing).
- ☐ **Other Actions** (Specify)

**Guidance**

Preparation of the cabin prior to takeoff and landing would require the cabin crew to visually verify certain conditions are in effect. Items checked by the cabin crew will vary according to aircraft type and equipment carried, but typically include:

- Passenger seat belts fastened;
- Tray tables and seat backs in a stowed and upright position;
- Cabin baggage and other carry-on items secure in designated areas;
- As applicable, in-flight entertainment system viewing screens off and stowed;
- Galleys, service carts/trolleys and associated equipment stowed or restrained.

**CAB 3.2.8**

The Operator shall have cabin crew procedures for providing passengers with instructions for appropriate action in the case of an in-flight emergency situation.

**Auditor Actions**

- ☐ **Identified** procedures for providing passengers with instructions for in-flight emergency situations.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: cabin crew procedures for providing safety instructions to passengers).
- ☐ **Other Actions** (Specify)

**CAB 3.2.9**

If the Operator uses movable carts or trolleys for passenger service in the aircraft cabin, the Operator shall:

- (i) Ensure such carts or trolleys are equipped with braking devices;
- (ii) Have a process to ensure braking devices are operative;
- (iii) Have procedures to ensure unserviceable carts or trolleys are withdrawn for repair or replacement. **(GM)**

**Auditor Actions**

- ☐ **Identified** means of ensuring carts/trolleys are equipped with braking devices and undergo serviceability checks.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: movable service carts/trolleys have operative braking devices; procedures for withdrawal or replacement of unserviceable carts/trolleys).
- ☐ **Other Actions** (Specify)

**Guidance**

Braking devices on service carts or trolleys would typically be checked prior to the first flight of the day. If an operator uses external service providers for catering, the operator may delegate the serviceability of trolleys and service carts to the caterer(s). Under such circumstances, provisions under [CAB 1.10](#), Outsourcing and Product Control, would be applicable.

Should a cart or trolley become unserviceable during flight (e.g. defective braking device), procedures would typically ensure the trolley or cart is stowed and not used for cabin service. Additionally, tagging or labeling procedures would be implemented to ensure an unserviceable trolley or cart is easily identified and will be withdrawn for repair or replacement.

### **CAB 3.2.10**

If the Operator uses movable carts or trolleys for passenger service in the aircraft cabin, the Operator shall have procedures to ensure such carts or trolleys are:

- (i) Stowed during the takeoff and landing phases of flight;
- (ii) Stowed when not in use;
- (iii) Stowed if feasible, or secured, during an emergency situation;
- (iv) Stowed if feasible, or secured, prior to or during turbulence;
- (v) Secured with braking device engaged at any time when stationary;
- (vi) Attended by cabin crew when used within the passenger cabin. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** procedures for stowage of carts/trolleys during takeoff/landing/emergencies/turbulence.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: procedures for stowage/securing of movable service carts/trolleys).
- ☐ **Other Actions** (Specify)

#### **Guidance**

The term *stowed* means service carts or trolleys are moved into dedicated compartments (or sleeves) that are designed to lock such equipment in place and prevent any movement within the cabin.

The term *secured* means service carts or trolleys are positioned in the cabin, typically with brakes locked, in a manner that inhibits movement. Such action would be taken only when time constraints or cabin conditions are such that normal stowage is not feasible.

The term *attended* means that cabin crew members are actively using the cart or trolley in the aisle for onboard service. Service duties may include moving away from the cart or trolley temporarily, however the cabin crew member should be able to return to it quickly if necessary.

### **CAB 3.2.11** (Intentionally open)

### **CAB 3.2.12**

If the Operator uses aircraft with electrical system circuit breakers that are accessible to cabin crew members, the Operator shall have procedures that specify limitations for resetting tripped circuit breakers by cabin crew members during flight. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** procedures specifying limitations for resetting tripped circuit breakers by cabin crew members during flight.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Interviewed** cabin crew members to confirm awareness of limitations for resetting tripped circuit breakers.
- ☐ **Other Actions** (Specify)

#### **Guidance**

Procedures and limitations with respect to resetting circuit breakers typically include:

- Authority to reset (normally from the PIC);
- Applicable type of equipment;

- Applicable conditions;
- Number of resets permitted.

## 3.3 Flight Deck Coordination

### CAB 3.3.1

The Operator shall have a policy and associated procedures that define a sterile flight deck during critical phases of flight, to include:

- (i) A procedure for communication between the cabin crew and flight crew;
- (ii) A procedure for notification of the flight crew in the event of an emergency. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** policy and procedures that define a sterile flight deck during critical phases of flight.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: policy/procedures that define sterile flight deck, address cabin-flight crew communication).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Critical Phase of Flight and Sterile Flight Deck.

The phases of flight when the operational state of the flight deck must be sterile would be defined by the operator or the State.

The operator also typically includes the policy and procedures associated with a sterile flight deck as part of cabin crew training as specified in [CAB 2.2.2](#).

### CAB 3.3.2

If the Operator uses aircraft equipped with a flight deck door, the Operator shall have policies and/or procedures that are in accordance with requirements of the Authority and, as a minimum, define:

- (i) When the flight deck door must remain locked;
- (ii) The means used and actions necessary for cabin crew members to:
  - (a) Notify the flight crew in the event of suspicious activity or security breaches in the cabin;
  - (b) Gain entry to the flight deck. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** policies and/or procedures for flight deck access that are in accordance with requirements of the Authority.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: policies/procedures for cabin-flight crew that address locking/use of flight deck door, cabin crew entry to flight deck).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure the security of the flight deck by providing the flight crew and cabin crew with complementary policies and/or procedures:

- That ensure the flight crew is notified in the event of suspicious activity or a security breach in the cabin;
- For use by cabin crew members to gain entry to the flight deck when a lockable door is installed.

Such policies and/or procedures define the *actions* necessary to address the specifications of this provision.

The operator also typically includes the policy and procedures associated with a sterile flight deck as part of cabin crew training as specified in [CAB 2.2.2](#).

Policies and/or procedures related to flight deck security are considered sensitive information and are normally provided to relevant personnel in a manner that protects the content from unnecessary disclosure.

### CAB 3.3.3

The Operator shall have procedures for communication and coordination between the cabin crew and flight crew to ensure a combined and coordinated process in addressing:

- (i) Passenger safety information;
- (ii) Cabin readiness prior to first aircraft movement, takeoff and landing;
- (iii) Arming or disarming of cabin door slides or slide rafts, if applicable;
- (iv) Preparation for and an encounter with turbulence;
- (v) Medical situations;
- (vi) Flight or cabin crew member incapacitation;
- (vii) Emergency evacuation;
- (viii) Abnormal situations;
- (ix) Emergency situations. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** procedures as specified in the standard for communication and coordination between the cabin crew and flight crew.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: procedures for cabin-flight crew communication/coordination to address cabin operational situations).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Sterile Flight Deck.

Communication and coordination between the flight crew and cabin crew might be verbal or non-verbal and could be included as an integral part of specific normal, abnormal and emergency procedures.

Procedures normally include a flight and cabin crew coordination briefing prior to each flight addresses relevant safety subjects (e.g. sterile flight deck, security, aircraft technical issues, flight crew incapacitation, cabin depressurization, onboard fire, emergency evacuation, forced landing or ditching.)

Appropriate communication and coordination between the flight and cabin crews ensures cabin door slides or slide rafts are armed prior to first movement of the aircraft.

### CAB 3.3.4

The Operator shall have procedures to ensure the cabin crew provides notification to the flight crew when a safety-related situation has been identified. **(GM)**

#### Auditor Actions

- ☐ **Identified** procedures to ensure cabin crew notification to the flight crew when a safety-related situation has been identified.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: cabin crew procedures for safety notifications to flight crew).
- ☐ **Other Actions** (Specify)



**Guidance**

Examples of safety-related situations that typically require notification to the flight deck include:

- Unruly behavior by passenger(s);
- Injury to passenger or crew member;
- Medical emergencies, use of first aid or medical equipment;
- Fire, smoke or toxic fumes in the cabin;
- Failure of any emergency system or equipment.

In general, any occurrences that could pose danger to the aircraft or its occupants would be considered reportable to the flight deck.

Procedures typically specify certain critical phases of flight during which the cabin crew is prohibited from initiating any communication to the flight crew (e.g. takeoff and landing).

**CAB 3.3.5**

The Operator *should* have a policy and procedures that define and specify the requirements for standard wording, terminology, signals and/or verbal commands used for communication between cabin crew and flight crew during normal, abnormal and emergency situations. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** policy and procedure for a standardized means of communication between cabin crew and flight crew during normal, abnormal and emergency situations.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: procedures for standardized cabin-flight crew communication).
- ☐ **Other Action** (Specify)

**Guidance**

The intent of this provision is that communication between cabin crew and flight crew during abnormal and emergency situations is conducted using standardized methods of communication identified and defined in documentation available to applicable crew members.

Examples of such situations include:

- Cabin depressurization;
- Severe turbulence;
- Emergency evacuation;
- "Before impact" notification (forced/emergency landing or ditching);
- Crew member incapacitation;
- Unlawful interference.

**CAB 3.3.6** (Intentionally open)**CAB 3.3.7**

The Operator shall have procedures that ensure the cabin crew is notified:

- (i) When to be seated and secure themselves for takeoff;
- (ii) When the flight is in the descent phase;
- (iii) When to be seated and secure themselves for landing. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** procedures for cabin crew notifications (focus: cabin crew is notified when to be seated and secure themselves for takeoff/descent/landing).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: cabin crew notified prior to takeoff/descent/landing).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure the cabin crew has adequate time to prepare the cabin and secure themselves at their assigned crew station before takeoff and landing.

Notification may be provided through cabin announcements, interphone or other signals (e.g. cycling of fasten seatbelt signs/chimes) and may originate from the flight crew or be delivered by the cabin crew leader.

Notification of descent may be given at top of descent and/or later in the descent phase according to the operation.

On very short flights, notification of time of descent may be included in a briefing between the flight and cabin crew.

## 3.4 Cabin Operations Policies and Procedures

### CAB 3.4.1

The Operator shall have a policy and procedures for the acceptance or non-acceptance, as well as onboard handling, of passengers who might require special handling by the cabin crew. Such policy and procedures shall be in accordance with applicable regulations and, as a minimum, address:

- (i) Passengers with disabilities or reduced mobility;
- (ii) Passengers with injuries or illness;
- (iii) Persons on stretchers;
- (iv) Infants and children, including unaccompanied children (UMNR) if accepted;
- (v) Inadmissible passengers, deportees, or persons in custody. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** the policy and associated procedures as specified in the standard for the acceptance and onboard handling of passengers requiring special attention by the cabin crew.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: procedures for addressing passengers that require special handling).
- ☐ **Coordinated** with FLT and CAB auditors (focus: complementary policy/procedures for passengers which require special handling).
- ☐ **Other Actions** (Specify)

### Guidance

A policy and associated procedures typically address the acceptance and onboard handling of passengers that might require special handling, or perhaps the refusal to board certain categories of passengers. For example, such policy and procedures might specify:

- For passengers with disabilities: acceptance, refusal or limitations in accordance with requirements of the Authority; specific seat allocation; specialized equipment that would need to be available (e.g. onboard wheelchair); onboard safety briefing as applicable to the particular passenger's disability.
- For infants and children: limitations, accepted supplemental restraint devices; specific seat allocation.
- If unaccompanied children are accepted: Maximum number, minimum age, any special arrangement while on board, specific seat allocation.
- If stretchers are accepted: Maximum number, escort requirements, associated equipment that would need to be available.
- If deportees or passengers in custody are accepted: Maximum number, number of escort officers, specific seat allocation.

**CAB 3.4.2**

The Operator shall have a policy and associated procedures for addressing passengers that exhibit unruly behavior and/or interfere with a crew member prior to or during flight. Such policy and procedures shall be in accordance with local laws and regulations, and also specify reasonable measures for ensuring passengers obey lawful commands from the PIC and/or cabin crew for the purpose of securing the safety of the aircraft, persons on board and their property. As a minimum, the policy and procedures shall address:

- (i) Identification of passenger unruly behavior and interference;
- (ii) Identification of passengers showing signs of intoxication, whether from alcohol or other substances, which might contribute to unruly behavior and interference;
- (iii) Conditions under which passengers may be denied boarding, disembarked or restrained in accordance with the authority of the PIC;
- (iv) Reporting of instances of unruly behavior. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** the policy and associated procedures for identifying and addressing passengers that show signs of intoxication, exhibit unruly behavior and/or interfere with a crew member prior to or during flight.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: procedures for handling of unruly passengers, crew member interference).
- ☐ **Other Actions** (Specify)

**Guidance**

Policy and associated procedures would typically be published to ensure awareness by all applicable ground and flight personnel.

To ensure procedures are effective, guidelines are typically created to address all aspects of managing unruly behavior including recognition of intoxication, de-escalation techniques, different levels of unruly behavior and the appropriate responses for each.

An example policy and associated procedures to address unruly passengers is provided in the IATA Cabin Operations Safety Best Practices Guide.

The intent of item (iv) is that instances of passenger unruly behavior or interference are reported internally in accordance with [SEC 1.12.1](#) and [SEC 4.3.1](#). Such reporting is usually done for the purpose of performing trend analysis and developing appropriate mitigation measures. In addition, depending on the severity, some instances may be required to be reported to the applicable aviation security authority in accordance with [SEC 4.3.2](#).

**CAB 3.4.3** (Intentionally open)**CAB 3.4.4**

The Operator shall have cabin crew procedures that require all passengers to be seated with their seat belts (or harness or other restraint provided) fastened:

- (i) For the taxi, takeoff and landing phases of a flight;
- (ii) Prior to and/or during turbulence;
- (iii) When the PIC considers it necessary for the safety of the flight. **(GM)**

**Auditor Actions**

- ☐ **Identified** procedures that ensure all passengers are seated with seat belts/harnesses fastened during the flight phases specified in the standard.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: procedures for ensuring passengers seated/seat belt fastened for defined phases of flight/conditions).
- ☐ **Other Actions** (Specify)

### Guidance

Procedures for turbulence normally require at least one briefing to passengers.

Briefings may be delivered using a variety of methods including passenger announcement, discussion, demonstration, audio/visual media or automated seat messages where such systems exist. Briefings may be directed to individual passengers, small groups or all passengers simultaneously.

On longer flights where multiple periods of turbulence might occur, operators typically determine a required number and frequency of briefings and/or visual checks by the cabin crew.

### CAB 3.4.5

If the Operator conducts passenger flights with or without cabin crew, the Operator shall have procedures that require the secure restraint of infants during the phases of flight and conditions specified in [CAB 3.4.4. \(GM\)](#)

### Auditor Actions

- ☐ **Identified** procedures to ensure infants are securely restrained during the flight phases or conditions specified in [CAB 3.4.4.](#)
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: procedures for ensuring secure infant restraint for defined phases of flight/conditions)
- ☐ **Other Actions** (Specify)

### Guidance

The term “infant” refers to small children as defined by the Authority. If the Authority does not have a definition, the operator would publish its own definition in the OM. An “infant” is typically defined as a child that is less than two years of age.

Some regulatory authorities require the use of child restraint devices, for which there is no universally accepted definition. The term “restraint devices” refers to any device that is accepted by the Authority and is used specifically to keep small children restrained in the aircraft cabin. Automobile seats approved for use on an aircraft, “loop belts” and “infant seat belts” are examples of child restraint devices.

Procedures would be in place to ensure infants are securely restrained. Such procedures typically include the use of infant restraint devices or could specify other means of restraint. If the Authority requires specific procedures (e.g. infants held by an adult who is occupying an approved seat or berth) or identifies an approved type of restraint device, the operator is required to be in compliance with those requirements.

### CAB 3.4.6

If the Operator conducts passenger flights with or without cabin crew and uses aircraft that have passenger seats adjacent to cabin emergency exits, the Operator shall have guidance and procedures to ensure passengers seated in such seats meet any applicable requirements and restrictions.

### Auditor Actions

- ☐ **Identified/Assessed** guidance and procedures to ensure passengers seated in seats adjacent to cabin emergency exits meet any applicable requirements and restrictions.
- ☐ **Observed** line cabin operations (focus: procedures that address passengers seated adjacent to emergency exits).
- ☐ **Other Actions** (Specify)

**CAB 3.4.7** (Intentionally open)

**CAB 3.4.8**

If the Operator conducts passenger flights with or without cabin crew, the Operator shall have guidelines and associated procedures to ensure control of the use of portable electronic devices in the passenger cabin. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** guidelines and associated procedures to ensure control of the use of portable electronic devices (PEDs) in the passenger cabin.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: guidance/procedures that address control of PED usage).
- ☐ **Other Actions** (Specify)

**Guidance**

Some portable electronic devices might adversely affect the performance of aircraft systems or equipment. An operator would typically have published guidelines that define relevant electronic devices, as well as associated procedures to ensure the use of such devices is controlled.

**CAB 3.4.9** (Intentionally open)**CAB 3.4.10**

The Operator shall have cabin crew procedures that ensure passengers are briefed on matters related to safety, including turbulence, normal, abnormal and emergency situations. **(GM)**

**Auditor Actions**

- ☐ **Identified** procedures for briefings to passengers for situations as specified in the standard.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: procedures for passenger safety briefings as applicable to the situation).
- ☐ **Other Actions** (Specify)

**Guidance**

Briefings may be delivered using a variety of methods including passenger announcement, discussion, demonstration, audio/visual media or automated seat messages where such systems exist. Briefings may be directed to individual passengers, small groups or all passengers simultaneously.

**CAB 3.4.11**

The Operator shall have guidance and associated cabin crew procedures to ensure passengers:

- (i) Are informed and receive instruction on all restrictions pertaining to onboard smoking;
- (ii) Comply with the *Fasten Seat Belt* sign and, if applicable, the *No Smoking* sign.

**Auditor Actions**

- ☐ **Identified** guidance and procedures to ensure passengers are informed of all restrictions and instructions pertaining to on onboard smoking and Fasten Seat Belt/No Smoking signs.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** documentation of guidelines, PAs, safety video & associated procedure(s).
- ☐ **Observed** line cabin operations (focus: guidance/procedures to communicate smoking restrictions to passengers, address compliance with fasten seat belt/no smoking signs).
- ☐ **Other Actions** (Specify)

**CAB 3.4.12**

The Operator shall have cabin crew procedures and guidance to ensure passengers are familiar with location and use of:

- (i) Seat belts;
- (ii) Emergency exits;
- (iii) Life jackets (individual flotation devices), if required;
- (iv) Oxygen masks, where applicable;
- (v) Other emergency equipment provided for individual use, including safety information cards. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** guidance/cabin crew procedures to ensure passengers are familiar with the location and use of the safety and emergency equipment as specified in the standard.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Examined** documentation of guidelines, PAs, safety video & associated procedure(s).
- ☐ **Observed** line cabin operations (focus: procedures for ensuring passengers are familiar with cabin emergency equipment/systems).
- ☐ **Other Actions** (Specify)

**Guidance**

A demonstration video or an announcement on the cabin public address system are methods that ensure passengers are familiar with locations and the use of the specified items.

A safety information card, which is made available to each passenger, is typically used to supplement a demonstration or announcement.

Seat cushions that are designed to float are considered individual flotation devices.

**CAB 3.4.13**

The Operator shall have a cabin crew policy and procedures that ensure, as applicable to aircraft type and configuration, the delivery of oxygen to passengers:

- (i) Immediately following a depressurization;
- (ii) For treatment during a medical event where oxygen is required. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** policy/cabin crew procedures for the administration of oxygen.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: procedures for administration of oxygen from portable bottles/cabin system as applicable to aircraft type).
- ☐ **Other Actions** (Specify)

**Guidance**

Emergency oxygen for use following depressurization events may be available through automatically deployed oxygen masks. Cabin crew procedures during a depressurization on such aircraft usually require fitting their own mask first and instructing passengers to self-administer oxygen using the deployed masks.

For aircraft that are not fitted with automatically deployed oxygen masks, cabin crew procedures usually ensure that passengers who still require oxygen following the event are provided with oxygen from a portable supply or a mask fitted to a fixed aircraft system.

During a medical event where oxygen is appropriate for treatment, cabin crew procedures include using portable oxygen bottles or other oxygen supplying equipment, as applicable for the type of aircraft.



**CAB 3.4.14**

The Operator shall have a policy that defines the acceptance or non-acceptance of passengers that have the potential need for supplementary oxygen and, if such passengers are accepted, procedures for the administration and stowing of supplementary oxygen. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** policy for the acceptance or non-acceptance of passengers needing supplementary oxygen (focus: for acceptance of such passengers, cabin crew procedures for the administration/stowing of supplementary oxygen).
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Interviewed** cabin crew members (focus: confirmation of the awareness of the procedures for administration of supplemental oxygen).
- ☐ **Other Actions** (Specify)

**Guidance**

A policy would define whether the operator does or does not accept passengers with a pre-existing medical condition that requires the potential need for oxygen. If such passengers are accepted, the operator would normally have a process that permits arranging for and boarding an adequate oxygen supply prior to a flight. Additionally, procedures would ensure:

- The proper administration of such oxygen by crew members when needed;
- Oxygen equipment is properly stowed when not in use or when the seat belt sign is illuminated.

In some circumstances, if approved by the operator and the Authority, passengers may be allowed to carry on board and use their own oxygen equipment.

If an operator does not accept passengers that have the need for supplementary oxygen, the policy would clearly state such non-acceptance in order to ensure awareness among applicable passenger handling personnel.

**CAB 3.4.15**

The Operator shall ensure the immediate availability of procedures and associated checklist(s), applicable to each aircraft type, to be used for an in-flight search or inspection to discover concealed weapons, explosives, or other dangerous devices when sabotage or other type of unlawful interference is suspected. Such procedures shall contain:

- (i) Guidance for the course of action to be taken if a bomb or suspicious object is found;
- (ii) Least risk location(s) for a bomb or explosives specific to each aircraft type, if so designated by the manufacturer. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** procedures the operator uses for onboard bomb search or security inspection when an act of unlawful interference or sabotage is suspected.
- ☐ **Examined** selected records of completion of security searches, as appropriate.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

**Guidance**

In order to address the need to conduct a timely search or inspection of an aircraft, a checklist or other form of guidance (e.g. Bomb Threat Search Checklist, Aircraft Search Instructions) applicable to each aircraft type is immediately available, either located on board the aircraft or readily accessible through other means, for use by the cabin crew or other qualified personnel. Such checklist or instructions assist qualified personnel in carrying out a systematic search of the flight deck and/or cabin during flight to identify suspected or potentially dangerous devices or explosives. Instructions, which are specific to the aircraft type, specify predetermined structurally safe locations to move, if deemed appropriate, dangerous or potentially explosive articles. (Note: some aircraft types may not have designated least risk locations.)



The capability to undertake a systematic search for such items on board a cargo aircraft may be difficult due to limited access to many parts of the aircraft in flight. Opening containers and accessing pallets of cargo in flight also may not be possible and the availability of flight crew or other trained personnel to undertake such a search may be limited.

## 4 Cabin Systems and Equipment

### 4.1 Preflight Inspection/Non-serviceable Equipment Reporting

#### CAB 4.1.1

The Operator shall have procedures to ensure the availability, accessibility and serviceability of aircraft cabin emergency systems and equipment for passenger flights. Such procedures shall include a preflight inspection of systems and equipment, which, as a minimum, shall be conducted by the cabin crew or, if applicable, by the flight crew prior to the first flight:

- (i) After a new cabin crew has assumed control of the aircraft cabin unless there is a procedure for an onboard handover briefing (e.g. during transit stops) between a departing/inbound crew and a replacement/outbound crew that includes verification of the status of emergency systems and equipment;
- (ii) After an aircraft has been left unattended by a flight crew or cabin crew for any period of time unless the Operator has a process or procedure that ensures cabin emergency systems and equipment remain undisturbed while crew members are temporarily absent from the cabin. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** procedures to ensure the availability/accessibility/serviceability of aircraft cabin emergency systems and equipment for passenger flights.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations (focus: procedures for preflight inspection of cabin emergency systems/equipment).
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is to ensure an operator has procedures for a preflight inspection of cabin emergency systems and equipment that is accomplished by either the cabin crew or, as applicable, the flight crew under the circumstances specified.

Cabin preflight inspection procedures normally define the specific conditions of the preflight checks, including:

- The systems and equipment to be checked by the cabin and/or flight crew;
- The extent of such checks required to ensure availability, accessibility and serviceability.

The check of some cabin emergency systems and equipment may be accomplished by other operational disciplines (e.g. engineering and maintenance) as defined by the operator.

In some cases, emergency systems are continually monitored by built-in test equipment that is designed to alert the crew to a fault condition.

An operator typically includes associated guidance to ensure action is taken to address a condition where equipment is discovered as faulty, missing or does not satisfy operational requirements.

Discrepancies involving cabin systems and equipment are typically documented in a cabin log book or equivalent recording medium.

The cabin unattended period as specified in item (ii) is intended to apply to short periods of time during the same continuous crew duty period (e.g. crew temporarily leaving the aircraft while maintenance procedures are performed or for aircraft immigration checks during a turnaround).

**CAB 4.1.2**

The Operator shall have a process that permits the cabin crew to report the existence of non-serviceable aircraft equipment prior to and after the completion of a flight.

**Auditor Actions**

- ☐ **Identified/Assessed** process for cabin crew to report the existence of non-serviceable aircraft equipment prior to/after the completion of a flight.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Check** for process alignment with flight operations and Operations/cabin crew manuals.
- ☐ **Observed** line cabin operations (focus: process for cabin crew to report non-serviceable aircraft equipment prior to/after flight).
- ☐ **Other Actions** (Specify)

**4.2 Safety Equipment Requirements****CAB 4.2.1**

If the Operator conducts passenger flights with or without cabin crew, the Operator shall ensure all passenger aircraft in its fleet are provisioned with a safety information card accessible to each passenger, which contains appropriate information, instructions, restrictions or locations relevant to:

- (i) Seat belts;
- (ii) Emergency exits;
- (iii) If applicable, emergency escape path lighting;
- (iv) Life jackets (personal flotation devices), if required;
- (v) Passenger oxygen masks;
- (vi) Smoking restrictions.

**Auditor Actions**

- ☐ **Identified/Assessed** requirement for safety information cards containing the items specified in the standard.
- ☐ **Interviewed** responsible manager(s) in cabin operations.
- ☐ **Observed** line cabin operations or inspected static aircraft (focus: safety information card accessible to each passenger; contains appropriate information/instructions/restrictions).
- ☐ **Other Actions** (Specify)

**CAB 4.2.2**

If the Operator uses aircraft with more than 100 passenger seats on flight sector lengths of more than two hours, the Operator *should* ensure all such passenger aircraft in its fleet are equipped with a minimum of one medical kit, stored in a secure location, for use by medical doctors or individuals with appropriate qualifications or training. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** requirement for installation and locations of medical kit(s).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** aircraft emergency equipment list(s)/diagram(s).
- ☐ **Observed** line cabin operations or inspected static aircraft (focus: equipped with medical kit; secure location).
- ☐ **Other Actions** (Specify)

**Guidance**

See [Table 5.8](#) for the typical equipment contents of a medical kit on passenger aircraft.

### CAB 4.2.3

The Operator *should* ensure all passenger aircraft in its fleet are equipped with one or more universal precaution kits for use by cabin crew members in managing:

- (i) Episodes of ill health associated with a case of suspected communicable disease;
- (ii) Cases of illness involving contact with body fluids. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** requirement for installation and locations of universal precaution kit(s).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** aircraft emergency equipment list(s)/diagram(s).
- ☐ **Observed** line cabin operations or inspected static aircraft (focus: equipped with universal precaution kit).
- ☐ **Other Actions** (Specify)

#### Guidance

See [Table 5.9](#) for the typical contents of a passenger aircraft universal precaution kit.

**Table 5.1—Operations Manual (OM) Content Specifications**

The content of the OM shall address the following areas of cabin operations:

- (i) Compliance or conformity with:
  - (a) Applicable laws, regulations and rules;
  - (b) Standard operating procedures for each phase of flight.
- (ii) Administration of first aid, to include guidelines for:
  - (a) Life threatening medical emergencies;
  - (b) Cardiopulmonary resuscitation (CPR);
  - (c) Injuries and illnesses;
  - (d) Use of medical equipment (e.g. Automatic External Defibrillator, if applicable).
- (iii) Response to emergency, abnormal, suspected security situations:
  - (a) Aircraft emergency evacuation;
  - (b) Cabin decompression, if applicable;
  - (c) Onboard fires, smoke and fumes;
  - (d) Emergency landing, ditching;
  - (e) Leakage or spillage of suspected dangerous goods;
  - (f) Suspected bomb or explosives, least risk bomb locations (specific to aircraft type);
  - (g) Cabin search;
  - (h) Hijacking or unlawful intervention.
- (iv) Use of cabin systems and equipment, to include malfunctions:
  - (a) Oxygen systems, if applicable;
  - (b) Communication systems;
  - (c) Entry and exit doors;
  - (d) Lifesaving equipment.
- (v) Dangerous goods manual or parts relevant to the cabin crew, to include:
  - (a) Dangerous goods prohibited in passenger and crew baggage;
  - (b) Information/instructions for dangerous goods permitted in passenger and crew baggage;
  - (c) Action to be taken in the event of an emergency.
- (vi) Use of emergency, survival equipment.
- (vii) Cabin crew training program:
  - (a) Abnormal and emergency situations, emergency evacuation;
  - (b) Use of emergency and lifesaving equipment;
  - (c) Lack of oxygen, loss of pressurization (as applicable);
  - (d) Other cabin crew member assignments and functions;
  - (e) Dangerous goods;
  - (f) Human performance, crew resource management (CRM).
- (viii) Limitations pertaining to flight time, flight duty periods and rest periods.

**Table 5.2—Elements of an Advanced Qualification Program (AQP)**

The following elements shall be included as part of an AQP as specified in [CAB 2.1.1B](#):

- (i) Training program and curricula approved or accepted by the State.
- (ii) Training and/or evaluation which is conducted to the maximum extent possible in a cabin crew environment. Qualification and continuing qualification curricula must include an event management evaluation (EME), which consists of a partial or full phase of flight scenario systematically designed to target specific technical and crew resource management (CRM) skills.
- (iii) Mandatory evaluation of CRM proficiency and substandard performance on CRM factors must be corrected by additional training. For pass/fail purposes, flight attendants must also demonstrate proficiency in an EME, which tests both technical and CRM skills together.
- (iv) Specific training for instructors and/or evaluators, together with explicit training and evaluation strategies to verify the proficiency and standardization of such personnel for crew oriented, scenario-based training and evaluation tasks.
- (v) Integrated use of cabin training equipment, including cabin procedures trainers. Operators are encouraged to use a suite of equipment matched on the basis of analysis to the training requirements at any given stage of a curriculum.
- (vi) Curriculum elements that are:
  - (a) Defined;
  - (b) Crew member-specific or personnel-specific;
  - (c) As applicable, specific to aircraft type. (see Note 1)

**Note 1:** *Applicable curricula must specify the make, model and series aircraft (or variant) and each crew member position or other positions to be covered by that curriculum. Positions to be covered by the program must include all flight attendant positions, instructors and evaluators and could include other positions, such as flight crew, aircraft dispatchers and other operations personnel.*

- (vii) Separate curricula for indoctrination, qualification and continuing qualification.
- (viii) CRM Training/Evaluation and Data Collection (feedback) to determine program effectiveness to include:
  - (a) State-approved or -accepted Crew Resource Management (CRM) Training applicable to positions for which training is provided under the program;
  - (b) State-approved or -accepted training on and evaluation of skills and proficiency of each person being trained under the program to use their crew resource management (CRM) skills and their technical skills in an actual or simulated operations scenario. As applicable, training and evaluation is conducted via CBT and/or in an approved training device;
  - (c) Data collection procedures that will ensure the certificate holder provides information from its crew members, instructors and evaluators that will enable the State to determine whether the training and evaluations are working to accomplish the overall objectives of the curriculum;
  - (d) Performance proficiency data collection on students, instructors, and evaluators and the conduct of airline internal analysis of such information for the purpose of curriculum refinement and validation.
- (ix) Training devices and simulators used under the program are evaluated against applicable published standards and approved or accepted by the State to ensure adequacy for training/qualification performed.
- (x) Program approval to include:
  - (a) A demonstration to the Authority of how the program will provide an equivalent or superior level of safety for each curriculum item that differs from traditional training programs approved or accepted by the State.

**Table 5.2—Elements of an Advanced Qualification Program (AQP)**

- (b) For every requirement that is replaced by the program curriculum, a demonstration to the Authority of how the new curriculum provides an equivalent or superior level of safety for each requirement that is replaced. Each traditional training program requirement that is not specifically addressed in the program curriculum continues to apply to the Operator.
- (c) A requirement that training, qualification, or evaluation by a person who provides training by arrangement: "Training Centers" must be approved or accepted by the State.
- (xi) Records in sufficient detail to establish the training, qualification and certification of each person qualified under the program in accordance with the approved training, qualification and certification requirements.

**Table 5.3—Requirements of an Advanced Qualification Program (AQP)**

AQP allows development of proficiency-based training programs that encourage innovation in the methods and technologies used during instruction and evaluation, as well as efficient management of the training systems. Since these innovations may require some deviations from traditional regulations, the approved qualification standards may replace the applicable portions of the existing regulations and/or training guidance. These deviations or variances will be documented in the approved AQP documentation.

Additionally, an approved AQP Entry Level Analysis may be documented to achieve the most effective use of training resources. An Entry Level Analysis may also be used to identify where training is not needed or to justify alternative curriculum tracks or modules targeted at expected differences in entry background.

In an AQP, criticality and currency determination guides how and when training objectives are trained, validated or evaluated. A task factor analysis will be documented within the approved training qualification standards.

The specifications in this table apply to an AQP as specified in [CAB 2.1.1B](#), and are in addition to those delineated in [Table 5.2](#):

(i) Proficiency Objectives

The Operator shall conduct a job task analysis beginning with the development of a comprehensive task listing for each duty position. The task listing covers the full range of conditions and contingencies - internal to the aircraft, external to the aircraft, normal, abnormal, and emergency - to which the cabin crew could be exposed within the Operator's sphere of operations. Proficiency objectives are then extracted from the task and subtask analysis, respectively, for each duty position, and include identification of applicable performance, standards, and conditions. The documentation of proficiency objectives also identifies the references used, respectively, in defining performance, standards, and conditions for each.

An operator may elect to categorize certain proficiency objectives as currency items. Currency items refer to activities on which proficiency is maintained by virtue of frequent exercise during routine operations. Such items do not need to be addressed for training or proficiency evaluation purposes in periodic training sessions. However, verification is required that proficiency on such items is being maintained. Such verification might be obtained during line checks.

An operator could also elect to categorize proficiency objectives, including currency items, as critical or non-critical, based on operational significance and the consequences of error. This categorization is employed to determine the time interval within which training and evaluation on such items must occur for continuing qualification curricula. Critical proficiency objectives are trained and evaluated during an evaluation period the initial duration of which cannot exceed thirteen months. Each such evaluation period includes at least one training session. Non-critical terminal proficiency objectives may be distributed over a continuing qualification cycle the initial duration of which cannot exceed twenty-six months.

(ii) Continuing Qualification Cycles and Evaluation Periods

After initial qualification, which incorporates training and evaluation on all proficiency objectives, follow-on training will occur within a scheduling interval called a continuing qualification cycle. This is the time period during which all terminal and supporting proficiency objectives are trained, validated, or evaluated. The initial approval for a continuing qualification cycle is no more than 26 months in duration, divided into two 13-month evaluation periods. All critical proficiency objectives are accomplished during each evaluation period, and all currency proficiency objectives are accomplished during each continuing qualification cycle.

The initial duration of a continuing qualification cycle is 26 months, which may be subsequently and incrementally extended by the Authority to a maximum of 39 months, contingent upon the results of performance proficiency data from each such cycle.

(iii) Training Sessions

Each evaluation period must include a minimum of one training session but may include more. Initially, training sessions cannot be more than 13 months apart.



**Table 5.3—Requirements of an Advanced Qualification Program (AQP)****(iv) Proficiency Evaluations**

A proficiency evaluation must be completed during each evaluation period. Typically, the proficiency evaluation will occur during a required training session; however, if more than one training session is completed during an evaluation period, the proficiency evaluation may be divided among training sessions or otherwise allocated to one or more such sessions.

Tables 5.4–5.7 (Intentionally open)
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**Table 5.8—Guidance Material: Medical Kit Contents**

The equipment contents of a medical kit on passenger aircraft would typically include:

- List of contents;
- Stethoscope;
- Sphygmomanometer (electronic preferred);
- Airways, oropharyngeal (appropriate range of sizes);
- Syringes (appropriate range of sizes);
- Needles (appropriate range of sizes);
- Intravenous catheters (appropriate range of sizes);
- System for delivering intravenous fluids;
- Antiseptic wipes, gloves (disposable);
- Sharps disposal box;
- Urinary catheter with sterile lubricating gel;
- Venous tourniquet;
- Sponge gauze;
- Tape adhesive;
- Surgical mask;
- Emergency tracheal catheter (or large gauge intravenous cannula);
- Umbilical cord clamp;
- Thermometers (non-mercury);
- Basic life support cards;
- Bag-valve mask;
- Torch (flashlight) and batteries (operator may choose to have one per aircraft in an easily accessible location).

The carriage of AEDs would be determined by an operator on the basis of a risk assessment, taking into account the particular nature of the operation.

The drug contents of a medical kit would typically include:

- Epinephrine 1:1000;
- Epinephrine 1:10,000 (can be a dilution of epinephrine 1:1,000);
- Antihistaminic (injectable);
- Anti-psychotic drug (e.g. haloperidol);
- Dextrose (50% injectable), 50 ml (single dose ampule or equivalent);
- Nitroglycerine (tablets or spray);
- Major analgesic (injectable or oral);
- Sedative anticonvulsant (injectable);
- Antiemetic injectable, or oral dissolvable (e.g. Ondansetron);
- Bronchial dilator inhaler with disposable collapsible spacer;
- Atropine (injectable);
- Adrenocortical steroid (injectable or similar oral absorption equivalent);
- Diuretic (injectable);
- Sodium chloride 0.9% (1000 ml recommended);
- Acetyl salicylic acid (aspirin) for oral use;
- Oral beta blocker.

**Table 5.8—Guidance Material: Medical Kit Contents**

**Note:** Auto-injectors are easier to use and, when available and cost effective, could be used by the cabin crew under orders from the operator's ground medical advisor (if there are no health professional on board).

**Note:** Where legally and economically possible and where technically available and as effective, new methods of administration (e.g. nasal spray, sub-lingual spray, oral dissolving) should be considered as a replacement for injections (e.g. intra-nasal rather than injectable sedative anticonvulsant). Such new methods would facilitate treatment by an assisting volunteer that might not have been trained to administer injections (this could include a cabin crew member under direction from ground based medical services).

**Table 5.9—Guidance Material: Universal Precaution Kit Contents**

One or two universal precaution kits per aircraft would typically be adequate for normal operations; additional kits would be carried at times of increased public health risk (e.g. an outbreak of a serious communicable disease with pandemic potential).

The contents of an aircraft universal precaution kit would typically include:

- Dry powder that can convert small liquid spill into a granulated gel;
- Germicidal disinfectant for surface cleaning;
- Skin wipes;
- Face/eye mask (separate or combined);
- Gloves (disposable);
- Impermeable full-length long-sleeved gown that fastens at the back;
- Large absorbent towel;
- Pick-up scoop with scraper;
- Bio-hazard disposal waste bag;
- Instructions.

## Section 6 — Ground Handling Operations (GRH)

### Applicability

[Section 6](#) addresses functions within the scope of ground handling operations and is applicable to an operator that conducts passenger, cargo and/or combi (combined cargo and passenger) aircraft operations.

Individual GRH provisions or sub-specifications within a GRH provision that:

- Do not begin with a conditional phrase are applicable unless determined otherwise by the Auditor.
- Begin with a conditional phrase (“If the Operator...”) are applicable if the Operator meets the condition(s) stated in the phrase.

Functions within the scope of ground handling operations include:

- Passenger handling;
- Baggage handling;
- Aircraft ground handling and loading;
- Load control;
- Aircraft fuelling;
- Aircraft de-/anti-icing.

In this section, non-revenue cargo is addressed in the same way as revenue cargo for the purposes of handling loading, securing and transporting. COMAT is non-revenue cargo.

For the purpose of addressing cargo in this section, mail is considered to be an item of cargo. Therefore, any reference to cargo also includes mail.

Where an operator outsources the performance of ground handling operational functions to external service providers, the operator retains overall responsibility for ensuring the management of safety in the conduct of such operations and must demonstrate processes for monitoring applicable external service providers in accordance with [GRH 1.10.2](#).

### General Guidance

Definitions of technical terms used in this ISM [Section 6](#), as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

Processes and procedures for use in ground handling operations are defined in the IATA Ground Operations Manual (IGOM), the IATA Airport Handling Manual (AHM), the Dangerous Goods Regulations (DGR) and in other relevant IATA publications.

Due to revision cycle differences, the IATA documents cited above are typically revised at various times during the effective period of an ISM edition. Accordingly, when an IATA document is revised, it could render an existing reference to specific information in an IATA document to be in error. In such case, the revised IATA document would have to be searched to find the specific information referenced.

## 1 Management and Control

### 1.1 Management System Overview

#### GRH 1.1.1

The Operator shall have a management system that ensures control of ground handling operations and the management of safety and security outcomes. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** management system structure for ground handling operations.
- ☐ **Interviewed** manager(s) of ground handling operations.

- ☐ **Assessed** status of conformity with all other GRH management system ISARPs.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of Ground Handling, Operations and Operator.

Refer to Guidance associated with [ORG 1.1.1](#) located in ISM Section 1.

**GRH 1.1.2**

The Operator shall have a manager for ground handling operations that:

- (i) Has the authority and is responsible for the management and supervision of functions and activities within the scope of ground handling operations;
- (ii) Is responsible for the management of safety and security risks to ground handling operations. **(GM)** ◀

**Auditor Actions**

- ☐ **Identified** designated/nominated manager for ground handling operations.
- ☐ **Examined** job description of manager for ground handling operations (focus: defines authority/accountability/responsibility for ground handling operations risk management/compliance with AOC requirements).
- ☐ **Interviewed** manager of ground handling operations.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to Guidance associated with [ORG 1.1.3](#) located in ISM Section 1.

**1.2 Accountability, Authorities and Responsibilities****GRH 1.2.1**

The Operator shall ensure the management system defines the safety accountability, authorities and responsibilities of management and non-management personnel that perform functions relevant to the safety and/or security of ground handling operations. The management system shall also specify:

- (i) The levels of management with the authority to make decisions regarding risk tolerability with respect to the safety and/or security of ground handling operations;
- (ii) Responsibilities for ensuring ground handling operations are conducted in accordance with applicable regulations and standards of the Operator;
- (iii) Lines of accountability throughout ground handling operations, including direct accountability for safety and/or security on the part of ground handling operations senior management. **[SMS] (GM)** ◀

**Auditor Actions**

- ☐ **Identified/Assessed** defined safety accountability/authorities/responsibilities (focus: applicable to management/non-management personnel throughout the ground handling operations organization).
- ☐ **Interviewed** ground handling operations manager and/or designated management representative(s).
- ☐ **Examined** job descriptions of selected management/non-management personnel in ground handling operations (focus: defines authority/accountability/responsibility for roles/positions in ground handling operations).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to Guidance associated with [ORG 1.3.1](#) located in ISM Section 1 for expanded information regarding accountability, authority and responsibility as applicable to management and non-management personnel.



### GRH 1.2.2

The Operator shall have a process or procedure for the delegation of duties within the management system for ground handling operations that ensures managerial continuity is maintained when operational managers including, if applicable, post holders are unable to carry out work duties. **(GM)** ◀

#### Auditor Actions

- ❑ **Identified/Assessed** processes for delegation of duties when ground handling operational managers (or, if applicable, post holder) are absent (focus: processes maintain managerial continuity during periods when operational managers are absent).
- ❑ **Interviewed** ground handling operations manager and/or designated management representative(s).
- ❑ **Examined** example(s) of delegation of duties due to absence of operational manager(s).
- ❑ **Other Actions** (Specify)

#### Guidance

The intent of this provision is for an operator to have a process or procedure that ensures a specific person (or perhaps more than one person) is identified to assume the duties of any operational manager that is or is expected to be, for any reason, unable to accomplish assigned work duties.

For the purpose of this provision, the use of telecommuting technology and/or being on call and continually contactable are acceptable means for operational managers to remain available and capable of carrying out assigned work duties.

Refer to Guidance associated with [ORG 1.3.2](#) located in ISM Section 1, which addresses the performance of work duties and the use of telecommuting technology and/or being on call and continually contactable.

## 1.3 Communication

### GRH 1.3.1

The Operator shall have a system that enables effective communication of relevant safety and operational information throughout the ground handling operations management system and in all areas where ground handling operations are conducted. Such system shall ensure:

- (i) Personnel maintain an awareness of the SMS;
- (ii) Safety-critical information is conveyed;
- (iii) If applicable, external service providers are provided with information relevant to operations conducted. **[SMS] (GM)** ◀

#### Auditor Actions

- ❑ **Identified/Assessed** system(s) for communicating information relevant to operations within the ground handling operations organization (focus: capability for communicating information relevant to operations within the ground handling operations organization).
- ❑ **Interviewed** ground handling operations manager and/or designated management representative(s).
- ❑ **Examined** examples of information communication/transfer in ground handling operations.
- ❑ **Interviewed** selected non-management operational personnel in ground handling operations.
- ❑ **Other Actions** (Specify)

#### Guidance

Refer to Guidance associated with [ORG 4.2.1](#) located in ISM Section 1 for expanded information regarding methods of communication.

## 1.4 Provision of Resources

### GRH 1.4.1

The Operator shall ensure the existence of the necessary facilities, workspace, equipment and supporting services, as well as work environment, to satisfy ground handling operational safety requirements. **(GM)** ◀

**Note:** *Conformity with this provision does not require specifications to be documented by the Operator.*

#### Auditor Actions

- ☐ **Observed/Assessed** physical resources and services (focus: adequacy to meet needs of ground handling operations).
- ☐ **Identified/Assessed** processes for oversight of external ground service providers (focus: evaluation of facilities/workspace/equipment/supporting services).
- ☐ **Interviewed** ground handling operations manager and/or designated management representative(s).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to Guidance associated with [ORG 1.5.2](#) located in ISM Section 1.

Implementation (i.e. adequacy of physical resources and work environment) is typically assessed through observations made by the auditor during the course of the on-site audit.

### GRH 1.4.2

The Operator shall have a selection process for management and non-management positions within the ground handling organization that require the performance of functions relevant to the safety or security of aircraft operations. Such process shall ensure candidates are selected on the basis of knowledge, skills, training and experience appropriate for the position. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** standards and processes for selection of ground handling operations personnel in functions relevant to safety and security of aircraft operations.
- ☐ **Interviewed** ground handling operations manager and/or designated management representative(s).
- ☐ **Interviewed** personnel that perform ground handling functions relevant to the safety or security of aircraft operations.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to Guidance associated with [ORG 1.5.3](#) located in ISM Section 1.

To ensure the inclusion of all ground handling operations, an operator would typically have a process that ensures specifications in this provision are applied to external ground handling service providers.

A corporate personnel selection policy that applies to all operational areas of the organization serves to satisfy specifications in this provision.

## 1.5 Documentation System

**GRH 1.5.1** (Intentionally open)

**GRH 1.5.2** (Intentionally open)

### **GRH 1.5.3**

The Operator shall have a system for the management and control of documentation and/or data used directly in the conduct or support of ground handling operations. Such system shall ensure documentation:

- (i) Meets all required elements specified in [Table 1.1](#);
- (ii) Contains legible and accurate information;
- (iii) Is presented in a format appropriate for use in operations. **(GM)** ◀

#### **Auditor Actions**

- ☐ **Identified/Assessed** system(s) for management/control of content/format of operational documentation/data used in ground handling operations.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected parts of the ground handling OM (focus: legibility/accuracy/format; approval as applicable).
- ☐ **Other Actions** (Specify)

#### **Guidance**

Refer to the IRM for the definitions of Documentation, Electronic Documentation and Paper Documentation. Refer to [ORG 2.5.1](#) and associated Guidance, and [Table 1.1](#), located in ISM Section 1.

## 1.6 Operational Manuals

### **GRH 1.6.1**

The Operator shall have an Operations Manual, which may be issued in separate parts, that contains the operational policies, processes, procedures and other information necessary for ground handling personnel to perform their duties and be in compliance with applicable regulations, laws, rules and standards of the Operator. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** ground handling OM or, if applicable, separate documents that comprise the OM.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected sections or parts of the ground handling OM (focus: policies, processes, procedures used by ground handling personnel are included).
- ☐ **Other Actions** (Specify)

#### **Guidance**

Refer to the IRM for the definition of Operations Manual (OM).

An OM typically includes guidance that addresses areas generic to all functions within the scope of ground handling operations, as well as parts of the manual that are specific to individual operational functions.

Because the scope of ground handling operations is broad and varies by operator, rather than publishing one OM just for ground handling, a smaller operator might choose to incorporate the relevant information into a larger, comprehensive OM.

An operator could also choose to issue the information in separate documents that are each specific to the various ground handling operational functions (e.g. passenger handling, baggage handling, aircraft handling). Each individual document would typically contain generic guidance that is applicable to all ground handling operational functions (e.g. organizational policies, general definitions), as well as guidance that is specific to the particular ground handling function or office location (e.g. process descriptions, standard operating procedures, references to the appropriate regulations and IATA manuals).

#### GRH 1.6.2

The Operator shall ensure the current edition of the Operations Manual is available in a usable format at each location where ground handling operations are conducted. **(GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** process for ensuring distribution of the ground handling OM to all locations where ground handling operations are conducted.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Observed** availability of OM in usable format in selected areas of operations.
- ☐ **Traced** distribution of revision(s) to ground handling OM to locations where ground handling operations are conducted.
- ☐ **Other Actions** (Specify)

##### Guidance

If an operator has external organizations conduct ground handling operational functions, such operator would then be expected to have a monitoring and control process to ensure each external organization either uses the OM of the operator or has its own published OM that fulfills operational safety, security and quality requirements of the operator.

To achieve system-wide standardization, an operator would normally have a control process that ensures external service providers have operationally relevant parts of the OM available at applicable locations.

#### GRH 1.6.3

If the Operator transports dangerous goods as cargo, the Operator shall ensure a current edition of the Dangerous Goods Regulations (DGR), the ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air (Technical Instructions) or equivalent documentation is accessible at each location where ground handling operations involving the loading of dangerous goods as cargo are conducted. **(GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** process for ensuring distribution of DGR or equivalent DG documents to all locations where DG is handled.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Traced** distribution of DGR or equivalent DG documents.
- ☐ **Observed** accessibility of DGR or equivalent DG documents in areas of operations where dangerous goods are handled.
- ☐ **Other Actions** (Specify)

##### Guidance

Refer to the IRM for the definitions of Dangerous Goods Regulations (DGR) and Technical Instructions.

Most dangerous goods are typically transported as cargo. However, certain types of dangerous goods are permitted for transport in passenger or crew baggage. The specifications in this provision are applicable to an operator that transports dangerous goods as cargo.

Acceptable equivalent documentation would typically contain information derived from the DGR or Technical Instructions, as well as the dangerous goods policies and procedures specific to the type(s) of operations being conducted at the location.

### GRH 1.6.4

If the Operator transports dangerous goods as cargo, the Operator shall ensure the OM or an equivalent operational manual contains information that will permit ground handling personnel to carry out duties and responsibilities with respect to dangerous goods. Such information shall include, as a minimum:

- (i) Action to be taken in the event of emergencies involving dangerous goods;
- (ii) Details of the location and identification of cargo holds;
- (iii) The maximum quantity of dry ice permitted in each hold;
- (iv) If radioactive material is transported, instructions for the loading of such dangerous goods in accordance with applicable requirements. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** information in the OM or equivalent document that permits personnel to carry out duties and responsibilities relevant to dangerous goods handling.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Interviewed** personnel that perform operational functions in ground handling operations.
- ☐ **Observed** accessibility of DG information on key cargo (dry ice and radioactive material) in selected areas of operations where personnel carry out dangerous goods handling.
- ☐ **Other Actions** (Specify)

#### Guidance

Guidance may be found in DGR 1.4.2.

### GRH 1.6.5

If the Operator does *not* transport dangerous goods as cargo, the Operator shall ensure the OM contains the policies and associated guidance necessary to prevent dangerous goods from being inadvertently carried or loaded onto the aircraft. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** policies and guidance in the ground handling OM or equivalent manual necessary to ensure personnel do not inadvertently permit loading or transport of dangerous goods on aircraft not approved or used for such transport.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Interviewed** personnel that perform operational functions in ground handling operations.
- ☐ **Observed** availability of policies and guidance that ensures personnel do not inadvertently permit dangerous goods to be carried or loaded onto aircraft not approved or used for the transport of dangerous goods.
- ☐ **Other Actions** (Specify)

#### Guidance

An operator requires specific approval to transport dangerous goods as cargo. In some cases, an operator might have approval to transport dangerous goods as cargo but actually transports dangerous goods only on certain aircraft. For example, an operator that conducts flights with passenger and cargo aircraft might transport dangerous goods only in its cargo aircraft and not in its passenger aircraft.

The intent of this provision is for an operator that does not transport dangerous goods as cargo, or does not transport dangerous goods as cargo on certain aircraft in its fleet, to have policies and associated guidance in the OM to ensure personnel are able to identify and reject undeclared dangerous goods (including COMAT classified as dangerous goods) from being loaded or transported on aircraft in its fleet that are not approved or used for such transport.

Guidance in an operator's OM typically addresses vigilance with respect to hidden or inconspicuous dangerous goods and includes an indicative list of items that could contain or be classified as dangerous goods.

#### GRH 1.6.6

If the Operator conducts passenger flights, the Operator shall ensure the following information is accessible at locations where passenger check-in and/or boarding operations are conducted:

- (i) A current edition of the Dangerous Goods Regulations (DGR) or the ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air (Technical Instructions) or equivalent documentation;
- (ii) A listing or schedule of operator-approved dangerous goods permitted to be carried on board the aircraft by a passenger or crew member. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** process for ensuring distribution of DGR or equivalent DG documents, including a listing of operator-approved dangerous goods permitted for carriage by passenger/crew member, to all locations where passenger check-in and/or boarding are conducted.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Traced** distribution of DGR or equivalent DG documents, including a listing of operator-approved dangerous goods permitted for carriage by passenger/crew member, to areas where passenger check-in and/or boarding operations are conducted.
- ☐ **Observed** accessibility of DGR or equivalent DG documents, including a listing of operator-approved dangerous goods permitted for carriage by passenger/crew member, in areas of operations where passenger handling operations are conducted.
- ☐ **Other Actions** (Specify)

#### Guidance

Most dangerous goods are typically transported as cargo. However, certain types of dangerous goods are permitted in passenger or crew baggage.

Acceptable equivalent documentation would typically contain information derived from the DGR or Technical Instructions, as well as the dangerous goods policies and procedures specific to the type(s) of operations being conducted at the location. For example, at the passenger check-in and aircraft boarding areas, appropriate company documentation (to include listing or schedule) might describe dangerous goods permitted in passenger and crew baggage. Such documentation may also include actions required by passenger agents with respect to items specifically not permitted in passenger baggage and contain examples of dangerous goods hazard labels and procedures for addressing spills and/or leaks of unidentified substances.

Dangerous goods permitted to be carried on board by a passenger or crew member as specified in item (ii) are identified in the DGR, Table 2.3.A, and in the Technical Instructions, Table 8.1.

To ensure system-wide standardization, an operator would normally have a control process to ensure external service providers have the DGR or equivalent documentation available at applicable locations.

#### GRH 1.6.7

If the Operator conducts passenger flights, the Operator shall ensure the OM or an equivalent operational manual contains information that will permit ground handling personnel to carry out duties and responsibilities with respect to dangerous goods. As a minimum, such information shall include procedures to alert passengers that certain items of dangerous goods:

- (i) Are specifically prohibited in hold baggage;
- (ii) Must be removed from cabin baggage when cabin baggage is transported as hold baggage. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** information in the ground handling OM relevant to personnel alerting passengers of dangerous goods restrictions and prohibitions.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Observed** personnel advising passengers of DG limits in ground handling operations.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to IGOM 1.1.6.4 for guidance that addresses dangerous goods in baggage.

#### GRH 1.6.8

If the Operator conducts passenger flights, the Operator *should* ensure the OM or an equivalent operational manual contains information with respect to dangerous goods permitted in passenger and crew baggage. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** information in the ground handling OM relevant to dangerous goods permitted in passenger and crew baggage.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Interviewed** line flight and cabin crew members.
- ☐ **Other Actions** (Specify)

### Guidance

Certain items of dangerous goods are permitted in passenger or crew baggage if approved by the operator. Information contained in the operations manual (or equivalent) would typically address the following:

- **Approval process**  
It is recommended that a single company policy be set out that identifies the items that have been approved and the person(s) or department(s) responsible for determining how dangerous goods in passenger baggage may be approved.
- **Communication**  
It is recommended that the operator define how approvals for dangerous goods requiring operator approval are communicated to the airport(s) of departure. It is recommended that operators consider a process where such approval is included in the passenger electronic record.
- **Limitations**  
The operator manuals should specify any limitations or procedural requirements that may apply to particular commodities (e.g. inspection at check-in by passenger service agents and/or security).
- **Codeshare**  
Where the operator has interline agreements with code share and/or alliance partners the operator should identify what the procedure is for obtaining the approval of the other airline(s) involved (e.g. by advising the passenger that they must obtain approval from the other operator).
- **Awareness**  
The operator should ensure that all staff who have an interaction with passengers, (i.e. reservations agents, passenger service agents, cabin crew and flight crew) are made aware of the process employed to ensure that the operator approval process remains effective.



Refer to DGR 2.3, which addresses dangerous goods permitted in passenger and crew checked and cabin baggage.

Refer to IGOM 1.1.6.4 for guidance that addresses the carriage of dangerous goods by passengers.

#### GRH 1.6.9

The Operator *should* ensure the processes and procedures contained in the OM for the conduct of ground handling operations are verified against the IATA Ground Operations Manual (IGOM) by completing the following:

- (i) Perform and maintain an updated gap analysis of its own procedures against the IGOM to ensure a complete set of procedures exists for the applicable operations;
- (ii) If variations are identified against the IGOM procedures, communicate them to applicable operational personnel of outsourced functions;
- (iii) If variations are identified against IGOM “Safety Critical” procedures, such variations are risk assessed using the Operator’s SMS and risk management method to ensure an alternative procedure is accepted by the Operator. **(GM)**

#### Auditor Actions

- ❑ **Identified/Assessed** implementation of an IGOM gap analysis (focus: completeness with IGOM procedures and update as per current IGOM).
- ❑ **Interviewed** responsible ground handling management representative(s).
- ❑ **Examined** selected procedures identified in the IGOM gap analysis (focus: ensure a complete set of procedures exists for the applicable operations).
- ❑ **Examined** selected OM procedures identified in the Gap analysis as variations (“safety relevant”) from the IGOM (focus: assess completion of operator risk assessment).
- ❑ **Other Actions** (Specify)

#### Guidance

As a best practice, an operator should conduct a gap analysis of its OM processes and procedures to identify the level of equivalency with those in the IGOM. If variations are identified, they should be communicated to operational personnel of the provider that performs the outsourced function(s). If a variation from an IGOM “safety critical” procedure is identified, the operator should also conduct a risk assessment as per its own SMS risk assessment methodologies.

The IGOM “safety critical” procedures are identified in the IGOM with a specific symbol (refer to IGOM Introduction, Symbols, for a symbol description).

To conduct the specified gap analysis, the operator can access the online IGOM portal provided by IATA or use another equivalent method. A tutorial video that describes how to conduct such gap analysis can be found at <https://youtu.be/LWpbmvby9m4>.

## 1.7 Records System

#### GRH 1.7.1

The Operator shall have a system for the management and control of ground handling records to ensure the content and retention of such records is in accordance with requirements of the Authority, as applicable, and to ensure operational records are subjected to standardized processes for:

- (i) Identification;
- (ii) Legibility;
- (iii) Maintenance;
- (iv) Retrieval;
- (v) Protection, integrity and security;
- (vi) Disposal, deletion (electronic records) and archiving. **(GM)** ◀

### Auditor Actions

- ☐ **Identified/Assessed** management and control system for operational records in ground handling operations (focus: system includes standardized processes as specified in standard).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** operational records in ground handling operations.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 2.6.1](#) located in ISM Section 1.

#### GRH 1.7.2

If the Operator uses an electronic system for the management and control of ground handling operations records, the Operator shall ensure the system provides for a scheduled generation of backup record files. **(GM)** ◀

### Auditor Actions

- ☐ **Identified/Assessed** management and control system for operational records in ground handling operations (focus: system defines schedule for periodic file backup).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** record(s) of backup files for electronic records.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 2.6.2](#) located in ISM Section 1.

## 1.8 (Intentionally open)

## 1.9 Quality Assurance Program

#### GRH 1.9.1

The Operator shall have a quality assurance program that provides for the auditing and evaluation of the management system and operational functions within the scope of ground handling operations at planned intervals to ensure the Operator is:

- (i) Complying with applicable regulations and standards;
- (ii) Satisfying stated operational needs;
- (iii) Identifying areas requiring improvement;
- (iv) Identifying hazards to operations;
- (v) Assessing the effectiveness of safety risk controls. **[SMS] (GM)** ◀

### Auditor Actions

- ☐ **Identified/Assessed** role/organization/structure of quality assurance program in ground handling operations (focus: role/purpose within organization/SMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management/operational areas).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Interviewed** selected operational managers (focus: interface with quality assurance program).
- ☐ **Examined** selected ground handling operations audit reports (focus: audit scope/process/organizational interface).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Quality Assurance (QA).

Refer to Guidance associated with [ORG 2.1.1](#) located in ISM Section 1 for typical audit program requirements.

Ideally, the specifications of this provision would also apply to external service providers that conduct outsourced operational functions.

A corporate quality assurance program that is applied to all operational areas of the company, including all functions within the scope of ground handling operations, satisfies this requirement.

Refer to the IATA Airport Handling Manual (AHM) 610 item 4.8.1 and 615, which contain guidance that addresses auditing of ground handling functions.

#### GRH 1.9.2

The Operator shall have a process for addressing findings resulting from audits conducted under the quality assurance program, which ensures:

- (i) Identification of root cause(s);
- (ii) Development of corrective action, as appropriate, to address finding(s);
- (iii) Implementation of corrective action in appropriate areas of ground handling operations;
- (iv) Evaluation of corrective action to determine effectiveness. **(GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** process for addressing audit findings within ground handling operations.
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected audit reports/records (focus: identification of root cause, development/implementation of corrective action, follow-up to evaluate effectiveness).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to Guidance associated with [ORG 2.1.7](#) located in ISM Section 1.

#### GRH 1.9.3

The Operator shall have a process to ensure significant issues arising from ground handling operations quality assurance and risk management are subject to management review in accordance with [ORG 4.1.1](#). **[SMS] (GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** process for management review of ground handling operations issues (focus: continual improvement of quality assurance program).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected records/documents of management review of ground handling operations quality assurance program issues (focus: specific issues/changes identified and implemented to improve quality assurance program).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to Guidance associated with [ORG 4.1.1](#) and [4.1.2](#) located in ISM Section 1.

#### GRH 1.9.4

The Operator shall have an audit planning process and sufficient resources to ensure audits of ground handling operations are:

- (i) Scheduled at intervals to meet regulatory and management system requirements;
- (ii) Conducted within the scheduled interval. **(GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** planning process for quality assurance auditing of ground handling operations (focus: audits planned/scheduled/conducted in accordance with applicable internal/external requirements).

- ☐ **Identified/Assessed** audit resources (focus: availability of sufficient auditors/other resources to accomplish audit plan).
- ☐ **Interviewed** quality assurance program manager.
- ☐ **Crosschecked** audit plan with selected audit reports, to verify adherence to plan (focus: audits conducted in accordance with audit plan).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 2.1.5](#) located in ISM Section 1.

## 1.10 Quality Control of Outsourced Operations and Products



### GRH 1.10.1A

If the Operator has external service providers conduct outsourced ground handling operations functions, the Operator shall ensure a service provider selection process is in place that ensures:

- (i) Safety-relevant selection criteria are established;
- (ii) Service providers are evaluated against these criteria prior to selection. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** selection process for external service providers.
- ☐ **Interviewed** responsible manager in ground handling operations.
- ☐ **Examined** selected records/documents that demonstrate application of the selection process.
- ☐ **Other Actions** (specify)

## Guidance



The intent of this provision is for an operator to define relevant safety and security criteria for use in the evaluation and potential selection of ground handling operations service providers. This is the first step in the management of external service providers and would take place prior to the operator signing an agreement with a provider. The process may need to be applied only once leading up to the selection of an individual service provider.

Refer to the guidance associated with [ORG 1.6.1](#).

### GRH 1.10.1B

If the Operator has external service providers conduct outsourced ground handling operational functions, the Operator shall have a process to ensure a contract or agreement is executed with such external service providers. Contracts or agreements shall identify the application of specific documented requirements that can be monitored by the Operator to ensure requirements that affect the safety and/or security of ground handling operations are being fulfilled by the service provider. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** processes for contract/agreement production/execution with external service providers of ground handling operational functions.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected ground handling operations outsourcing contracts/agreements (focus: inclusion of or reference to specific requirements applicable to external service providers).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Operational Function (Aircraft Operations) and Outsourcing. The requirement for a contract or agreement applies to outsourced ground handling functions that affect the safety and security of operations, including routine aircraft servicing (e.g. potable water) and special functions such as aircraft fueling and de-/anti-icing.

If a ground handling function is expected to be accomplished in accordance with specific industry standards, the agreement would normally identify and specify the standards by exact name (e.g. aircraft fuel shall be delivered in accordance with the standards adopted by the IATA Fuel Quality Pool).

The AHM 810 contains detailed guidance as well as the standard ground handling agreement (SGHA) and a service level agreement. Additionally, IATA publishes a standard contract for the delivery of aircraft fuel.

Refer to Guidance associated with [ORG 1.6.2](#) located in ISM Section 1.

#### GRH 1.10.2

If the Operator has external service providers conduct outsourced ground handling operational functions, the Operator shall have processes to monitor such external service providers to ensure ground handling safety and security requirements are being fulfilled. **(GM)** ◀

**Note:** *IOSA or ISAGO registration as the only means to monitor is acceptable provided the Operator obtains the latest of the applicable audit report(s) through official program channels and considers the content of such report(s).*

#### Auditor Actions

- ☐ **Identified/Assessed** processes used for monitoring external ground handling service providers (focus: monitoring process ensures provider fulfils applicable safety/security requirements).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected records/reports resulting from monitoring of ground handling operations service providers (focus: monitoring process ensures provider fulfils applicable safety/security requirements).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of ISAGO.

An external service provider that is on the ISAGO (IATA Safety Audit of Ground Operations) Registry for a particular station indicates such provider has been audited and is in conformity with ISAGO standards. The use of the ISAGO program is an acceptable method for certain elements of the monitoring processes. These elements must be within the scope of the ISAGO Standards Manual (GOSM).

Other inspection programs that might be considered for use as part of the monitoring of service providers include, as applicable, the IATA De-Icing/Anti-Icing Quality Control Pool (DAQCP), the IATA Fuel Quality Pool (IFQP) and the IATA Drinking-Water Quality Pool (IDQP).

DAQCP and IFQP have an escalation mechanism for open findings but do not impose full conformity for the inspected provider.

It is the responsibility of the operator that uses the inspection results, to determine actions regarding any open finding as per its safety management system.

Operators need to monitor their network of service providers against the DAQCP/IFQP inspection plan and inspection results. Processes in place need to ensure that any open finding that could affect the safety of operations is accounted for and acted upon, as needed.

Refer to Guidance associated with [ORG 2.2.1](#) located in ISM Section 1.

#### GRH 1.10.3

If the Operator has external service providers conduct outsourced ground handling operational functions, the Operator *should* ensure auditing is included as a process for the monitoring of external service providers in accordance with [GRH 1.10.2](#). **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** auditing processes used for monitoring external ground handling service providers.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.

- ☐ **Examined** selected reports of audits performed on external ground handling service providers (focus: audit process ensures provider is fulfilling applicable safety/security requirements).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of GOSARPs.

An acceptable method of auditing external service providers is the use of all, or part of the ISAGO Standards and Recommended Practices (GOSARPs) as applicable to the scope of the audit and the functions performed by the external service provider.

Participation in the ISAGO audit pool is an acceptable method for using the GOSARPs and associated checklists for the audit of external service providers in accordance with [GRH 1.10.2](#).

Refer to the Introduction of the ISAGO Standards Manual (GOSM) for guidance that addresses use of the GOSARPs and associated checklists.

Refer to Guidance associated with [ORG 2.2.2](#) located in ISM Section 1.

### GRH 1.10.4

The Operator *should* have a process to ensure products purchased or otherwise acquired from an external vendor or supplier, which directly affect operational safety or security, meet the product technical requirements specified by the Operator prior to being used in the conduct of ground handling operations. **(GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** acceptance processes for ensuring acquired products used in ground handling operations meet technical requirements.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected product acceptance records (focus: products meet ground handling operations technical requirements).
- ☐ **Other Actions** (Specify).

## Guidance

Refer to Guidance associated with [ORG 2.3.1](#) located in ISM Section 1.

## 1.11 Safety Management

### Risk Management

#### GRH 1.11.1

The Operator shall have a hazard identification program for ground handling operations that includes a combination of reactive and proactive methods of hazard identification. **[SMS] (GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** safety hazard identification program in GRH operations (focus: program identifies hazards to aircraft operations; describes/defines method(s) of safety data collection/analysis).
- ☐ **Identified/Assessed** role of GRH operations in cross-discipline safety hazard identification program (focus: participation with other operational disciplines).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Interviewed** person(s) that perform GRH operations data collection/analysis to identify hazards to aircraft operations.
- ☐ **Examined** selected examples of hazards identified through GRH operations data collection/analysis.
- ☐ **Other Actions** (Specify)



## Guidance

Refer to the IRM for the definitions of Hazard (Aircraft Operations) and Safety Risk.

Hazard identification is an element of the Safety Risk Management component of the SMS framework.

Refer to Guidance associated with [ORG 3.1.1](#) located in ISM Section 1.

### GRH 1.11.2

The Operator shall have a safety risk assessment and mitigation program for ground handling operations that specifies processes to ensure:

- (i) Hazards are analyzed to determine the existing and potential safety risks to aircraft operations;
- (ii) Safety risks are assessed to determine the requirement for risk control action(s);
- (iii) When required, risk mitigation actions are developed and implemented in ground handling operations. **[SMS] (GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** safety risk assessment and mitigation program in ground handling operations (focus: hazards analyzed to identify/define risk; risk assessed to determine appropriate action; action implemented/monitored to mitigate risk).
- ☐ **Identified/Assessed** role of ground handling operations in cross-discipline safety risk assessment/mitigation program (focus: participation with other operational disciplines).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Interviewed** person(s) that perform ground handling operations risk assessment/mitigation.
- ☐ **Examined** selected records/documents that illustrate risk assessment/mitigation action.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Ground Support Equipment (GSE), NOTOC (Notification to Captain), Risk Register, Safety Risk, Safety Risk Assessment (SRA), Safety Risk Management, Safety Risk Mitigation and Unit Load Device (ULD).

Risk assessment and mitigation is an element of the Safety Risk Management component of the SMS framework.

Hazards relevant to the conduct of ground operations are potentially associated with:

- Aircraft loading/unloading operations (e.g. unsafe airside driving, unsupervised ground operations activities at the airside, lack of PPE, ineffective baggage reconciliation process).
- Aircraft special loads (e.g. for dangerous goods, live animals, perishables, valuables, time/temperature-sensitive products: lack of or incomplete NOTOC, lack of or inadequate security controls).
- Aircraft servicing (e.g. for water/toilet service, catering: lack of guide man, lack of proper periodic water testing, lack of proper inspection before/after service).
- Passenger embarkation/disembarkation (e.g. Passengers walking on the ramp).
- Fueling operations (e.g. fueling with passengers on board the aircraft).
- De-/anti-icing operations (e.g. lack of effective pre-departure checks, glycol/water mixture not effectively checked or tested, incorrect de-/anti-icing procedures).
- Aircraft towing and pushback (e.g. lack of wing walkers, improper connection/disconnection of tow-bars, improper ground-to-cockpit communication).
- Adverse weather conditions (e.g. low visibility, high wind, extreme temperatures, volcanic ash).
- ULD Management. (e.g. unsafe ULD loading/buildup/storage).



- Management of Ground Support Equipment (GSE) (e.g. lack of daily equipment checks, lack of proper identification of out-of-service GSE).
- Loading/securing of cargo on aircraft that transport cargo without passengers in the passenger cabin.

Refer to Guidance associated with [ORG 3.2.1](#) located in ISM Section 1.

## Operational Reporting

### GRH 1.11.3

The Operator shall have an operational safety reporting system for ground handling operations that:

- Encourages and facilitates ground handling operations personnel to submit reports that identify safety hazards, expose safety deficiencies and raise safety concerns;
- Requires reporting of events that result in aircraft ground damage;
- Includes analysis and ground handling operations management action to address operational deficiencies, hazards, incidents and concerns identified through the reporting system. **[SMS] (GM) ◀**

#### Auditor Actions

- ❑ **Identified/Assessed** operational safety reporting system in ground handling operations (focus: system urges/facilitates reporting of hazards/safety concerns; includes analysis/action to validate/address reported hazards/safety concerns).
- ❑ **Interviewed** responsible manager(s) in ground handling operations.
- ❑ **Interviewed** person(s) that perform operational safety report review/analysis/follow-up in ground handling operations.
- ❑ **Examined** data that confirm an effective ground handling operations safety reporting system (focus: quantity of reports submitted/hazards identified).
- ❑ **Examined** records of selected ground handling operations safety reports (focus: analysis/follow-up to identify and address reported hazards/safety concerns).
- ❑ **Other Actions** (Specify).

#### Guidance

Safety reporting is a key aspect of SMS hazard identification and risk management.

To enhance industry data usability, it is recommended that ground damage events are reported in accordance with a formal reporting structure.

Refer to [ORG 2.4.3](#), which addresses the submission of safety and security occurrences to IATA for inclusion in the Incident Data Exchange (IDX).

Refer to IGOM 6.4 for guidance that addresses reporting of incidents, accidents and near-misses.

Refer to Guidance associated with [ORG 3.1.2](#) located in ISM Section 1.

### GRH 1.11.4

The Operator *should* have a confidential safety reporting system that encourages and facilitates the reporting of events, hazards and/or concerns resulting from or associated with human performance in ground handling operations. **(GM) ◀**

#### Auditor Actions

- ❑ **Identified/Assessed** confidential safety reporting system in ground handling operations (focus: system urges/facilitates reporting of events/hazards/safety concerns caused by humans; report/reporters are de-identified; includes analysis/action to validate/address reported hazards/safety concerns).
- ❑ **Interviewed** responsible manager(s) in ground handling operations.

- ❑ **Examined** records of selected ground handling operations confidential safety reports (focus: report/reporter de-identification; analysis/follow-up to identify/address reported hazards/safety concerns).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 3.1.3](#) located in ISM Section 1.

## Safety Performance Monitoring and Management

### GRH 1.11.5

The Operator shall have processes for setting safety performance indicators (SPIs) and, as applicable, safety performance targets (SPTs) in ground handling operations as means to monitor the achievement of its safety objectives and to validate the effectiveness of risk controls.

**[SMS] (GM) ◀**

## Auditor Actions

- ❑ **Identified/Assessed** program for setting SPIs and SPTs in ground handling operations (focus: program defines the development and implementation of SPIs that are aligned with safety objectives).
- ❑ **Interviewed** responsible manager(s) in ground handling operations.
- ❑ **Examined** selected (focus: SPIs and SPTs are being used to monitor operational performance toward effectiveness of risk controls and achievement of safety objectives).
- ❑ **Examined** records/documents that identify tracking of ground handling operations SPIs and SPTs (focus: tracking used to assess/monitor operational safety performance, assess/validate risk control effectiveness).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Safety Assurance, Safety Objective, Safety Performance Indicator (SPI) and Safety Performance Target (SPT).

Setting SPIs that are consistent with safety objectives is an element of the Safety Assurance component of the SMS framework.

SPIs are used by an operator to track and compare its operational performance against the achievement of its safety objectives and to focus attention on the performance of the organization in managing operational risks and maintaining compliance with relevant regulatory requirements.

SPIs are usually specifically identified occurrences, conditions or parameters used for monitoring and assessing safety performance. For example, SPIs in ground handling operations could be used to monitor and assess various types of aircraft ground damage.

SPTs define short-term and medium-term safety performance management desired achievements. They act as 'milestones' that provide confidence that the organization is on track to achieving its safety objectives and provide a measurable way of verifying the effectiveness of safety performance management activities. The setting of SPTs is normally accomplished after considering what is realistically achievable and, where historical trend data are available, the recent performance of the particular SPI.

It is not always necessary or appropriate to set or define SPTs as there could be some SPIs that are better monitored for trends rather than against a targeted number. Safety reporting is an example of when having a target could either discourage people not to report (if the target is not to exceed a number) or to report trivial matters to meet a target (if the target is to reach a certain number).

Refer to Guidance associated with [ORG 1.4.1](#) (safety objectives) and [ORG 1.4.2](#) (SPIs and SPTs) located in ISM Section 1.

## 2 Training and Qualification

### 2.1 Training Program

#### GRH 2.1.1

The Operator shall have a process to ensure personnel that perform operational duties in functions within the scope of ground handling operations for the Operator, to include personnel of external service providers, complete:

- (i) Initial training prior to being assigned to perform such operational duties;
- (ii) Recurrent training or recurrent assessment not less than once during every 36-month period, except for recurrent training in dangerous goods as specified in [GRH 2.2.1](#) or as per requirements of the regulatory authority;
- (iii) Re-qualification training applicable to personnel that become unqualified for any reason, prior to being reassigned to perform operational duties. **(GM)**

#### Auditor Actions

- ❑ **Identified/Assessed** training program for ground handling personnel (focus: ensures completion of initial/recurrent/requalification training for personnel in all ground handling functions; includes processes that ensure personnel of external service providers complete initial/recurrent training).
- ❑ **Interviewed** responsible manager(s) in ground handling operations.
- ❑ **Examined** selected initial/recurrent/requalification course curricula/syllabi (focus: curricula/syllabi include initial/recurrent/requalification training courses for all personnel that perform ground handling duties/functions).
- ❑ **Examined** initial/recurrent/requalification training records of selected personnel (focus: completion of initial/recurrent/requalification training).
- ❑ **Other Actions** (Specify).

#### Guidance

Refer to the Applicability box at the beginning of this section for the functions within the scope of ground handling operations.

Requirements for initial, recurrent training or recurrent assessment and re-qualification training apply to all personnel that perform duties within the scope of ground handling operations for the operator, both at the main base and at all other locations.

In some instances, other than DGR, recurrent training or assessment period specified by local regulatory authorities might be longer than 36 months (e.g., aerodrome driving license). In such cases such period can be accepted in lieu of the 36 months.

For additional guidance on definition of type of trainings refer to AHM 1110 Section 4 (Training terminology).

#### GRH 2.1.2

The Operator shall have a process to ensure the training programs completed by ground handling operations personnel in accordance with [GRH 2.1.1](#) provide the knowledge necessary to perform duties, execute procedures and operate the equipment associated with specific ground handling functions and responsibilities. Such programs shall include:

- (i) Familiarization training on applicable regulations;
- (ii) In-depth training on requirements, including policies, procedures and operating practices;
- (iii) Training in human factors principles;
- (iv) Safety training on associated operational hazards. **(GM)**

#### Auditor Actions

- ❑ **Identified/Assessed** training programs for ground handling operations personnel (focus: includes programs for personnel in all ground handling operations functions).
- ❑ **Interviewed** responsible manager(s) in ground handling operations.

- ☐ **Examined** selected training program records/documents (focus: programs include all specified training areas as applicable to ground handling operations functions).
- ☐ **Other Actions** (Specify).

**Guidance**

Refer to the IRM for the definition of FOD (Foreign Object Debris/Damage) and Human Factors Principles.

Safety and human factors training typically includes the following subject areas as appropriate to the individual's assigned operational function(s):

- Safety philosophy;
- Safety regulations;
- Hazards;
- Human factors;
- Airside markings and signage;
- Emergency situations;
- FOD prevention;
- Personal protection;
- Accidents, incidents, near misses;
- Airside safety supervision.

AHM 1110 Item 11 contains detailed guidance for safety and human factors training.

**GRH 2.1.3**

The Operator shall have a process to ensure training for personnel that perform operational duties in functions within the scope of ground handling operations for the Operator:

- (i) Includes testing or evaluation by written, oral or practical means, as applicable;
- (ii) Requires a demonstration of adequate knowledge, competency and proficiency to perform duties, execute procedures and/or operate equipment. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** training programs for ground handling operations personnel (focus: programs include a process for testing/evaluations/demonstrations as specified).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected initial/recurrent/requalification course curricula/syllabi (focus: training courses include testing/evaluations/demonstrations).
- ☐ **Examined** initial/recurrent/requalification training records of selected personnel (focus: testing/evaluations/demonstrations as specified completed during initial/recurrent/requalification training).
- ☐ **Other Actions** (Specify).

**Guidance**

Training is usually divided into theoretical and practical parts, both of which normally include a record of an evaluation and successful completion of training.

An assessment of knowledge gained from the theoretical part of training is normally accomplished through use of written or computer-based testing.

Practical training typically includes an on-the-job training phase followed by a demonstration of competence in the skills that are relevant to the specific ground handling function.

An oral means of assessment may be included as an element of the evaluation included in the theoretical and/or practical parts of training but would typically not be used as the sole method of evaluation.

Records of evaluations for both theoretical and practical training are normally retained to verify currency in accordance with training program requirements.

### GRH 2.1.4

The Operator shall have a process to ensure completion of required training by personnel that perform operational duties in functions within the scope of ground handling operations for the Operator is recorded and such records are retained in accordance with [GRH 1.7.1](#).

#### Auditor Actions

- ☐ **Identified/Assessed** ground handling operations records system (focus: system includes training records of personnel that perform ground handling operations duties).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** initial/recurrent/requalification training records of selected personnel (focus: completion of initial/recurrent/requalification training).
- ☐ **Other Actions** (Specify).

### GRH 2.1.5

The Operator shall have a process to ensure the training programs completed by ground handling operations personnel in accordance with [GRH 2.1.1](#) are reviewed and updated to remain relevant and current.

#### Auditor Actions

- ☐ **Identified/Assessed** process for review and update of training programs completed by ground handling operations personnel.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected training program records/documents (focus: programs have been periodically reviewed and updated).
- ☐ **Other Actions** (Specify).

## 2.2 Program Elements

### GRH 2.2.1

The Operator shall have a process to ensure ground handling operations personnel complete dangerous goods training, to include initial training and recurrent training within 24 months of previous training in dangerous goods. Such training shall be completed by personnel that perform operational duties in the following functions within the scope of ground handling operations:

- (i) Passenger handling;
- (ii) Baggage handling;
- (iii) Aircraft loading;
- (iv) Load control. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** dangerous goods training program (focus: defines DG training requirements for ground handling personnel as appropriate for specific assigned responsibilities/duty functions).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** applicable initial/recurrent dangerous goods training curricula and syllabi (focus: subject areas appropriate for personnel based on specific responsibilities/duty functions).
- ☐ **Examined** training records of selected personnel (focus: completion of required training as appropriate for assigned responsibilities/duty functions).
- ☐ **Other Actions** (Specify)

#### Guidance

The training and assessment for dangerous goods training for aircraft loading and load control personnel will depend on whether the operator carries dangerous goods as cargo or not. However, dangerous goods training is required for all indicated operator ground handling personnel. The

course content and assessment are determined by the operator and may vary depending on specific responsibilities and duty function(s).

Recurrent training in dangerous goods is completed within a validity period that expires 24 months from the previous training to ensure knowledge is current unless a shorter period is defined by a competent authority. However, when such recurrent training is completed within the final 3 months of the 24-month validity period, the new validity period may extend from the month on which the recurrent training was completed until 24 months from the expiry month of the current validity period. If such recurrent training is completed *prior* to the final three months of the validity period, the new validity period would extend 24 months from the month the recurrent training was completed.

Refer to DGR 1.5. Additional guidance material for competency-based training and assessment, that includes adapted task lists for well-defined job functions, is available at [www.iata.org/dangerousgoods](http://www.iata.org/dangerousgoods).

## GRH 2.2.2 (Intentionally open)

### GRH 2.2.3

The Operator shall have a process to ensure initial and recurrent training or recurrent assessment completed by applicable ground handling personnel in accordance with [GRH 2.1.1](#) addresses the following areas of operations, as applicable to ground handling duties or function(s) performed:

- (i) Passenger services;
- (ii) Ramp services;
- (iii) Load control;
- (iv) Aircraft fueling;
- (v) Aircraft ground de-/anti-icing.

#### Auditor Actions

- ☐ **Identified/Assessed** training program for ground handling personnel (focus: training program addresses all specified operational areas).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected initial/recurrent/requalification training curricula/syllabi (focus: training addresses all specified operational areas).
- ☐ **Examined** initial/recurrent/requalification training records of selected personnel (focus: completion of training appropriate for individual duties/functions performed).
- ☐ **Other Actions** (Specify)

### GRH 2.2.4

The Operator *should* have processes to ensure training for ground handling personnel assigned to perform passenger services, ramp services and load control as specified in [GRH 2.2.3](#) include training elements in accordance with specifications in [Table 6.1. \(GM\)](#)

#### Auditor Actions

- ☐ **Identified/Assessed** training program for ground handling personnel (focus: training addresses functions associated with passenger services, ramp services and load control).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected initial/recurrent/requalification training curricula/syllabi (focus: curricula/syllabi included training elements as specified in [Table 6.1](#)).
- ☐ **Examined** initial/recurrent/requalification training records of selected personnel (focus: completion of training appropriate for individual duties/functions performed).
- ☐ **Examined** selected training program matrices (focus: proper relationship between ground handling functions and training subjects specified in [Table 6.1](#)).
- ☐ **Other Actions** (Specify)



### Guidance

For additional guidance refer to AHM 1110, Ground Operations Training Program.

#### GRH 2.2.5

The Operator *should* have a process to ensure training for ground handling personnel assigned to perform aircraft fueling as specified in [GRH 2.2.3](#) includes the following training elements:

- (i) Safe operation of equipment;
- (ii) Emergency procedures;
- (iii) Fuel spillage avoidance response;
- (iv) Aircraft fueling and defueling procedures;
- (v) Aircraft-specific training. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** training program for ground handling personnel (focus: program includes the specified training elements associated with aircraft fueling operations).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected initial/recurrent/requalification training curricula/syllabi (focus: curricula/syllabi address the specified training elements for aircraft fuelling).
- ☐ **Examined** selected initial/recurrent/requalification training records (focus: personnel have completed training appropriate to operational functions performed).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IATA Guidance Material on Standard Into-Plane Fuelling Procedures as applicable to functions directly involved in aircraft fuelling operations.

#### GRH 2.2.6

If the Operator conducts flights from any airport when conditions are conducive to ground aircraft icing, the Operator *should* have a process to ensure training for ground handling personnel assigned to perform aircraft ground de-/anti-icing as specified in [GRH 2.2.3](#) includes following training elements:

- (i) Common standard, regulation and recommendation including local rule and restriction;
- (ii) Hazard of snow, ice and frost;
- (iii) Safe operation of equipment and de-/anti-icing operation including aircraft critical area;
- (iv) Fluid characteristics and application, and limitation of holdover time;
- (v) Deicing/anti-icing codes, communication and coordination. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** training program for ground handling personnel (focus: program includes the specified training elements associated with aircraft de-/anti-icing operations).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected initial/recurrent/requalification training curricula/syllabi (focus: curricula/syllabi address the specified training elements for aircraft de-/anti-icing).
- ☐ **Examined** initial/recurrent/requalification training records of selected personnel (focus: completion of training appropriate for individual duties/functions performed).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to ICAO Doc 9640-AN/940, which addresses training for personnel that conduct aircraft de-/anti-icing.

Refer to SAE AS 6286 for syllabus specifications for training of personnel that perform functions directly involved in aircraft de-/anti-icing.



## 2.3 SMS Training

### GRH 2.3.1

The Operator shall have a program that ensures its ground handling operations personnel are trained and competent to perform SMS duties. The scope of such training shall be appropriate to each individual's involvement in the SMS. **[SMS] (GM) ◀**

**Note:** *The specifications of this provision are applicable to personnel of the Operator that perform functions within the scope of ground handling operations.*

#### Auditor Actions

- ☐ **Identified/Assessed** SMS training program for ground handling operations (focus: program ensures training for the operator's ground handling personnel as appropriate to individual SMS involvement).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected initial and recurrent ground handling operations training curricula (focus: training in individually relevant SMS duties/responsibilities).
- ☐ **Examined** selected operational ground handling personnel training records (focus: completion of SMS training).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Operational Function (Aircraft Operations).

SMS training is an element of the Safety Promotion component of the SMS framework.

Refer to Guidance associated with [ORG 4.3.1](#) located in ISM Section 1.

### GRH 2.3.2

If the Operator outsources ground handling operational functions to external service providers, the Operator *should* have a program that ensures personnel of external service providers are trained and competent to perform SMS duties. The scope of such training *should* be appropriate to individual involvement in the Operator's SMS. **[SMS] (GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** SMS training program for ground handling operations (focus: program ensures training for ground handling personnel of external service providers as appropriate to individual SMS involvement).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected outsourcing contracts/agreements (focus: inclusion of requirement of SMS training for applicable service provider personnel).
- ☐ **Examined** selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures applicable personnel of service providers have completed SMS training).
- ☐ **Other Actions** (Specify)

#### Guidance

SMS training is an element of the Safety Promotion component of the SMS framework.

Refer to Guidance associated with [ORG 4.3.2](#) located in ISM Section 1.

## 3 Ground Handling Operations

### 3.1 Passenger and Baggage Handling

#### GRH 3.1.1A

If the Operator conducts passenger flights, the Operator shall have a notification system that ensures information on the types of dangerous goods forbidden for transport on board an aircraft is displayed or presented to passengers as follows:

- (i) At the airport:
  - (a) Where tickets and/or boarding passes are issued;
  - (b) Where passenger baggage is dropped off;
  - (c) In aircraft boarding areas.
- (ii) At any other location:
  - (a) Where tickets and/or boarding passes are issued;
  - (b) Where checked baggage is accepted.

#### Auditor Actions

- ☐ **Identified/Assessed** dangerous goods notification system (focus: system is comprehensive; addresses all aspects of passenger notification and all applicable areas).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** Airport applicable areas (focus: passengers receive specified dangerous goods information).
- ☐ **Observed** airport passenger/baggage handling operations (focus: passengers receive dangerous goods information as specified).
- ☐ **Other Actions** (Specify)

#### Guidance

Guidance may be found in DGR 1.4.3.

#### GRH 3.1.1B

If the Operator conducts passenger flights, the Operator shall have a notification system that ensures information on the types of dangerous goods forbidden for transport on board an aircraft is communicated to passengers where ticket purchase and/or boarding pass issuance can be completed without the involvement of another person. Such system shall ensure:

- (i) The passenger is required to acknowledge that the requisite information has been presented;
- (ii) The requisite information is provided to passengers:
  - (a) At the point of ticket purchase or, where that is not practical, prior to issuance of a boarding pass;
  - (b) At issuance of a boarding pass, or when no boarding pass is issued, prior to boarding the aircraft. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** dangerous goods notification system (focus: system is comprehensive; addresses all aspects of passenger notification).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** online passenger ticketing and boarding pass issue system, self-check-in kiosks (focus: passengers receive specified dangerous goods information and are required the acknowledgement).

- ❑ **Observed** airport passenger/baggage handling operations (focus: passengers that bought the ticket and/or boarded without the involvement of another person receive dangerous goods information at passenger handling locations).
- ❑ **Other Actions** (Specify)

## Guidance

The dangerous goods notification system may be documented in either the OM or in other appropriate and controlled manuals.

Use of the internet or self-ticketing kiosks are examples of methods of ticket purchase and/or boarding pass issuance that can be completed by the passenger without the involvement of another person. When such methods are used, dangerous goods information is normally presented in a manner that does not allow completion of the process until the passenger has acknowledged that the restrictions have been presented.

Dangerous goods information in pictorial form is a preferred method of presentation to passengers.

Guidance may be found in DGR 1.4.3.

❑

### GRH 3.1.1C

If the Operator conducts passenger flights, the Operator should have a notification system that ensures information on the types of dangerous goods forbidden for transport on board an aircraft is displayed or presented to passengers at the airport in baggage claim areas. **(GM)**

## Auditor Actions

- ❑ **Identified/Assessed** dangerous goods notification system (focus: system is comprehensive; addresses all aspects of passenger notification and is displayed or presented in baggage claim areas).
- ❑ **Interviewed** responsible manager(s) in ground handling operations.
- ❑ **Observed** Airport baggage claim areas (focus: passengers receive specified dangerous goods information).
- ❑ **Observed** airport passenger/baggage handling operations (focus: passengers receive dangerous goods information as specified).
- ❑ **Other Actions** (Specify)

## Guidance

The recommendation to have a notification system for forbidden dangerous goods displayed in the baggage claim areas is to encourage passengers who may be required to identify their baggage, prior to it being re-loaded for an onward or return journey, to confirm that the baggage is free of forbidden DG.

Further guidance may be found in DGR 1.4.3.

### GRH 3.1.2

If the Operator conducts passenger flights, the Operator shall ensure a process is in place that requires, when dangerous goods not permitted for carriage on board the aircraft are discovered on the person of or in the baggage of a passenger, a report is made to the appropriate authority of the state of occurrence. **(GM)**

**Note:** The specifications of this provision are applicable to operators that transport, and also to operators that do not transport, dangerous goods as cargo.

## Auditor Actions

- ❑ **Identified/Assessed** a process to report discovery of prohibited dangerous goods on the person of or in the baggage of a passenger to the applicable authority.
- ❑ **Interviewed** responsible manager(s) in ground handling operations.
- ❑ **Observed** passenger/baggage handling operations (focus: process for reporting cases of prohibited dangerous goods found in the possession of passengers).

- ☐ **Examined** selected reports of prohibited dangerous goods possessed by passenger (focus: reports submitted to appropriate authority in state of occurrence).
- ☐ **Other Actions** (Specify)

## Guidance

Guidance may be found in DGR 2.3 and 9.6.2, and in IGOM 1.1.6.4.

### GRH 3.1.3

If the Operator conducts passenger flights and accepts battery-operated mobility aids for transport on the aircraft, the Operator shall have procedures for acceptance and handling of such mobility aids to ensure they meet following requirements:

- (i) The battery is a type that is permitted;
- (ii) Battery terminals are protected and electrical circuits are isolated;
- (iii) Loading is in a manner that prevents movement and damage from other loads;
- (iv) If applicable, batteries are removed, protected and transported as per specifications applicable to the type of batteries;
- (v) The pilot in command is informed of the location of the mobility aids and/or the batteries. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** procedures for acceptance/handling of battery-operated mobility aids.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** acceptance/handling of battery-operated mobility (focus: acceptance/handling procedures are implemented).
- ☐ **Examined** selected retained documents (e.g. NOTOC or load sheet) of accepted battery-operated mobility aids (focus: mobility aids accepted/handled in accordance with procedures; notification to PIC includes location).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Mobility Aid.

Refer to DGR 2.3.2 and 1.4.2.2 (f) for additional guidance.

### GRH 3.1.4 (Intentionally open)

### GRH 3.1.5

The Operator shall have a policy and procedures for the preflight acceptance or non-acceptance, as well as handling, of passengers who might require special handling by ground passenger handling personnel. Such policy and procedures shall be in accordance with applicable regulations and, as a minimum, address:

- (i) Passengers with disabilities or reduced mobility;
- (ii) Passengers with injuries or illness;
- (iii) Persons on stretchers;
- (iv) Infants and children, including unaccompanied children (UMNR) if accepted;
- (v) Inadmissible passengers, deportees or persons in custody. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** policy and procedures as specified in the standard for the acceptance and handling of passengers requiring special attention by the ground passenger handling personnel.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Sampled** records of specific cases of handling special needs passengers.

- ❑ **Observed** passenger/baggage handling operations (focus: policy/procedures for preflight acceptance of passengers that require special handling).
- ❑ **Other Actions** (Specify)

## Guidance

A policy and associated procedures typically address the acceptance and pre-boarding handling of passengers that require special handling, or perhaps the refusal to accept certain categories of passengers. For example, such policy and procedures might include or address the following:

- For passengers with disabilities: Acceptance and/or limitations for such acceptance in accordance with applicable regulations, ground handling and, as applicable, specialized equipment considerations.
- If unaccompanied children are accepted: Maximum number, minimum age, any special arrangements once on board, specific seat allocation, ground handling considerations.
- If stretchers are accepted: Maximum number, escort requirement, associated equipment that would need to be available, ground handling considerations.
- If deportees or passengers in custody are accepted: Maximum number, number of escort officers, specific seat allocation, ground handling considerations.

Refer to IGOM 1.4.

## GRH 3.1.6

If the Operator conducts passenger flights, the Operator shall have a policy and associated procedures for addressing passengers that exhibit unruly behavior and/or interfere prior to flight departure. Such policy and procedures shall be in accordance with local laws and regulations and specify measures that will ensure the safety of the aircraft, persons on board and their property. As a minimum, the policy and procedures shall address:

- (i) Identification of passenger unruly behavior and interference;
- (ii) Identification of passengers showing signs of intoxication, whether through alcohol or other substances, which might contribute to unruly behavior and interference;
- (iii) Conditions under which passengers may be denied boarding in accordance with the applicable authority;
- (iv) Reporting of instances of passenger unruly behavior. **(GM)**

## Auditor Actions

- ❑ **Identified/Assessed** policy and procedures for identifying and addressing passengers that show signs of intoxication, exhibit unruly behavior and/or interfere prior to flight departure.
- ❑ **Interviewed** responsible manager(s) in ground handling operations.
- ❑ **Sampled** records of specific cases of passenger unruly behavior/interference.
- ❑ **Observed** passenger/baggage handling operations (focus: policy/procedures for preflight handling of passenger with sign of intoxication, unruly behavior/interference).
- ❑ **Other Actions** (Specify)

## Guidance

A policy and associated procedures would typically be published to ensure awareness by all applicable ground personnel.

To ensure procedures are effective, guidelines are typically created to address all aspects of managing unruly behavior including prevention.

The intent of item (iv) is that instances of passenger unruly behavior or interference are reported internally in accordance with [SEC 1.12.1](#) and [SEC 4.3.1](#). Such reporting is usually done for the purpose of performing trend analysis and developing appropriate mitigation measures. In addition, depending on the severity, some instances may be required to be reported to the applicable aviation security authority in accordance with [SEC 4.3.2](#).

Refer to IGOM 1.4.10 for guidance that addresses unruly passengers.

## 3.2 Airside Operations

### GRH 3.2.1

The Operator shall have processes that ensure an assignment of responsibility for the supervision of all of its airside operational activities. Such processes shall ensure.

- (i) Aircraft ground movement, aircraft handling and loading/unloading operations supervision is performed in accordance with OM and applicable regulations.
- (ii) At each location where aircraft turnaround handling operations are conducted, an aircraft turnaround plan that includes related turnaround coordination is established and, as applicable, supervision functions are assigned to responsible person(s). **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** processes that ensure responsibility for supervision is assigned for conduct of airside operational activities.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** passenger/baggage handling operations (focus: supervisors are assigned to all passenger/baggage handling operational activities).
- ☐ **Observed** aircraft loading operations (focus: supervisors are assigned to all aircraft loading operational activities).
- ☐ **Observed** aircraft ground handling operations (focus: supervisors are assigned to all aircraft ground handling operational activities).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Aircraft Turnaround Coordinator and Aircraft Turnaround Plan.

Supervision of airside operations covers all aircraft ground handling activities and focuses on appropriate general safety rules for aircraft turnaround (e.g. driving in the vicinity of the aircraft, walking around and approaching the aircraft).

At stations where aircraft turnaround operations are conducted, supervision functions, roles and responsibilities are established in advance to ensure an adequate level of operational safety and security is achieved during an aircraft turnaround. The aircraft turnaround plan would ensure there is appropriate coordination among the entities (e.g. operator, ground service providers) involved in an aircraft turnaround.

Refer to IGOM 6 for guidance that addresses aircraft turnaround handling and related supervision functions.

Refer to IGOM 6.3 for guidance that addresses aircraft turnaround coordination/supervision requirements.

### GRH 3.2.2

The Operator shall ensure aircraft arrival procedures are in place that are completed prior to aircraft arrival at the assigned parking gate or stand. Such procedures shall ensure:

- (i) The ramp area surface is inspected and is free of:
  - (a) Debris that could cause foreign object damage (FOD);
  - (b) Contamination that could be hazardous to aircraft movement.
- (ii) The aircraft movement path is clear of objects and obstacles;
- (iii) Personnel not involved in the aircraft arrival are positioned outside the equipment restraint area (ERA);
- (iv) Required GSE is available and positioned clear of the ERA;
- (v) The aircraft docking guidance system is operational or, if applicable, marshalling personnel are in place;
- (vi) If applicable, wing walkers and/or other applicable personnel are present. **(GM)**



**Auditor Actions**

- ☐ **Identified/Assessed** aircraft arrival procedures in the OM (focus: published procedures for aircraft arrival are in accordance with specifications in this standard).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** aircraft arrival operations (focus: procedures for aircraft arrival are implemented as published in the OM).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Equipment Restraint Area (ERA) and Foreign Object Debris/Damage (FOD).

As specified in item (i) (b), snow and ice are ramp surface contaminants that can be hazardous to aircraft ground movement.

Documented procedures in accordance with IGOM 4.1.1, 4.1.2.1 and 4.1.3.1 will typically demonstrate documental conformity with the specifications in this provision.

**GRH 3.2.3**

The Operator shall ensure aircraft arrival procedures are in place that are completed once an aircraft has stopped at the parking gate or stand. Such procedures shall ensure:

- (i) Vehicles and personnel remain clear of parking stand until engines are shut down and anti-collision lights are turned off;
- (ii) As applicable, wheel chocks are positioned at the landing gear wheels and verbally/visually confirmed to the flight crew;
- (iii) Safety cones are placed around the aircraft;
- (iv) An aircraft exterior inspection is accomplished prior to GSE being positioned to the aircraft to identify and record visible aircraft damage. **(GM)**

**Note:** Procedures shall ensure visible damage found during the aircraft exterior inspection is reported to a supervisor and the flight crew, and GSE is not positioned to the aircraft in an area where such damage exists.

**Auditor Actions**

- ☐ **Identified/Assessed** aircraft arrival procedures in the OM (focus: published procedures for aircraft arrival inspection is in accordance with specifications in this standard).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** aircraft arrival operations (focus: procedures for aircraft arrival are implemented as published in the OM).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to IGOM 3.1.2 for guidance that addresses general ramp safety.

During the aircraft exterior inspection, involved ground handling personnel confirm there is no damage to the aircraft where GSE will be positioned before such GSE is moved toward the aircraft. In addition, an assigned person completes a walkaround inspection to identify any damage to other areas of the aircraft.

Communication with the flight crew is normally established through use of the aircraft intercom system. However, when necessary, such communication may be conducted using standardized hand signals.

Documented procedures in accordance with IGOM 4.1 (Aircraft Arrival), IGOM 4.2 (Aircraft Chocking) and IGOM 4.3 (Aircraft Coning) will typically demonstrate documental conformity with the specifications in this provision.

Refer also to ICAO Manual on Ground Handling 6.3.3.3 and 6.3.5.3.

**GRH 3.2.4** (Intentionally open)



## GRH 3.2.5

The Operator shall have procedures for the opening and closing of aircraft cabin access doors during normal operations. Such procedures shall specify:

- (i) Who is responsible for opening and closing aircraft cabin access doors;
- (ii) When doors should be opened and closed;
- (iii) Appropriate methods of communication and/or coordination between flight crew, cabin crew and ground staff to maintain safety during normal door operations. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedures for opening and closing of aircraft cabin access doors.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** aircraft ground handling operations (focus: cabin door opening/closing procedures).
- ☐ **Coordinated** with flight and FLT and CAB auditors (focus: complementary [CAB 3.2.4A](#) and [FLT 3.13.11](#) procedures for opening and closing of aircraft cabin access doors).
- ☐ **Other Actions** (Specify)

### Guidance

Typically, operators have procedures for opening and closing cabin access doors both from the outside and the inside. Responsibilities for opening and closing of cabin access doors can vary by operator, by aircraft type and/or by phase of operation (for example, an operator may have different requirements for a live flight with the flight and cabin crew on board versus a towing operation without any crew on board).

Conformity with this provision is assessed in conjunction with [CAB 3.2.4A](#) and, if applicable, [FLT 3.13.11](#).

Refer to IGOM 4.4.2 for additional guidance on Cabin access doors operations.

## GRH 3.2.6A

The Operator shall ensure procedures for the opening and closing of aircraft cabin access doors require that GSE or a passenger boarding bridge:

- (i) Is positioned at a cabin access door;
- (ii) Remains positioned at a cabin access door when such door is open unless an appropriate fall prevention device is placed across the open door;
- (iii) Is removed from a cabin access door after such door is closed. **(GM)**

**Note:** The specifications of this provision do not apply to cabin access doors that have integral airstairs when such doors are open and the integral airstairs are deployed.

### Auditor Actions

- ☐ **Identified/Assessed** procedures for GSE positioning at aircraft cabin access doors.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** aircraft ground handling operations (focus: door opening/closing procedures that require GSE positioned outside open cabin access door).
- ☐ **Other Actions** (Specify)

### Guidance

Some aircraft types with certain galley configurations require the cabin door to be opened in order to service the trash bins. For these aircraft, it is allowable to partially open the cabin door (i.e. “crack” the door) in order to provide sufficient space to allow the servicing of the trash bin. However, the cabin door is not fully swung open. Once the trash bin service is completed, the cabin door would then be immediately closed and secured.

Sometimes, for ventilation purposes, aircraft cabin access doors may be left open when there are no persons on board. In such cases the stairs or boarding bridge is usually removed to prevent unauthorized access to the aircraft.

Refer to [SEC 3.1.2](#), which specifies measures that must be in place to prevent unauthorized access to the aircraft.

GSE or a passenger boarding bridge would normally not be removed from a position at an aircraft cabin access door until either:

- The door has been closed and secured by an authorized person, or
- An appropriate fall prevention device has been placed across an open door.

If an aircraft cabin access door is fitted with integral airstairs, and such airstairs are deployed and in use, then this provision is not applicable. However, if a cabin access door is equipped with retractable integral airstairs (e.g. B737), and such airstairs remain retracted when the door is open, then this provision is applicable.

An appropriate fall prevention device consists of equipment or material, or a combination of both, that is designed to arrest or prevent the fall of a person from an open door. Examples include an industrial safety net, catch platform or safety harness system (other than a travel restraint system). The door strap installed in most aircraft cabin doors is not considered an appropriate fall prevention device.

Also, for some small aircraft the door sill is very low and positioning of GSEs at service cabin door is not possible. In that case, for the service cabin doors requirements as in [GRH 3.2.6A](#) do not apply.

Refer to IGOM 4.4.2 for guidance that addresses operation of cabin access doors.

## GRH 3.2.6B

The Operator shall have procedures for the opening and closing of aircraft cargo hold access doors and, if GSE is required to reach cargo hold doors, such procedures shall also ensure:

- (i) Maintenance stairs, belt loaders or other GSE used to reach cargo hold doors have safety rails to prevent falls;
- (ii) Safety rails are raised or extended, as applicable, while personnel are accessing, opening and closing the doors. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedures for opening/closing of aircraft cargo hold doors.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** aircraft ground handling operations (focus: use of cargo hold door access/opening/closing procedures, to include operation of safety rails).
- ☐ **Other Actions** (Specify)

### Guidance

Some aircraft types require GSE to be positioned in order to open and close cargo hold doors. Typically, rails are in the stowed position while the GSE is approaching and leaving the aircraft, and are raised or extended during door opening and closing to prevent falling from height.

Refer to guidance in IGOM 4.4.3 that addresses operation of cargo hold doors.

## GRH 3.2.7

The Operator shall ensure aircraft departure procedures are in place and are completed prior to an aircraft departing the parking gate or stand. Such procedures shall ensure:

- (i) The ramp area surface is inspected and is free of:
  - (a) Debris that could cause foreign object damage (FOD);
  - (b) Contamination that could be hazardous to aircraft movement;
  - (c) Objects that could be impacted by the aircraft or subjected to jet blast effect.
- (ii) Personnel not involved in the aircraft departure are positioned outside the ERA;
- (iii) If applicable, wing walkers and/or other applicable personnel are present;
- (iv) If applicable, communication with the flight crew is established on air start procedures with air starter unit (ASU);
- (v) Use of anti-collision light(s);



- (vi) Communication is established with the flight crew;
- (vii) Vehicles and personnel remain clear of aircraft engine intake and/or blast areas during engine start. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** aircraft departure procedures in the OM (focus: published procedures for aircraft departure are in accordance with specifications in this standard).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** aircraft departure operations (focus: procedures for aircraft departure are implemented as published in the OM).
- ☐ **Other Actions** (Specify)

### Guidance

Communication with the flight crew is normally established through use of the aircraft intercom system. However, when necessary, such communication may be conducted using standardized hand signals.

Documented procedures in accordance with IGOM 4.6 (Aircraft Departure) will typically demonstrate documental conformity with the specifications in this provision. Refer to:

- IGOM 4.6.7.1 for guidance that addresses safety precautions related to proper use of aircraft anti-collision lights;
- IGOM 4.6.8 for departure ground staff to flight deck communication and use of common phraseology;
- IGOM 4.6.3.2 and 4.6.3.3 for pre-departure communication;
- Refer to IGOM 3.1.2 for guidance that addresses general ramp safety.

Additional guidance may be found in ICAO Doc 10121, Manual on Ground Handling, Chapter 6, 6.3.9 and 6.3.10.3.

### GRH 3.2.8

The Operator shall ensure an aircraft departure procedure is in place for an aircraft walkaround inspection that is completed immediately prior to the aircraft departing the parking gate or stand. Such check shall ensure:

- (i) The ramp area surface is free of debris that could cause foreign object damage (FOD);
- (ii) GSE and passenger boarding equipment are detached from the aircraft;
- (iii) GSE and vehicles are positioned clear of the aircraft movement path;
- (iv) The aircraft movement path is clear of objects and obstacles;
- (v) Aircraft servicing panels and/or hatches are closed and secured (except external power and headset panels);
- (vi) Aircraft cabin and cargo doors are closed and handles are flush with the fuselage;
- (vii) Any visible aircraft damage or abnormalities are reported to the flight crew and maintenance;
- (viii) Landing gear safety pins are removed. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** aircraft departure procedures in the OM (focus: published procedure for aircraft pre-departure check is in accordance with specifications in this standard).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** aircraft departure operations (focus: procedure for aircraft departure walkaround check is implemented as published in the OM).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions Landing gear safety pins.

Examples of aircraft abnormalities as specified in item (vii) are fuel and hydraulic fluid leakage.

The intent of item (viii) is that, during the aircraft walkaround inspection, a check is made to ensure none of the landing gear safety pins are installed. If it is found that one or more safety pins is/are installed, removal will normally be accomplished only by appropriately qualified personnel.

Documented procedures in accordance with IGOM 4.6.3.1 (Pre-Departure Walk Around Check) will typically demonstrate documental conformity with the specifications in this provision.

#### GRH 3.2.9

If the Operator conducts aircraft pushback or towing operations, the Operator shall ensure procedures are in place for such operations. Such procedures shall ensure:

- (i) Equipment used is suitable for the aircraft type;
- (ii) Maximum aircraft nose gear turn limits are not exceeded;
- (iii) Standardized communication is used between the ground crew and the flight crew;
- (iv) A safe connection, operation and disconnection of the pushback or towing equipment. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** aircraft departure procedures in the OM (focus: published procedure for aircraft pre-departure check is in accordance with specifications in this standard).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** aircraft departure operations (focus: procedure for aircraft departure walkaround check is implemented as published in the OM).
- ☐ **Other Actions** (Specify)

#### Guidance

Communication between the ground crew and flight crew as specified in item (iii) may be accomplished verbally using the aircraft interphone system or visually using hand signals.

Documented procedures in accordance with IGOM 4.6 (Aircraft Departure), IGOM 4.7 (Power Push Unit) and IGOM 4.9 (Aircraft Towing) will typically demonstrate documental conformity with the specifications in this provision.

#### GRH 3.2.10

The Operator *should* ensure procedures are in place for operations in adverse weather conditions, to include, as a minimum:

- (i) Wintery or slippery apron conditions;
- (ii) Thunderstorm, lightning;
- (iii) High wind conditions;
- (iv) Any other adverse weather or atmospheric conditions typical of the Operator's area(s) of operations. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** adverse weather condition procedures in the OM (focus: published procedure for airside precautions taken during adverse weather).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** aircraft departure operations (focus: procedure for airside operations during adverse weather is implemented as published in the OM).
- ☐ **Other Actions** (Specify)

#### Guidance

Winter weather operations might create additional hazards to airside operations such as slippery or icy apron surfaces.

Other adverse weather or atmospheric conditions could include extreme heat, volcanic ash or sandstorm.

Documented procedures in accordance with IGOM 3.3 (Adverse Weather Conditions), will typically demonstrate documental conformity with the specifications in this provision.

### 3.3 Load Control

#### GRH 3.3.1

The Operator shall ensure a Load Control system is in place that provides for:

- (i) Aircraft weight and balance conditions that are correct and within limits;
- (ii) Aircraft loaded in accordance with applicable regulations and specific loading instructions for the flight;
- (iii) Dissemination of dangerous goods and other special load information applicable to each flight;
- (iv) Information, to include last minute changes, that is in agreement with the actual load on the aircraft and presented on a final load sheet. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** Load Control system.
- ☐ **Interviewed** responsible manager(s) in load control operations.
- ☐ **Examined** checklists/procedures used in the load control process.
- ☐ **Observed** load control operations (focus: load control system includes functions necessary to address aircraft load, weight/balance calculation, production of final load sheet).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Load, Load Control, Special Load and Weight and Balance Manual (W&BM).

A load planning system typically entails, as a minimum:

- Assemblage of all data relating to the aircraft load (originating and en route stations);
- Planning of the load for ready accessibility;
- Planning of special loads according to restrictions, maximum quantities, separation and segregation requirements;
- Consideration of center of gravity parameters, including those affecting aircraft fuel consumption.

Guidance may be found in AHM 551 and 590.

#### GRH 3.3.2

The Operator shall have a process to ensure aircraft weight and balance data:

- (i) Take into account limitations of the manufacturer and Operator;
- (ii) Are current and accurate. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** load control process(es) for weight/balance calculations.
- ☐ **Interviewed** responsible manager(s) in load control operations.
- ☐ **Examined** examples of data used in the weight/balance calculation process.
- ☐ **Observed** load control operations (focus: weight/balance calculations based on current data, account for relevant limitations and specifics of aircraft type and actual configuration).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Cargo Restraint System, Combi (Combined Passenger and Cargo) Aircraft Operations and Supplemental Type Certificate (STC) Holder as well as the

abbreviations DCS (Departure Control System), DOI (Dry Operating Index) and DOW (Dry Operating Weight).

Also refer to the IRM for the definition of Fuel (Flight Planning), which includes a definition of the term Unusable Fuel.

The generation of the balance chart (operational limits) is normally accomplished in accordance with methods defined by the manufacturer's Weight and Balance Manual or equivalent document, which, as applicable, is approved by the applicable authority. Such activity is usually performed by Flight Operations or Ground Operations, or a combination thereof.

The process for producing weight and balance data and related documentation typically ensures that weight and balance limits are respected both in normal and in special conditions.

The following are some examples of special conditions:

- Operations with fuel pumps inoperative (MEL);
- Fuel carried as ballast (unusable fuel transported for weight and balance purposes);
- Flight conducted with nonstandard aircraft configuration, nonstandard passenger weights or other nonstandard conditions (e.g. rows of seats removed to fit a stretcher);
- Flight operations with one or more cabin doors inoperative that results in passenger distribution curtailment (MEL).

To ensure aircraft weight and balance data are current and accurate, an operator typically performs periodic aircraft weighing as recommended by the aircraft manufacturer and approved by the applicable authority.

Additionally, an operator would continuously monitor any aircraft weight and balance variations that result from individual aircraft maintenance activities or modifications (usually accomplished in accordance with operational bulletins or other similar directives) that change the basic weight and balance reference data as per tolerances and procedures established and accepted by local authorities (normally identified as DOW/DOI).

This above monitoring activity is usually performed by flight operations or maintenance operations, or a combination thereof.

Weight and balance data is typically maintained and updated via the DCS, to include remote central load control (CLC) or any other available means, and then communicated in a timely manner.

For combi aircraft operations, guidance in the OM would typically address limitations of the actual combi aircraft main deck/cabin configuration and ensure load control processes maintain current aircraft weight and balance data and account for passengers being seated on the same deck and forward of the cargo. Such passengers would be protected through provision of an adequate buffer and/or cargo restraint system in accordance with requirements of the aircraft manufacturer, Supplemental Type Certificate (STC) holder and/or data approved by the Authority.

Guidance may be found in AHM 565 (EDP system semi-permanent data exchange) and AHM 562.

### GRH 3.3.3

If the Operator conducts passenger flights, the Operator *should* ensure procedures are in place within the Load Control system to identify and address passenger loads that do not comply with conventional aircraft loading weight allowances. **(GM)**

#### Auditor Actions

- ❑ **Identified/Assessed** load control procedure(s) to identify/address passenger loads that do not comply with conventional aircraft loading weight allowances (focus: procedure(s) define/address conventional and non-conventional loading weight allowances).
- ❑ **Interviewed** responsible manager(s) in load control operations.
- ❑ **Examined** records that confirm application of other than normal/conventional weight allowances.
- ❑ **Observed** load control operations (focus: load control system includes procedures to identify/addresses passenger loads outside conventional aircraft load allowances).
- ❑ **Other Actions** (Specify)



### Guidance

Certain passenger groups may fall outside weight allowances (e.g. sports teams, children) normally applied for weight and balance calculation. Adequate procedures within the system would identify and account for such load situations to ensure accuracy in aircraft load calculations.

Refer to IGOM 1.4.3.3 for guidance that addresses non-standard passenger loads. Additional guidance may be found in AHM 531.

### GRH 3.3.4

If the Operator transports dangerous goods as cargo, the Operator shall ensure a process is in place to provide the pilot-in-command (PIC), as soon as practicable prior to departure of the aircraft, with accurate and legible written information pertaining to dangerous goods on board the aircraft to be transported as cargo. Such notification shall include the following:

- (i) If applicable, Air Waybill number;
- (ii) Proper shipping name and/or UN/ID number;
- (iii) Class or division, and subsidiary hazard(s) corresponding to the label(s) applied, and for Class 1, the compatibility group;
- (iv) If applicable, packing group;
- (v) For non-radioactive material, number of packages, exact loading location and, as required, net quantity or, if applicable, gross weight of each package, except:
  - (a) For UN 1845: carbon dioxide, solid (dry ice), UN number, proper shipping name, classification, total quantity in each aircraft hold and offload airport;
  - (b) For UN 3480 (Lithium-ion batteries) and UN 3090 (lithium-metal batteries), only the UN number, proper shipping name, class, total quantity at each loading location, and whether the package must be carried on a cargo only aircraft need be provided. UN 3480 (Lithium-ion batteries) and UN 3090 (lithium-metal batteries) carried under a State exemption must meet all of the requirements of iv) and v).
- (vi) For radioactive material, number and category of packages, overpacks or freight containers, exact loading location and, as applicable, transport index for each package;
- (vii) Any restriction for transport on cargo aircraft only;
- (viii) Offload airport;
- (ix) If applicable, dangerous goods transported under a state exemption;
- (x) An indication that aircraft loading personnel observed no evidence of damage to or leakage from packages, or leakage from ULDs, loaded onto the aircraft. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** load control process to provide PIC with information pertaining to onboard dangerous goods as cargo.
- ☐ **Interviewed** responsible manager(s) in load control operations.
- ☐ **Examined** documents (e.g. NOTOC) that confirm dangerous goods information was provided to PIC (focus: use of checklist/form that conforms to the specifications stated in the provision).
- ☐ **Observed** load control operations (focus: load control system includes process/method for providing applicable dangerous goods information to PIC).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of NOTOC (Notification to Captain) and State.

Information pertaining to dangerous goods on board the aircraft is typically presented to the PIC in a notification called the NOTOC (notification to the captain). The NOTOC contains the detailed information (as specified in this provision) relative to all dangerous goods loaded on the aircraft as cargo.



Information contained in the NOTOC may also be used:

- For emergency response to an accident or incident involving dangerous goods on board;
- To provide to air traffic services in the event of an in-flight emergency.

In the event the NOTOC is of such a size as to make in-flight radiotelephony transmission impracticable in an emergency situation, a summary of the information is typically provided to the PIC (NOTOC Summary), which contains at least the quantities and classes or division of dangerous goods in each cargo compartment.

Guidance may be found in DGR 9.5 and Table 9.5.A.

#### GRH 3.3.5

The Operator shall ensure weight and balance records are retained for a period in accordance with requirements of the regulatory authority, but no less than three months.

##### Auditor Actions

- ☐ **Identified/Assessed** means of retention for weight/balance records.
- ☐ **Interviewed** responsible manager(s) in load control operations.
- ☐ **Examined** selected weight and balance records.
- ☐ **Other Actions** (Specify)

#### GRH 3.3.6

If the Operator conducts passenger flights, the Operator *should* ensure procedures are in place for identification and communication to Load Control of:

- (i) Hold baggage, individual or cumulative weights, that exceed normal allowances;
- (ii) Gate delivery items, including individual or cumulative weights that exceed normal allowances;
- (iii) Other non-normal items that must be considered in the load control process. **(GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** procedures for ensuring identification/communication to Load Control of non-normal items that must be considered in the load control process (focus: procedures correctly define and address normal allowances and non-normal items).
- ☐ **Interviewed** responsible manager(s) in load control operations.
- ☐ **Examined** documents that confirm non-normal items were addressed in the load control process.
- ☐ **Observed** load control operations (focus: load control system includes procedures that ensure Identification/communication of load items that exceed normal weight allowances).
- ☐ **Other Actions** (Specify)

##### Guidance

Examples of other non-normal items as specified in item iii) might include musical instruments, medical equipment, sports equipment and service animals.

Refer to IGOM 1.1, 1.4, 2.1, 2.2 and 2.8 for further guidance that addresses non-normal loads.

#### GRH 3.3.7

If the Operator transports dangerous goods as cargo, the Operator shall have a process to ensure the legible copy of the dangerous goods information provided to the PIC in accordance with [GRH 3.3.4](#):

- (i) Is retained on the ground for a minimum period of three months after the flight on which the dangerous goods were transported;
- (ii) Includes an indication from the person responsible for loading the aircraft, that there was no evidence of any damage to or leakage from the packages or any leakage from the unit load devices loaded on the aircraft;
- (iii) Includes an indication that the PIC has received the information. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** load control process that ensures dangerous goods information provided to PIC is retained and includes indication PIC has received the information.
- ☐ **Interviewed** responsible manager(s) in load control operations.
- ☐ **Examined** selected retained documents containing dangerous goods information that was provided to the PIC (e.g. NOTOC).
- ☐ **Other Actions** (Specify)

## Guidance

The intent of item (i) is that either the NOTOC or a document containing all information that must be included in the NOTOC is retained for reference for a minimum period of three months or longer as required by the State of Flight Departure.

An indication from the person responsible for loading is typically the person's signature.

An indication of receipt by the PIC is typically the PIC's signature.

Refer to IGOM 5.4.1.4 for guidance that addresses the notification to the PIC of onboard dangerous goods. Additional guidance may be found in DGR 9.5.

### GRH 3.3.8

If the Operator transports dangerous goods as cargo, the Operator shall have a process to ensure the dangerous goods information provided to the PIC in accordance with [GRH 3.3.4](#) is also made readily available to FOO, FOA or other specifically identified operational control personnel until the aircraft transporting the dangerous goods has arrived at the destination airport. Operational control personnel that are provided with such information shall be specifically identified by job title or function. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** load control process to ensure dangerous goods information provided to the PIC is made available to applicable operational control personnel.
- ☐ **Identified/Assessed** job titles and/or functions of responsible personnel.
- ☐ **Interviewed** responsible manager(s) in load control operations.
- ☐ **Examined** selected records of dangerous goods information provided to applicable operational control personnel.
- ☐ **Observed** load control operations (focus: load control system includes process for providing applicable dangerous goods information to operational control personnel).
- ☐ **Other Actions** (Specify)

## Guidance

As specified in [DSP 3.7.3](#), designated operational control personnel provide information about onboard dangerous goods as a way to assist emergency services that respond to an accident or serious incident involving the operator's aircraft. The intent of this provision is to ensure operational control personnel have ready access to such information so it can be reported without delay in the event an accident or serious incident should occur.

Operational control personnel that must have access to such dangerous goods information are typically identified in the appropriate manual by job position or function.

Refer to [DSP 3.7.3](#) located in ISM Section 3.

## 3.4 Aircraft Loading

### GRH 3.4.1

The Operator shall have aircraft loading procedures in the OM that ensure:

- (i) The cargo hold is inspected before loading to:
  - (a) Check for damage;
  - (b) Ensure it is empty of other than documented transit load items.

- (ii) The aircraft is loaded:
  - (a) In accordance with written loading instructions;
  - (b) In a manner that satisfies weight and balance requirements.
- (iii) The load is secure and will not move during the flight;
- (iv) If applicable, ULD locks are extended and locked. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** aircraft loading procedures.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** examples of documented aircraft loading instructions.
- ☐ **Observed** aircraft loading operations (focus: aircraft loaded in accordance with loading instructions/weight/balance requirements).
- ☐ **Interviewed** personnel that perform aircraft loading.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to IGOM 4.5.5–4.5.9 and IGOM 5 (all), as well as AHM 514 and 590 for additional guidance.

**GRH 3.4.2**

If the Operator transports dangerous goods as cargo, the Operator shall ensure a qualified individual is designated to be responsible for the correct loading and securing of dangerous goods on board the aircraft.

**Auditor Actions**

- ☐ **Identified/Assessed** process for designating qualified individual to be responsible for loading/securing dangerous goods.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** aircraft loading operations (focus: qualified individual is responsible for loading/securing dangerous goods on board the aircraft).
- ☐ **Other Actions** (Specify)

**GRH 3.4.3**

If the Operator transports dangerous goods as cargo, the Operator shall ensure procedures are in place for the transportation of dangerous goods to/from an aircraft and the loading and securing of dangerous goods on an aircraft in a manner that:

- (i) Prevents damage to packages and containers;
- (ii) Provides for separation and segregation in accordance with applicable requirements;
- (iii) Prevents any movement in the aircraft. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** procedures for the transportation of dangerous goods to/from an aircraft and the loading/securing of dangerous goods on an aircraft.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** transportation of cargo to/from aircraft and the loading and securing of dangerous goods (focus: handling of dangerous goods to prevent damage, prevent movement in the aircraft and maintain separation).
- ☐ **Interviewed** personnel that perform transport of and/or aircraft loading and securing of cargo shipments.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to DGR 9.3 for guidance that addresses the transportation, loading and securing of dangerous goods, and to DGR 10.9 for guidance that addresses securing and separation of radioactive material. Refer to IGOM 4.5.7.7 for guidance that addresses securing of dangerous goods.

#### GRH 3.4.4

If the Operator transports dangerous goods as cargo, the Operator shall ensure procedures are in place that assure, when a dangerous goods package or shipment appears to be damaged or leaking:

- (i) The package or shipment is prevented from being loaded into an aircraft;
- (ii) If already loaded, the package or shipment is removed from an aircraft;
- (iii) In the case of leakage, an evaluation is conducted to identify and prevent from transport any baggage, cargo, transport devices or other items that may have become contaminated. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedures for handling/addressing leaking/damaged dangerous goods shipments.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** records/documents that illustrate handling of leaking/damaged dangerous goods shipments.
- ☐ **Observed** aircraft loading operations (focus: procedures for addressing dangerous goods packages/shipments that appear to be leaking or damaged).
- ☐ **Interviewed** personnel that perform aircraft loading.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to DGR 9.3, 9.4 and 10.9, which contain guidance that addresses apparent damage to dangerous goods shipments.

#### GRH 3.4.5

If the Operator transports dangerous goods as cargo, the Operator shall ensure procedures are in place that require, when an aircraft has been contaminated by dangerous goods leakage:

- (i) Hazardous contamination is removed from the aircraft without delay;
- (ii) In the case of radioactive contamination, arrangements are made to take the aircraft out of service for evaluation by appropriately qualified personnel.

### Auditor Actions

- ☐ **Identified/Assessed** procedures for addressing aircraft contaminated by leakage of dangerous goods.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** guidance/checklists used for dealing with an aircraft contaminated by leakage of dangerous goods.
- ☐ **Other Actions** (Specify)

#### GRH 3.4.6

If the Operator transports cargo, the Operator shall ensure a process is in place that requires, when undeclared or mis-declared dangerous goods are discovered in cargo during aircraft loading, a report is made to the appropriate authority of the State of the Operator (hereinafter "the State") and state of occurrence. **(GM)**

**Note:** The specifications of this provision are applicable to operators that transport, and also to operators that do not transport, dangerous goods as cargo.

**Auditor Actions**

- ☐ **Identified/Assessed** process for reporting undeclared/mis-declared dangerous goods discovered in cargo during aircraft loading to the appropriate authority.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** document(s) used for reporting undeclared/mis-declared dangerous goods discovered in cargo during aircraft loading.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to DGR 9.6 for additional guidance.

**GRH 3.4.7** (Intentionally open)**GRH 3.4.8**

If the Operator conducts passenger flights, the Operator shall ensure procedures are in place that prevent shipments labeled "Cargo Aircraft Only" from being loaded onto an aircraft for a passenger flight.

**Auditor Actions**

- ☐ **Identified/Assessed** procedure(s) for preventing shipments with "Cargo Aircraft Only" labels from being loaded onto aircraft for passenger flight.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** guidance/checklists used to ensure personnel do not load shipments with "Cargo Aircraft Only" labels onto aircraft for passenger flight.
- ☐ **Interviewed** personnel that perform aircraft loading.
- ☐ **Other Actions** (Specify)

**GRH 3.4.9** (Intentionally open)**GRH 3.4.10**

If the Operator conducts passenger flights and transports dangerous goods as cargo, the Operator shall ensure procedures are in place that prevent dangerous goods transported as cargo from being carried in an aircraft cabin occupied by passengers, except as permitted by the Authority or the DGR. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** procedure(s) for preventing the transport of dangerous goods in an aircraft cabin occupied by passengers, except as permitted.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** guidance/checklists used to ensure dangerous goods are not transported in an aircraft passenger cabin, except as permitted.
- ☐ **Other Actions** (Specify)

**Guidance**

In general, dangerous goods are prohibited from being transported in an aircraft cabin occupied by passengers. Limitations and exceptions are specified in DGR Sections 2 and 9.

**GRH 3.4.11**

If the Operator transports dangerous goods as cargo, the Operator shall ensure procedures are in place that prevent dangerous goods transported as cargo from being carried on the aircraft flight deck, except as permitted by the Authority or the DGR. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for preventing the carriage of dangerous goods on the aircraft flight deck, except as permitted.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** guidance/checklists used to ensure dangerous goods are not carried on the aircraft flight deck, except as permitted.
- ☐ **Other Actions** (Specify)

### Guidance

In general, dangerous goods are prohibited from being transported on the flight deck of an aircraft. Limitations and exceptions are specified in DGR Sections 2 and 9.

#### GRH 3.4.12

If the Operator conducts passenger flights and permits cargo or passenger items to be transported in the passenger seats of the aircraft cabin, the Operator shall ensure aircraft loading procedures are in place that require such cargo packages or passenger items to:

- (i) Be secured by a safety belt or restraint device having enough strength to eliminate the possibility of shifting under all normal anticipated flight and ground conditions;
- (ii) Be packaged or covered in a manner to avoid possible injury to passengers and cabin crew members;
- (iii) Not impose any load on the seats that exceeds the load limitation for the seats;
- (iv) Not restrict access to or use of any required emergency or regular exit, or aisle(s) in the cabin;
- (v) Not obscure any passenger's view of the seat belt sign, no smoking sign or required exit sign. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for loading and securing cargo/passenger items in cabin passenger seats.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** guidance/checklists used for loading cargo/passenger items in cabin passenger seats.
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is for an operator that permits the transport of cargo packages or passenger items in cabin passenger seats to have procedures that ensure such packages or items are properly loaded and secured.

Some operators might permit the transport of smaller cargo packages (e.g. mail pouches, COMAT items) secured in cabin passenger seats.

In some regulatory jurisdictions, cargo transported in the passenger cabin is required to be put inside an approved bin or container that is certified to withstand certain loads. Such bin or container is then attached or secured to a seat or seat/floor structure in a manner that ensures maximum load limits are observed.

An operator might also use approved restraining nets to cover and secure cargo in passenger seats.

Also, some operators might permit the transport of certain passenger items secured in cabin passenger seats. These types of items are typically large, valuable or fragile articles belonging to passengers that are not conducive to transport as checked baggage or appropriate for stowage in overhead bins/lockers (e.g. large musical instruments, certain electronic equipment, prominent trophies, works of art). Such items might thus be secured and carried in a dedicated cabin passenger seat (which might be purchased by the passenger-owner for this purpose).

Loading procedures for any of the above items would typically include access to technical data that ensures seat load limitations are not exceeded.

A verification that cargo packages or passenger items being transported in passenger seats are properly secured is accomplished by the cabin crew in accordance with [CAB 3.2.3](#).

#### GRH 3.4.13

If the Operator conducts passenger flights, but does *not* transport cargo, the Operator shall ensure procedures are in place to identify items of cargo that are not permitted for transport and prevent such items from being loaded onto an aircraft for a passenger flight.

##### Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for identifying/preventing prohibited cargo items from being loaded onto an aircraft for passenger flights.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** guidance/checklists used for identifying/preventing prohibited cargo items from being loaded onto an aircraft for passenger flights.
- ☐ **Interviewed** personnel that perform aircraft loading.
- ☐ **Other Actions** (Specify)

#### GRH 3.4.14

If the Operator conducts operations with unit load devices (ULDs), the Operator shall ensure procedures are in place for ULDs to be inspected to identify damage, and to determine airworthiness and serviceability:

- (i) When a ULD is received or accepted;
- (ii) Prior to a ULD being released for loading into an aircraft. **(GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for ULD inspection (focus: identification of airworthiness/serviceability limits).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected inspection records and reports.
- ☐ **Interviewed** personnel that operate in sorting areas and that perform aircraft loading/unloading operations.
- ☐ **Other Actions** (Specify)

##### Guidance

Refer to the IRM for the definitions of Component Maintenance Manual (CMM) and Unit Load Device (ULD).

Guidance may be found in the applicable section(s) of the IATA ULD Regulations (ULDR).

The intent of this provision is that an operator, upon receiving or accepting ULDs from another party, performs an inspection to ensure continued ULD airworthiness. Damaged or unserviceable ULDs have the potential to affect flight safety.

Inspection procedures are typically applied to ULDs whether loaded or unloaded.

Differences in damage limitations can occur between ULDs of the same manufacturer, as well as ULDs of different manufacturers. The maximum allowable damage for each specific ULD is typically stated in the applicable Component Maintenance Manual (CMM) issued by the manufacturer.

The ULD Operational Damage Limits Notice (ODLN) is normally attached to the ULD to ensure easy access to the appropriate damage limit information, and to facilitate inspection in the field (see ULDR Section 7 Standard Specification 40/3 and 40/4).

Refer to IGOM 4.5.9 for guidance that addresses ULD airworthiness and serviceability.





## GRH 3.4.15

If the Operator transports oversized and/or heavy cargo, the Operator *should* have procedures that ensure such cargo is loaded, secured, and unloaded in accordance with standards specified in the OM. (GM)

### Auditor Actions



- ☐ **Identified/Assessed** procedure(s) for loading, securing, unloading oversized and/or heavy cargo shipments.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** cargo loading/securing/unloading operations (focus: oversized and/or heavy cargo shipments loaded, secured, unloaded in accordance with OM standards).
- ☐ **Interviewed** personnel that load, secure and unload oversized and/or heavy cargo (focus: procedures used are in accordance with OM standards).
- ☐ **Other Actions** (Specify)

### Guidance



Oversized and heavy cargo are shipments that are larger or heavier than can be accommodated in/on a ULD.

OM standards that address load securing normally include shoring and lashing instructions produced by the operator that ensure:



- Aircraft load and restraining limitations are not exceeded, including requirements for Rigid Cargo (RC) limitations for CRS, inoperative equipment.
- Lashing of heavy and oversized cargo is done (if applicable) using relevant materials and limitations for such materials are not exceeded.

Refer to IGOM 4.5.7 and 4.5.8, as well as AHM 454 for additional guidance.

## GRH 3.4.16

If the Operator transports live animals as cargo, the Operator *should* have procedures to ensure live animals are handled, loaded, secured and unloaded in accordance with standards specified in the OM. (GM)

### Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for handling, loading, securing and unloading live animal cargo shipments.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** cargo loading/unloading operations (focus: live animal cargo shipments loaded, secured and unloaded in accordance with OM standards).
- ☐ **Interviewed** personnel that load live animal cargo shipments (focus: procedures used are in accordance with OM standards).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora).

OM standards that address the transport of live animals normally ensure:

- Live animal shipments are handled in accordance with the IATA Live Animals Regulations (LAR) and the IATA Airport Handling Manual (AHM).
- Operation of the aircraft air conditioning system is checked in relation to the regime of transportation specified in the LAR to avoid the possibility of a “fog” phenomenon that can result in moisture accumulation, which in turn can cause corrosion and possible activation of fire sensors in flight.
- ULDs are checked to ensure plastic sheets and adsorbent material on the bottom to prevent leakage.

- ULDs and cages are checked for visual damage and are locked to prevent animal escape during flight.
- Drinking bowl is affixed to prevent water leakage during any stage of flight.
- The NOTOC includes live animal shipments as a special load and includes the required action for control of hold heating/ventilation.

Additional requirements may be mandated by the State of Flight Departure, the State of Flight Arrival and/or CITES.

## GRH 3.4.17

If the Operator transports perishables as cargo, the Operator *should* have procedures to ensure such cargo is loaded, secured and unloaded in accordance with standards specified in the OM. **(GM)**

### Auditor Actions

- ❑ **Identified/Assessed** procedure(s) for loading, securing and unloading perishable cargo shipments.
- ❑ **Interviewed** responsible manager(s) in ground handling operations.
- ❑ **Observed** cargo loading/unloading operations (focus: perishable cargo shipments loaded, secured and unloaded in accordance with OM standards).
- ❑ **Interviewed** personnel that load, secure and unload perishable cargo shipments (focus: procedures used are in accordance with OM standards).
- ❑ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora), Perishable Cargo Regulations (PCR) and Temperature Control Regulations (TCR).

OM standards that address the transport of perishable cargo shipments normally ensure:

- Perishable cargo shipments are handled in accordance with the Perishable Cargo Regulations (PCR), AHM and, as applicable, Temperature Control Regulations (TCR).
- Operation of the aircraft air conditioning system is checked in relation to the regime of transportation specified in the LAR to avoid the possibility of a “fog” phenomenon that can result in moisture accumulation, which in turn can cause corrosion and possible activation of fire sensors in flight.
- ULDs are checked to ensure plastic sheets and adsorbent material on the bottom to prevent leakage.
- ULD contour is checked before loading/unloading to avoid aircraft damage by collapsed cargo.
- The NOTOC includes perishable shipments as a special load and includes the required action for hold heating/cooling/ventilation.

Additional requirements may be mandated by the State of Flight Departure, the State of Flight Arrival and/or CITES.

## 3.5 Ground Support Equipment (GSE)

### GRH 3.5.1

The Operator *should* ensure practices and procedures are in place for the operation of GSE in aircraft handling operations to prevent aircraft damage and injury to personnel. Such procedures *should* ensure that GSE is:

- Subjected to a walkaround safety inspection prior to use;
- Parked only in designated areas;
- Driven safely on the apron and within the ERA;
- As applicable to equipment type, operated with a load that is securely locked;

- (v) Where applicable, operated with the use of guide persons;
- (vi) As applicable to equipment type, operated with stabilizers, handrails, attachment fittings, transfer bridges and/or platforms correctly deployed when in position at the aircraft;
- (vii) Positioned so as not to obstruct an aircraft evacuation or the free movement of other GSE. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** GSE operating procedures in the OM (focus: includes general procedures for the operation of GSE; includes or addresses procedures for the operation of the specific types of GSE used in operations).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** procedures for the operation of selected types of GSE used in operations (focus: procedures are in accordance with the specifications in this recommended practice).
- ☐ **Observed** aircraft ground handling operations (focus: different types of GSE are operated in accordance with the specifications in this recommended practice and procedures in the OM).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to IGOM Chapters 3 and 4 for guidance that addresses safe operation of ground support equipment. Additional guidance may be found in AHM 462.

#### GRH 3.5.2

If the Operator conducts passenger flights and uses passenger boarding bridges, the Operator *should* ensure procedures are in place that require boarding bridges to be:

- (i) Fully retracted or parked in the designated parking position prior to aircraft arrival and departure movement;
- (ii) Moved slowly to the aircraft cabin access doors;
- (iii) Engaged using the auto levelling safety system;
- (iv) Secured to prevent movement from non-authorized persons. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** boarding bridge operating procedures in the OM (focus: includes or addresses procedures for the operation of boarding bridges).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Observed** aircraft ground handling operations (focus: passenger boarding bridge operated in accordance with the specifications in this recommended practice and procedures in the OM).
- ☐ **Other Actions** (Specify)

### Guidance

Documented procedures in accordance with IGOM 3.1.3.5 (Passenger Boarding Bridge) will typically demonstrate documental conformity with the specifications in this provision.

#### GRH 3.5.3

The Operator shall ensure a program is in place for the maintenance of ground support equipment, which assures:

- (i) A preventive maintenance program plan for each type of equipment;
- (ii) Maintenance completed on such equipment is recorded;
- (iii) Such equipment remains serviceable and in good mechanical condition.

### Auditor Actions

- ☐ **Identified/Assessed** maintenance program for GSE.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected GSE inspection/maintenance schedules/records.

- ☐ **Observed** aircraft ground handling operations (focus: GSE is serviceable/in good mechanical condition; completed maintenance recorded).
- ☐ **Other Actions** (Specify)

### 3.6 Airside Event Response and Reporting

#### GRH 3.6.1

The Operator shall ensure an emergency management plan is in place for responding to accidents or other emergencies that may occur during aircraft ground handling operations. **(GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** emergency management plan for ground handling operations.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** guidance/checklists used for response to emergencies in ground handling operations.
- ☐ **Examined** selected records of emergency response exercises performed in accordance with the ERP.
- ☐ **Other Actions** (Specify)

##### Guidance

An emergency management plan may also be known as a crisis or contingency management plan. It is a control mechanism to manage response procedures to a very serious situation (i.e. crisis) prior to that situation becoming a disaster. Control is achieved through preparation and the capability to implement emergency actions in a timely manner.

Typical elements of an emergency management plan include ownership, crisis management team, communication and a control center.

To ensure continuing effectiveness, testing of an emergency management plan is typically undertaken periodically against various crisis scenarios.

Refer to AHM 620 for guidance that addresses ground handling event response and reporting.

#### GRH 3.6.2

The Operator shall ensure procedures are in place for responding to emergencies that require the evacuation of an aircraft during the conduct of ground handling operations. **(GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** procedures for responding to emergency aircraft evacuation during ground handling operations.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** guidance/checklists used for response to aircraft evacuation during ground handling operations.
- ☐ **Other Actions** (Specify)

##### Guidance

Refer to IGOM 6.5.3 for guidance that addresses aircraft evacuation. Additional guidance may be found in AHM 620.

#### GRH 3.6.3

The Operator shall ensure procedures are in place for response to ground handling incidents. **(GM)**

##### Auditor Actions

- ☐ **Identified/Assessed** procedures for responding to incidents that occur in ground handling operations.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** guidance/checklists used for response to incidents in ground handling operations.

- ☐ **Examined** selected records of responses to ground handling incidents.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to IGOM 6.5 for guidance that addresses incident notification and immediate actions. Additional guidance may be found in AHM 650 and 652.

#### GRH 3.6.4

The Operator *should* ensure a process is in place for the retention of records of accidents and incidents associated with aircraft ground handling operations. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process for retention of records of ground handling operations accidents/incidents.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected records of ground handling operations accidents/incidents (focus: records retained as defined by applicable process).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to AHM 650 for guidance that addresses ground handling event records retention.

#### GRH 3.6.5

The Operator shall ensure a process is in place that requires dangerous goods accidents and dangerous goods incidents to be reported to the appropriate authority of the State and the state in which the accident or incident occurred, and such reports are in accordance with the reporting requirements of the appropriate authorities. **(GM)**

**Note:** *The specifications of this provision are applicable to operators that transport, and also to operators that do not transport, dangerous goods as cargo.*

### Auditor Actions

- ☐ **Identified/Assessed** process for reporting dangerous goods accidents/incidents.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** guidance used for reporting dangerous goods accidents/incidents.
- ☐ **Examined** selected dangerous goods accident/incident reporting records (focus: reporting in accordance with reporting requirements of the appropriate authorities).
- ☐ **Examined** selected dangerous goods accident/incident reports.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of State.

Guidance may be found in DGR 9.6.1 and 9.6.2.

## 3.7 Security

#### GRH 3.7.1

The Operator shall ensure procedures are in place for, as determined by risk assessment, securing an aircraft prior to and during overnight or layover parking. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedures for securing of aircraft when parked (at all stations).
- ☐ **Interviewed** manager/person(s) responsible for parking of aircraft.
- ☐ **Observed** aircraft being secured.
- ☐ **Other Actions** (Specify)

**Guidance**

Securing procedures typically ensure aircraft:

- Are searched prior to parking to ensure no persons are on board;
- Are parked only in secure areas within an airport operating area;
- Are parked under conditions that permit maximum security and protection;
- Doors or panels giving access to the aircraft are closed and locked or sealed and steps are removed while parked;
- Are sealed or locked if the aircraft is accessible from the ground or passenger loading bridge.

Aircraft search and sealing procedures are typically contained in an operator's relevant manual(s) and included in the security training curriculum.

Guidance that addresses aircraft security may be found in AHM 621.

**GRH 3.7.2**

If the Operator conducts international flights, and if required by the relevant national authority, the Operator shall ensure procedures are in place for the conduct of an aircraft security check or an aircraft security search at the originating location of an international flight to ensure no prohibited items are introduced in the aircraft prior to the departure of an international flight. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** procedures for conducting aircraft security checks or aircraft security searches for locating prohibited items (focus: dedicated security check/search control points defined in accordance with aircraft type).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Sampled** selected records of previous aircraft security checks for prohibited items.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of International Flights.

The need for a security check or a security search is typically based upon a security risk assessment accomplished by the Operator and/or the relevant national authorities.

Trained and competent security personnel, aircraft crew members or other qualified personnel typically conduct searches and checks of aircraft.

Guidance material is typically made available by the operator for aircraft preflight checks and searches under normal circumstances, higher threat situations, and emergency situations.

As a general rule, the security checks would include:

- An inspection of the exterior of the aircraft, with special attention to wheel bays and technical areas;
- A comprehensive inspection of the interior of the aircraft, including the passenger cabin area, seats, overhead luggage lockers, toilets, galleys and other technical areas such as the flight deck. The focus is on areas that are readily accessible without the use of common tools. To facilitate the search, panels that can be sealed are sealed, to show their integrity has not been compromised.

A security search is a more thorough than a security check, and typically includes an in-depth inspection of the interior and exterior of the aircraft.

To promote competent security searches, aircraft security search checklists are normally made available for each type and configuration of aircraft. Such checklists are restricted documents and personnel with a need to know are typically trained on how to obtain a copy. A security search is very specific and therefore there may be a separate checklist for each aircraft model and type in use by the operator.

When the checklist is completed, it is verified by the person responsible for conducting the inspection and is retained on file at the station where the inspection took place.



To be effective, aircraft checks and searches are typically carried out in good lighting conditions, or personnel performing such activities are provided with lighting sufficient for the purpose.

Aircraft access control is typically imposed prior to commencing a search, and the search is normally conducted with the minimum number of persons on board. Such measures would be taken to ensure devices are not introduced into the aircraft once it has been cleared. Control of access is then typically maintained until the aircraft doors are closed prior to flight departure.

### GRH 3.7.3

If the Operator conducts international passenger flights that transit an airport, the Operator shall ensure procedures are in place to ensure any items left behind by disembarking passengers from such transit flights are removed from the aircraft or otherwise addressed appropriately before the flight departure. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** procedures to remove or address items left behind by disembarking passengers on transit flights.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected records of actions performed to address passenger items left on board the aircraft on transit flight.
- ☐ **Other Actions** (Specify)

#### Guidance

Measures are typically implemented to search the cabin during the aircraft transit period to prevent disembarking passengers from leaving any article on board.

The operator may allow passengers to disembark during the transit period and then have the cabin searched.

If the operator opts to have transit passengers remain on board the aircraft during the transit stop, such passengers remaining on board are typically asked to positively identify their belongings, perhaps by placing them on their laps, while the security check or search is performed.

Any articles found are typically treated as suspect and appropriate measures are taken to remove them from the aircraft.

### GRH 3.7.4

If the Operator transports cargo, the Operator shall have processes to ensure cargo for transport on any flight is protected from unauthorized interference from the point of acceptance after screening or security controls have been applied until arrival at airport of destination. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** process(es) for protecting cargo shipments from unauthorized interference.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** cargo handling and loading operations (focus: cargo is provided protection from unauthorized interference).
- ☐ **Other Actions** (Specify)

#### Guidance

The operator is responsible for ensuring cargo is protected from unauthorized interference from the point of acceptance and after screening (or after the application of security controls) until loaded onto the aircraft for departure. Such requirements are applicable to any intermediate stop, including fuel or technical stops. The intent of this provision is that such protection is provided at all times when cargo is in the custody of personnel performing ground handling operational functions.

See the Applicability box at the beginning of this section for functions within the scope of ground handling operations.



**GRH 3.7.5**

If the carriage of weapons on board an aircraft is approved as specified in [SEC 3.3.1](#), the Operator shall have a procedure to ensure the pilot-in-command (PIC) is notified prior to the commencement of a flight. If permitted by the states involved, such notification shall include the number and seat locations of authorized armed persons on board the aircraft.

**Note:** The content of the notification to the PIC may vary as specified in [SEC 3.3.1](#).

**Auditor Actions**

- ☐ **Identified/Assessed** the procedure for notifying the PIC of the presence of armed law enforcement officers, including disclosure of seat number and location if permitted by states involved.
- ☐ **Identified/Assessed** the method(s) used to notify the PIC.
- ☐ **Examined** selected records of instances that describe PIC notification of weapons on board.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

**GRH 3.7.6**

If the Operator conducts passenger flights, the Operator shall have a process to ensure procedures are in place for the notification of the PIC, prior to the commencement of a flight, when passengers are to be transported who are obliged to travel because they have been the subject of judicial or administrative proceedings.

**Auditor Actions**

- ☐ **Identified/Assessed** process(es) to inform the PIC of the presence of passengers subjected to administrative or judicial proceedings.
- ☐ **Identified/Assessed** methods used to notify the PIC of passengers on board because they have been the subject of judicial or administrative proceedings.
- ☐ **Examined** selected records of instances that describe PIC notification of passengers on board because they have been the subject of judicial or administrative proceedings.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

**GRH 3.7.7**

If the Operator conducts international passenger flights, the Operator shall have a process to ensure hold baggage is protected from unauthorized interference from the point it is screened or accepted into the care of the Operator until departure of the international flight transporting the baggage.

**Auditor Actions**

- ☐ **Identified/Assessed** process(es) to ensure screened checked baggage is protected from unauthorized interference.
- ☐ **Observed** the protection of hold baggage from unauthorized interference until departure of the aircraft transporting the baggage.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** passenger/baggage handling operations (focus: process for protecting hold baggage from unauthorized interference after screening or acceptance by the operator, until loaded onto an aircraft prior to the departure of an international passenger flight).
- ☐ **Other Actions** (Specify)

**GRH 3.7.8**

If the Operator conducts international passenger flights, the Operator shall have a process to ensure procedures are in place to record information associated with international hold baggage that has met criteria in accordance with [SEC 3.6.1](#) and [3.6.6](#).

### Auditor Actions

- ☐ **Identified** hold baggage criteria specified in [SEC 3.6.1](#) and [3.6.6](#).
- ☐ **Identified/Assessed** process(es) for recording information associated with hold baggage that has met criteria in accordance with [SEC 3.6.1](#) and [3.6.6](#).
- ☐ **Interviewed** personnel that authorize the transport of unaccompanied hold baggage.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected unaccompanied hold baggage screening records.
- ☐ **Other Actions** (Specify)

### GRH 3.7.9

If the Operator conducts passenger flights, the Operator shall have a process to ensure secure storage areas have been established where mishandled passenger baggage may be held until forwarded, claimed or disposed of in accordance with local laws. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process(es) to provide secure storage of mishandled hold baggage.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** passenger/baggage handling operations (focus: secure areas are used for holding mishandled baggage until forwarded, claimed or disposed of).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for definitions of Mishandled Baggage, Unidentified Baggage and Unclaimed Baggage.

Mishandled baggage is usually the result of the baggage having:

- Been incorrectly tagged;
- Arrived without a tag;
- Missed a connecting flight;
- Been carried on the wrong flight.

Such baggage is held in a locked and secure storage cage or room. Access and key control is properly supervised and the baggage subjected to additional screening before being loaded into an aircraft.

Unclaimed baggage is kept for a period of time, as prescribed by the local authority, and disposed of through that authority as unclaimed property.

The process for forwarding mishandled baggage is described in IATA Resolution 743a.

### GRH 3.7.10

If the Operator conducts International passenger flights, the Operator shall have a process to ensure transfer hold baggage for such flights *either*:

- (i) Is subjected to screening prior being loaded onto the aircraft, *or*
- (ii) Has been screened at the point of origin and subsequently protected from unauthorized interference from the point of screening at the originating airport to the departing flight at the transfer airport.

### Auditor Actions

- ☐ **Identified/Assessed** the process(es) to ensure transfer hold baggage for international flights is subjected to screening prior to being loaded, where applicable.
- ☐ **Identified** the process(es) to determine that hold baggage does not need to be rescreened at a point of transfer, where applicable.
- ☐ **Interviewed** responsible manager(s).

- ❑ **Observed** passenger/baggage handling operations (focus: processes for ensuring international transfer hold baggage has been screened and protected from unauthorized interference prior to being loaded onto an aircraft).
- ❑ **Other Actions** (Specify)

## GRH 3.7.11

If the Operator conducts domestic passenger flights, the Operator *should* have a process to ensure transfer hold baggage for a domestic passenger flight *either*:

- (a) Is subjected to screening prior being loaded into an aircraft, *or*
- (b) Has been screened at the point of origin and subsequently protected from unauthorized interference from the point of screening at the originating airport to the departing aircraft at the transfer airport.

### Auditor Actions

- ❑ **Identified/Assessed** process(es) to ensure all transfer hold baggage is subjected to screening prior to being loaded, where applicable.
- ❑ **Interviewed** responsible manager(s).
- ❑ **Observed** passenger/baggage handling operations (focus: process for ensuring transfer hold baggage has been screened/protected from unauthorized interference prior to being loaded onto an aircraft for a domestic passenger flight).
- ❑ **Other Actions** (Specify)

## 4 Special Aircraft Ground Handling Operations

### 4.1 Aircraft Fueling

#### GRH 4.1.1

The Operator shall have processes to ensure fuel suppliers are maintaining standards of fuel safety and quality acceptable to the Operator and fuel delivered and loaded onto aircraft is:

- (i) Of the correct grade and specification for each aircraft type;
- (ii) Free from contamination. **(GM)**

### Auditor Actions

- ❑ **Identified/Assessed** process for monitoring of fuel quality at all locations where aircraft are refueled.
- ❑ **Interviewed** responsible manager(s) in ground handling operations.
- ❑ **Examined** selected quality control inspection reports (focus: fuel supply quality management).
- ❑ **Other Actions** (Specify)

### Guidance

The intent of this provision is to ensure fuel is stored, handled and serviced in accordance with accepted standards.

Approved fuel specifications are contained in each aircraft manual.

To ensure fuel corresponds to the specifications and grade of product necessary for the applicable aircraft type(s), a control process is typically in place at each location where the operator has aircraft fueling operations. Such process ensures the existence of periodic inspections of critical aspects of the fuel supply system at each applicable location, to include, as a minimum:

- Fuel facilities;
- Safety and quality procedures;
- Performance levels of personnel.

Processes for ensuring fuel is of the correct grade and free of contamination may be documented in maintenance, ground operations or flight operations manuals, or in a combination thereof.

If the Operator uses biofuels, additional procedures would typically address the related specific requirements (i.e. dedicated infrastructures and blending requirements).

Additional guidance may be found in the IFQP (IATA Fuel Quality Pool) Quality and Safety Procedures and in the ICAO Manual on Civil Aviation Jet Fuel Supply (Doc 9977).

### GRH 4.1.2

The Operator shall ensure, during fuelling operations with passengers embarking, on board or disembarking the aircraft, procedures are in place that provide for the designation of a person with responsibility for fueling operations and specify the method(s) by which that responsible person:

- (i) Communicates with the flight crew or other qualified personnel on board the aircraft;
- (ii) Provides notification to the flight crew or other qualified personnel on board the aircraft when a hazardous condition or situation has been determined to exist;
- (iii) Provides notification to the flight crew or other qualified personnel on board the aircraft and other appropriate personnel engaged in aircraft ground handling activities when fueling is about to begin and has been completed. **(GM)**

**Note:** Notification when fueling is about to begin and has been completed as in iii. maybe replaced by an equivalent procedural means which ensure the flight crew or other qualified personnel on board the aircraft are aware of fueling operations and are in a position to, if necessary, perform an expeditious evacuation of the aircraft.

### Auditor Actions

- ☐ **Identified/Assessed** procedures for communication between ground and onboard personnel during aircraft fuelling operations.
- ☐ **Interviewed** person(s)/manager(s) responsible for fuelling operations.
- ☐ **Interviewed** selected aircraft fuelling supervisory personnel.
- ☐ **Observed** aircraft ground handling operations (focus: establishment of method for ground-aircraft communication during aircraft fuelling operations).
- ☐ **Coordinated** with flight operations and cabin operations to verify complementary procedures for communication with ground personnel during aircraft fuelling operations.
- ☐ **Other Actions** (Specify)

### Guidance

Ground handling personnel would typically need to have a clear understanding of all required communication procedures and have the ability to execute such procedures in an expeditious manner should a dangerous situation develop.

The specification in item ii) may be satisfied by *either*:

- Equivalent procedural means, acceptable to the State and applicable authorities, that would permit the flight crew or other qualified persons to be aware of the start and completion of fuelling operations, *or*
- Procedures established by the operator that would ensure qualified personnel on board the aircraft are continuously in a position to perform an expeditious evacuation of the aircraft for any reason, including a fuel spill or fire.

Suitable methods of communication with the flight crew or other qualified personnel on board the aircraft include use of the aircraft inter-communication system, direct person-to-person contact or other methods that ensure direct and timely communication. Use of the aircraft inter-communication system to maintain continuous two-way communication during fuelling operations is not a requirement.

The following roles and main responsibilities of participating personnel typically involve the following:

- Other qualified personnel on board the aircraft remain at a specified location during fuelling operations and are capable of handling emergency procedures associated with fire protection and fire-fighting, and communicating, initiating and directing an evacuation as specified by the operator. Such personnel are qualified by the operator to assume and

perform flight crew and/or cabin crew responsibilities and duties during fuelling operations with passengers on board the aircraft.

- Flight crew or other qualified personnel on board the aircraft (e.g. cabin crew) are in a position to perform an expeditious evacuation of the aircraft and are aware of the state of fuelling operations. Such qualified personnel are responsible for two-way communication being established and maintained with personnel that are responsible for fuelling operations.
- A person is responsible for supervising fuelling operations and maintaining two-way communication with the flight crew or other qualified personnel on board the aircraft (via the aircraft interphone communication system or other suitable means). Such person ensures an appropriate notification to qualified personnel on board the aircraft when fuelling is about to begin, has been completed and when a hazardous condition or situation has been determined to exist. Such person also is responsible for communication with other appropriate personnel engaged in aircraft ground handling activities to ensure safe ramp conditions are maintained during fuelling operations with passengers on board.
- Other appropriate personnel engaged in aircraft ground handling activities are responsible for maintaining safe ramp conditions during fuelling operations, which includes, but is not limited to:
  - Embarkation or disembarkation path is not obstructed by GSE;
  - Aircraft handling operations do not create a hazard or obstruct emergency exits;
  - Ground areas beneath nominated exit doors are kept clear of any obstructions that would impede an emergency evaluation.

Criteria that identify the commencement of aircraft fuelling typically include conditions such as the fuelling vehicle being in position and bonded to the aircraft and the fuelling hose-end nozzle being connected to the aircraft fuel adapter. Criteria that identify completion of aircraft fuelling typically include conditions such as the hose-end nozzle disconnected from the aircraft fuel adapter, the hydrant pit/inlet hose is disconnected (if applicable), bonding cables are detached, the fuel receipt (slip) is processed, there are no leaks or spills identified and the fuelling vehicle is ready to leave its position (as applicable based on fuelling vehicle operator's walk-around check performed).

Additional guidance may be found in AHM 462 Item 9.5, as well as the ICAO Airport Services Manual, Document 9137 (ASM), Part 1.

## GRH 4.1.3

The Operator shall ensure procedures are in place for fuelling operations that provide for, in the event of a fuel spill, immediate and follow-up actions to assure:

- (i) Fuelling is stopped;
- (ii) Appropriate ground response personnel or airport fire service is summoned, as applicable;
- (iii) Notification of the flight crew or other qualified persons on board the aircraft. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedures associated with a fuel spill during aircraft fuelling operations.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Interviewed** selected aircraft fuelling supervisory personnel.
- ☐ **Observed** aircraft ground handling operations (focus: implementation of procedures for addressing fuel spill during aircraft fuelling operations).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to IGOM 3.2.2 for guidance that addresses fuel spillage.

## GRH 4.1.4

The Operator *should* ensure procedures are in place for fuelling operations that establish a fuelling safety zone and specify restrictions and limitations for the use of devices, conduct of activities and operation of vehicles and ground support equipment within the safety zone. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** safety procedures for aircraft fueling operations (focus: establishment of safety zone are included/addressed in fueling procedures).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Interviewed** selected aircraft fueling supervisory personnel.
- ☐ **Observed** aircraft ground handling operations (focus: implementation of procedures for establishing fueling safety zone during aircraft fueling operations).
- ☐ **Other Actions** (Specify)

## Guidance

Procedures typically specify the fueling safety zone as the area within a radius of at least three meters (ten feet), or as specified by local regulations, from filling and venting points of the aircraft, hydrant pits, fueling vehicle and its hoses in use.

Limitations and restrictions in a fueling safety zone typically preclude the use or activation of:

- Items that could be sources of ignition or fire (e.g. matches, welding equipment, flashbulbs);
- Portable electronic devices with proper separation distance from aircraft fuel vents and/or fueling equipment (e.g. mobile telephones, portable radios, pagers).

Refer to IGOM 3.2.1 for guidance that addresses fueling safety zone. Additional guidance may be found in AHM 462 Item 2.9.2 and 9.3, as well as the ICAO ASM, Part 1.

### GRH 4.1.5

The Operator shall ensure safety procedures associated with aircraft fueling operations are in place that assure, during fueling operations with passengers on board the aircraft:

- (i) The ground area beneath aircraft exit doors that have been designated for rapid deplaning or emergency evacuation is kept clear of obstructions;
- (ii) Where a boarding bridge is in use, an interior access path is maintained from the aircraft to the terminal;
- (iii) Where a passenger boarding bridge is not in use, aircraft passenger steps or an alternate means of emergency evacuation is in place. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** safety procedures for aircraft fueling operations (focus: specifications of this standard are included/addressed in fueling procedures).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Interviewed** selected aircraft fueling supervisory personnel.
- ☐ **Observed** aircraft ground handling operations (focus: implementation of safety procedures during aircraft fueling operations).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Integral Airstairs.

When deployed, integral airstairs are acceptable as an alternate means of emergency evacuation.

Refer to IGOM 3.2.3 for GSE positioning for aircraft refueling operations. Additional guidance may be found in AHM 462, as well as the ICAO ASM, Part 1.

### GRH 4.1.6

The Operator *should* ensure safety procedures associated with aircraft fuelling operations are in place that require, during fuelling operations:

- (i) Establishment of a bonding connection between the fuelling vehicle and aircraft to provide for dissipation of electrical energy that may develop;
- (ii) Prohibition from connecting or disconnecting electrical equipment to the aircraft;



- (iii) Prevention of damage to the fuel hose;
- (iv) Cessation of aircraft fuelling when it is determined lightning is a threat. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** safety procedures for aircraft fuelling operations (focus: specifications of this standard are included/addressed in fuelling procedures).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Interviewed** selected aircraft fuelling supervisory personnel.
- ☐ **Observed** aircraft ground handling operations (focus: implementation of safety procedures during aircraft fuelling operations).
- ☐ **Other Actions** (Specify)

## Guidance

Guidance may be found in AHM 462 Item 9.4.

### GRH 4.1.7

The Operator shall ensure procedures are in place for summoning the rescue and firefighting service in the event of a fire or major fuel spill. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** safety procedures for aircraft fuelling operations (focus: procedures for summoning rescue and firefighting service in the event of fire or major fuel spill).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Interviewed** selected aircraft fuelling supervisory personnel.
- ☐ **Observed** aircraft ground handling operations (focus: implementation of procedures for addressing fire/major fuel spill during aircraft fuelling operations).
- ☐ **Other Actions** (Specify)

## Guidance

A major fuel spill is defined as one that cannot be contained by the fuelling personnel that are present on site.

An awareness of procedures by personnel involved with the fuelling operation is critical should it become necessary to summon the Airport Fire Service in the event of a fuel spill or kerosene contamination.

Additional emergency procedures following a fuel spill are contained in the Sec 9.6 of the AHM 462.

## 4.2 Aircraft De-/Anti-icing

### GRH 4.2.1

If the Operator conducts flights from any airport when conditions are conducive to ground aircraft icing, the Operator shall have a De-/Anti-icing Program, which, if applicable, is approved by the Authority and, as a minimum:

- (i) Ensures adherence to the Clean Aircraft Concept;
- (ii) Defines responsibilities within the Program;
- (iii) Addresses applicable locations within the route network;
- (iv) Defines areas of responsibility;
- (v) Specifies technical and operational requirements;
- (vi) Specifies training and qualification requirements;
- (vii) Is applicable to external service providers that perform de-/anti-icing functions for the Operator. **(GM)**

**Note:** The specifications of this provision are applicable to both commercial and non-commercial operations.



## Auditor Actions

- ☐ **Identified/Assessed** approved aircraft de-/anti-icing program (focus: all applicable locations within the route network are addressed; non-commercial operations are accounted for).
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** de-/anti-icing program at selected airports (focus: de-/anti-icing program requirements and areas of responsibilities are addressed as per selected airport's local conditions).
- ☐ **Examined** reports that detail past de-/anti-icing operations at selected airports (focus: de-/anti-icing operations performed by external service providers are continuously reported to the operator).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of De-/Anti-icing Program and Clean Aircraft Concept.

A de-/anti-icing program would address not only commercial operations at an applicable airport but, if applicable, non-commercial operations as well (e.g. positioning flights, test flights, training flights).

The scope and details of a de-/anti-icing program would typically be commensurate with the frequency and complexity of operations at airports with the potential for ground icing conditions.

Additional guidance may be found in ICAO Doc 9640-AN/940, Manual of Aircraft Ground De-icing/Anti-icing Operations, Part 1, Chapter 3, in SAE AS6285, Aircraft Ground Deicing/Anti-Icing Processes and in SAE AS6286 Aircraft Ground Deicing/Anti-Icing Training and Qualification Program. The latter two are used as the basis for inspections conducted under the IATA De-Icing/Anti-Icing Quality Control Pool (DAQCP).

### GRH 4.2.2

If the Operator has a De-/Anti-icing Program, the Operator shall ensure policies and procedures are in place that result in:

- (i) Standardized methods of fluid application;
- (ii) Compliance with specific aircraft limitations;
- (iii) A clean aircraft through proper treatment of applicable surfaces. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** policies and procedures for aircraft de-/anti-icing.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** checklist(s) used for de-/anti-icing operations.
- ☐ **Interviewed** personnel that perform operational functions in aircraft de-/anti-icing operations.
- ☐ **Examined** selected quality control inspection reports (focus: aircraft de-/anti-icing operations).
- ☐ **Interviewed** supervisory personnel for aircraft de-/anti icing operations.
- ☐ **Other Actions** (Specify)

## Guidance

To ensure desired results, an operator's de-/anti-icing program would typically include policies and procedures that:

- Define equipment for and methods of applying de-icing and anti-icing fluid to produce an aircraft free of contamination (clean aircraft);
- Specify a sequence for fluid application to the applicable aircraft surfaces and define specific methods and techniques for applying fluid to each individual surface;
- Provide limitations that are to be observed to successfully complete the process, including correct fluid mixtures, fluid temperatures and nozzle pressure.

Additional guidance may be found in ICAO Doc 9640-AN/940, Manual of Aircraft Ground De-icing/Anti-icing Operations, Part 3, Chapter 8, and in SAE AS6285, Aircraft Ground Deicing/Anti-Icing Processes.

**GRH 4.2.3**

If the Operator has a de-/anti-icing program, the Operator *should* have a process to ensure the availability and use of adequate facilities and equipment for aircraft de-/anti-icing operations at applicable locations.

**Auditor Actions**

- ☐ **Identified/Assessed** requirements for facilities and equipment in de-/anti-icing program.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** records/documents that specify facilities/equipment at selected airports identified as having potential for ground icing conditions (focus: facilities/equipment in accordance with de-/anti-icing program standards).
- ☐ **Interviewed** supervisory personnel for aircraft de-/anti icing operations.
- ☐ **Other Actions** (Specify)

**GRH 4.2.4**

If the Operator has a de-/anti-icing program, the Operator shall ensure fluids used in de-icing and anti-icing operations are:

- (i) Stored, handled and applied in accordance with criteria established by the Operator, fluid manufacturer and aircraft manufacturer;
- (ii) Manufactured in accordance with SAE specifications. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** process for management/monitoring of de-/anti-icing fluid quality at applicable locations.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** records/documents that detail quality management of de-/anti-icing fluids at selected locations.
- ☐ **Examined** selected records/reports resulting from monitoring and supervision of aircraft de-/anti-icing operations (focus: aircraft de-/anti-icing fluid usage in accordance with established criteria; fluid conformity to SAE specifications is under supervision and quality control/monitoring program).
- ☐ **Interviewed** supervisory personnel for aircraft de-/anti icing operations.
- ☐ **Other Actions** (Specify)

**Guidance**

To be effective, an operator's de-/anti-icing program would typically include policies and procedures that ensure the following:

- Fluids used in the de-/anti-icing process are manufactured in accordance with the relevant SAE specifications and meet use criteria established by the operator, fluid manufacturer and aircraft manufacturer;
- The appropriate types of fluids (Types I, II, III or IV) are used in the proper manner for conditions under which de-icing and anti-icing operations are being conducted, each diluted as required to achieve desired results;
- Fluids are handled in accordance with recommendations of the fluid manufacturer and effectiveness is not degraded due to contamination.

Additional guidance may be found in ICAO Doc 9640-AN/940, Manual of Aircraft Ground De-icing/Anti-icing Operations, Chapter 11.

### GRH 4.2.5

If the Operator has a De-/Anti-icing Program, the Operator shall ensure procedures are in place for ground handling personnel to communicate with the flight crew to assure:

- (i) The aircraft is properly configured prior to beginning the de-/anti-icing process;
- (ii) The flight crew receives all necessary information relevant to fluid(s) applied to the aircraft surfaces;
- (iii) The flight crew receives confirmation of a clean aircraft;
- (iv) The flight crew receives an “all clear” signal at the completion of the de-/anti-icing process and prior to aircraft movement. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** procedures for communication between ground personnel and flight crew during aircraft de-/anti-icing operations.
- ☐ **Interviewed** responsible manager(s) in ground handling operations.
- ☐ **Examined** selected records/reports resulting from supervision of aircraft de-/anti-icing operations (focus: ground-aircraft communication procedures).
- ☐ **Examined** selected records/reports of quality control inspection (focus: ground aircraft communication procedures).
- ☐ **Interviewed** supervisory personnel for aircraft de-/anti icing operations.
- ☐ **Other Actions** (Specify)

#### Guidance

To ensure effective communications during de-/anti-icing operations, an operator's de-/anti-icing program would typically include policies and procedures that ensure the following:

- All necessary communications between ground handling personnel and the flight crew prior to and after completion of the de-/anti-icing process are defined;
- Ground handling personnel provide the flight crew with final information that verifies the aircraft is in compliance with the Clean Aircraft Concept.

Additional guidance may be found in ICAO Doc 9640-AN/940, Manual of Aircraft Ground De-icing/Anti-icing Operations, Chapter 10.

**Table 6.1—Passenger Services, Ramp Services, Load Control Training Elements**

As specified in [GRH 2.2.4](#), the Operator *should* have processes to ensure training for ground handling personnel assigned to perform passenger services, ramp services and load control includes the following training elements:

**(I) Passenger Services:**

- (a) Aviation Basics;
- (b) Arrivals/Departures;
- (c) Baggage Services;
- (d) Check-in;
- (e) Passenger Assistance and PRM (passengers with reduced mobility);
- (f) Post-Flight Requirements;
- (g) Special Category Passengers;
- (h) Transfer of Load Information;
- (i) Transfer, Transit and Connection;
- (j) Boarding Bridge Operations;
- (k) Aircraft Cabin Access Doors.

**(II) Ramp Services:**

- (a) Basic Ramp;
- (b) Airside Driving;
- (c) Basic Hand Signals;
- (d) Aircraft Marshalling;
- (e) Boarding Bridge Operations;
- (f) Aircraft Cargo Access Doors;
- (g) Aircraft Cabin Access Doors;
- (h) Aircraft Loading;
- (i) Aircraft Arrival;
- (j) Aircraft Departure;
- (k) Aircraft Pushback;
- (l) Aircraft Towing;
- (m) GSE Operations;
- (n) Ground-to-Flight Deck Headset Communication and Engine Start;
- (o) Ramp Baggage Handling;
- (p) Aircraft Loading Supervision;
- (q) Airside Safety Supervision.

**(III) Load Control:**

- (a) Aviation Basics;
- (b) Aircraft Weight & Balance Principles;
- (c) Load Planning and Load Sheet;
- (d) Documentation and Messaging.

## Section 7 — Cargo Operations (CGO)

### Applicability

[Section 7](#) addresses functions within the scope of cargo operations and is applicable to an operator that transports revenue and/or non-revenue cargo. COMAT (Company Material) is non-revenue cargo.

In this section, non-revenue cargo is addressed in the same way as revenue cargo for the purposes of acceptance, handling, and securing.

For the purpose of addressing cargo in this section, mail is considered to be an item of cargo. Therefore, any reference to cargo also includes mail.

Individual CGO provisions or sub-specifications within a CGO provision that:

- Do not begin with a conditional phrase are applicable unless determined otherwise by the Auditor.
- Begin with a conditional phrase (“If the Operator...” ) are applicable if the Operator meets the condition(s) stated in the phrase.

Functions within the scope of cargo operations include:

- Cargo acceptance;
- Cargo handling;
- ULD handling (e.g., ULD serviceability check, build-up/break-down, ground transport, transfer, and storage);
- Application of required security measures.

Certain operators, particularly all-cargo operators, might have ground handling operations functions performed by cargo operations personnel (e.g. aircraft loading, airside operations, load control). Where this situation exists, the operator must be in conformity with the ISARPs contained in [Section 6](#), Ground Handling Operations (GRH), that are applicable to the ground handling operations functions performed by cargo operations personnel.

Where an operator outsources the performance of cargo operations functions to external service providers, the operator retains overall responsibility for ensuring the management of safety in the conduct of such operations and must demonstrate processes for monitoring applicable external service providers in accordance with [CGO 1.10.2](#).

### General Guidance

Definitions of technical terms used in this ISM [Section 7](#), as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

## 1 Management and Control

### 1.1 Management System Overview

#### CGO 1.1.1

If the Operator transports cargo, the Operator shall have a management system that ensures control of cargo operations and the management of safety and security outcomes. **(GM)** ◀

#### Auditor Actions

- ☐ **Identified/Assessed** management system structure for cargo operations.
- ☐ **Interviewed** manager of CGO operations.
- ☐ **Assessed** status of conformity with all other CGO management system ISARPs.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Cargo, Operations, Operator and State. The definition of Cargo includes definitions for revenue cargo and non-revenue cargo.

Refer to Guidance associated with [ORG 1.1.1](#) located in ISM Section 1.



## CGO 1.1.2

If the Operator transports cargo, the Operator shall have a manager for cargo operations that:

- (i) Has the authority and responsibility for the management and supervision of functions and activities within the scope of cargo operations;
- (ii) Is responsible for the management of safety and security risks to cargo operations. ◀

### Auditor Actions

- ☐ **Identified** manager for cargo operations.
- ☐ **Examined** job description of manager for cargo operations (focus: defines authority/accountability/responsibility for risk management/compliance with AOC requirements).
- ☐ **Interviewed** manager of cargo operations.
- ☐ **Interviewed** other managers in cargo operations.
- ☐ **Other Actions** (Specify)

## 1.2 Accountability, Authorities and Responsibilities



### CGO 1.2.1

If the Operator transports cargo, the Operator shall ensure the management system defines the safety accountability, authorities and responsibilities of management and non-management personnel that perform functions relevant to the safety and/or security of cargo operations. The management system shall also specify:

- (i) The levels of management with the authority to make decisions regarding risk tolerability with respect to the safety and/or security of cargo operations;
- (ii) Responsibilities for ensuring cargo operations are conducted in accordance with applicable regulations and standards of the Operator;
- (iii) Lines of accountability throughout cargo operations, including direct accountability for safety and/or security on the part of cargo operations senior management. **[SMS] (GM)** ◀

### Auditor Actions

- ☐ **Identified/Assessed** defined safety accountability/authorities/responsibilities (focus: applicable to management/non-management personnel throughout the cargo operations organization).
- ☐ **Interviewed** cargo operations manager and/or designated management representative(s).
- ☐ **Examined** job descriptions of selected management/non-management personnel in cargo operations.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 1.3.1](#) located in ISM Section 1 for expanded information regarding accountability, authority and responsibility as applicable to management and non-management personnel.

### CGO 1.2.2

If the Operator transports cargo, the Operator shall have a process or procedure for the delegation of duties within the management system for cargo operations that ensures managerial continuity is maintained when operational managers including, if applicable, post holders are unable to carry out work duties. **(GM)** ◀

### Auditor Actions

- ☐ **Identified/Assessed** processes for delegation of duties when cargo operational managers (or, if applicable, post holder) are absent (focus: processes maintain managerial continuity during periods when operational managers are absent).
- ☐ **Interviewed** cargo operations manager and/or designated management representative(s).

- ❑ **Examined** example(s) of delegation of duties due to absence of operational manager(s).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Post Holder.

The intent of this provision is for an operator to have a process or procedure that ensures a specific person (or perhaps more than one person) is identified to assume the duties of any operational manager that is or is expected to be, for any reason, unable to accomplish assigned work duties.

For the purpose of this provision, the use of telecommuting technology and/or being on call and continually contactable are acceptable means for operational managers to remain available and capable of carrying out assigned work duties.

Refer to Guidance associated with [ORG 1.3.2](#) located in ISM Section 1, which addresses the performance of work duties and the use of telecommuting technology and/or being on call and continually contactable.

## 1.3 Communication

### CGO 1.3.1

If the Operator transports cargo, the Operator shall have a system that enables effective communication of relevant safety and operational information throughout the cargo operations management system and in all areas where cargo operations are conducted. Such system shall ensure:

- (i) Personnel maintain an awareness of the SMS;
- (ii) Safety-critical information is conveyed;
- (iii) If applicable, external service providers are provided with information relevant to operations conducted **[SMS] (GM) ◀**

## Auditor Actions

- ❑ **Identified/Assessed** system(s) for communicating information relevant to operations within the cargo operations organization (focus: capability for communicating information relevant to operations within the cargo operations organization).
- ❑ **Interviewed** cargo operations manager and/or designated management representative(s).
- ❑ **Examined** examples of information communication/transfer in cargo operations.
- ❑ **Interviewed** selected non-management operational personnel in cargo operations.
- ❑ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 4.2.1](#) located in ISM Section 1, for expanded information regarding methods of communication.

## 1.4 Provision of Resources

### CGO 1.4.1

If the Operator transports cargo, the Operator shall ensure the existence of the necessary facilities, workspace, equipment and supporting services, as well as work environment, to satisfy cargo operations safety and security requirements. **(GM) ◀**

**Note:** *Conformity with this provision does not require specifications to be documented by the Operator.*

## Auditor Actions

- ❑ **Observed/Assessed** physical resources and services (focus: adequacy to meet needs of cargo operations).
- ❑ **Identified/Assessed** processes for oversight of external cargo service providers (focus: evaluation of facilities/workspace/equipment/supporting services).



- ☐ **Interviewed** cargo operations manager and/or designated management representative(s).
- ☐ **Other Actions** (Specify)

## Guidance

The Operator would typically have a monitoring and control process to ensure each external cargo operations service provider meets the specifications of this provision.

Refer to Guidance associated with [ORG 1.5.2](#) located in ISM Section 1.

Implementation (i.e. adequacy of physical resources and work environment) is typically assessed through observations made by the auditor during the course of the on-site audit.

## CGO 1.4.2

If the Operator transports cargo, the Operator shall have a selection process for management and non-management positions within the cargo organization that require the performance of functions relevant to the safety or security of aircraft operations. Such process shall ensure candidates are selected on the basis of knowledge, skills, training and experience appropriate for the position. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** standards and processes for selection of cargo operations personnel in functions relevant to safety and security of aircraft operations.
- ☐ **Interviewed** cargo operations manager and/or designated management representative(s).
- ☐ **Interviewed** personnel that perform cargo operations functions relevant to the safety or security of aircraft operations.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 1.5.3](#) located in ISM Section 1.

A corporate personnel selection policy that applies to all operational areas of the organization serves to satisfy this requirement.

To ensure the inclusion of all cargo operations, an operator would typically have a process that ensures specifications in this provision are applied to external cargo operations service providers.

## 1.5 Documentation System

**CGO 1.5.1** (Intentionally open)

**CGO 1.5.2** (Intentionally open)

## CGO 1.5.3

If the Operator transports revenue cargo, the Operator shall have a system for the management and control of documentation and/or data used directly in the conduct or support of cargo operations. Such system shall ensure documentation:

- (i) Meets all required elements specified in [Table 1.1](#);
- (ii) Contains legible and accurate information;
- (iii) Is presented in a format appropriate for use in operations. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** system(s) for management/control of content/format of operational documentation/data used in cargo operations.
- ☐ **Interviewed** responsible management representative(s).

- ☐ **Examined** selected parts of the cargo OM (focus: legibility/accuracy/format; approval as applicable).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Documentation, Electronic Documentation and Paper Documentation. Refer to [ORG 2.5.1](#) and associated Guidance, and [Table 1.1](#), located in ISM Section 1.

## 1.6 Operational Manuals



### CGO 1.6.1

If the Operator transports cargo, the Operator shall have an Operations Manual (OM), which may be issued in separate parts, that contains the operational policies, processes, procedures and other information necessary to ensure compliance with applicable regulations, laws, rules and standards of the Operator. The content of the OM shall contain standards and guidance that address the acceptance, handling, and securing of cargo as specified in [Table 7.1](#). **(GM)**

## Auditor Actions



- ☐ **Identified/Assessed** cargo OM or, if applicable, separate documents that comprise the OM.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Identified** standards and guidance in the OM that address acceptance, handling, and securing of cargo as per [Table 7.1](#).
- ☐ **Other Actions** (Specify)

## Guidance



Refer to the IRM for the definition of High-risk Cargo and Operations Manual (OM).

This provision is also applicable to an operator that transports non-revenue cargo. COMAT is non-revenue cargo.

An OM may include guidance that addresses areas generic to all functions within the scope of cargo operations; other parts of the manual may be specific to individual operational functions.

Because the scope of cargo operations is broad and varies by operator, rather than publishing a separate OM dedicated to cargo operations (e.g. a Cargo Operations Manual), an operator might choose to publish all guidance for cargo operations in a section of an OM that addresses other types of operations (e.g. maintenance management manual for an operator that transports only COMAT).

An operator could also choose to issue the information in separate documents that are each specific to the various cargo operations functions (e.g. safety and security, acceptance, physical handling, documentation, identification, storage and stowage, preparation for flight). Each individual document would typically contain generic guidance that is applicable to all cargo operations functions (e.g. organizational policies, general definitions), as well as guidance that is specific to the particular function or office location (e.g. process descriptions, standard operating procedures, references to the appropriate regulations and IATA manuals).

If an operator has external organizations conduct cargo operations functions, such an operator would then be expected to have a monitoring and control process to ensure each external organization either uses the OM of the operator or has its own published operations manual that fulfills operational safety, security and quality requirements of the operator.

### CGO 1.6.2

If the Operator transports dangerous goods as cargo, the Operator shall ensure a copy of the current edition of the Dangerous Goods Regulations (DGR) or the ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air (Technical Instructions), including addenda as appropriate, is available at each location where cargo operations are conducted and dangerous goods are accepted. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** process for ensuring distribution of DGR or appropriate DG documents to all locations where there is DG acceptance and/or handling.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: availability/accessibility of DGR or Technical Instructions where dangerous goods cargo is accepted or handled).
- ☐ **Other Actions** (Specify)

## Guidance

△ Refer to the IRM for the definitions of Airport Handling Manual (AHM), Dangerous Goods Regulations (DGR), IATA Cargo Handling Manual (ICHM), Live Animals Regulations (LAR), Perishable Cargo Regulations (PCR), Temperature Control Regulations (TCR), Unit Load Device Regulations (ULDR) and Unit Load Device (ULD).

⊗ A monitoring process is typically in place to ensure each external cargo operations service provider has a copy of the DGR or ICAO Technical Instructions available as specified.

△ Other relevant manuals, to include the AHM, ICHM, LAR, PCR, TCR, and ULDR, may also be available.

The DGR is based on the ICAO Technical Instructions and is designed for ease of use in operations. However, in some jurisdictions it may be a requirement to have the ICAO Technical Instructions available in accordance with local regulations.

△ When required, DGR addenda are issued to notify users of any amendments or corrections to any edition of the DGR. It may include any corrigenda issued by ICAO to the current edition of the Technical Instructions.

### CGO 1.6.3

If the Operator transports cargo, but does *not* transport dangerous goods, the Operator shall ensure the OM contains the policies and associated guidance necessary to prevent dangerous goods from being inadvertently accepted for transport and loaded onto the aircraft. **(GM)**

## Auditor Actions

- △ ☐ **Identified/Assessed** information in the cargo OM or equivalent manual necessary to ensure personnel do not inadvertently permit acceptance or transport of dangerous goods as cargo.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Interviewed** personnel that perform operational functions in cargo operations.
- ☐ **Other Actions** (Specify)

## Guidance

For a dangerous goods “no-carry” operator, guidance in the OM typically addresses vigilance with respect to hidden or inconspicuous dangerous goods and includes an indicative list of items that could contain dangerous goods.

### △ CGO 1.6.4

If the Operator transports cargo using Unit Load Devices (ULDs), the Operator *should* ensure a copy of the current edition of ULD Regulations (ULDR), or the OM containing equivalent ULD related content, is available or accessible at each location where cargo operations are conducted and ULDs are handled. **(GM)**

## Auditor Actions

- △ ☐ **Identified/Assessed** process for ensuring distribution of ULDR or OM containing equivalent ULD-related content to all locations where cargo operations are conducted and ULDs are handled.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Traced** distribution of ULDR or appropriate OM with equivalent content.

- △ ☐ **Observed** cargo handling operations (focus: availability/accessibility of ULDR or OM with equivalent content where cargo operations are conducted and ULDs are handled).
- △ ☐ **Other Actions** (Specify)

## Guidance

△ Refer to the IRM for the definition of Weight and Balance Manual.

△ ULDs are required to meet airworthiness requirements in compliance with the Weight and Balance Manual when loaded onto an aircraft. Adhering to the ULDR is one means (but not the only means) that ULD operations may be carried out in compliance with the requirements of the Weight and Balance Manual.

## 1.7 Records System

### CGO 1.7.1

If the Operator transports cargo, the Operator shall have a system for the management and control of operational records to ensure the content and retention of such records is in accordance with requirements of the Authority, as applicable, and to ensure operational records are subjected to standardized processes for:

- (i) Identification;
- (ii) Legibility;
- (iii) Maintenance;
- (iv) Retrieval;
- (v) Protection, integrity and security;
- (vi) Disposal, deletion (electronic records) and archiving. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** management and control system for operational records in cargo operations (focus: system includes standardized processes as specified in standard).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** examples of operational records in cargo operations.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 2.6.1](#) located in ISM Section 1.

### CGO 1.7.2

If the Operator transports cargo and uses an electronic system for the management and control of cargo operations records, the Operator shall ensure the system provides for a scheduled generation of backup record files. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** management and control system for operational records in cargo operations (focus: system defines schedule for periodic file backup).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** record(s) of backup files for electronic records.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 2.6.2](#) located in ISM Section 1.

## 1.8 (Intentionally open)

## 1.9 Quality Assurance Program

### CGO 1.9.1

If the Operator transports cargo, the Operator shall have a quality assurance program that provides for the auditing and evaluation of the management system and operational functions within the scope of cargo operations at planned intervals to ensure the Operator is:

- (i) Complying with applicable regulations and standards;
- (ii) Satisfying stated operational needs;
- (iii) Identifying areas requiring improvement;
- (iv) Identifying hazards to operations;
- (v) Assessing the effectiveness of safety risk controls. **[SMS] (GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** role/organization/structure of quality assurance program in cargo operations (focus: role/purpose within organization/SMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management/operational areas).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Interviewed** selected operational managers (focus: interface with quality assurance program).
- ☐ **Examined** selected cargo operations audit reports (focus: audit scope/process/organizational interface).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Quality Assurance (QA).

Refer to Guidance associated with [ORG 2.1.1](#) located in ISM Section 1.

A corporate quality assurance program that is applied to all areas of the company associated with the conduct of revenue and/or non-revenue cargo operations will also satisfy this requirement.

### CGO 1.9.2

If the Operator transports cargo, the Operator shall have a process for addressing findings resulting from audits conducted under the quality assurance program, which ensures:

- (i) Identification of root cause(s);
- (ii) Development of corrective action, as appropriate to address findings;
- (iii) Implementation of corrective action in appropriate areas of cargo operations;
- (iv) Evaluation of corrective action to determine effectiveness. **(GM) ◀**

#### Auditor Actions

- ☐ **Identified/Assessed** process for addressing quality assurance audit findings in cargo operations.
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected audit reports/records (focus: identification of root cause, development/implementation of corrective action, follow-up to evaluate effectiveness).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to Guidance associated with [ORG 2.1.7](#) located in ISM Section 1.

## CGO 1.9.3

If the Operator transports cargo, the Operator shall have a process to ensure significant issues arising from cargo operations quality assurance and risk management are subject to management review in accordance with [ORG 4.1.1](#). **[SMS] (GM)** ◀

### Auditor Actions

- ❑ **Identified/Assessed** process for management review of cargo operations quality assurance issues (focus: continual improvement of quality assurance program).
- ❑ **Interviewed** responsible quality assurance program manager.
- ❑ **Examined** selected records/documents of management review of cargo operations quality assurance program issues (focus: specific issues/changes identified and implemented to improve quality assurance program).
- ❑ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 4.1.1](#) and [4.1.2](#) located in ISM Section 1.

## CGO 1.9.4

If the Operator transports cargo, the Operator shall have an audit planning process and sufficient resources to ensure audits of cargo operations are:

- (i) Scheduled at intervals to meet regulatory and management system requirements;
- (ii) Conducted within the scheduled interval. **(GM)** ◀

### Auditor Actions

- ❑ **Identified/Assessed** planning process for quality assurance auditing of cargo operations (focus: audits planned/scheduled/conducted in accordance with applicable internal/external requirements).
- ❑ **Identified/Assessed** audit resources (focus: availability of sufficient auditors/other resources to accomplish audit plan).
- ❑ **Interviewed** quality assurance program manager.
- ❑ **Crosschecked** audit plan with selected audit reports, to verify adherence to plan (focus: audits conducted in accordance with audit plan).
- ❑ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 2.1.5](#) located in ISM Section 1.

## 1.10 Quality Control of Outsourced Operations and Products



### CGO 1.10.1A

If the Operator has external service providers conduct outsourced cargo operations functions, the Operator shall ensure a service provider selection process is in place that ensures:

- (i) Safety-relevant selection criteria are established;
- (ii) Service providers are evaluated against these criteria prior to selection. **(GM)** ◀

### Auditor Actions

- ❑ **Identified/Assessed** selection process for external service providers.
- ❑ **Interviewed** responsible manager in cargo operations.
- ❑ **Examined** selected records/documents that demonstrate application of the selection process.
- ❑ **Coordinated** to verify implementation of selection process in all operational areas.
- ❑ **Other Actions** (Specify)



## Guidance

The intent of this provision is for an operator to define relevant safety and security criteria for use in the evaluation and potential selection of cargo operations service providers. This is the first step in the management of external service providers and would take place prior to the operator signing an agreement with a provider. The process needs to be applied only once leading up to the selection of an individual service provider.

Refer to the guidance associated with [ORG 1.6.1](#).

### CGO 1.10.1B

If the Operator transports cargo, and has external service providers conduct outsourced cargo operations functions, the Operator shall have processes to ensure a contract or agreement is executed with such external service providers. Contracts or agreements shall identify the application of specific documented requirements that can be monitored by the Operator to ensure cargo requirements that affect the safety and/or security of aircraft operations are being fulfilled by the service provider. **(GM)** ◀

## Auditor Actions

- ❑ **Identified/Assessed** processes for contract/agreement execution with external service providers that conduct outsourced cargo operations functions.
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Examined** selected cargo operations outsourcing contracts/agreements (focus: inclusion of or reference to specific requirements applicable to external service providers).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Operational Function (Aircraft Operations) and Outsourcing.

Refer to the Applicability box at the beginning of this section for the functions within the scope of cargo operations.

The requirement for a cargo handling contract or agreement applies to *all* operational functions within the scope of cargo operations that are outsourced.

The AHM contains detailed guidance and examples of a standard ground handling agreement and a service level agreement, both of which may be used in whole or in part to cover cargo operations.

Refer to the guidance associated with [ORG 1.6.2](#) located in ISM Section 1.

### CGO 1.10.2

If the Operator transports cargo, and has external service providers conduct outsourced cargo operations functions, the Operator shall have a process to monitor such external service providers to ensure cargo requirements that affect the safety and security of aircraft operations are being fulfilled. **(GM)** ◀

**Note:** *IOSA or ISAGO registration as the only means to monitor is acceptable provided the Operator obtains the latest of the applicable audit report(s) through official program channels and considers the content of such report(s).*

## Auditor Actions

- ❑ **Identified/Assessed** processes used for monitoring external cargo operations service providers (focus: monitoring process ensures provider fulfills applicable safety/security requirements).
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Examined** selected records/reports resulting from monitoring of cargo operations service providers (focus: monitoring process ensures provider fulfills applicable safety/security requirements).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 2.2.1](#) located in ISM Section 1.



## CGO 1.10.3

If the Operator transports cargo, and has external service providers conduct outsourced cargo operations functions, the Operator *should* include auditing as a process for the monitoring of external service providers in accordance with [CGO 1.10.2](#). **(GM)** ◀

### Auditor Actions

- ❑ **Identified/Assessed** auditing processes used for monitoring external cargo operations service providers.
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Examined** selected reports of audits performed on external cargo operations handling service providers.
- ❑ **Other Actions** (Specify)

### Guidance

Refer to Guidance associated with [ORG 2.2.2](#) located in ISM Section 1.

## 1.11 Safety Management

### Risk Management

## CGO 1.11.1

If the Operator transports cargo, the Operator shall have a hazard identification program implemented in the cargo operations organization that includes a combination of reactive and proactive methods of hazard identification. **[SMS] (GM)** ◀

### Auditor Actions

- ❑ **Identified/Assessed** safety hazard identification program in cargo operations (focus: program identifies hazards to aircraft operations; describes/defines method(s) of safety data collection/analysis).
- ❑ **Identified/Assessed** role of cargo operations in cross-discipline safety hazard identification program (focus: participation with other operational disciplines).
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Interviewed** person(s) that perform cargo operations data collection/analysis to identify hazards to aircraft operations.
- ❑ **Examined** selected examples of hazards identified through cargo operations data collection/analysis.
- ❑ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Hazard (Aircraft Operations) and Safety Risk.

Hazard identification is an element of the Safety Risk Management component of the SMS framework.

Refer to Guidance associated with [ORG 3.1.1](#) located in ISM Section 1.

## CGO 1.11.2

If the Operator transports cargo, the Operator shall have a safety risk assessment and mitigation program implemented in the cargo operations organization that specifies processes to ensure:

- (i) Hazards are analyzed to determine the corresponding safety risks to aircraft operations;
  - (ii) Safety risks are assessed to determine the requirement for risk mitigation action(s);
  - (iii) When required, risk mitigation actions are developed and implemented in cargo operations.
- [SMS] (GM)** ◀



## Auditor Actions

- ☐ **Identified/Assessed** safety risk assessment and mitigation program in cargo operations (focus: hazards analyzed to identify/define risk; risk assessed to determine appropriate action; action implemented/monitored to mitigate risk).
- ☐ **Identified/Assessed** role of cargo operations in cross-discipline safety risk assessment/mitigation program (focus: participation with other operational disciplines).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Interviewed** person(s) that perform cargo operations risk assessment/mitigation.
- ☐ **Examined** selected records/documents that illustrate risk assessment/mitigation action.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Risk Register, Safety Risk, Safety Risk Assessment (SRA), Safety Risk Management and Safety Risk Mitigation.

Risk assessment and mitigation is an element of the Safety Risk Management component of the SMS framework.

The potential for hazards is typically associated with the following aspects of cargo operations:

- Acceptance and handling of dangerous goods including lithium batteries and other special cargo shipments;
- Application of security controls;
- Protection from acts of unlawful interference;
- Acceptance and handling of special loads such as oversized/outsized, overhanging and heavy cargo;
- ULD handling (e.g., ULD serviceability check, build-up/break-down, ground transport, transfer, and storage);
- Operation and serviceability of cargo handling equipment;
- Adequacy of facilities.

Refer to Guidance associated with [ORG 3.2.1](#) located in ISM Section 1.

## Operational Reporting

### CGO 1.11.3

If the Operator transports cargo, the Operator shall have an operational safety reporting system in the cargo operations organization that:

- (i) Encourages and facilitates cargo operations personnel to submit reports that identify safety hazards, expose safety deficiencies and raise safety concerns;
- (ii) Includes analysis and cargo operations management action to address operational deficiencies, hazards, incidents and concerns identified through the reporting system.

**[SMS] (GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** documented operational safety reporting system in cargo operations (focus: system urges/facilitates reporting of hazards/safety concerns; includes analysis/action to validate/address reported hazards/safety concerns).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Interviewed** person(s) that perform operational safety report review/analysis/follow-up in cargo operations.
- ☐ **Interviewed** personnel that perform operational functions in cargo operations.
- ☐ **Examined** data that confirm an effective cargo operations safety reporting system (focus: quantity of reports submitted/hazards identified).

- ❑ **Examined** records of selected cargo operations safety reports (focus: analysis/follow-up to identify and address reported hazards/safety concerns).
- ❑ **Other Actions** (Specify)

## Guidance

Safety reporting is a key aspect of SMS hazard identification and risk management.

Refer to Guidance associated with [ORG 3.1.2](#) located in ISM Section 1.

### CGO 1.11.4

If the Operator transports cargo, the Operator *should* have a confidential safety reporting system implemented within the cargo operations organization in a manner that encourages and facilitates the reporting of events, hazards and/or concerns resulting from or associated with human performance in operations. **(GM)** ◀

## Auditor Actions

- ❑ **Identified/Assessed** documented confidential safety reporting system in cargo operations (focus: system urges/facilitates reporting of events/hazards/safety concerns caused by humans; report/reporters are de-identified; includes analysis/action to validate/address reported hazards/safety concerns).
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Examined** records of selected cargo operations confidential safety reports (focus: report/reporter de-identification; analysis/follow-up to identify/address reported hazards/safety concerns).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to Guidance associated with [ORG 3.1.3](#) located in ISM Section 1.

### Safety Performance Monitoring and Management

### CGO 1.11.5

If the Operator transports cargo, the Operator shall have processes in the cargo operations organization for setting safety performance indicators (SPIs) and, as applicable, safety performance targets (SPTs) as means to monitor the achievement of its safety objectives and to validate the effectiveness of risk controls. **[SMS] (GM)** ◀

## Auditor Actions

- ❑ **Identified/Assessed** program for setting SPIs and SPTs in cargo operations (focus: program defines the development and implementation of SPIs that are aligned with safety objectives).
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Examined** selected SPIs (focus: SPIs and SPTs are being used to monitor operational performance toward effectiveness of risk controls and achievement of safety objectives).
- ❑ **Examined** records/documents that identify tracking of cargo operations SPIs and SPTs (focus: tracking used to assess/monitor operational safety performance, assess/validate risk control effectiveness).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Safety Assurance, Safety Objective, Safety Performance Indicator (SPI) and Safety Performance Target (SPT).

Setting SPIs that are consistent with safety objectives is an element of the Safety Assurance component of the SMS framework.

SPIs are used by an operator to track and compare its operational performance against the achievement of its safety objectives and to focus attention on the performance of the organization in managing operational risks and maintaining compliance with relevant regulatory requirements.

SPTs define short-term and medium-term safety performance management desired achievements. They act as 'milestones' that provide confidence that the organization is on track to achieving its safety objectives and provide a measurable way of verifying the effectiveness of safety performance management activities. The setting of SPTs is normally accomplished after considering what is realistically achievable and, where historical trend data are available, the recent performance of the particular SPI.

It is not always necessary or appropriate to set or define SPTs as there could be some SPIs that are better monitored for trends rather than against a targeted number. Safety reporting is an example of when having a target could either discourage people not to report (if the target is not to exceed a number) or to report trivial matters to meet a target (if the target is to reach a certain number).

Refer to Guidance associated with [ORG 1.4.1](#) (safety objectives) and [ORG 1.4.2](#) (SPIs and SPTs) located in ISM Section 1.

## 2 Training and Qualification

### 2.1 Training Program

#### CGO 2.1.1

If the Operator transports cargo, the Operator shall have a process to ensure personnel that perform operational duties in functions within the scope of cargo operations for the Operator, to include personnel of external service providers, complete:

- (i) Initial training prior to being assigned to perform such operational duties;
- (ii) Recurrent training on a frequency in accordance with requirements of the regulatory authority but not less than once during every 36 month period, except for recurrent training in dangerous goods and ULD as specified in [CGO 2.2.1](#), [CGO 2.2.2](#), [CGO 2.2.3](#), or [CGO 2.2.4](#). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** processes for ensuring completion of training by cargo operations personnel (focus: includes personnel in all cargo operations functions; includes external service providers).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected initial/recurrent course curricula/syllabi (focus: initial and recurrent training programs address all cargo operations functions).
- ☐ **Examined** initial/recurrent training records of selected personnel (focus: completion of initial and recurrent training).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the Applicability box at the beginning of this section for the functions within the scope of cargo operations.

Requirements for initial and recurrent training apply to all personnel that perform duties within the scope of cargo operations for the operator, both at the main base and at all other locations.

#### CGO 2.1.2

If the Operator transports cargo, the Operator shall have a process to ensure the training programs completed by cargo operations personnel in accordance with [CGO 2.1.1](#) provide the knowledge necessary to perform duties, execute procedures and operate the equipment associated with specific cargo functions and responsibilities. Such programs shall include:

- (i) Familiarization training on applicable regulations;
- (ii) In-depth training on requirements, including policies, procedures and operating practices;
- (iii) Training in human factors principles;
- (iv) Safety training on associated operational hazards. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** training programs for cargo operations personnel (focus: includes programs for personnel in all cargo operations functions).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected training program records/documents (focus: programs include all specified training areas as applicable to cargo operations functions).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Human Factors Principles.

△

Refer to DGR 1.5

□

Dangerous Goods Training Guidance for Competency-Based Training and Assessment (CBTA) that includes adapted task lists for well-defined job functions is available at [www.iata.org/dangerousgoods](http://www.iata.org/dangerousgoods).

□

Refer to ULDR 1.6 for ULD training requirements, which adopts CBTA approach.

### CGO 2.1.3 (Intentionally open)

#### CGO 2.1.4

If the Operator transports cargo, the Operator shall have a process to ensure the training programs completed by cargo operations personnel in accordance with [CGO 2.1.1](#) are reviewed and updated to remain relevant and current.

## Auditor Actions

- ☐ **Identified/Assessed** process for review and update of training program completed by cargo operations personnel.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected training program records/documents (focus: programs have been periodically reviewed and updated).
- ☐ **Other Actions** (Specify)

#### CGO 2.1.5

If the Operator transports cargo, the Operator shall have a process to ensure training for personnel that perform operational duties within the scope of cargo operations for the Operator:

- (i) Includes testing or evaluation by written, oral or practical means, as applicable;
- (ii) Requires a demonstration of adequate knowledge, competency and proficiency to perform duties, execute procedures and/or operate equipment.

## Auditor Actions

- ☐ **Identified/Assessed** training programs for cargo operations personnel (focus: programs include a process for testing/evaluations/demonstrations as specified).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected initial/recurrent course curricula/syllabi (focus: initial and recurrent training programs include testing/evaluations/demonstrations).
- ☐ **Examined** initial/recurrent training records of selected personnel (focus: testing/evaluations/demonstrations as specified completed during initial and recurrent training).
- ☐ **Other Actions** (Specify)

#### CGO 2.1.6

If the Operator transports cargo, the Operator shall have a process to ensure completion of required training by personnel that perform operational duties within the scope of cargo operations for the Operator is recorded and such records retained in accordance with [CGO 1.7.1](#).

## Auditor Actions

- ☐ **Identified/Assessed** cargo operations records system (focus: system includes training records of personnel that perform cargo operations duties).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** initial/recurrent training records of selected personnel (focus: records include completion of required training).
- ☐ **Other Actions** (Specify)

## 2.2 Program Elements

### CGO 2.2.1

If the Operator transports dangerous goods as cargo, the Operator shall have a process to ensure cargo operations personnel assigned the responsibility for accepting dangerous goods complete dangerous goods training, to include initial training and recurrent training within 24 months of previous training in dangerous goods. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** dangerous goods training program: (focus: defines DG training requirements for all cargo handling personnel based on specific assigned responsibilities/duty functions).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** applicable initial/recurrent dangerous goods training curricula and syllabi (focus: subject areas appropriate for personnel based on specific responsibilities/duty functions).
- ☐ **Examined** initial/recurrent dangerous goods training records of selected personnel (focus: completion of required training as appropriate for assigned responsibilities/duty functions).
- ☐ **Other Actions** (Specify)

## Guidance

The curriculum for dangerous goods training for cargo operations personnel is determined by the operator and may vary depending on specific responsibilities and duty function(s).

Recurrent training in dangerous goods is completed within a validity period that expires 24 months from the previous training to ensure knowledge is current, unless a shorter period is defined by a competent authority. However, when such recurrent training is completed within the final 3 months of the 24-month validity period, the new validity period may extend from the month on which the recurrent training was completed until 24 months from the expiry month of the current validity period. If such recurrent training is completed *prior* to the final three months of the validity period, the new validity period would extend 24 months from the month the recurrent training was completed.

Refer to DGR 1.5.

Dangerous Goods Training Guidance for Competency-Based Training and Assessment (CBTA) that includes adapted task lists for well-defined job functions is available at [www.iata.org/dangerousgoods](http://www.iata.org/dangerousgoods).

### CGO 2.2.2

If the Operator transports cargo, but does not transport dangerous goods, the Operator shall have a process to ensure cargo operations personnel assigned the responsibility for accepting cargo complete dangerous goods training, to include initial training and recurrent training within 24 months of previous training in dangerous goods. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** dangerous goods training program: (focus: defines DG training requirements for personnel with cargo acceptance/handling responsibilities).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected initial/recurrent dangerous goods training curricula/syllabi (focus: subject areas appropriate for personnel with cargo acceptance/handling responsibilities).



- ☐ **Examined** initial/recurrent training records of selected cargo operations personnel (focus: completion of required training as appropriate for assigned responsibilities/duty functions).
- ☐ **Other Actions** (Specify)

## Guidance

When an operator does not transport dangerous goods as cargo (i.e. a “no-carry” operator), dangerous goods training is still required for cargo operations personnel to ensure declared and undeclared dangerous goods are recognized and prohibited from being accepted or loaded onto an aircraft.

Dangerous goods training is structured to provide the requisite knowledge to permit cargo operations personnel to recognize dangerous goods, whether labeled or not labeled, and to prevent such dangerous goods from being inadvertently accepted and/or planned for loading into an aircraft.

The curriculum for dangerous goods training for cargo handling personnel is determined by the operator and may vary depending on specific responsibilities and duty function(s).

Refer to DGR 1.5.

Dangerous Goods Training Guidance for Competency-Based Training and Assessment (CBTA) that includes adapted task lists for well-defined job functions is available at [www.iata.org/dangerousgoods](http://www.iata.org/dangerousgoods).

## CGO 2.2.3

If the Operator transports dangerous goods as cargo, the Operator shall have a process to ensure cargo operations personnel assigned the responsibility for handling such cargo, as well as, where applicable, the build-up of ULD with such cargo, receive dangerous goods training, to include initial training and recurrent training within 24 months of previous training in dangerous goods. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** process for dangerous goods training for cargo operations personnel that handle cargo; where applicable, perform ULD build-up.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected initial/recurrent dangerous goods training curricula/syllabi applicable to cargo operations personnel that handle cargo; where applicable, perform ULD build-up.
- ☐ **Examined** initial/recurrent training records of selected cargo operations personnel that handle cargo; where applicable, perform ULD build-up.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Unit Load Device (ULD), which addresses certified and non-certified units.

The curriculum for dangerous goods training for cargo personnel with responsibilities for handling dangerous goods cargo as well as, where applicable, performing ULD build-up, is developed by the operator and may vary depending on specific responsibilities and duty function(s).

Refer to DGR 1.5.

Dangerous Goods Training Guidance for Competency-Based Training and Assessment (CBTA) that includes adapted task lists for well-defined job functions is available at [www.iata.org/dangerousgoods](http://www.iata.org/dangerousgoods).

## CGO 2.2.4

If the Operator transports cargo using ULDs, the Operator *should* have a process to ensure that personnel assigned to handle ULDs for the Operator, to include personnel of external service providers, complete:

- (i) Initial ULD training prior to being assigned to perform such operational duties;
- (ii) Recurrent ULD training not less than once during every 24-month period, or as per requirements of the regulatory authority. **(GM)**



- **Note:** An Operator may, based on its own safety risk assessment of specific function(s), decide on a longer ULD recurrent training interval, provided that such recurrent training interval complies with requirements of the regulatory authority.

## Auditor Actions

- **Identified/Assessed** ULD training program: (focus: defines ULD training requirements for all cargo handling personnel based on specific assigned responsibilities/duty functions).
- **Interviewed** responsible manager(s) in cargo operations.
- **Examined** applicable initial/recurrent ULD training curricula and syllabi (focus: subject areas appropriate for personnel based on specific responsibilities/duty functions).
- **Examined** initial/recurrent ULD training records of selected personnel (focus: completion of required training as appropriate for assigned responsibilities/duty functions).
- **Examined** records of risk assessment if a recurrent training period different from the 36 months is applied.
- **Other Actions** (Specify)

## Guidance

The curriculum for ULD training for cargo operations personnel is determined by the operator and may vary depending on specific responsibilities and duty function(s).

Recurrent training in ULD is completed within a validity period that expires 24 months from the previous training to ensure knowledge is current, unless a shorter period is defined by a competent authority. However, when such recurrent training is completed within the final 3 months of the 24-month validity period, the new validity period may extend from the month on which the recurrent training was completed until 24 months from the expiry month of the current validity period. If such recurrent training is completed *prior* to the final three months of the validity period, the new validity period would extend 24 months from the month the recurrent training was completed.

Refer to ULDR 1.6 for ULD training requirements for CBTA approach.

### CGO 2.2.5

If the Operator transports cargo, the Operator *should* have a process to ensure personnel assigned to operate equipment in the performance of their duties in cargo operations are trained and qualified to operate the equipment associated with those duties.

## Auditor Actions

- **Identified/Assessed** process that ensures cargo operations personnel that operate equipment in the performance of duties are trained/qualified to operate such equipment.
- **Interviewed** responsible manager(s) in cargo operations.
- **Examined** selected initial/recurrent training curricula/syllabi applicable to cargo operations personnel that operate such equipment.
- **Examined** training records of selected cargo operations personnel that operate such equipment.
- **Other Actions** (Specify)

## 2.3 SMS Training

### CGO 2.3.1

If the Operator transports cargo, the Operator shall have a program that ensures its cargo operations personnel are trained and competent to perform SMS duties. The scope of such training shall be appropriate to each individual's involvement in the SMS. **[SMS] (GM) ◀**

**Note:** The specifications of this provision are applicable to personnel of the Operator that perform functions within the scope of cargo operations.

### Auditor Actions

- ☐ **Identified/Assessed** SMS training program for cargo operations (focus: program ensures training for the operator's cargo operations personnel as appropriate to individual SMS involvement).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected initial and recurrent cargo operations training curricula (focus: training in individually relevant SMS duties/responsibilities).
- ☐ **Examined** selected cargo operations personnel training records (focus: completion of SMS training).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Operational Function (Aircraft Operations).

SMS training is an element of the Safety Promotion component of the SMS framework.

Refer to Guidance associated with [ORG 4.3.1](#) located in ISM Section 1.

### CGO 2.3.2

If the Operator outsources cargo handling operational functions to external service providers, the Operator *should* have a program that ensures personnel of external service providers are trained and competent to perform SMS duties. The scope of such training *should* be appropriate to individual involvement in the Operator's SMS. **[SMS] (GM) ◀**

### Auditor Actions

- ☐ **Identified/Assessed** SMS training program for cargo operations (focus: program ensures training for cargo operations personnel of external service providers as appropriate to individual SMS involvement).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected outsourcing contracts/agreements (focus: inclusion of requirement of SMS training for applicable service provider personnel).
- ☐ **Examined** selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures applicable personnel of service providers have completed SMS training).
- ☐ **Other Actions** (Specify)

### Guidance

SMS training is an element of the Safety Promotion component of the SMS framework.

Refer to Guidance associated with [ORG 4.3.2](#) located in ISM Section 1.

## 3 Acceptance and Handling

### 3.1 General Cargo

#### CGO 3.1.1

If the Operator transports cargo, the Operator shall have a process to ensure such shipments accepted for transport:

- (i) If revenue cargo, are in compliance with standards in the OM as specified in [CGO 1.6.1](#);
- (ii) If interline cargo, are in compliance with IATA interline cargo requirements;
- (iii) If non-revenue cargo, are in compliance with the OM or equivalent document as specified in [CGO 1.6.1](#). **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process that ensures cargo shipments accepted for transport are in compliance with applicable requirements.

- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected quality control inspection reports.
- ☐ **Observed** cargo acceptance operations (focus: process for ensuring cargo shipments comply with applicable requirements).
- ☐ **Other Actions** (Specify)

## Guidance

Cargo is accepted under the terms of the OM, which typically specifies procedures to ensure acceptance personnel verify the cargo has been packed in a manner:

- For safe transport with ordinary care in handling;
- To preclude injury or damage to any person, cargo or property.

△ Also, interline cargo typically complies with the applicable requirements of all the participating operator(s).

Refer to the IATA Cargo Services Conference Resolution 660 for guidance pertaining to interline cargo.

### CGO 3.1.2 (Intentionally open)

△

### CGO 3.1.3

If the Operator transports cargo, the Operator shall have a process to ensure, where scales are used to determine the weight of cargo and/or ULDs, all such scales are periodically checked and calibrated, and such actions are recorded and retained in accordance with applicable regulations. **(GM)**

## Auditor Actions

△

- ☐ **Identified/Assessed** process that ensures scales used to weigh cargo and/or ULDs are periodically checked and calibrated.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected records that indicate checking/calibration of scales used to weigh cargo shipments.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: process for ensuring accuracy of scales used to weigh cargo shipments).
- ☐ **Other Actions** (Specify)

## Guidance

Such scales might be referred to as weigh bridges.

Accuracy in cargo weights is a critical safety factor and is monitored by many states. Records of scale checking and calibration are typically made available to the applicable authority for review, if requested.

△

Guidance may be found in AHM 534 and ICHM 9.4.6.

### CGO 3.1.4

If the Operator transports cargo, the Operator *should* have a process to ensure cargo terminals are equipped with facilities appropriate for storage of dangerous goods and other special cargo, such as human remains, live animals, perishables, valuable cargo and pharmaceuticals. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** process that ensures cargo terminals are equipped with facilities appropriate for storage of special cargo shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo handling operations (focus: existence of facilities for storage of dangerous goods and other special cargo shipments).
- ☐ **Other Actions** (Specify)

## Guidance

Such items may have separation/segregation requirements as specified in the appropriate IATA manual(s) and, additionally, may be governed by local rules or regulations. Information relating to storage of cargo is included in the OM.

## 3.2 Dangerous Goods

### CGO 3.2.1

If the Operator transports dangerous goods as cargo, the Operator shall have a Dangerous Goods Acceptance Checklist that:

- (i) Reflects applicable requirements contained in the current DGR;
- (ii) Once completed, contains information that identifies the person(s) that performed the acceptance check. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** dangerous goods acceptance checklist (focus: contains DGR requirements, information that identifies person that performed acceptance check).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** process(es) for development/maintenance of dangerous goods acceptance checklist.
- ☐ **Observed** cargo acceptance operations (focus: dangerous goods acceptance in accordance with DGR requirements).
- ☐ **Other Actions** (Specify)

### Guidance

Sample checklists for non-radioactive shipments, radioactive shipments and dry ice (carbon dioxide, solid) are found in the back of the DGR.

Refer to DGR 9.1.3 for guidance that addresses the Dangerous Goods Acceptance Checklist.

### CGO 3.2.2

If the Operator transports dangerous goods as cargo, the Operator shall have procedures to ensure the use of a Dangerous Goods Acceptance Checklist as specified in [CGO 3.2.1](#) to verify:

- (i) Package(s), overpack(s) or freight containers, as applicable, are correctly marked and labeled;
- (ii) The Shipper's Declaration for Dangerous Goods, if required, or other documentation complies with the requirements of the current edition of the DGR. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedures for use of dangerous goods acceptance checklist (focus: checklist is used to verify package marking/labeling, documentation compliance).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance operations (focus: use of dangerous goods acceptance checklist to verify package marking/labeling, documentation compliance).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to DGR 9.1.3 for guidance that addresses use of the Dangerous Goods Acceptance Checklist.

### CGO 3.2.3

If the Operator transports dangerous goods as cargo, the Operator shall have procedures to ensure the completed Dangerous Goods Acceptance Checklist and shipper documentation, to include, if required, the Shipper's Declaration for Dangerous Goods, and the information provided to the pilot-in-command (PIC), are retained for a minimum period of three months after the flight on which the dangerous goods were transported. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** procedures for ensuring retention of all applicable dangerous goods cargo information, including dangerous goods acceptance checklist, shipper documentation and information to the PIC for a minimum period of three months.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** content of selected records of dangerous goods shipments.
- ☐ **Observed** cargo acceptance operations (focus: procedures for retention of applicable information associated with dangerous goods shipments).
- ☐ **Other Actions** (Specify)

## Guidance

A minimum of one copy of each document associated with each dangerous goods shipment is retained on file for three months or, if required by the State of Flight Departure, a longer period of time.

Refer to DGR 9.8 for guidance that addresses retention of the Dangerous Goods Acceptance Checklist.

### CGO 3.2.4

If the Operator transports dangerous goods as cargo, the Operator shall have procedures to ensure any package, overpack, freight container, or ULD containing dangerous goods is inspected and is not accepted, unless:

- (i) Properly marked and labeled;
- (ii) There is no leakage;
- (iii) Its integrity has not been compromised;
- (iv) The ULD is serviceable. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** procedures for inspection dangerous goods shipments prior to acceptance for transport.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance operations (focus: procedures for inspection of dangerous goods shipments prior to acceptance).
- ☐ **Other Actions** (Specify)

## Guidance

Detailed instructions for acceptance and handling of dangerous goods are contained in DGR Section 9 and Subsection 10.9 for radioactive materials. This information is not to be interpreted as requiring an operator to accept or transport a particular article or substance, or as preventing an operator from imposing special requirements on the transport of a particular article or substance.

### CGO 3.2.5

If the Operator transports dangerous goods as cargo on or in ULDs, the Operator shall have procedures to ensure ULDs containing dangerous goods, which require a hazard label, have a ULD tag for dangerous goods that:

- (i) Contains information that is visible and legible and, if placed in a protective tag holder, such information remains visible and legible;
- (ii) Is marked with the class and/or division number(s) of such dangerous goods;
- (iii) If a ULD contains packages bearing a "Cargo Aircraft Only" label, indicates the ULD can only be loaded onto a cargo aircraft. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** procedures for ensuring ULD containing dangerous goods have a ULD tag in accordance with applicable requirements.

- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: procedures for ensuring ULDs containing dangerous goods are tagged in accordance with applicable requirements).
- ☐ **Other Actions** (Specify)

### Guidance

The need for procedures would normally apply to any operator that accepts dangerous goods for transport on or in ULDs to ensure:

- The types of dangerous goods contained in ULDs, as well as any associated restrictions, are accurately displayed on a ULD tag, which may be placed inside a protective tag holder on the exterior of the ULD;
- ULDs are only loaded onto aircraft that are compatible with the load and associated restrictions.

Refer to DGR 9.3.8 and AHM 420 for guidance that addresses ULD tags for dangerous goods.

### CGO 3.2.6

If the Operator transports dangerous goods as cargo, the Operator *should* have a process for retention of the applicable documentation when a dangerous goods consignment does not pass the acceptance check due to errors or omissions by the shipper. Such documentation *should* be retained for a minimum period of three months after the completion of the acceptance checklist. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process for retention of documentation for dangerous goods shipments that do not pass acceptance inspection due to error/omission by shipper.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected records of dangerous goods shipments not accepted due to error/omission by shipper.
- ☐ **Observed** cargo acceptance operations (focus: process for retention of documentation for dangerous goods shipments not accepted due to error/omission by shipper).
- ☐ **Other Actions** (Specify)

### Guidance

The intent of this provision is that an operator retains all relevant documentation when a cargo shipment containing dangerous goods is not accepted (by the operator) due to an error or omission (by the shipper) in packaging, labeling, marking or documentation.

### CGO 3.2.7 (Intentionally open)

### CGO 3.2.8

If the Operator transports dangerous goods as cargo, the Operator shall have a process to ensure, when dangerous goods labels or marks are found to be missing, illegible or detached from shipments subsequent to the time of acceptance, such labels are replaced in accordance with the information provided on the Shippers Declaration for Dangerous Goods. Such requirement for the replacement of marks or labels shall not apply where marks or labels are found to be missing or illegible at the time of acceptance. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedures for ensuring dangerous goods marks and labels are replaced in accordance with the shipper's declaration when such labels are found to be missing, illegible or detached.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: process for replacement of lost/illegible/detached dangerous goods marks and labels).
- ☐ **Other Actions** (Specify)



## Guidance

Refer to DGR Section 9.3.7 for guidance that addresses dangerous goods hazard labels.

### CGO 3.2.9

If the Operator transports dangerous goods as cargo on international flights, the Operator shall have procedures for such flights that ensure English, in addition to the language required by the State of Origin, is used for markings and transport documents related to the shipment of dangerous goods. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** procedures for ensuring transport documents/markings for dangerous goods shipments on international flights are in English and the language required by State of Origin.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** transport documents/markings associated with selected international dangerous goods shipments.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: transport documents/markings for dangerous goods shipments on international flights in English and language required by State of Origin).
- ☐ **Interviewed** cargo operations personnel that accept/handle dangerous goods shipments.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of State of Origin.

Guidance may be found in DGR Sections 7 and 8.

△

### CGO 3.2.10

If the Operator transports dangerous goods as cargo, the Operator shall have procedures that ensure dangerous goods are separated/segreated from other cargo or incompatible materials in accordance with published category restrictions. **(GM)**

## Auditor Actions

△

- ☐ **Identified/Assessed** dangerous goods handling procedures (focus: dangerous goods are separated/segreated from other cargo or incompatible materials in accordance with published category restrictions).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo handling operations (focus: procedures that ensure dangerous goods separation from other cargo in accordance with published restrictions).
- ☐ **Other Actions** (Specify)

## Guidance

△

Loading requirements contained in DGR 9.3.2 and Table 9.3.A, primarily address dangerous goods compatibility restrictions on an aircraft. Similar separation/segreated requirements are applicable for stowage of these materials in a cargo facility.

Specifications for the segregation of dangerous goods during transportation and aircraft loading/unloading are found in [GRH 3.4.3](#).

### CGO 3.2.11

If the Operator transports cargo, the Operator shall ensure, at locations where the operator accepts cargo shipments, notices providing information about dangerous goods transportation are prominently displayed and contain visual examples of dangerous goods, including batteries. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** requirement that ensures notices containing information about dangerous goods are displayed at locations where cargo shipments are accepted for transport.



- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance operations (focus: display of dangerous goods notices).
- ☐ **Other Actions** (Specify)

### Guidance

Where the acceptance of cargo is outsourced to a ground services provider, the provider is responsible for the display of dangerous goods information notices. However, ultimate responsibility for the safe transportation of dangerous goods, whether cargo is accepted by the operator or a ground services provider, always remains with the operator.

#### CGO 3.2.12

If the Operator transports dangerous goods as cargo, the Operator shall have procedures to ensure any dangerous goods shipment that appears to be damaged or leaking:

- (i) Is not to be loaded on or into a ULD or delivered to an aircraft;
- (ii) Is safely removed from the ULD (or other transport device) by the Provider or other relevant authority, and safe disposal arranged;
- (iii) In the case of leakage, an evaluation is conducted to ensure the remainder of the shipment is in proper condition for transport by air and that no other package, cargo, ULD, other transport device has been contaminated or damaged.

### Auditor Actions

- ☐ **Identified/Assessed** procedures for handling/addressing ULDs and leaking/damaged dangerous goods shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected records/documents (focus: handling of leaking/damaged ULDs containing dangerous goods).
- ☐ **Observed** cargo handling operations (focus: procedures that address damaged/leaking ULDs that contain dangerous goods).
- ☐ **Other Actions** (Specify)

#### CGO 3.2.13

If the Operator transports dangerous goods as cargo on flights using cargo aircraft, the Operator shall have procedures to ensure packages or overpacks containing dangerous goods, and bearing a "Cargo Aircraft Only" label, except those specifically excluded, are transported on cargo aircraft in accordance with any of the following:

- (i) In a Class C compartment, or
- (ii) In a ULD container equipped with a fire detection/suppression system equivalent to that required by the certification requirements of a Class C compartment as determined by the relevant authority, or
- (iii) In a manner that, in the event of an emergency involving packages or overpacks containing dangerous goods, a crew member or other authorized person can access and handle such packages or overpacks and, when size and weight permit, separate them from other cargo. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for handling shipments with "Cargo Aircraft Only" labels.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo handling operations (focus: procedures that ensure shipments with "Cargo Aircraft Only" labels are transported on cargo aircraft in accordance with applicable requirements).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Cargo Compartment, which includes definitions of compartment types by classification.

### CGO 3.2.14

If the Operator transports dangerous goods as cargo, the Operator shall have procedures that ensure information on dangerous goods to be loaded on a flight is communicated to the appropriate person(s) responsible for load control. Information to be communicated shall include the following:

- (i) If applicable, Air Waybill number;
- (ii) Proper shipping name and UN/ID number;
- (iii) Class or division, and subsidiary hazards corresponding to label(s) applied, and for Class 1, compatibility group;
- (iv) If applicable, packing group;
- (v) For non-radioactive material, number of packages, exact loading location and as applicable, net quantity or gross weight of each package, *except*:
  - (a) For UN 1845, carbon dioxide, solid (dry ice): At the option of the Operator, only the UN number, proper shipping name, classification, total quantity in each aircraft hold and offload airport are required;
  - (b) For UN 3480, (Lithium ion batteries) and UN 3090 (lithium metal batteries): At the option of the Operator, only the UN number, proper shipping name, class, total quantity at each loading location, and whether the package must be carried on a cargo-only aircraft are required. UN 3480 (Lithium ion batteries) and UN 3090 (lithium metal batteries) carried under a State exemption shall meet all requirements specified in iv) and v).
- (vi) For radioactive material, number and category of packages, overpacks or freight containers, exact loading locations and, as applicable, transport index and dimensions for each package;
- (vii) Any restriction for transport on cargo aircraft only;
- (viii) Airport of unloading;
- (ix) If applicable, dangerous goods transported under a state exemption;
- (x) If applicable, ULD Identification Code. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for communication of dangerous goods information to load control.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo handling operations (focus: procedures that ensure dangerous goods cargo information is communicated to appropriate person(s) in load control system).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Load Control.

Certain dangerous goods carried as cargo are not required to appear in the information provided to the PIC. Refer to DGR, Table 9.5.A.

### CGO 3.2.15–3.2.16 (Intentionally open)

### CGO 3.2.17

If the Operator transports cargo, the Operator shall have a process to ensure reports are provided to the appropriate authorities of the State of the Operator and the state of occurrence, in accordance with the reporting requirements of the appropriate authorities, for:

- (i) Dangerous goods accidents or dangerous goods incidents;
- (ii) Undeclared or mis-declared dangerous goods discovered in cargo or mail. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** process for reporting dangerous goods accidents, dangerous goods incidents, undeclared or mis-declared dangerous goods.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected dangerous goods accident/incident/undeclared/mis-declared reports.
- ☐ **Other Actions** (Specify)

## Guidance

Guidance may be found in DGR 9.6.1 and 9.6.2.

### CGO 3.2.18

If the Operator transports cargo, the Operator shall have a process to ensure a dangerous goods report is made to the appropriate authority of the State:

- (i) When dangerous goods are discovered to have been carried and not loaded, segregated, separated and/or secured in accordance with provisions of the DGR;
- (ii) When dangerous goods are discovered to have been carried as cargo without information as specified in [CGO 3.2.14](#) having been provided to the PIC. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** process for reporting dangerous goods discrepancies (as specified).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** dangerous goods discrepancy reports (focus: reports are submitted to the appropriate authority as specified).
- ☐ **Other Actions** (Specify)

## Guidance

Guidance may be found in DGR 9.6.4.

## △ 3.3 Live Animals, Perishables and Healthcare Shipments

### △ CGO 3.3.1

If the Operator transports live animals and/or perishables and/or healthcare products as cargo, the Operator shall have procedures that ensure such cargo is accepted and handled in accordance with standards specified in the OM. **(GM)**

## Auditor Actions

- △ ☐ **Identified/Assessed** procedure(s) for acceptance/handling of live animal/perishable/healthcare cargo shipments.
- △ ☐ **Interviewed** responsible manager(s) in cargo operations.
- △ ☐ **Observed** cargo acceptance and cargo handling operations (focus: live animal/perishable/healthcare cargo acceptance/handling in accordance with OM).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora).

- △ Live animal/perishable/healthcare shipments handling procedures and specific responsibilities of an operator with regard to required documentation, acceptance, packaging, animal welfare, temperature control requirements compliance with all regulations, storage and loading and liability are addressed in the LAR, PCR or TCR. Additional requirements may be mandated by the State of Flight Departure, the State of Flight Arrival and/or the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES).

**CGO 3.3.2**

If the Operator transports live animals as cargo, the Operator *should* have procedures that ensure:

- (i) The acceptance and handling of live animals is in accordance with requirements of the Live Animal Regulations (LAR);
- (ii) The IATA Live Animals Acceptance Check List, or equivalent, is used for the acceptance of live animal shipments. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** procedure(s) for acceptance/handling of live animal cargo shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: live animal cargo acceptance/handling in accordance with LAR; acceptance checklist is used).
- ☐ **Other Actions** (Specify)

**Guidance**

The IATA Live Animals Acceptance Checklist is recommended as an effective reference in assisting shippers, agents and operators in preparing live animal shipments for air transportation.

**CGO 3.3.3**

If the Operator transports perishables as cargo, the Operator *should* have procedures that ensure acceptance and handling of such cargo is in accordance with requirements of the Perishable Cargo Regulations (PCR) and other applicable regulations. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** procedure(s) for acceptance/handling of perishable cargo shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: perishable cargo acceptance/handling in accordance with PCR/other applicable requirements).
- ☐ **Other Actions** (Specify)

**Guidance**

The handling procedures for handling perishable goods and specific responsibilities of an operator with regard to documentation, packaging and classification are addressed in the PCR. Additional requirements may be mandated by local regulations.

**CGO 3.3.4**

If the Operator transports live animals as cargo, the Operator *should* have procedures that ensure live animals are accompanied by the shipper's certification or equivalent, as well as other required documents. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** procedure(s) for acceptance of live animal cargo shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance operations (focus: acceptance procedures that ensure live animal cargo shipments accompanied by shipper's certification/other required documents).
- ☐ **Other Actions** (Specify)

**Guidance**

Documentation required for live animal shipments includes the shipper's certification, air waybill and, in some situations, CITES (Convention on International Trade in Endangered Species of Wild Fauna and Flora). Some states have additional requirements, which may include health certificates, export or import permits. Refer to guidance contained in the LAR, 2.2.



## CGO 3.3.5

If the Operator transports healthcare products, including pharmaceuticals, the Operator *should* have procedures that ensure acceptance and handling of such shipments is in accordance with requirements of the Temperature Control Regulations (TCR) and other applicable regulations. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for acceptance/handling of special cargo shipments (focus: includes procedures for time/temperature healthcare products).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: procedures for acceptance/handling in accordance with OM).
- ☐ **Interviewed** cargo operations personnel that accept/handle special cargo.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Temperature Control Regulations (TCR).

The procedures for handling healthcare shipments, and the specific responsibilities of an operator regarding documentation, packaging and classification, are addressed in the TCR.

Additional requirements may be mandated by local regulations (e.g. EU GDP, US Pharmacopeia).

## 3.4 Other Special Cargo



## CGO 3.4.1

If the Operator transports other special cargo, including human remains, the Operator shall have procedures that ensure such cargo is accepted and handled in accordance with standards specified in the OM. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for acceptance/handling of special cargo shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: procedures that ensure other special cargo acceptance/handling in accordance with OM).
- ☐ **Interviewed** cargo operations personnel that accept/handle special cargo.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of the Air Cargo Tariff and Rules (TACT).



Guidance for the handling of human remains can be found in the IATA Compassionate Transportation Manual (CTM), TACT Rules and the Airport Handling Manual (AHM).



Prior arrangements and specific handling requirements generally apply to all types of special cargo and are incorporated into the OM, including those items identified in this provision, but also emergency medical supplies, live human organs and diplomatic shipments.

## CGO 3.4.2

If the Operator transports time and temperature-sensitive healthcare products (e.g. pharmaceuticals), the Operator *should* have procedures that ensure acceptance and handling of such shipments is in accordance with requirements of the Temperature Control Regulations (TCR) and other applicable regulations. **(GM)**

## Auditor Actions

- ❑ **Identified/Assessed** procedure(s) for acceptance/handling of special cargo shipments (focus: includes procedures for time/temperature healthcare products).
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Observed** cargo acceptance and cargo handling operations (focus: procedures for acceptance/handling in accordance with OM).
- ❑ **Interviewed** cargo operations personnel that accept/handle special cargo.
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Temperature Control Regulations (TCR).

The procedures for handling time and temperature-sensitive goods, and the specific responsibilities of an operator regarding documentation, packaging and classification, are addressed in the TCR.

Additional requirements may be mandated by local regulations (e.g. EU GDP, US Pharmacopeia).

## 3.5 Unit Load Device (ULD)



### CGO 3.5.1

If the Operator transports cargo using ULDs, the Operator shall have procedures to ensure ULD-related operations, including, but not limited to, ULD build-up/break-down, ground transport, transfer, storage and serviceability check, whether performed on or off the airport, are conducted in accordance with the OM, or requirements specified in the ULD Regulations (ULDR) and working instructions contained in the IATA Cargo Handling Manual (ICHM), or other means acceptable to the Authority to ensure applicable aircraft operating limitations in the Weight and Balance Manual are not exceeded. **(GM)**

## Auditor Actions



- ❑ **Identified/Assessed** procedure(s) for ensuring ULD-related operations are conducted in accordance with the OM, or ULDR and ICHM, or other means acceptable to the Authority and in compliance with the WBM.
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Observed** cargo handling operations (focus: procedures that ensure ULD-related operations conducted in accordance with the OM, or ULDR and ICHM, or other applicable requirements).
- ❑ **Other Actions** (Specify)



## Guidance



All ULDs are required to meet airworthiness requirements in compliance with the Weight and Balance Manual when loaded onto an aircraft. Adhering to the ULDR is one means (but not the only means) that ULD operations may be carried out in compliance with the requirements of the Weight and Balance Manual.

Essential components of ULD operations typically include:

- Minimum training requirements stipulated in the ULDR;
- Continued airworthiness of ULD during operations;
- Limitations applicable to ULDs;
- Adequate supervision and management of all ULD operations.

Guidance may be found in the applicable chapter of the ULDR.





## CGO 3.5.2

If the Operator transports cargo using ULDs, the Operator shall have procedures that ensure ULDs, when accepted and/or handled for transport, meet safety requirements specified in the OM or ULDR to ensure compliance with the Weight and Balance Manual. **(GM)**

### Auditor Actions



☐ **Identified/Assessed** procedure(s) for ensuring ULD acceptance and handling meet safety requirements.

☐ **Interviewed** responsible manager(s) in cargo operations.



☐ **Observed** cargo handling operations (focus: procedures for ensuring ULD acceptance and handling in accordance with applicable safety requirements).

☐ **Other Actions** (Specify)

### Guidance



Detailed operating requirements for safe ULD operations are specified in the ULDR and working instructions in the ICHM that address the use of aircraft pallets/nets, aircraft containers, restraint straps and other ULD accessories, etc.

Each state may have additional or varying regulations and specifications.



## CGO 3.5.3

If the Operator transports cargo using ULDs, the Operator *should* have a process to ensure cargo terminals are equipped with facilities appropriate for storage of ULDs. **(GM)**

### Auditor Actions

☐ **Identified/Assessed** process that ensures cargo terminals are equipped with facilities appropriate for storage of ULDs.

☐ **Interviewed** responsible manager(s) in cargo operations.



☐ **Observed** cargo handling operations (focus: existence of facilities for storage of ULDs; ULDs shall not be placed and stored directly on the ground).

☐ **Other Actions** (Specify)

### Guidance

Refer to ULDR Section 9.3 for ULD storage requirements and AHM 942/AHM 911 for ULD storage equipment requirements; additional requirements for ULD storage may be governed by local rules or regulations (e.g. from airport authority). Information relating to ULD storage is included in the OM.



## 3.6 Special Loads

### CGO 3.6.1

If the Operator transports special loads such as offset/overhanging/oversized (outsized)/overweight/sharp or piercing/unusually shaped/concentrated/wheeled/tall rigid cargo and/or non-CLS restrained ULD (Floating Pallet), the Operator *should* have procedures that ensure such cargo is accepted and handled in accordance with standards specified in the OM and in compliance with the requirements of the Weight and Balance Manual. **(GM)**

### Auditor Actions

☐ **Identified/Assessed** procedure(s) for acceptance/handling of special load shipments.

☐ **Interviewed** responsible manager(s) in cargo operations.

☐ **Observed** cargo acceptance and cargo handling operations (focus: procedures that ensure special load acceptance/handling in accordance with OM and in compliance with the Weight and Balance Manual).

☐ **Interviewed** cargo operations personnel that accept/handle special load shipments.

☐ **Other Actions** (Specify)



**Guidance**

'Special Load' refers to cargo that requires special handling and securing/restraining procedures within the limitations specified in the AFM/WBM approved by the TC/STC. Anytime a primary restraint—other than an authorized ULD restrained by a CLS—is used to restrain cargo, the cargo is classified as 'Special Load'. 'Special Load' is the IATA preferred term (but not yet defined in IATA Cargo publications), which is similar to 'Special Cargo' defined in the FAA AC 120-85B.

Oversized (outsized), overhanging and/or overweight cargo refers to items that are larger, longer and/or heavier than can be fully restrained by ULD and aircraft cargo loading system (CLS). Standards and procedures for handling and restraining these items are found in the OM, which shall be in compliance with the Weight and Balance Manual of the aircraft.

Guidance for the evaluation of special loads and the design/installation/verification of the restraint plans should be included in the OM to ensure applicable aircraft operating limitations are not to be exceeded.

**3.7 Security****CGO 3.7.1**

If the Operator transports cargo, the Operator shall ensure security measures are implemented in cargo facilities in accordance with requirements of the applicable civil aviation security program. **(GM)**

***Note:** This provision is applicable to all facilities where cargo acceptance and/or cargo handling operations are conducted either by the Operator or by external service providers for the Operator.*

**Auditor Actions**

- ☐ **Identified/Assessed** processes that ensure implementation of security measures at cargo facilities (focus: ensures procedures in accordance with the local civil aviation security program).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** cargo handling operations (focus: implementation of access control measures at cargo facilities in accordance with applicable security requirements).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Cargo Facility.

The intent of this provision is for the operator to ensure the security of all facilities where cargo operations are conducted either by the operator or by an external service provider for the operator.

Security measures that address landside and airside facility access for vehicles and personnel, as well as the protection of cargo so as to prevent acts of unlawful interference, would normally be found in the applicable civil aviation security program. Such measures address requirements of applicable regulatory and airport authorities, as appropriate.

At locations where cargo security measures are under the control of an entity for which the operator has no oversight capabilities (e.g. airport authority, law enforcement agency), the operator would have to be aware of this arrangement as well as the details of the access control measures.

**CGO 3.7.2**

If the Operator transports cargo, the Operator shall ensure procedures are in place for the screening of persons and the security control of vehicles in accordance with requirements of the applicable civil aviation security program. Such procedures shall apply to persons and vehicles:

- (i) Under its control that have unescorted access to security restricted areas (in which there is cargo);
- (ii) Not under its control but have unescorted access to such areas as authorized by the Operator. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** processes that ensure access control procedures are applied to unescorted persons/vehicles with access to secured cargo.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** cargo handling operations (focus: procedures that ensure unescorted persons/vehicles with access to known cargo are subjected to screening/security controls).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Known Cargo.

The intent of this provision is for an operator to ensure security procedures are applied to persons and vehicles that have access to security restricted areas where there is cargo (i.e. cargo that has already been screened or had security controls applied, and/or is under protection to prevent unlawful interference).

At locations where cargo security measures are under the control of an entity for which the operator has no oversight capabilities (e.g. government agency, airport authority, law enforcement agency), the operator would have to be aware of this arrangement as well as the details of the access control measures. However, the operator would not have to be directly involved in the implementation of such measures.

### CGO 3.7.3 (Intentionally open)

#### CGO 3.7.4

If the Operator transports cargo, the Operator shall have processes for the acceptance of cargo as follows:

- (i) For cargo that can be identified as having the application of screening or other security controls confirmed or accounted for by a regulated agent or an entity approved by the relevant authority (known cargo), a process to ensure such cargo is:
  - (a) Delivered by a regulated agent, a nominated representative of an entity approved by the relevant authority, or a known representative of the operator;
  - (b) Free from any signs of tampering;
  - (c) Accompanied by all required information (paper or electronic) corresponding to the cargo being delivered, including documentation that details the security status (e.g. consignment security declaration);
  - (d) Protected from unauthorized interference throughout the chain of custody since the point that cargo gained its secured status;
  - (e) Subjected to additional security controls as required by risk assessment.
- (ii) For cargo that *cannot* be identified as having the application of screening or other security controls confirmed or accounted for by a regulated agent or an entity approved by the relevant authority (unknown cargo), a process to ensure such cargo is subjected to screening or other security controls as accepted by the applicable state. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process(es) for acceptance of cargo (focus: processes address both known and unknown cargo).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected cargo shipment acceptance documents.
- ☐ **Observed** cargo acceptance operations (focus: acceptance processes for verifying the security status of known cargo, ensuring application of screening/security control for unknown cargo).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Known Cargo, Regulated Agent and Unknown Cargo.

The IATA Security Manual outlines specific provisions covering the basic acceptance of all known cargo to be carried on commercial passenger flights.

The term “entity that is approved by the relevant authority” as used in this provision is non-specific, but could include, for example, a cargo service provider for the operator or, in certain cases, the operator itself. As stated, any such entity must be approved by the relevant authority.

Known cargo, when presented to an operator for transport on an aircraft, has by definition been subjected to screening or appropriate security controls by a regulated agent, an approved entity or the operator. An operator, as a minimum, implements the steps specified in this provision to maintain or protect the “known” status of the shipment from the time the shipment is accepted until it is finally loaded into an aircraft.

All cargo shipments on which the application of screening or security controls has been confirmed and accounted for by a regulated agent or approved entity are required to be accompanied by documentation that states the security status (e.g. consignment security declaration), either in electronic or paper form.

When cargo has been screened or subjected to other security controls as required by a regulated agent or an approved entity prior to acceptance by the operator, the operator, among other protective actions, would typically examine the documentation (e.g. consignment security declaration) and check the shipment for evidence of tampering prior to loading onto the aircraft.

For cargo destined to an EU country, the application of screening or other security controls by a Regulated Agent that holds a current RA3 validation issued by an EU Independent Validator is evidence the agent has approval by the relevant authority.

If for some reason a shipment is not properly maintained or protected in its known status, the shipment then reverts to unknown cargo. In such case, the operator, in order to return the shipment to known cargo status, would have to ensure the shipment is again subjected to the application of screening or other security controls.

Additional guidance may be found in the IATA Security Manual.

#### **CGO 3.7.5** (Intentionally open)

#### **CGO 3.7.6**

If the Operator transports cargo, the Operator shall have processes to ensure cargo for transport on any flight is protected from unauthorized interference from the point of acceptance after screening or security controls have been applied until arrival at the airport of destination. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** process(es) for protecting cargo shipments from unauthorized interference after acceptance.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** cargo handling operations (focus: processes that ensure post-acceptance protection of known cargo from unauthorized interference).
- ☐ **Other Actions** (Specify)

#### **Guidance**

The operator is responsible for ensuring cargo is protected from unauthorized interference from the point of acceptance and after screening (or after the application of security controls) until loaded onto the aircraft for departure and once unloaded from the aircraft at the destination airport. Such requirements are applicable to any intermediate stop, including fuel or technical stops. The intent of this provision is that such protection is provided at all times when cargo is in the custody of personnel performing cargo operational functions.

See the Applicability box at the beginning of this section for functions within the scope of cargo operations.

### CGO 3.7.7

If the Operator transports cargo, the Operator shall have a process to ensure transfer cargo has been subjected to appropriate security controls in accordance with requirements of the relevant authority before being transported on an international flight. **(GM)**

**Note:** *Appropriate security controls may have been applied at the point of original uplift.*

#### Auditor Actions

- ☐ **Identified/Assessed** process(es) to ensure security controls are applied to transfer cargo.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of transfer cargo (focus: verification that security controls have been applied).
- ☐ **Observed** cargo handling operations (focus: process to verify appropriate screening/security controls have been applied to transfer cargo).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Transfer Cargo and Mail.

**Table 7.1—Operations Manual (OM) Content Specifications**

The content of the Operations Manual shall contain standards and guidance that address the acceptance and handling of revenue cargo, to include, as applicable to type(s) of shipments transported by the Operator:

- (i) Compliance or conformity with:
  - (a) Applicable laws, regulations and rules, including civil aviation cargo security programs;
  - (b) Industry standard operating procedures for each aspect of cargo acceptance and handling.
- (ii) Response to abnormal or emergency situations:
  - (a) Leakage or spillage of suspected dangerous goods;
  - (b) Suspected bomb or explosives;
  - (c) Damaged or leaking cargo;
  - (d) Other emergencies.
- (iii) Cargo acceptance and handling, including conditions of carriage:
  - (a) General cargo;
  - (b) Security requirements, to include “high risk” cargo;
  - (c) Dangerous goods;
  - (d) Live animals;
  - (e) Other special cargo:
    - Perishables;
    - Healthcare products;
    - Human remains;
    - Valuable cargo;
    - Fragile goods.
  - (f) Mail;
  - (g) Special Loads including offset/overhanging/oversized (outsized)/overweight/sharp or piercing/unusually shaped/concentrated/wheeled/tall rigid cargo and/or non-CLS restrained ULD (Floating Pallet).
- (iv) Requirements associated with the transport of ULDs.

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## Section 8 — Security Management (SEC)

### Applicability

- △ **Section 8** addresses the management of operational security in accordance with the requirements of an Air Operator Security Program (AOSP) as defined in **SEC 1.2.1**. This section is applicable to all operators. Individual SEC provisions or sub-specifications within a SEC provision that:
  - Do not begin with a conditional phrase are applicable to all operators unless determined otherwise by the Auditor.
  - Begin with a conditional phrase (“If the Operator...”) are applicable if the operator meets the condition(s) stated in the phrase.
- △ Where operational security functions are outsourced to contracted external service providers, an operator retains responsibility for the conduct of such functions and will have processes to monitor applicable external service providers in accordance with **SEC 1.11.2** to ensure requirements that affect the security of operations are being fulfilled, among the other provisions of **SEC 1.11**
- Note that security provisions applicable to operators, and their contracted external service providers, are not limited to this **Section 8** and the lists of interlinked ISARPs cross-referenced in different ISM sections are available in the Tables and Mandatory Observations of the IOSA Audit Handbook (IAH).

### General Guidance

- △ Definitions of technical terms used in this ISM **Section 8**, as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

## 1 Management and Control

### 1.1 Management System Overview

#### SEC 1.1.1

The Operator shall have a Security Management System (SeMS) that includes, as a minimum, the following key elements:

- (i) Senior management and corporate commitment;
- (ii) Resource management;
- (iii) Threat assessment and risk management;
- (iv) Management of emergencies and incidents (resilience);
- (v) Quality control and quality assurance;
- (vi) Air Operator Security Program (AOSP). **(GM)**

#### Auditor Actions

- **Identified/Assessed** supervision and control functions of the AOSP.
- **Examined** relevant sets of security standards.
- **Interviewed** responsible manager(s).
- **Other Actions** (specify).

#### Guidance

Refer to the IRM for the definitions of Air Operator Security Program (AOSP), Operator and Security Management System (SeMS).

Conformity with the provisions in **Subsection 1**, Management and Control, would typically demonstrate evidence that an operator has implemented an SeMS that meets the requirements of this standard.

Conformity with this standard may be achieved by incorporating the following elements into the SeMS:

- Senior management and corporate commitment:
  - Appointment of a Head of Security;
  - Security organizational structure;
  - Authorities and responsibilities;
  - Delegation of duties.
- Resource management:
  - Staff selection process;
  - Staff performance assessment process;
  - A security personnel training program;
  - Security awareness training program;
  - Management of service providers.
- Threat assessment and risk management:
  - Identification of risks and threats;
  - Threat assessment;
  - Risk management.
- Management of emergencies and incidents (resilience):
  - Emergency preparedness and response;
  - Crisis and contingency management plans;
  - Security incident management.
- Quality control and assurance:
  - Reporting and corrective actions mechanisms;
  - Oversight of external service providers.
- Air Operator Security Program (AOSP).

Provided all the above elements are implemented, individual operators may group or break down the elements and sub-elements in a manner that best suits their own structure.

An operator's SeMS is structured to ensure the most efficient and effective application of the AOSP.

The SeMS is typically documented in the form of an appropriate controlled medium, and includes detailed descriptions of the structure, individual responsibilities, available resources and processes in place to effectively manage security operations and ensure an operator is in compliance with the requirements of the National Civil Aviation Security Program (NCASP) of the State(s).

An operator typically documents security procedures in a manual or, as applicable, more than one manual (e.g. where operational security responsibilities are delegated to various departments or by geographic locations, each with distinct security requirements). All documents comprising an operator's operational security manual (or equivalent document) are considered controlled documents.

Where permissible, the AOSP, rather than being documented separately in a security manual or equivalent, may be incorporated into the same other controlled medium and thus be documented as an integral part of the SeMS.

An operator may differentiate between policy and procedure manuals. A policy manual typically states goals and objectives while a procedural manual outlines detailed action-oriented steps that, when complied with, will meet the policy.

Additional guidance may be found in the IATA Security Management System Manual (<http://www.iata.org/publications/store/Pages/security-management-system-manual.aspx>).

Refer to Guidance associated with [ORG 1.1.1](#) located in ISM Section 1.



## SEC 1.1.2

The Operator shall have a senior management official designated as the head of security with direct access to the highest level of management within the organization. Such senior management official, regardless of other functions and reporting structure, shall:

- (i) Be responsible for ensuring implementation and maintenance of the AOSP;
- (ii) Have overall accountability for ensuring operations are conducted in accordance with conditions and restrictions of the AOSP and in compliance with applicable regulations and standards of the Operator. **(GM)**

### Auditor Actions

- ☐ **Identified** individual designated as the head of security.
- ☐ **Examined** corporate organizational structure.
- ☐ **Examined** job description of the head of security (focus: functions include implementation/maintenance of the AOSP).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (specify).

### Guidance

Refer to the IRM for the definitions of Accountability and Responsibility.

Based on the size, structure and complexity of an operator's organization, the position of head of security could be filled by a member of senior management that has responsibilities in addition to security. However, the organization is structured, it is important that one senior management official is the designated focal point for security management on behalf of the operator.

## SEC 1.1.3

The Operator shall have a corporate security policy that states the commitment of the organization to a culture that has security as a fundamental operational priority. Such policy shall be communicated throughout the organization and commit the organization to:

- (i) The provision of resources necessary for the successful implementation of the policy;
- (ii) Compliance with applicable regulations and standards of the Operator;
- (iii) The promotion of security awareness and the establishment of a security culture;
- (iv) The establishment of security objectives and security performance standards;
- (v) Continual improvement of the SeMS;
- (vi) Periodic review of the policy to ensure continuing relevance to the organization. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** corporate security policy (focus: policy identifies security as fundamental operational priority).
- ☐ **Examined** examples of security policy communication (focus: communication methods, organizational awareness campaign).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Just Culture.

Refer to ICAO Annex 17 (Amendment 18, 2022) for the definition of security culture.

The security policy of an organization typically expresses the clear and genuine commitment by senior management to the establishment of a security culture. Such policy also defines the organization's fundamental approach toward security and how security is expected to be viewed by employees and external service providers.

When an operator has an integrated management system (e.g. SMS, QMS) that includes SeMS, the security policy may be incorporated in the corporate safety and/or compliance monitoring policy. The



security policy might include the following elements to ensure the comprehensive integration of security:

- The adoption of industry best practices for security management where warranted;
- Continual management review and improvement of the SeMS and security culture and encouraging adoption by the Operator's service providers;
- The development of objectives for the measurement of security performance;
- Imperatives for including operational security in the description of duties and responsibilities of senior and frontline management;
- The promotion of a reporting system that encourages the reporting of inadvertent human error and/or intentional acts of non-compliance;
- Communication processes that ensure a free flow of information throughout the organization.

In addition to a formal security policy document, an operator would typically have documented dissemination channels that can contribute to awareness of the policy and its content among all employees and establish security as a priority for everyone.

States and the Industry have developed different promotional tools for security incident awareness and reporting. The use of IATA's "See it Report it" training and certification tool is one method for an operator to demonstrate conformity with this provision.

(<https://www.iata.org/whatwedo/security/Pages/security-management-system-sems.aspx>)

The organizational security policy typically expresses the operator's focus on achieving an effective security culture that protects the safety and security interests of its employees, customers, shareholders, assets and brand. Such policy also ensures that obligations contained in domestic and international aviation security laws and regulations are met.

The security policy usually specifies minimum security requirements and identifies applicable reference documents (e.g. the AOSP). It also defines the roles and responsibilities of management and non-management employees, and those with specific security accountabilities.

The security policy typically addresses the yearly establishment of KPIs for the head of security and for the entire organization. Review of the KPIs provides the basis for the following year's program objectives including the allocation of resources to achieve such objectives. This review typically includes the impact of the security culture, identification of non-compliances including associated corrective actions, reported incidents along and root cause analysis. Trends identified are then used to define new security objectives.

Finally, the security policy will normally state the operator's commitment to proactively managing risk, complying with legislation and regulations, aligning security activity with assessed risk and implementing a 'just culture' to encourage security-related reporting.

## 1.2 Air Operator Security Program (AOSP)

### SEC 1.2.1

The Operator shall have a formal Air Operator Security Program (AOSP) that includes:

- (i) The requirements of the civil aviation security program of the State of the Operator (hereinafter, the State);
- (ii) Supplementary Station Procedures (SSP) that meet the requirements of other states where operations are conducted;
- (iii) The security standards of the Operator. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the AOSP.
- ☐ **Examined** operator-specific security requirements and standards.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Acts of Unlawful Interference, State, State Acceptance and State Approval.

An operator is required to have a AOSP in order to:

- Protect customers, personnel, assets and customer goods from any act of unlawful interference;
- Comply with regulatory requirements.

△ The name of an operator's security program may vary based on the regulatory jurisdiction. Examples of typical alternative names to AOSP include ACSP (Air Carrier Security Program) and ASP (Airline Security Program). ICAO uses Aircraft Operator Security Programme (AOSP) in Annex 17.

△ With regard to Supplementary Station Procedures (SSPs), as this is a new concept recently introduced in ICAO Annex 17 (Amendment 18, 2022) some states may still require air operators to develop "country-specific AOSPs" (or local AOSPs) in order to operate into a third country. In such a scenario, the operator will typically have an AOSP approved, reviewed, or verified by its State of Operator (or registry) and a number of "local AOSPs" that should now be called SSPs approved, reviewed or verified by third country regulators (from the states of the operations).

The Security Program may be structured in accordance with the template provided by the State.

The State may issue a standard security program with which all operators must comply (operators may apply for exemptions or amendments, as applicable). In such cases, the standard security program of the State is typically recognized as the AOSP of the operator. The AOSP typically also includes or refers to other company manuals and procedures that provide operator-specific details.

△ A standard security program may be acceptable in meeting security requirements of other states, or the operator may be required to submit supplementary station procedures (SSPs) tailored to meet requirements of other states. An operator must satisfy the security requirements of all applicable states for the purpose of meeting the intent of this provision. Typically, a state of operations will consider an AOSP letter of acknowledgment (approval, review, verification) by the Operator's State of Operator (or registry) along with the required supplementary station procedures (SSPs) as an acceptable security program to operate within its borders.

△ The AOSP may be approved or accepted (i.e. no notice of deficiency or equivalent is issued) by the relevant State of the Operator, when SSPs are approved, reviewed or verified by the relevant states of the operations.

△ The AOSP and SSPs may include security sensitive information (SSI) as required by the relevant States. In such case, the AOSP and SSPs would normally include a description of dissemination of security sensitive information in a way that ensures the required level of data protection.

△ Refer to Guidance associated with [SEC 1.4.1](#) for additional information and in the ICAO Aviation Security Manual (Doc 8973) Chapter 15 (public abstract on: <https://www.icao.int/Security/SFP/Pages/AOSP-and-SSP.aspx>).

## 1.3 Authorities and Responsibilities

### SEC 1.3.1

The Operator shall ensure the SeMS defines the authorities and responsibilities of management personnel within the SeMS and provides a general description of security responsibilities for categories of non-management personnel within the SeMS as documented in the AOSP. The SeMS shall specify:

- (i) The levels of management with the authority to make decisions that affect operational security;
- △ (ii) Responsibilities for ensuring operational security functions are performed and procedures are implemented in accordance with applicable regulations and standards of the Operator;
- (iii) Lines of accountability throughout the SeMS, including direct accountability for security on the part of senior management;
- (iv) Responsibilities of members of management, irrespective of other functions, as well as of non-management personnel, with respect to security performance of the SeMS. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** defined management/non-management authorities and responsibilities throughout the SeMS.
- ☐ **Interviewed** designated management representative(s).
- ☐ **Examined** job descriptions of selected management/non-management personnel in security management.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to Guidance associated with [ORG 1.3.1](#) located in ISM Section 1. Operators should also consider applying SeMS as a criteria for outsourced security service providers (see [SEC 1.11.3](#)).

**SEC 1.3.2**

The Operator shall have a process or procedure for delegation of duties and assignment of responsibilities within the SeMS that ensures managerial continuity is maintained when managers with operational security responsibilities are unable to carry out work duties. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** processes for delegation of duties when managers with operational security responsibilities are absent (focus: processes maintain managerial continuity during periods when managers are absent).
- ☐ **Interviewed** designated security management representative(s).
- ☐ **Examined** selected example(s) of delegation of duties due to absence.
- ☐ **Other Actions** (Specify)

**Guidance**

Such plan addresses responsibilities associated with management positions (not individuals) under the AOSP and ensures proper management of operational security functions is always in place.

For the purpose of this provision, the use of telecommuting technology and/or being on call and continually contactable are acceptable means for operational managers to remain available and capable of carrying out assigned work duties.

To achieve conformity with this provision, an operator would be expected to demonstrate how a delegate is chosen, how and when (i.e. under what circumstances) a delegation is activated and how this is communicated to those with a need to know. Such process can be activated manually when required or automatically under specific conditions.

Procedures are also typically established to delegate the authority to address and take act in response to new and emerging risks, threats as well as incidents taking place at any moment during the operation. Delegation of such responsibilities will typically be given to a group of employees either designated to be on call or to be part of the operator's 24/7 operations center.

Refer to Guidance associated with [ORG 1.3.2](#) located in ISM Section 1.

**SEC 1.3.3**

The Operator shall ensure a delegation of duties and assignment of responsibility for liaison with applicable aviation security authorities and other relevant external entities. **(GM)**

**Auditor Actions**

- ☐ **Identified** position(s) with authority for liaison with regulators and other external entities.
- ☐ **Interviewed** designated management representative(s).
- ☐ **Interviewed** manager(s) with authority for liaison with regulators and other external entities.
- ☐ **Examined** job description for selected management positions (focus: authority/responsibility for liaison with external entities).
- ☐ **Other Actions** (Specify)

## Guidance

Although motives might be different, all stakeholders share a similar interest in ensuring the security of the aviation industry. However, the potential problem of gaps or overlap in responsibilities and/or coverage may exist when more than one entity is handling security. It is crucial for state, airport and airline security officials to establish clear jurisdictional boundaries to ensure all entities understand where their respective jurisdictions begin and end.

Whereas gaps in security create obvious problems and expose the entire aviation infrastructure to threats, the presence of unnecessary overlap by different security groups can also lead to problems. Without proper coordination, the presence of multiple entities providing security services could lead to inaccurate assumptions that might, in fact, result in unintended gaps in the security web due to a reduction of services. Also, multiple groups doing the same job could lead to conflicts of authority, which would detract from the required focus on aviation security.

It is important that there is effective communication between airport security and airline security management. An Airline Operators Committee typically offers a viable platform for airlines and an airport authority to express their respective views on security and identify areas of deficiency. Such committee might also serve as a useful forum for coordination between airlines and airports to develop and implement a seamless security system with no gaps and appropriate overlap.

With regards to state involvement, the creation of an Airport Security Committee (ASC) might be suggested since the group would focus solely on security and address only security issues.

It is recommended that operators participate in both the Airline Operators Committee and the ASC, either directly or via representation by other carriers or stakeholders.

## 1.4 Communication

### SEC 1.4.1

The Operator shall have a system that enables effective communication of security information throughout the management system and all areas where operations are conducted. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** system(s) for communicating information relevant to security operations (focus: capability for communicating information relevant to operations within the security organization).
- ☐ **Interviewed** designated management representative(s).
- ☐ **Examined** examples of information communication in security operations.
- ☐ **Interviewed** selected non-management operational personnel in security operations.
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of security communication is to foster a positive security culture in which all employees receive ongoing information on security issues, security metrics, specific security risks existing in the workplace, and initiatives to address known security issues. Such communication typically conveys security-critical information, explains why particular actions are taken to improve security, and why security procedures are introduced or changed.

Security information that is sensitive is typically drafted and circulated in a manner that is in accordance with applicable security information protocols. Communication of such information is normally limited only to those with an operational need to know.

Any system would have to be able to address the varying degree of urgency with which security information needs to be circulated.

#### *Security Intranet Site*

A corporate security department website is one method of disseminating security information to operational personnel. Different levels of access might be required in order to control the access to restricted information to those with a "need to know." Corporate security awareness information and security incident reporting forms or templates are typically made available on this website. However, where various management systems (e.g. QMS, SMS, SeMS) are aligned or integrated, there may

be one common form or template accessed from a central location that is used for reporting incidents.

#### *Corporate Manual System*

An operator's manuals and regulations are the formal system of coordinating and communicating the policies, procedures and significant guidance necessary to ensure the operator's mission is carried out in a consistent and integrated manner.

#### *Security Bulletins*

Security bulletins, which are typically issued by the corporate security department or by operational departments within the operator, might specify action and/or contain general information. Issuance of bulletins electronically (e.g. email) is an efficient means of ensuring all personnel with a "need to know" are made aware of new or amended security information in a timely manner.

Refer to Guidance associated with [ORG 4.2.1](#) located in ISM Section 1.

## 1.5 Provision of Resources

### SEC 1.5.1 (Intentionally open)

#### SEC 1.5.2

The Operator shall have a selection process for management and non-management positions within the scope of AOSP, to include positions within the organization of the Operator and if applicable, service providers selected by the Operator that conduct operational security functions. Such process shall ensure candidates are selected on the basis of knowledge, skills, training and experience appropriate for the position. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** standards and methods for selection of personnel in functions relevant to safety and security of aircraft operations.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Interviewed** selected personnel that perform security functions relevant to the safety or security of aircraft operations.
- ☐ **Other Actions** (Specify)

#### **Guidance**

Prerequisite criteria for each position, which would typically be developed by the Operator, and against which candidates would be evaluated, ensure personnel are appropriately qualified for management system positions and operational roles in areas of the organization critical to safety and security operations.

Refer to Guidance associated with [ORG 1.5.3](#) located in ISM Section 1.

#### SEC 1.5.3

If permitted by the State, the Operator shall ensure a process has been established that requires operational security personnel in the organization of the Operator and, if applicable, service providers selected by the Operator to conduct operational security functions, to be subjected to pre-employment and recurring background checks in accordance with requirements of applicable aviation security authorities. The requirement for a background check shall be applicable to personnel who:

- (i) Engage in the implementation of security controls;
- (ii) Have unescorted access to the security restricted area of an airport;
- (iii) Have unescorted access to other security areas and searched aircraft;
- (iv) Have access to sensitive aviation security information. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** process for the pre-employment and recurring background checks.
- ☐ **Interviewed** responsible manager(s).



- ☐ **Examined** selected records of personnel background checks.
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Security Control and Security Restricted Area.

A background check might include:

- Criminal record check;
- Previous employment history;
- Personal references;
- Education and training.

National legislation on civil liberties and protection of personal information will greatly influence the limits placed on an employer when performing pre-employment background checks. An employer is not permitted to deviate from the laws of the country where the hiring process is taking place.

Escorted access may be provided to an individual that has yet to complete all aspects of the background checking process.

An individual currently permitted unescorted access to a security restricted area, but who subsequently fails to satisfy the criteria to continue to hold an airport identification card or for unescorted access to a security restricted area, will typically have access to security restricted areas, as well as access to sensitive aviation security information, revoked immediately.

The operator's role in the background check process will be determined by the State. In some cases, the entire process will be managed and/or conducted by the State.

## 1.6 Documentation System

### SEC 1.6.1–1.6.2 (Intentionally open)

#### SEC 1.6.3

The Operator shall have a system for the management and control of documentation and/or data used directly in the conduct or support of operations, and in the implementation of the AOSP and its associated SSPs to ensure that they:

- (i) Meet all required elements specified in [Table 1.1](#);
- (ii) Contain legible and accurate information;
- (iii) Presented in a format appropriate for use in operations. **(GM) ◀**

## Auditor Actions

- ☐ **Identified/Assessed** system(s) for management/control of content/format of operational documentation/data used in AOSP and its associated SSPs.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected parts of the security manual (focus: legibility/accuracy/format; approval as applicable).
- ☐ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definitions of Documentation, Electronic Documentation and Paper Documentation. Refer to [ORG 2.5.1](#) and associated Guidance, and [Table 1.1](#), located in ISM Section 1.

States may impose new protection measures on sensitive aviation security information.

The operator will typically have a central source of information for security procedures that is automatically updated in case of approved changes. Old versions would be archived for historical purposes.

The current version or authorized version of AOSP and its associated SSPs documentation would typically be in an electronic form and found in a specific/dedicated library. Printed versions are



usually deemed to be uncontrolled copies. Employees would have to know how to gain copies from the single information source and that a new copy must be produced to ensure use of a current document version.

## SEC 1.6.4

If the Operator has external service providers conduct outsourced operational security functions, the Operator shall have a process to ensure such external service providers receive information regarding security directives and instructions in a timely and secure manner that meets requirements of the AOSP and its associated SSPs. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process(es) to circulate relevant security information to external service providers.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected examples of information provided to external service providers.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Outsourcing and Operational Security Function.

The operator would have a central source of information for security procedures that is automatically updated in case of approved changes. Obsolete versions would only be accessible for archiving/historical purposes. The main source of information would be electronic and found in a specific/dedicated library. Printouts of the procedures would be considered as backup solutions. Personnel of a service provider with a need to know would have to know how to obtain or access copies from the single information source and that a new copy must be produced to ensure use of a current document version.

Refer to [SEC 1.11.3](#)

## 1.7 (Intentionally open)

## 1.8 Records System

### SEC 1.8.1

The Operator shall have a system for the management and control of operational security records to ensure the content and retention of such records is in accordance with requirements of the aviation security authority of the State, as applicable, and to ensure security records are subjected to standardized processes for:

- (i) Identification;
- (ii) Legibility;
- (iii) Maintenance;
- (iv) Retrieval;
- (v) Protection, integrity and security;
- (vi) Disposal, deletion (electronic records) and archiving, including retention and storage as mandated by the State. **(GM)** ◀

### Auditor Actions

- ☐ **Identified/Assessed** management and control system for operational records in security operations (focus: system includes standardized processes as specified in standard).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected records required to be kept by the aviation security authority of the State.
- ☐ **Other Actions** (Specify)

## Guidance

Some security records could contain sensitive or restricted information that, while not classified, could be detrimental to aviation security if publicly released. Such restricted information is typically defined, usually in conjunction with specific handling procedures, by the State or the operator.

Typical handling procedures for records containing sensitive or restricted information ensure:

- When not in the physical possession of an authorized person, paper or physical records are stored in a secure container such as a locked file cabinet or drawer. Electronic records are stored in a file folder that has restricted access and/or encryption;
- A review is conducted periodically (typically once per year) to identify records that are no longer valid and to ensure such records are destroyed in a manner that precludes recognition or reconstruction of the information.

States may impose additional protection measures on sensitive aviation security information that could be contained in security records.

The operator will typically have a central source of information for security procedures that is automatically updated in case of approved changes. Obsolete versions of electronic records would be accessible for archiving/historical purposes.

The current or authorized version of records would typically be filed electronically in a specific dedicated library. Printed versions of records are usually deemed to be uncontrolled copies.

Access to security records will typically be limited to individuals with a need to know. These individuals would have been provided guidance on how to properly access security records ensuring that the most recent and up to date version is accessed.

Refer to Guidance associated with [ORG 2.6.1](#) located in ISM Section 1.

### SEC 1.8.2

If the Operator uses an electronic system for the management and control of records, the Operator shall ensure the system provides for a scheduled generation of backup record files. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** management and control system for operational records in security operations (focus: system defines schedule for periodic file backup).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** selected record(s) of backup files for electronic records.
- ☐ **Other** Action (Specify)

## Guidance

Refer to Guidance associated with [ORG 2.6.2](#) located in ISM Section 1.

## 1.9 Management Review

### SEC 1.9.1

The Operator shall have a security review committee for the purpose of ensuring:

- (i) Senior management oversight of security in operations;
- (ii) Continual improvement of the SeMS;
- (iii) Security threats are being identified and controlled;
- (iv) The promotion of security awareness. **(GM)**

## Auditor Actions

- ☐ **Identified/Examined** the security review committee functionality and/or terms of reference.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected review committee reports/meeting notes.
- ☐ **Examined** selected examples of meeting outcome implementation.
- ☐ **Other Actions** (Specify)

**Guidance**

A security review committee, which might have a different name with each operator, would ideally be chaired by the Accountable Executive or designated security official, and usually includes the head of security, other members of senior management and representatives from the major operational areas.

A security review committee typically meets at least every two months to review the security performance in operations, address security concerns, provide feedback and instructions to the operating units, and set priorities for sub-teams. It may be useful to have more frequent meetings in the first year of establishment to create an awareness of the committee throughout the organization.

**SEC 1.9.2**

The Operator shall have processes to monitor and assess its SeMS processes in order to maintain or continually improve the overall effectiveness of the SeMS. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** SeMS review process (focus: processes for monitoring and assessing SeMS to maintain/improve security performance).
- ☐ **Interviewed** AE and/or designated management representative(s).
- ☐ **Examined** selected examples of output from SeMS review process (focus: changes implemented to maintain/improve organizational security performance).
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definition of Safety Management System (SMS) and Security Management System (SeMS).

Monitoring and assessing the effectiveness of SeMS processes would typically be the function of a strategic committee of senior management officials that are familiar with the workings and objectives of the SeMS.

Depending on the operator's organizational structure, the effectiveness of SeMS may be monitored and assessed by the same executive group that is responsible for the SMS or the security review committee.

Refer to guidance associated with [ORG 4.1.1](#) located in ISM Section 1. Such guidance addresses continual improvement of an SMS but could be adapted and applied for continual improvement of SeMS. Additional guidance is also available in section 2.4 of the IATA SeMS Manual.

**1.10 Quality Assurance/Quality Control Programs****Quality Assurance****SEC 1.10.1**

The Operator shall have a quality assurance program that provides for the auditing and evaluation of the management system and operational security functions at a determined frequency following a regularly performed risk assessment to ensure the organization is:

- (i) Complying with the AOSP and its associated SSPs and other applicable regulations and standards;
- (ii) Satisfying stated operational needs;
- (iii) Identifying areas requiring improvement;
- (iv) Identifying threats to operations;
- (v) Assessing the effectiveness of security risk management and controls. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** role/organization/structure of quality assurance program (focus: role/purpose within organization/SeMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management/operational areas).

- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Interviewed** selected operational managers (focus: interface with quality assurance program).
- ☐ **Examined** selected security organization audit reports (focus: audit scope/process/organizational interface).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definitions of Quality Assurance (QA) and Security Risk.

The quality assurance program will typically determine compliance with the AOSP and its associated SSPs.

Typically, the person responsible for the security operation is accountable for the implementation of a quality assurance program, which includes the various standards set out within the AOSP and its associated SSPs. The quality assurance program typically takes into consideration the standards set by other states to achieve specific requirements as the result of their respective risk analyses and threat assessments.

Quality Assurance refers to all areas of security protection and prevention that involve the operator, handling agents, personnel, passengers and the carriage of cargo and aircraft stores. It also incorporates an examination of the actions or inactions of airports and other agencies, which, although not directly “touching” the airline, could impact on the security of the operator.

To achieve the set objectives of the AOSP and its associated SSPs, it is necessary to introduce a means of measuring the efficiency and effectiveness of the security operation and to note any deficiencies.

Operators typically perform a security risk assessment at least once a year. The frequency of security audits is then typically determined on a risk-priority basis as determined by the operator for its operations at its base and overseas stations. There are two main purposes for conducting a security audit:

- To ensure operator personnel, handling agents and contractors are properly implementing the AOSP and its associated SSPs;
- To ensure the AOSP and its associated SSPs are achieving the set objectives.

Personnel involved in the performance of audits are normally trained and have the necessary qualifications required by the State.

Audits may be complemented by quality control mechanisms, to include:

- Security Inspections to confirm the level of regulatory compliance;
- When authorized by the State, security tests to evaluate the effectiveness of specific aviation security measures and procedures;
- Security exercises to evaluate the effectiveness of the emergency response plan.

Refer to Guidance associated with [ORG 2.1.1](#) located in ISM Section 1.

### SEC 1.10.2

The Operator shall have a process for addressing findings resulting from audits of operational security functions that ensures:

- (i) Identification of root cause(s);
- (ii) Development of corrective action, as appropriate, to address findings;
- (iii) Implementation of corrective action in appropriate operational security area(s);
- (iv) Evaluation of corrective action to determine effectiveness. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process for addressing audit findings within operational security.
- ☐ **Interviewed** responsible quality assurance program manager.

- ❑ **Examined** selected audit reports/records (focus: identification of root cause, development/implementation of corrective action, follow-up to evaluate effectiveness).
- ❑ **Other Actions** (Specify)

## Guidance

Executive managers of organizational business units are responsible for making sure quality assurance activity is undertaken to ensure:

- Conformity with the security standards;
- Existence of required security systems;
- Compliance with relevant aviation security legislation;
- Conformity with IOSA and the SeMS standards.

Auditors conducting quality assurance activities apply the internal audit procedure. This manual, IOSA ISARPS, and the internal assessment tool form the basis for quality assurance activity.

Information and data taken from audit reports or an equivalent business tool are used to record all quality assurance activity. Individual business units are responsible for identifying and assigning corrective actions to the appropriate personnel for implementation, completion and follow-up monitoring for effectiveness.

Corrective actions are managed in accordance with internal quality assurance processes and procedures.

For each audit finding a root cause is identified and corrective action developed as appropriate to address the root cause. Corrective action is then implemented in the appropriate operational security areas and evaluated to determine effectiveness in addressing the root cause.

To ensure findings are corrected in a timely manner, it is important for the operator to have a process that clearly identifies the owner of the deficient process and delegates responsibility to that owner to develop and implement the appropriate corrective action(s).

It is also important to establish a clear timeline to implement the appropriate corrective action(s) as well as have a process to escalate to senior management when deadlines are missed.

Refer to Guidance associated with [ORG 2.1.7](#) located in ISM Section 1.

## SEC 1.10.3A

The Operator shall have a process to ensure significant issues arising from quality assurance audits of operational security functions are subject to a regular review by senior security management. **(GM)**

## Auditor Actions

- ❑ **Identified/Assessed** process to inform senior security management of significant issues identified through quality assurance audits (focus: continual improvement of quality assurance program).
- ❑ **Interviewed** responsible quality assurance program manager.
- ❑ **Examined** selected records/documents of management review of security organization quality assurance program issues (focus: specific issues/changes identified and implemented to improve quality assurance program).
- ❑ **Other Actions** (Specify)

## Guidance

In order to ensure proper implementation of corrective actions following the identification of gaps or deficiencies through quality assurance audits, it is important that senior security management is made aware of overall audit reports and especially of any significant issue(s) identified.

Senior security management officials have the authority and available expertise to quickly resolve any deficiency in order to prevent re-occurrences and ensure that the corrective actions implemented are commensurate to the gaps or issues identified.

Auditor recommendations contained in a report provide the basis for possible changes within the system. However, for various reasons, the adoption or implementation of recommendations made by auditors may not always be feasible. Therefore, the determination of a need for corrective or

preventive action, and the actual implementation of such action, would typically be coordinated between the Head of Security (or appointee) and those operational managers directly responsible for the safety and security of operations.

Refer to Guidance associated with [ORG 4.1.2](#) located in ISM Section 1.

### SEC 1.10.3B

The Operator shall have an audit planning process and sufficient resources, including auditors as specified in [ORG 2.1.8](#), to ensure audits are:

- (i) Scheduled in accordance with a security risk assessment at intervals to meet regulatory and management system requirements;
- (ii) Conducted within the scheduled interval (subject to a change in risk). **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** planning process for quality assurance auditing of security functions.
- ☐ **Identified/Assessed** resources (human and physical) allocated and available for auditing.
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Crosschecked** audit plan with selected audit reports (focus: conduct of audits by planned dates).
- ☐ **Other** Action (Specify)

#### Guidance

The frequency of auditing activity is typically determined by ongoing risk assessments to ensure business units are complying with the applicable AOSP and its associated SSPs, achieving the applicable AOSP and its associated SSPs objectives and properly applying security standards.

A desktop risk assessment using risk-based evaluation tools aligned with internal standards is usually undertaken to determine the associated frequency for audits. An annual audit plan based on the assessment results is then produced.

These audit plans are then provided to the management for consolidation of all audit requirements into a financial year audit plan. Audit plans identify frequency, auditee, audit function and location. Management will identify and confirm sufficient resources to acquit the plan and submit the consolidated audit plan back to the business units for approval.

To achieve conformity with this provision, tracking/monitoring progress against the audit plan will be demonstrated by the operator.

Refer to Guidance associated with [ORG 2.1.5](#) located in ISM Section 1.

### Quality Control

#### SEC 1.10.4 (Intentionally open)

### SEC 1.10.5

If required and/or authorized by the aviation security authority, the Operator shall have a process for conducting security tests that assess the effectiveness and proper implementation of security controls of which the Operator is in direct control. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** process for conducting security tests required and/or authorized by the aviation security authority.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected security test result reports, other evidence of evaluation of effectiveness.
- ☐ **Other Actions** (Specify)

#### Guidance

A security test is a simulated act of unlawful interference against existing security measures, carried out covertly by persons using an approved test object concealed in their baggage or on their person.



Similar tests are also sometimes performed on cargo shipments and in aircraft. Tests may be used for ensuring alertness of security personnel, which might be considered with caution because the results of testing could degrade the motivation of such personnel.

An effective testing program ensures the administration of tests:

- Are only conducted where permitted by the laws of the state(s) where such tests are conducted;
- Do not jeopardize the safety of persons;
- Do not jeopardize the safety of aircraft or airport facilities;
- Do not damage property;
- Do not alarm or inconvenience the public and persons or organizations not being tested;
- If required, includes notification of applicable police authorities and other security agencies.

Furthermore, tests may be conducted:

- In accordance with a schedule;
- Without prior notification to the operating or supervisory personnel (management, however, is made aware);
- Using clearly marked test pieces (decoys);
- By qualified personnel who are in possession of documentation authorizing such testing.

## SEC 1.10.6

If required and/or authorized by the aviation security authority, the Operator shall have a process to perform or participate in periodic operational security exercises in order to:

- (i) Evaluate the effectiveness of procedures designed for response to security incidents;
- (ii) Practice implementation of security procedures by applicable personnel. **(GM)**

### Auditor Actions

- ☐ **Identified** the process for conducting security exercises required and/or authorized by the aviation security authority.
- ☐ **Examined/Assessed** security exercise process, including scheduling and evaluation mechanism.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected reports of previous security exercises.
- ☐ **Other Actions** (Specify)

### Guidance

If the Operator is invited to participate in an emergency response exercise (where a security element may be addressed), or wishes to conduct its own emergency response exercise, the Operator will be able to correct any deficiencies discovered as a result of plan implementation.

If the opportunity to participate in a full-scale emergency exercise is not possible, an operator may conduct a table-top security exercise.

## 1.11 Quality Control of Outsourced Operations and Products

### SEC 1.11.1A

If the Operator has external service providers conducting outsourced operational security functions, the Operator shall ensure a service provider selection process is in place that ensures:

- (i) Security-relevant selection criteria are established, such as, for example, SeMS key elements;
- (ii) Service providers are evaluated against these criteria prior to selection. **(GM) ◀**



## Auditor Actions

- ☐ **Identified/Assessed** selection process for external service providers.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records/documents that demonstrate application of the selection process.
- ☐ **Coordinated** to verify implementation of selection process in all operational areas.
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is for an operator to define relevant safety and security criteria for use in the evaluation and potential selection of aviation security service providers. This is the first step in the management of external service providers and would take place prior to the operator signing an agreement with a provider. The process need be applied only once leading up to the selection of an individual service provider.

Refer to the guidance associated with [ORG 1.6.1](#) and [SEC 1.11.3](#).

Additional Guidance can be found in Airport Handling Manual (AHM) 621 and 803, IATA SeMS Manual and ISAGO Standards Manual (GOSM).

### SEC 1.11.1B

If the Operator has external service providers conduct outsourced operational security functions, the Operator shall have a process to ensure a contract or agreement is executed with such external service providers. Such contract or agreement shall identify the application of specific documented requirements that can be monitored by the Operator to ensure requirements that affect the security of its operations are being fulfilled by the service provider. **(GM)** ◀

## Auditor Actions

- ☐ **Identified/Assessed** process to execute contracts or agreements with external security service providers.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected contracts/agreements used for external security service providers.
- ☐ **Other Actions** (Specify)

## Guidance

The contract or agreement typically includes the measures required and associated performance measures (perhaps in a supplemental service level agreement) to be met by the service provider.

To satisfy the monitoring specification of this provision, service providers (or contractors) that provide security services required under the AOSP and its associated SSPs would typically receive planned inspections and/or audits by the operator.

Normally, an operator obtains a written undertaking that ensures service providers are familiar and comply with standards of the operator and local regulatory requirements.

An important aspect to be monitored by the operator would be the security training provided to personnel of the service provider(s).

The use of the Standard Ground Handling Agreement (SGHA) and Service Level Agreement (SLA) contained in the IATA Airport Handling Manual (AHM) 810/811 and 803 typically signifies that the provider is in conformity with this provision.

The use of a registered ISAGO provider typically signifies that the provider is in conformity with basic industry security requirements.

Refer to Guidance associated with [ORG 1.6.2](#) located in ISM Section 1.

### SEC 1.11.2

If the Operator has external service providers conducting outsourced operational security functions, the Operator shall have processes to monitor such external service providers to ensure requirements that affect the security of operations are being fulfilled. **(GM)** ◀

**Note:** IOSA or ISAGO registration as the only means to monitor is acceptable provided the Operator obtains the latest of the applicable audit report(s) through official program channels and considers the content of such report(s).

## Auditor Actions

- ☐ **Identified/Assessed** processes used for monitoring external service providers (focus: monitoring process ensures provider fulfils applicable safety/security requirements).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records/reports of monitoring of external service providers.
- ☐ **Other Actions** (Specify)

## Guidance

The contract and/or agreement may contain those aspects of the Security Program and/or regulatory requirements to be undertaken by the external service provider. In most cases only one or two aspects of the AOSP may be involved, which would negate the requirement to provide or monitor compliance with the entire AOSP.

Examples of activities that might be used to verify such compliance include:

- Periodic quality assurance audits of providers conducted by the operator using either corporate or local resources;
- Reports submitted to the operator by the provider detailing self-audit schedules and results;
- Quality control functions (e.g. security surveys/tests) conducted jointly by the operator and provider.

△ The use of a registered ISAGO provider typically signifies that the provider is in conformity with basic industry security requirements and meets [SEC 1.11.3](#) criteria.

Refer to Guidance associated with [ORG 2.2.1](#) located in ISM Section 1.

□

## SEC 1.11.3

If the Operator has external service providers conducting outsourced security operational functions, the Operator *should* ensure the security service providers have a security management system (SeMS) that includes, at a minimum, the following key elements:

- (i) Corporate commitment and governance;
- (ii) Resource management;
- (iii) Threat assessment and risk management;
- (iv) Management of emergencies and incidents (resilience);
- (v) Quality control and quality assurance;
- (vi) Security documentation developed in accordance with relevant Air Operator Security Program (AOSP) and Supplementary Station Procedures (SSPs). **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** supervision and control function of the relevant AOSP and SSP measures.
- ☐ **Interviewed** responsible ESPs manager(s).
- ☐ **Examined** relevant sects of security provisions.
- ☐ **Coordinated** to verify implementation and oversight functions in all operational areas.
- ☐ **Other Actions** (Specify)

## Guidance

The intent of this provision is for Operators outsourcing operational security functions to select, where possible, and give priority to, mature service providers capable of implementing the similar Security Management System (SeMS) core elements applicable for Operators ([SEC 1.1.1](#)) and/or required by States endorsing SeMS criteria (as defined in the ICAO Aviation Security Manual, Doc 8973, Section 9.3 on SeMS).

The external service providers targeted are all the external entities involved in any of the security-related provisions contained in the ISM Sections, with a priority to CGO (regulated agents, known consignors, shippers, freight forwarders and any other approved entities as indicated in [Section CGO 3.7](#)) and entities engaged in GRH security measures ([Section GRH 3.7](#)) in addition to SEC Section. The external service provider is typically selected based on security-relevant criteria ([SEC 1.11.1A](#)) and executes a contract or an agreement ensuring the outsourced security requirements are being fulfilled ([SEC 1.11.1B](#)) and are monitored by the Operator ([SEC 1.11.1B](#) and ICAO Annex 17 Standard 3.5.3).

Conformance with this ISARP will typically take place prior to the operator signing an agreement with a provider, and then be maintained during the oversight functions via regular reports of the effective implementation of the measures outsourced to SeMS external service providers (reports provided either directly by the SeMS provider, or via oversight functions performed by recognized SeMS verification entities, local authorities, and/or the Operator).

Oversight reports will normally be provided by the outsourced service provider at least once every 12 months.

The external service providers are also expected to:

- use currently available threat assessment and risk management tools for their own operations,
- share, on a timely basis, all security incidents and security occurrences following internationally recognized security incidents and occurrences reporting taxonomies with the Operators they represent,
- adapt their own Security procedures according to the adjustments required by the Operator following the analysis of the above-mentioned internal security reporting or internal risk assessments.

Refer to the guidance associated with [SEC 1.1.1](#), [SEC 1.11.1A](#), [SEC 1.11.1B](#), [SEC 1.11.2](#), [SEC 1.2.1](#), Sections [GRH 3.7](#), Section [CGO 3.7](#), [ORG 1.6](#), and [ORG 2.2](#).

Refer to additional guidance with the ICAO Aviation Security Manual (Doc 8973 - Section 9.3 on SeMS) for any additional requirements that may be imposed by local authorities.

Refer to Annex 6 Standard 15.1 and the need for “specific safety risk assessments of the supply chain for items to be transported” that could be performed jointly with the security risk assessments for the cargo supply chain as mandated in the Chapter 4.6 of the Annex 17.

Refer to publicly available ICAO guidance material on AOSP and SSP (<https://www.icao.int/Security/SFP/Pages/AOSP-and-SSP.aspx>) and on Security Incident Reporting Guidance and Taxonomy (<https://www.icao.int/Security/SFP/Pages/Incident-Reporting-Guidance-and-Taxonomy.aspx>)

Refer to IATA public SeMS webpage for additional information on SeMS-related products (<https://www.iata.org/en/programs/security/security-management-system-sems/>)

## SEC 1.11.4

If the Operator has operational security functions conducted by external organizations not under the control of the Operator, the Operator shall have methods, as permitted by the applicable civil aviation security authority, for the monitoring of such functions to ensure, as permitted, implementation of outsourced security measures is in compliance with its AOSP. **(GM)**

### Auditor Actions

- ☐ **Identified** operational security functions conducted by external organizations not under the control of the operator.
- ☐ **Identified/Assessed** methods used by the operator for monitoring functions to ensure that security controls are implemented.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of monitoring the external organizations that conduct security functions.
- ☐ **Other Actions** (Specify)



**Guidance**

Security procedures may be performed by law enforcement agencies, civil aviation authorities, airport authorities or other organizations not under the control of or under contract to the operator. When the operator has no direct authority over the organization performing the security measures, oversight and verification functions could be performed via inspections and reporting in case of incidents or deviation from the standard operating procedures.

If permitted by law or the applicable civil aviation security authority, the operator might assess the quality of such security procedures through the use of tests, surveys and/or exercises.

This standard is applicable to all security procedures required under the security program of the State, state of operation or the operator.

**1.12 Operational Reporting****SEC 1.12.1**

The Operator shall have an operational security reporting system that is implemented throughout the organization in a manner that:

- (i) Encourages and facilitates personnel to report security incidents and security occurrences pertaining to the Operator;
- (ii) Ensures mandatory reporting in accordance with applicable regulations;
- (iii) Includes analysis and management action as necessary to address security issues identified through the reporting system. **(GM)**

**Auditor Actions**

- ☐ **Identified/Assessed** system for operational personnel to report security incidents and security occurrences (focus: system urges/facilitates reporting of security/safety concerns; includes analysis/action to validate/address reported security/safety concerns).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected reports submitted by operational personnel.
- ☐ **Other Actions** (Specify)

**Guidance**

Refer to the IRM for the definitions of Just Culture, Security Incident, Security Occurrence, Security Vulnerability and Security Threat.

Frontline personnel, such as flight or cabin crew members, maintenance technicians and ground handling personnel, are in the best position to note abnormalities that could indicate real or potential security threats, or any other security concerns, so they may be brought to the attention of the head of security and other relevant managers.

Applicable aviation security authorities would be notified in accordance with [SEC 4.3.2](#) when a legitimate security incident or security occurrence has been identified through the operational security reporting system.

The effectiveness of a reporting system is determined by a basic requirement for safeguarding information. Typically, individuals will continue to provide information only when there is confidence that such information will be used only for the purpose of improving operational security and will never be compromised or used against them.

A system that encourages and promotes reporting from personnel might include:

- A process that protects the confidentiality of the report;
- A process that provides for review by corporate security personnel;
- An articulated Just Culture policy that encourages reporting of security incidents or events, even if resulting from human error;
- A shared responsibility between personnel (or, if applicable, respective professional associations) and management to promote the confidentiality of the reporting system;
- A process for secure de-identification of reports;

- A tracking process of action taken in response to reports;
- A process to provide feedback to the reporter, when appropriate;
- A communication process for ensuring frontline operational personnel, as well as other relevant personnel, are apprised of potential security issues through dissemination of de-identified report information.

An operational reporting system is implemented as permitted by law or as restricted by other specified obligations placed on an operator.

A security reporting system, regardless if developed separately or in conjunction with other operational reporting system(s), is normally designed in a way that enables analysis and the undertaking of necessary actions.

Typically, an operator's reporting system includes its own staff and, as applicable, that of service providers as reporting is a service provider's obligation under the IATA Standard Ground Handling Agreement provisions.

Qualitative and quantitative analysis of security data would be facilitated if the operator uses a harmonized taxonomy for the classification of reports. In this regard, an operator might refer to the IATA Safety Incidents Taxonomy (ISIT), which includes security taxonomy. Expanding harmonized taxonomy to service providers would benefit security threat, vulnerability and event analysis by allowing for more consistency, benchmarking and security performance measurement.

IATA has established a database system called the Incident Data Exchange (IDX). IDX permits operators to report security incidents and security occurrences for uploading into the IDX safety management database for subsequent analysis by users. The IDX submission process requires submission of security incident and security occurrence reports using a common taxonomy (ISIT) that is aligned with the IDX security taxonomy. See [SEC 4.3.3](#), which addresses the reporting of security incidents and security occurrences to IATA for inclusion in the IDX.

Refer to [ORG 3.1.2](#) and [ORG 3.1.3](#) located in ISM Section 1 for information that addresses an operational safety reporting systems.

### SEC 1.12.2

The Operator shall have a process to ensure security information, security incidents, security occurrences and acts of unlawful interference that have been reported by personnel in accordance with [SEC 1.12.1](#) or are derived from states or other relevant sources are reviewed by operational and security management to ensure:

- (i) Root cause is identified;
- (ii) A security risk assessment is conducted;
- (iii) Corrective action is determined;
- (iv) When applicable, corrective action is implemented and monitored to ensure effectiveness in preventing future incidents or occurrences. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** security risk management process (focus: incidents, occurrences, acts of unlawful interference derived from internal reporting and external sources is evaluated and, as applicable, subjected to the security risk management process).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected security risk management reports (focus: root causes identified, risks assessed, corrective actions developed and implemented/monitored).
- ☐ **Other Actions** (Specify)

#### Guidance

An effective process provides for a review and analysis of each report to determine the risk associated with the reported issue and, where applicable, ensures development and implementation of appropriate action by responsible management to correct the situation.

In addition, an effective process provides for a review and analysis of information derived from each report and from external sources to determine the need for risk assessment and, when applicable,

the development and implementation of appropriate risk control action by responsible management to mitigate the security risk. Effective security risk management ensures security information, security incidents and acts of unlawful interference are acted upon under a security methodology that evaluates and address security threats, vulnerabilities and associated consequences.

## 2 Training and Qualification

### 2.1 Training Program

#### SEC 2.1.1

The Operator shall have a security training program that is approved or accepted by the State and meets applicable requirements of other states. Such program shall consist of initial, recurrent and, where applicable, requalification training that comprises, as appropriate, theoretical training, practical training and an assessment of competencies to ensure:

- (i) Personnel, employed by or under the control of the Operator who implement security controls understand security awareness and reporting, and have the competence to perform their duties;
- (ii) Flight and cabin crew members, as well as frontline aircraft ground handling and cargo handling personnel, are able to act in the most appropriate manner to minimize the consequences of acts of unlawful interference and disruptive passenger behavior. **(GM)**

**Note:** If permitted by the State, the program shall ensure applicable personnel have completed appropriate security background checks in accordance with [SEC 1.5.3](#) prior to attending any training that contains sensitive or restricted security information.

**Note:** Applicable personnel shall complete initial security training prior to being assigned to operational duties.

#### Auditor Actions

- ☐ **Identified/Assessed** security training program (focus: approval/acceptance by State; meets applicable requirements of other states; background checks required prior to personnel attending training).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected security training program curricula (focus: contain theoretical and practical training elements).
- ☐ **Examined** selected ground/cargo handling personnel training records (focus: completion of initial/recurrent security training).
- ☐ **Other Actions** (Specify)

#### Guidance



Training may be sub-divided for line managers/supervisors, aircrew, ramp workers, cargo personnel and other personnel who are directly involved in the implementation of security measures and thereby require an awareness of obligations to the AOSP. Where applicable, SeMS elements contained in [SEC 1.1.1](#) can be included in the training and assessment of competencies.

The security training program is typically integrated into the normal training curriculum for operational personnel and need not be stand-alone training.

The proportion of theoretical and practical training is typically based on requirements of the State. For certain functions or duties there may not be a practical component.

The scope of recurrent security training, as well as the specific subject matter included, may vary in accordance with requirements of the applicable authorities and the security policy of the operator.

The assessment of competencies to ensure the objectives of the training have been met is typically done via testing, on the job assessment or a combination of both. The passing mark and required elements in the assessment of competencies are usually determined by the State.

An existing background check from a previous employer may be acceptable if still time valid.



Different training tools for security awareness and security incident reporting have been developed by states and the Industry. The use of IATA's "See it Report it" training and certification tool is one method for the operator to demonstrate conformity with the relevant specification in this provision. (<https://www.iata.org/whatwedo/security/Pages/security-management-system-sems.aspx>)

### SEC 2.1.2

If the Operator has operational security functions conducted by external service providers selected by the Operator (outsourcing), the Operator shall have a process to ensure such external service providers have a security training program that:

- (i) Is acceptable to the Operator;
  - (ii) Consists of initial, recurrent and, where applicable, requalification training;
  - (iii) Includes, as appropriate, theoretical and practical training;
  - (iv) Includes an assessment of competencies;
  - (v) Ensures personnel have a common understanding of security awareness and reporting.
- (GM)

#### Auditor Actions

- ☐ **Identified/Assessed** process(es) to ensure external service providers have security training programs.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected evidence that ensures external service provider(s) have a security training program that meets the specifications in this provision.
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is for an operator to ensure its security requirements are being satisfied by service providers at all stations at which it operates. This includes knowledge and understanding of relevant security requirements and how to apply them in operational functions. Where applicable, SeMS elements contained in [SEC 1.11.3](#), can be included in the training and assessment of competencies.

In states where providers are prohibited from divulging security information, it might be necessary for the operator to seek access from the local regulatory authority or attempt access through diplomatic channels. In some cases, the host country regulator may be requested to obtain the applicable security information as part of its station audits, which typically ensure security training for providers at the station meets local and/or ICAO requirements.

When a service provider will not provide access to its security training program, the operator can seek to reach an agreement whereby the service provider uses the operator's training program. If such agreement is not possible, then, depending on other options available and the type(s) of services to be provided, the operator could conduct a risk assessment to determine the need to select another provider.

The assessment of competencies to ensure that the objectives of the training have been met is typically done via testing, on the job assessment or a combination of both. The passing mark and required elements in the assessment of competencies are usually determined by the State. If such standards are not established by the State, the external service provider will typically be required by the operator to have passing thresholds similar to the Operator,

### SEC 2.1.3 (Intentionally open)

### SEC 2.1.4

The Operator shall ensure personnel who perform operational security functions, crew members and appropriate operational personnel, as specified in [SEC 2.1.1](#), complete recurrent security training on a frequency in accordance with requirements of the security program of the State and, if applicable, other states where operations are conducted or, if there is no regulatory mandate, not less than once every 36 months. (GM)



## Auditor Actions

- ☐ **Identified** requirements mandating frequency of recurrent training (focus: compliance with requirements of the State and other relevant states; if there is no regulatory mandate, not less than once every 36 months).
- ☐ **Examined** selected recurrent training records, material and schedules.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

## Guidance

The scope of recurrent security training, as well as the specific subject matter included, may vary in accordance with requirements of the applicable authorities and the security policy of the operator.

- ☐ Where applicable, SeMS elements contained in [SEC 1.11.3](#), can be included in the training and assessment of competencies.

### SEC 2.1.5

If the Operator manages a security screening system, the Operator shall ensure personnel who manage or operate the screening system:

- (i) Are approved and/or certified in accordance with requirements of the applicable aviation security authority;
- (ii) Complete initial and recurrent training that includes training in the identification of explosives, weapons or other dangerous items or devices. **(GM)**

## Auditor Actions

- ☐ **Identified** security screening system(s) managed or operated by operator.
- ☐ **Identified/Assessed** screener approval/certification program (focus: in compliance with requirements of all applicable aviation securities authorities).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected initial/recurrent screener training curricula (focus: training includes identification of explosives/, weapons/other dangerous items/devices).
- ☐ **Examined** selected initial/recurrent screener training records (focus: completion of training in identification of explosives/, weapons/other dangerous items/devices).
- ☐ **Other Actions** (Specify)

## Guidance

When a screener certification program exists, an operator is normally required to ensure all screeners are certified by the applicable aviation security authority. In locations where there is no screener certification program, the operator typically provides a level of training to all screeners that ensures such personnel are able to properly detect and identify all explosives, components of improvised explosive devices, weapons and other dangerous items or devices.

Continuing competency is normally maintained through recurrent training on a frequency that is in accordance with requirements of the applicable aviation security authority.

The approval/certification of personnel who manage or operate the screening system would typically include:

- A check of the person's reliability (initial and recurrent background check).
- Completion of initial and recurrent training specific for the job function, to include:
  - Theoretical, practical and on-the-job training.
  - Training on the use of screening equipment to enhance capabilities for detecting explosive materials and/or explosive devices, whether carried by persons or within any item screened.
- Evidence of formal approval/certification accomplished either by or on behalf of the relevant aviation security authority.

Screeners undertaking cargo screening duties are typically not looking for weapons. Such personnel are normally trained to detect and identify improvised explosive devices, including individual components, and unauthorized dangerous goods.

### SEC 2.1.6

The security training program of the Operator shall include a process for reviewing and updating or revising security training courses to ensure:

- (i) Continual improvement of curriculum, including content and applicability to the operational environment;
- (ii) Incorporation of regulatory amendments or operational changes. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** process(es) for review/updating security training courses (focus: emphasis on continual improvement/applicability to operational environment).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected security training curricula revisions (focus: incorporation of regulatory amendments/operational changes).
- ☐ **Other Actions** (Specify)

#### Guidance

A training review/revision program will typically consist of:

- A risk-based training needs analysis by the operator's security department;
- A check against the current regulatory framework;
- A check against current and emerging security threats;
- Reaction/experience of the trainee with respect to training relevance/added value by means of questionnaire;
- An assessment of training effectiveness through measurement of operational performance or observation of trainee performance;
- Consideration of cost effectiveness.

### SEC 2.1.7

The Operator shall ensure the completion of required security training by operational personnel is documented and retained in a records system in accordance with [SEC 1.8.1](#).

#### Auditor Actions

- ☐ **Identified/Assessed** security training record keeping process(es) (focus: security training for all operational personnel documented/recorded).
- ☐ **Interviewed** responsible management manager(s).
- ☐ **Examined** selected security training records (focus: retention in accordance with [SEC 1.8.1](#)).
- ☐ **Other Actions** (Specify)

### SEC 2.1.8

The Operator shall ensure all personnel complete security awareness training that focuses on raising awareness of security threats and preventative measures and techniques, and permits such personnel to contribute to the prevention and reporting of security occurrences and security incidents. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** requirement to complete security awareness training for operational personnel.
- ☐ **Examined** security awareness training program contents and selected training records.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

## Guidance

- Typically, security awareness training program contents may include:
  - Purpose of training security awareness;
  - Briefings on threats and risks to civil aviation and potential consequences in case of insufficient safeguarding or complacency;
  - Identification of the role that the organization plays in safeguarding against acts of unlawful interference;
  - Recognition of what may be considered as suspicious activities;
  - Identification of the role of all players in improving the security culture of their organization;
  - Recommendations for measures that may help improve the security culture in the organization;
  - Briefings on communication mechanisms;
  - Procedures for occurrence-reporting mechanisms (i.e. positive culture reporting system) and follow-ups; and
  - Proper handling of sensitive aviation security information.
- △ Security awareness training revolves around ensuring all personnel have an awareness of, and positive attitude about security.
- The Operator will not always be able to ensure this requirement is fulfilled by staff working for Authorities. In some countries, it will not be possible (for legal, confidentiality and other reasons) to get information regarding training of National and Local Agencies (Customs, Police, etc.), not to get these individuals through the Operator's security awareness training program(s).
- ⊗
- △ The focus of training to achieve such awareness will vary by region or company and may be influenced by cultural, religious and other factors.
- △ Some operators, depending on the individual organizational structure, may find it more appropriate to have multiple security awareness training courses developed specifically for each operating area (for example for specific functional areas such as engineering, aircrew, technical, corporate).  
Security awareness training may be integrated into other job-related training courses (as opposed to a standalone course).  
Typically, operational personnel that complete security awareness training are crew members, frontline ground handling personnel and all personnel that implement security controls irrespective of whether such personnel are directly employed by the operator or employed by external service providers.
- ⊗
- △ Different training tools for security awareness and security incident reporting have been developed by states and the Industry. The use of IATA's "See it Report it" training and certification tool is one method for the operator to demonstrate conformity with the reporting specification in this provision.  
(<https://www.iata.org/whatwedo/security/Pages/security-management-system-sems.aspx>).  
(<https://www.icao.int/Security/SFP/Pages/Incident-Reporting-Guidance-and-Taxonomy.aspx>).
- Responsible managers should be able to demonstrate the importance of adopting a positive security culture and the link with security awareness and discharging security responsibilities.
- Responsible managers should be aware of security culture programs and their implementation.
- Security culture is also strongly promoted by ICAO. One of the deliverables of the Year of Security Culture (2020-2021) initiative is the Security Culture platform where materials are freely available.  
(<https://www.icao.int/Security/Security-Culture/Pages/default.aspx>)
- Typically, security awareness training programs will include an assessment of competencies. The assessment of competencies to ensure that the objectives of the training have been met is typically done via testing. The passing mark and required elements in the assessment of competencies are usually determined by the State or defined by the Operator.

## 3 Security Operations

### 3.1 Access Control

#### SEC 3.1.1

If the Operator has exclusive control over airport airside areas and/or security restricted areas, the Operator shall ensure an identification verification system and a screening system are in place that prevents personnel and vehicles from unauthorized access and from introducing unauthorized items in the security restricted area. Such identification system shall include:

- (i) Designated checkpoints where identification is verified before access is permitted;
- (ii) A requirement for authorized personnel to prominently display an identification badge. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** identification verification system in place to prevent unauthorized access to airport security restricted area(s). Identification of the screening systems deployed by the Operator.
- ☐ **Identified** designated checkpoints where identification is verified and/or screening performed.
- ☐ **Identified** system used to ensure all authorized personnel prominently display their identification badge.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

#### Guidance

Access to airside and security restricted areas is often the responsibility of the airport operator or a designated government agency. At those airports where an operator has exclusive control over a specific area within the airside or the security restricted area, it is the responsibility of the operator to control access through its managed checkpoints.

As a reference, ICAO Annex 17 requires states to establish measures to ensure applicable personnel are screened prior to entry airport security restricted area, including use of appropriate screening methods capable of detecting explosives either continuously or in an unpredictable manner.

In most cases the identification badge is issued by the airport authority or a designated government agency. It is not expected that an operator will need to develop its own identification system, provided the airport operator or government agency system is sufficient.

#### SEC 3.1.2

The Operator shall ensure measures are in place to control and supervise personnel and vehicles moving to and from the aircraft in security restricted areas to prevent unauthorized access to the aircraft. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** measure(s) to control and supervise the movement of personnel and vehicle to and from the aircraft in the security restricted area(s)
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

#### Guidance

Procedures are in place to ensure airline personnel intercept any person identified as having no need to be on board or near the aircraft.

In some environments, it would be prudent not to leave an in-service aircraft unattended. Precautions may be taken to prevent unauthorized access to aircraft that are not in service and are parked and unattended. For example, all external doors may be locked, all stairs and loading bridges are removed (or locked) and any steps left near the aircraft are immobilized.

Passengers boarding or disembarking from flights using the apron are to be supervised when passing from the terminal building to the aircraft. Such measures are applied whether the passengers are walking or are being transported in vehicles.

Particular care is taken to ensure only crew members, authorized representatives and officials, and bona fide passengers are permitted access to the aircraft.

△

## SEC 3.1.3

The Operator shall ensure access control measures are in place to prevent the introduction of unauthorized weapons, explosives or other dangerous devices or items on board an aircraft by persons other than passengers. **(GM)**

### Auditor Actions

- **Identified/Assessed** process(es) to prevent the introduction of unauthorized weapons, explosives or other dangerous devices on board an aircraft.
- **Examined** records of the capture and prevention of unauthorized weapons, explosives or other dangerous devices on board an aircraft.
- **Interviewed** responsible manager(s).
- **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Supernumerary.

△

Typically, access control and security screening measures will apply to personnel of the operator and service providers, including supernumeraries that are authorized to travel on an aircraft to perform specific duties. Measures that apply to access control and screening of personnel are documented in the AOSP and/or other operational manual(s) such as Supplementary Station Procedures (SSPs).

The baseline for such measures typically would be that a person:

- Holds a valid authorization to enter a security-restricted area (based on, as a minimum, a background check, operational needs and completion of security awareness training);
- Is subjected to screening (combination of equipment and procedures aimed at identifying and/or detecting all potentially dangerous items, substances, and devices that could be used to commit an attack).

As a reference, ICAO Annex 17 requires states to establish measures to ensure applicable personnel are screened prior to entry airport security restricted area, including use of appropriate screening methods capable of detecting explosives either continuously or in an unpredictable manner.

An effective method to deter or detect illegal access to aircraft is the implementation of frequent but irregularly timed patrols by security personnel. This is particularly important when operations are at their lowest levels and aprons and hangar areas are least frequented. Such patrols are normally conducted by airport personnel.

Additional measures to prevent unauthorized access to passenger aircraft may include:

- Parking aircraft in a well-lit area; adding security lighting, if necessary;
- When possible, parking aircraft in an area visually observable and/or covered by CCTV;
- Parking aircraft away from fences or buildings that might provide easier access;
- For aircraft parked overnight, depending on the assessed risk at the location, applying a tamper-evident seal to all exterior doors accessible without aids or verifying the identity of all persons who access the aircraft to ensure a legitimate reason for accessing the aircraft;
- For aircraft parked remotely from a loading bridge:
  - Closing all exterior doors and exterior hatches of the aircraft;
  - Removing all stairs;
  - Ensuring no portable stairs, lift devices or passenger transfer vehicles are in the immediate vicinity of the aircraft.
- For aircraft parked with access to a loading bridge:
  - Closing all exterior hatches of the aircraft;

- Closing all exterior doors of the aircraft not served by a bridge;
- Locking the door between the terminal and the bridge;
- Ensuring no portable stairs, lift devices or passenger transfer vehicles are in the immediate vicinity of the aircraft;
- Locking or keeping under constant surveillance doors that provide access to the bridge from the apron or retracting the bridgehead from the aircraft and deactivating the bridgehead positioning controls.

## 3.2 (Intentionally open)

## 3.3 Carriage of Weapons

### SEC 3.3.1

If the carriage of weapons on board an aircraft by law enforcement officers and/or other authorized persons acting in the performance of their duties is approved by the Operator, the State and/or other applicable authorities, the Operator shall have a policy and procedures, in accordance with the laws of the state(s) involved, for such carriage of weapons. **(GM)**

**Note:** Notification to the PIC of authorized armed persons on board occurs in accordance with [FLT 3.9.4](#) and [GRH 3.7.5](#). The content of such notification may vary in accordance with the laws of the state(s) involved in the approval for weapons carriage.

#### Auditor Actions

- ☐ **Identified/Assessed** policy and procedures for the carriage of weapons in the cabin of the aircraft.
- ☐ **Examined** selected documents that reflect validity of carrying weapons on board an aircraft.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

#### Guidance

The term 'weapon' in the context of this provision is normally a firearm legally in the possession of a law enforcement officer or other authorized individual (e.g. an inflight security officer acting in the performance of his or her duties as an armed officer).

An agreed procedure with the relevant law enforcement agency is typically in place that permits the operator to notify the PIC (and other crew members as required by local requirements) of the presence of armed persons on board.

Operators will have differing methods to accomplish the booking, seating and notification to the flight crew of armed individuals on board. A clear communication protocol by the operator ensures a consistent booking-to-boarding process for such individuals. The content of such notification may vary in accordance with the laws of the state(s) involved in the approval for weapons carriage.

In accordance with ICAO standards, states that could be relevant to an individual flight (i.e. states of departure, transit, arrival, potential diversion) will have laws that require special authorization for the carriage of weapons on board an aircraft.

Each Contracting State ensures that the carriage of weapons on board aircraft by law enforcement officers and other authorized persons acting in the performance of their duties requires special authorization in accordance with the laws of the States involved.

### SEC 3.3.2 (Intentionally open)

### SEC 3.3.3

If the carriage of weapons in hold baggage on board an aircraft for a passenger flight is approved by the Operator, the Operator shall have procedures for the carriage of such weapons to ensure:

- (i) If the weapon is a firearm or capable of discharging a projectile, the passenger or an authorized and duly qualified person has declared the weapon to be not loaded;



- (ii) The weapon is stowed in a place that is inaccessible to any unauthorized person during flight;
- (iii) The carriage of a weapon is legally permitted by all state(s) involved, including the State and state(s) of flight departure, transit and arrival. **(GM)**

**Auditor Actions**

- ☐ **Examined/Assessed** procedures used for the authorization, control and stowage of weapons carried on board.
- ☐ **Identified** persons who are authorized and qualified to determine weapons are not loaded.
- ☐ **Examined** locations where weapons are stowed in the aircraft to confirm they remain inaccessible to unauthorized persons during flight.
- ☐ **Identified/Assessed** procedures to determine that the transport of a weapon is legally permitted in all states involved.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

**Guidance**

With the approval of the operator, the following procedures are typically implemented for any weapon carried as hold baggage:

- Prior to acceptance, the passenger or other authorized and duly qualified person determines that the weapon is not loaded. A declaration may be used to confirm the status of the weapon;
- The weapon is transported in a sturdy container to prevent any possible damage during the flight;
- Ammunition is securely boxed and carried separately from the weapon, and is handled in accordance with applicable dangerous goods regulations;
- Weapons and ammunition are stowed in an area that inhibits access by any unauthorized person while the aircraft is in flight; such weapons are not to be carried on the flight deck or retained by any crew member;
- If available, a lockable tamper-proof container located in the aircraft hold is used for this purpose;
- Transit and transfer stations are advised and ensure the integrity of such items;
- At the final destination, when required by the State of Flight Arrival, security procedures are implemented to return the weapons and/or ammunition to the passenger;
- Where the weapon is stowed in a baggage compartment (or hold) that is accessible to persons during flight:
  - The compartment door(s) remain closed and are monitored during the flight;
  - The weapon is packed separately from any ammunition;
  - The weapon is stowed in the compartment in a manner that access is obstructed (or impeded) by other baggage.

### 3.4 Passengers (Including Supernumeraries) and Cabin Baggage

**SEC 3.4.1**

If the Operator conducts passenger flights, the Operator shall have a process to ensure originating passengers and their cabin baggage are subjected to screening prior to boarding a passenger aircraft for;

- (i) An international flight;
- (ii) As required by the applicable aviation security authority, a domestic flight. **(GM)**

**Note:** *Supernumeraries that require a flight reservation or passenger name record for transport on the aircraft shall be subjected to the requirements of this provision unless exempted by the State.*



## Auditor Actions

- ❑ **Identified/Assessed** process(es) to ensure all passengers (including supernumeraries, if applicable) and their cabin baggage are screened prior to boarding a passenger aircraft for international flights.
- ❑ **Identified/Assessed** process(es) for the screening of originating passengers (including supernumeraries, if applicable) and their cabin baggage for domestic flights (if required by the applicable aviation security authority).
- ❑ **Interviewed** responsible manager(s).
- ❑ **Observed** passenger/baggage handling operations (focus: originating passengers/cabin baggage are subjected to screening prior to aircraft boarding).
- ❑ **Other Actions** (Specify)

## Guidance

Refer to the IRM for the definition of Domestic Flight.

The effective screening of all passengers and their cabin baggage is recognized as an essential element in achieving a safe and secure operation, and forms part of the passenger handling procedures contained in the AOSP and its associated SSPs.

Technical equipment used for the screening of persons and baggage has certain limitations. Archway metal detectors and hand-held metal detectors, for example, cannot detect non-metallic weapons and explosives. Even conventional X-ray equipment does not always image or define explosive material effectively. To compensate for such limitations, or to introduce a random element into the selection process, it may be advisable to conduct an additional search of passengers and cabin baggage after they have been screened. The additional screening can be performed by hand or by technical means, such as explosive trace detection (ETD), full-body X-ray, explosive particle or vapor detection portals and/or other approved advanced technological methods.

It is recommended that screening equipment used to assist screening personnel is capable of detecting explosive materials and/or explosive devices that might be carried by passengers either on their person or in cabin baggage.

If the use of explosive detection screening equipment is not continuous, then it is recommended that such equipment be used on a random basis to ensure non-predictability by passengers and others.

Specific guidelines and procedures are developed and training is given to personnel for addressing persons with special needs.

### SEC 3.4.2 (Intentionally open)

### SEC 3.4.3

If the Operator conducts passenger flights, the Operator shall have a process to ensure transfer and transit passengers and their cabin baggage *either*:

- (i) Are subjected to screening prior to boarding a passenger aircraft, *or*
- (ii) Have been screened to an appropriate level at the point of origin and subsequently protected from unauthorized interference from the point of screening at the originating airport to the departing aircraft at the transfer or transit airport. **(GM)**

## Auditor Actions

- ❑ **Identified** process(es), when required, to ensure all passengers and their cabin baggage are screened prior to boarding a passenger aircraft.
- ❑ **Identified/Assessed** criteria used to determine whether passengers and cabin baggage are re-screened at the transit/transfer airport or if one-stop-security is applied.
- ❑ **Observed** screening measures being implemented for transfer and transit passenger and their cabin baggage, as applicable.
- ❑ **Interviewed** responsible manager(s).
- ❑ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Unauthorized Interference.

Transit and transfer passengers and their cabin baggage may not require screening prior to admission to an airport security restricted area if, in the judgment of the appropriate authority for security, the standard of screening en route and at the airport of embarkation is equal or comparable to that of the admitting state. However, measures ought to be established to ensure transit or transfer passengers do not take unauthorized articles on board an aircraft.

#### SEC 3.4.4

If the Operator conducts passenger flights, the Operator shall have a process to ensure passengers and their cabin baggage are subjected to additional security controls in accordance with requirements of the applicable aviation security authority when flights are under an increased security threat. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process(es) for ensuring additional security controls for flights under increased security threat.
- ☐ **Observed** additional passenger and cabin baggage security measures implemented based on the various levels of increased security threats.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

### Guidance

In the case of a general (i.e. non-specific) *intermediate* threat level, in addition to the baseline passenger and carry-on screening procedures, the following additional measures may be implemented:

- Continuous random searching of passengers by hand (or by approved technological methods) either at the departure gate (where airport facilities permit) or other suitable location(s).
- Continuous random searching of cabin baggage by hand (or by approved technological means) either at the departure gate (where airport facilities permit) or other suitable location(s).

In the case of a general (i.e. non-specific) *high* threat level, additional measures such as the following may be introduced:

- All departing passengers are searched again by hand or screened with metal detection equipment at the departure gate before being permitted to board the aircraft;
- All cabin baggage is subjected to an additional search by hand or by X-ray equipment, either at the departure gate (where airport facilities permit) or other suitable location(s), before being permitted to be carried on board the aircraft.

If a threat is specific to a certain object (e.g. liquid explosives), then more specific countermeasures than above would need to be implemented.

To facilitate additional screening, earlier close-out of passenger check-in operations is a consideration.

#### SEC 3.4.5

If the Operator conducts passenger flights, the Operator shall have a process to ensure passengers and their cabin baggage, which have already been subjected to screening, are:

- (i) Protected from unauthorized interference from the point of screening until they board a passenger aircraft;
- (ii) Subjected to re-screening if the potential for unauthorized interference has been determined to exist. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process(es) to determine if passenger re-screening is required.
- ☐ **Identified/Assessed** methods used to ensure passengers are protected from unauthorized interference until they board the aircraft.
- ☐ **Identified/Assessed** process(es) used to determine if unauthorized interference may have been possible.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** passenger/baggage handling operations (focus: process for protecting passengers/cabin baggage from unauthorized interference after screening until aircraft boarding).
- ☐ **Other Actions** (Specify)

### Guidance

For domestic flights and for flights between countries that have an equivalent application of security standards and such equivalency is recognized by the relevant state authority, the separation of screened and unscreened passengers and their carry-on baggage is sufficient.

For international flights, if the design of the airport permits, to ensure separation from departing passengers who have been subjected to screening, arriving passengers disembark from an aircraft in accordance with any of the following:

- On a level different from the departure boarding area, or
- Through an area isolated from the departure boarding area; or
- Into an area of the airport dedicated to arriving passengers only.

If physical means to avoid contact between departing and arriving passengers is not possible, passenger mix may be prevented by restricting access to the departure lounge until all arriving passengers have cleared the area. This solution may not be possible in large airport terminals with many gates close to each other.

The major concern regarding the sterility of arriving passengers will most likely be associated with flights that have originated in states where screening requirements are considered to be inadequate by the State of Flight Arrival. In order to limit the disruption of passenger flow within a terminal, consideration might be given to assigning the disembarkation of all such flights to a common sector or area of the airport or terminal that can be cordoned off and/or monitored by security personnel. Where passengers are arriving from a state where screening is considered by the State of Flight Arrival to be equal or better, arriving and departing passengers can mix.

In order to limit the disruption of passenger flow within a terminal, consideration might be given to assigning the disembarkation of all such flights to a common sector or area of the airport or terminal that can be cordoned off and/or monitored by security personnel.

### SEC 3.4.6

The Operator *should* ensure security practices and/or procedures for operational security personnel that have contact with passengers include behavior detection methods designed to identify persons who may pose a threat to civil aviation and require additional security measures. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** practices/procedures for behavior detection (focus: recognition of characteristics that indicate anomalous behavior, criteria for resolution and application of additional security measures).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** implementation of appropriate behavior detection practices/procedures.
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Behavior Detection.

An operator will typically only include behavior detection methods when it has the responsibility for implementing certain security screening and risk assessment measures to identify passengers that might pose a security threat.

The use of behavior detection methods will typically only be used for regular public transport and open charter passenger flights. Behavior detection is not normally used for government and/or closed charter passenger flights.

In accordance with SEC1.11.4 when behavior detection functions are a government responsibility, an operator will typically have methods, as permitted by the applicable civil aviation security authority, for the monitoring of such functions to ensure, as permitted, implementation is in compliance with its AOSP.

In the framework of a risk-based approach to aviation security, behavioral detection is used to identify persons who may pose a threat to civil aviation and should be subjected to additional security measures. This technique involves the recognition of behavioral characteristics, including but not limited to, physiological or gestural signs indicative of anomalous behavior.

Behavioral detection programs are based on the premise that people attempting to evade security measures typically display signs of anomalous behavior, as compared to the behaviors of the legitimate travelling population. Such programs pinpoint individuals on the sole basis of their behavior and never according to their nationality, ethnicity, race, gender or religion.

A review of existing behavioral detection programs shows that choosing persons for additional security controls on the basis of anomalous behavior can be more effective than selecting persons randomly.

Behavior detection programs in various jurisdictions might vary in terms of methodology and processes. However, typically, such programs employ a four-stage process as follows:

- An environmental baseline is established at a given time and location, within which the anomalous behavior of persons would be identified.
- Persons are observed at pre-determined locations to identify those exhibiting anomalous behaviors which are above the environmental baseline established.
- Anomalous behaviors are resolved through targeted conversation with persons and/or through additional screening.
- If anomalous behaviors cannot be resolved, persons are referred to enhanced security measure or appropriate authorities.

#### SEC 3.4.7

The Operator shall have a policy and procedures to refuse transportation to any person that does not consent to a search of his or her person or property in accordance with the AOSP. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** the policy and procedures used to deny boarding of a passenger or supernumerary that refuses to consent to security searching or other security control.
- ☐ **Examined** selected documents used when right to deny boarding is communicated to passengers.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

#### Guidance

Persons who refuse to undergo screening before boarding or entering an aircraft are denied boarding and not allowed to pass the point of search. Additionally, such persons, or others who might be denied passage for other security reasons, are referred to policing authority officials, if required by law.

## 3.5 Special Category Passengers

### SEC 3.5.1

If the Operator conducts passenger flights, the Operator shall have a policy and a process that incorporates risk assessment measures to ensure procedures are in place for the transport of potentially disruptive passengers who are obliged to travel because they have been the subject of judicial or administrative proceedings. Such procedures shall be designed to take into consideration the assurance of the safety of the aircraft during the flight. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** policy and process(es) in place for the transport of potentially disruptive passengers.
- ☐ **Identified/Assessed** process(es) used to assess the risk posed by any potentially disruptive passenger.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definitions of Deportee and Inadmissible Passenger.

Airlines that have transported people who have been refused entry to a state can be called upon to return such person(s) to the port of embarkation. Such removal is accompanied by a judicial order of removal.

Those responsible within the organization of an operator for compliance with judicial orders (e.g., station managers) inform the PIC and cabin crew at the point of embarkation. Transit and destination airports also need to be advised that such a person is being carried. The original operator advises all other operators involved in the transport of the inadmissible passenger to their final destination.

The following information is provided to the originating operator, as well as subsequent operators:

- Name and gender of the person identified as the deportee; reason for deportation (nature of crime);
- Willingness or unwillingness to travel by air;
- Whether the person has attempted to escape custody;
- Whether the person has any history of violence;
- Whether the person has a history of self-harm;
- Whether members of the person's family are booked on the same flight;
- Whether the person is likely to be the target of harm during the transportation;
- Identity of escorts (if required);
- The mental and/or physical state of the person;
- Wanted status of the person (by any other authority);
- Other information that would allow an operator to assess the risk of endangering the security of the flight;
- Special conditions and precautions for transport of the person, if any.

To ensure the safety of the aircraft during a flight, an operator typically has a process to assess the information (see above) associated with the transport of passengers that require special attention. For example, a decision might be needed as to whether a passenger will be denied boarding, or whether a passenger might require an escort.

Accordingly, there is usually a well-defined escort policy that is provided to the appropriate immigration authorities. Females travelling under the provisions of a judicial order may require a female escorting officer as a member of the escort team.

Special provisions may exist for flights where transportation of multiple inadmissible passengers is required.

Although a person is involved in travel in response to a judicial or custodial order, while in flight, such passenger is always under the control of the PIC and crew of the aircraft.

## 3.6 Hold Baggage

### SEC 3.6.1

If the Operator conducts international passenger flights, the Operator shall have a process to ensure originating hold baggage, including courier baggage, is:

- (i) Subjected to screening capable of detecting explosives and explosive devices prior to being loaded into an aircraft for an international passenger flight;
- (ii) Protected from unauthorized interference from the moment of acceptance until loaded on board the aircraft. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** process(es) for ensuring all originating checked baggage is subjected to screening prior to being loaded onto an aircraft.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** passenger/baggage handling operations (focus: originating hold baggage is subjected to screening prior to being loaded onto an aircraft for an international flight).
- ☐ **Other Actions** (Specify)

#### Guidance

All checked baggage loaded on international flights is examined by authorized screeners using approved screening methods. Each state will have varying regulations and requirements, but typically approved screening methods include:

- Explosive detection systems (EDS);
- Explosive trace detection (ETD);
- X-ray;
- Physical search;
- Canine.

Where the State delegates screening to the operator, or where the foreign host government does not perform screening to the standard required, the operator is responsible for ensuring all checked baggage is screened to the appropriate level and meets the requirements of the Operator.

In the event of an increased threat, the operator, based on risk assessment, may direct supplementary screening procedures as appropriate to counter the threat.

Courier service is an operation whereby shipments tendered by one or more shippers are transported as the baggage of a courier passenger on board a scheduled airline flight under normal passenger hold baggage documentation.

This provision also refers to a person who is employed by a courier service operator and travels as a passenger or crew member, and who checks a courier shipment in as hold baggage. Such baggage is then screened under the same requirements that apply to all hold baggage.

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Refer to [GRH 3.7](#).

### SEC 3.6.2

If the Operator conducts domestic passenger flights, the Operator should have a process to ensure originating hold baggage is:

- (i) Subjected to screening capable of detecting explosives and explosive devices prior to being loaded into an aircraft for a domestic passenger flight;
- (ii) Protected from unauthorized interference from the moment of acceptance until they are loaded on board the aircraft.



## Auditor Actions

- ☐ **Identified/Assessed** process(es) for ensuring all originating checked baggage is subjected to screening prior to being loaded.
- ☐ **Observed** the hold baggage screening process.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** passenger/baggage handling operations (focus: originating hold baggage is subjected to screening prior to being loaded onto an aircraft).
- ☐ **Other Actions** (Specify)

### SEC 3.6.3–3.6.5 (Intentionally open)

#### SEC 3.6.6

If the Operator conducts international passenger flights, the Operator shall have a process to ensure procedures are in place to prevent items of hold baggage from being transported on such flights unless such items have been:

- (i) Individually identified as either accompanied or unaccompanied baggage;
- (ii) Subjected to appropriate security controls based on risk assessment. **(GM)**

## Auditor Actions

- ☐ **Identified/Assessed** process(es) to identify if hold baggage is accompanied or unaccompanied.
- ☐ **Identified** appropriate security controls performed on unaccompanied checked baggage before being transported on international flights.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** passenger/baggage handling operations.
- ☐ **Other Actions** (Specify)

## Guidance

An operator typically has a system in place to identify a passenger who fails to board a flight after check-in or fails to re-board a flight at a transit stop. In an effort to reduce the risk, the aviation industry initially introduced a system where passengers identified their bags before loading. That system can still be invoked at remote locations if no other procedure exists.

The intent of this provision is for an operator to have a process to verify and confirm, before a flight departs, that only baggage that has been properly identified, as accompanied or unaccompanied, screened to the appropriate standard and accepted for carriage on that flight by the operator has been uplifted.

Refer to the definition of Baggage Reconciliation in the IATA Reference Manual (IRM)

## 3.7 Cargo Shipments

#### SEC 3.7.1

If the Operator transports revenue or non-revenue cargo, the Operator shall have a process to ensure cargo shipments for transport on all flights have been subjected to the appropriate security controls, including screening where required, as established by the applicable state(s) prior to being loaded onto an aircraft.

## Auditor Actions

- ☐ **Identified/Assessed** process(es) to ensure cargo has been subjected to the appropriate security controls.
- ☐ **Identified/Assessed** process(es) to ensure security controls performed on cargo meet the requirement of the applicable state(s).
- ☐ **Examined** selected records that reflect implementation of cargo security controls.



- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

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## Guidance

Refer to [CGO 3.7](#) and [GRH 3.7.4](#).

## 3.8 In-Flight, Catering and Other Supplies

### SEC 3.8.1

If the Operator conducts passenger flights, the Operator shall have a process to ensure in-flight, catering and/or other supplies intended for transport on a passenger flight are subjected to appropriate security controls as established by the appropriate state and are thereafter protected from unauthorized interference until loaded onto the aircraft. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** process(es) to secure in-flight, catering and other supplies.
- ☐ **Identified/Assessed** process(es) to ensure all in-flight, catering and other supplies are protected from unauthorized access once security controls have been implemented.
- ☐ **Observed** in-flight, catering and other security controls.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

### Guidance

Catering supplies are frequently prepared by an external service provider at an off-airport location.

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## 3.9 General Protection

### SEC 3.9.1 (Intentionally open)

### SEC 3.9.2

If the Operator controls security restricted areas, the Operator shall have processes to ensure merchandise and supplies introduced into such areas are subject to appropriate security controls, which may include screening or a supply chain security process. **(GM)**

### Auditor Actions

- ☐ **Identified** security restricted areas controlled by the operator.
- ☐ **Identified/Assessed** process(es) to secure merchandise/supplies prior to introduction into operator-controlled security restricted areas.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

### Guidance

Refer to the IRM for the definition of Security Restricted Area.

Protection measures might include sealing, visual monitoring or any other method that will detect or physically prevent unauthorized interference.

An operator would be deemed as controlling a security restricted area when it is the accountable party nominated to ensure the integrity of the sterile area.

## 4 Security Threat and Contingency Management

### 4.1 Threat Management

#### SEC 4.1.1

The Operator shall have processes for maintaining a constant review of the level and nature of security and cybersecurity threats to civil aviation, and for identifying direct or potential threats against the Operator and/or its aircraft operations. For threats that have been identified, such processes shall include:

- (i) An assessment of associated risks and vulnerabilities;
- (ii) Development of appropriate response measures. **(GM)**

#### Auditor Actions

- ☐ **Identified/Assessed** process(es) for monitoring level and nature of security threats to civil aviation (focus: identification of threats to operator, assessment of associated risks, development of response measures).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** methods used to monitor security threats to civil aviation.
- ☐ **Examined** selected records of threats identified, risk assessments and appropriate response measures.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of Cybersecurity.

To ensure threat assessment remains up to date and relevant to the changing environment, an operator will have mechanisms in place that allow it to collect real-time (or close to real-time) security threat information from both open and, if possible, restricted sources. Included would be relevant information shared or provided by applicable states for the purpose of assisting the operator in (1) identifying direct or potential threats to its operations and (2) conducting effective security risk assessments.

Processes would include, based on threat information received, periodic security risk assessment(s), with the focus on airports it operates to, usual flight routes and any locations where it may have assets.

Furthermore, significant security or geo-political events would also be monitored to indicate the possible need for unscheduled security risk assessments and, if applicable, development of appropriate response measures.

Procedures might also include instructions for communicating security threats to persons responsible for making decisions and taking action, as well as providing advice to the flight crew. Means of communication and details of telephone numbers, emergency radio channels and contact persons would be readily available to ensure a response to threats without delay.

An operator's security threat review process will typically include an Aircraft Cyber Risk Assessment Framework (ACRAF) that is implemented and integrated in its risk management framework to ensure:

- Critical systems, information, assets and data (CSIAD) relative to the aircraft are identified;
- Cyber threats relevant to the identified CSIAD are analyzed to determine corresponding risks to aircraft operations;
- Cyber risks are assessed to determine the requirement for risk mitigation action(s).

Risk mitigation actions are an output of the risk assessment process and are implemented in operations. In addition, any risks and vulnerabilities discovered during the process would be reported to the applicable OEMs and other relevant external providers.

An operator typically identifies one senior management official that is accountable for the risk management of cybersecurity operations and has the authority to plan and allocate the resources necessary to manage cybersecurity risks.

#### **Risk management framework preparation step**

The aircraft cyber risk assessment is typically established at the aircraft life-cycle operations level. A first preparation step would be consistent with the latest revision of the NIST SP800-37, which ties back to ISO/IEC 27001:2013 and based on (Information Technology Infrastructure Library) ITIL or ISO/IEC 31000 principles. The following would be defined within the operator's risk management framework:

- How to identify the risks that could cause the loss of confidentiality, integrity, and/or availability of your information.
- How to identify the risk owners for each risk.
- Criteria for assessing consequences and assessing the likelihood of the risk.
- How the risk will be calculated.
- Criteria for accepting risks.
- Risk owners accept residual risks and approve the risk treatment plan.

**Note:** Risk Assessment is normally conducted on a regular basis.

#### **Identification and categorization of CSIAD step**

The identification and categorization of the aircraft CSIAD and interconnected CSIAD, and the information processed, stored, and transmitted, would normally be based on an impact analysis. The categorization via an impact analysis would follow the latest guidance version of FIPS 199 and NIST Special Publications SP 800-30, 800-59, 800-60.

#### **Evaluation of threats against CSID element step**

Once the above step is completed, each identified CSIAD element would go through the evaluation of threats against it, the development of the security requirements and the selection of security controls that will protect the element. The security requirements would normally follow the latest guidance version of the NIST Special Publications SP-800-171.

#### **Protection of CSIAD via Security Controls step**

The selection of security controls, which support technical, operational and management security performance requirements and are within the confidentiality, integrity and availability (CIA) context, would follow the latest guidance version of FIPS 199 and 200 for minimum security requirements and NIST Special Publications SP 800-30, 800-53 for security control selection guidance for non-national security system. CNSS instruction 1253 can also help support this step for national security systems. Implementation would follow the latest guidance version of the NIST SP 800-53, 800-53A, 800-53B.

#### **Assessment of effectiveness of the selected Security Controls step**

After implementation of the selected security controls, the operator would continue to assess cyber threats relative to the CSIAD, determine any residual risks to aircraft operations and determine the need for additional mitigating actions to supplement or replace existing security controls. The assessment activity would typically follow the latest guidance version of NIST SP 800-53A, 800-53B and SP 800-70.

### **SEC 4.1.2**

The Operator shall have a process to ensure the implementation of appropriate security measures in response to:

- (i) Security threats directed against the Operator;
- (ii) Threat levels issued by applicable aviation security authorities. **(GM)**

#### **Auditor Actions**

- ☐ **Identified/Assessed** process(es) to implement appropriate security measures in response to any security threats directed against the operator, or threat levels issued by the applicable aviation security authorities.

- ☐ **Observed** implementation of appropriate security measures in response to security threats and threat levels issued by aviation security authorities.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

### Guidance

The contingency plan for response to an increased threat to operations is included in the AOSP.

An assessment of increased threat could come from the authorities or from an operator's own threat assessment process.

Procedures typically set out the increase in security measures appropriate to counter a situation of increased threat, as well as methods used to communicate any changes in threat level to the flight crew, operational personnel, management and overseas stations. There is also normally a verification process to ensure required measures have been implemented without delay.

### SEC 4.1.3

The Operator shall have procedures for sharing, as appropriate, with the State, relevant operators, airport authority, air traffic service and external service providers, in a practical and timely manner, relevant information to assist in the implementation of an effective security risk assessment process.

#### (GM)

***Note:** This provision is applicable to the Operator only if procedures for sharing the specified relevant information are approved by the State.*

### Auditor Actions

- ☐ **Identified/Assessed** procedures for sharing relevant security information with the specified entities.
- ☐ **Observed** implementation of appropriate security measures in response to security threats and threat levels issued by aviation security.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of security information sharing.
- ☐ **Other Actions** (Specify)

### Guidance

The information shared typically would include, but not be limited to, geopolitical information at the national and airport level as well as potential flight paths, identified security deficiencies, security inspection and audit results, and security measures implemented.

It is important that the procedures for sharing information are approved by the State and developed according to guidelines established by the State.

## 4.2 Contingency Planning

### SEC 4.2.1

The Operator shall have a contingency plan that provides for a comprehensive and managed response to aviation security incidents. **(GM)**

### Auditor Actions

- ☐ **Identified/Assessed** contingency plan.
- ☐ **Reviewed** contents of the contingency plan applicability to aviation security incident responses.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Other Actions** (Specify)

### Guidance

The primary objective of a contingency plan is the protection of life and property and the resumption of normal operations. The secondary objective is investigation to determine if the crisis was an accident or a crime; the latter typically requires those found responsible to be taken into custody.

## 4.3 Investigation and Notification

### SEC 4.3.1

The Operator shall have a process to ensure an investigation is conducted for any of the following:

- (i) Threats or acts of unlawful interference;
- (ii) Failure of implementation of security controls under the responsibility of the Operator;
- (iii) Security incidents, security occurrences or security threats. **(GM)**

#### Auditor Actions

- ☐ **Identified** process(es) to investigate security incidents.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected incident investigation documents and reports.
- ☐ **Other Actions** (Specify)

#### Guidance

Investigation outcomes may be integrated with root causes identified through the quality assurance program as part of the continuous improvement cycle of the Operator's SeMS.

Refer to the IATA SeMS manual for guidance that addresses the SeMS continuous cycle.

### SEC 4.3.2

The Operator shall have a process that ensures notification to the applicable aviation security authorities when an act of unlawful interference against the Operator, a reportable security incident and/or a reportable security occurrence has been identified. **(GM)**

#### Auditor Actions

- ☐ **Identified** process(es) used to notify applicable aviation security authorities when an act of unlawful interference against the Operator has occurred.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected notifications of acts of unlawful interference.
- ☐ **Other Actions** (Specify)

#### Guidance

The intent of this provision is for an operator to have procedures in place to immediately notify local security and civil aviation authorities and to provide information relevant to credible threats and acts of unlawful interference. An operator would typically have contact information and checklists readily available for this purpose.

Procedures typically specify an initial verbal notification followed by a written notification.

### SEC 4.3.3

The Operator *should* have a process to ensure security incidents and/or security occurrences are reported to IATA for inclusion in the Incident Data Exchange (IDX) Security Dashboard. Such reports *should* be submitted in accordance with the formal IDX reporting process. **(GM)**

#### Auditor Actions

- ☐ **Identified** process for submission of security information to IATA for the IDX Security Dashboard.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of information submission.
- ☐ **Other Actions** (Specify)

#### Guidance

Refer to the IRM for the definition of IATA Incident Data Exchange (IDX).

IDX has replaced the IATA Safety Trend Evaluation, Analysis and Data Exchange System (STEADES). IDX permits operators to report security incidents and security occurrences for uploading into the IDX security management database and subsequent analysis by users.

To facilitate the reporting of security incidents and security occurrences to IDX, an operator's reporting process could use a taxonomy that is aligned with the IDX security taxonomy, which is called the IATA Safety Incidents Taxonomy (ISIT). Accordingly, an operator would be encouraged to select applicable parent descriptors from the full IDX list and use its own subcategories depending on the operator's scope of operations or specific business requirements. In such case, some descriptors may be applicable whereas others may not.

The specifications in [SEC 1.12.1](#) require an operator to establish a security reporting system covering acts of unlawful interference, security incidents and security occurrences. In the absence of a globally recognized definition, the operator, depending on its scope of operations, is encouraged to identify descriptors that are related to acts of unlawful interference, security incidents and security occurrences.

Reports should be submitted to IATA on a regular basis and include the date and location of security incidents and occurrences (for flight-related reports, this would be a departure airport) as well as a title, a summary and related security descriptors as per the IDX Data Submission Guidelines.

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