

# APPENDIX A: OPERATOR STANDARDS GUIDANCE

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## SECTION 1: CORPORATE ORGANIZATION AND MANAGEMENT

### 1.0 Management System

#### General Guidance

The organization must have a management system that is fully “documented” and “implemented”. The system will be evaluated at all levels to ensure conformity.

In order to conform to the “documented” requirement, all processes and procedures must be accurately represented, published and contained in a controlled document. Controlled documents must be in the form of operational publications (e.g., Operations Manuals, Standard Operating Procedures, etc.) or corporate documents (e.g., Quality Manual).

In order to conform to the “implemented” requirement, the management system must be established, integrated, activated, deployed, maintained, and available as part of the operational system. The management system must be monitored and evaluated on a regular basis to ensure its continued effectiveness.

A standard must be fully documented and fully implemented for the Operator to meet the standard and the “meets standard” box to be checked on the auditor’s checklist.

**NOTE:** An auditor must include an explanation in the “Remarks / Evidence” field of the checklist for each standard marked “N/A”.

#### Definitions

Refer to the Definitions in the Operator Standards Manual.

#### *Auditing the Organization and its Management System*

The organization must have a management system with interrelated processes and procedures to ensure desired operational results are achieved and an acceptable level of operational risk is maintained. The management system will be evaluated at all operational levels to ensure continuity and control throughout the organization. Through review of documentation, assessment of facilities, observations of activities and conditions, and interviews with personnel, the auditors will determine whether the management system is properly documented and implemented.

An effective management system must contain the following elements:

- An organizational structure that clearly delineates lines of authority and responsibility, and ensures that accountability for safe, secure operations rests with the highest levels of corporate management;
- A process for the periodic review of the management system to ensure effectiveness in achieving desired operational outcomes;
- Ensure all policies, processes and procedures are designed to interact across the organization, to guarantee positive control of all activities, including those that are outsourced;
- A policy that states management’s commitment to safety, security and quality as the organization’s fundamental goals;

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- A policy and program that ensures the confidentiality of reporting, which includes non-punitive action for the reporting of human error;
- A communication process that permits an effective exchange of information throughout the organization;
- A system for effectively controlling and managing records and documentation;
- A system that guarantees the availability of adequate resources, facilities, information and data necessary to adequately support the organization;
- A system for monitoring, measuring and analyzing the organization, and for implementing action and/or follow-up, as applicable, to correct and prevent recurrence of deficiencies and ensure continued improvement of policies, processes and procedures;
- A system for monitoring threats and errors during normal operations; and
- A plan that ensures a managed and timely corporate response to emergency events.

### 1.1 Organization

**1.1.1** The Operator shall possess either: a valid Air Operator Certificate (AOC) and Operations Specifications (Ops Specs), or valid Management Specifications (MSpecs) issued by the National Aviation Authority (NAA). The Ops Specs or MSpecs and the associated documentation shall identify the scope of authorizations, limitations and restrictions, and the managers accountable for the AOC, Ops Specs and MSpecs operations. The master documentation of these authorizations shall be maintained at the Principle Base of Operations.

#### Guidance

The Air Operator Certificate (AOC) and Operations Specifications (Ops Specs), or Management Specifications (MSpecs) must describe the extent of the authorizations (aircraft types authorized for use, geographic operations limits, RVSM, etc.). The master documentation of these authorizations must be maintained at the Principle Base of Operations and described/supported in the appropriate areas of the manual system. Applicable excerpts should be distributed to all affected personnel.

**1.1.2** The Operator shall have a policy that emphasizes the organization's responsibility for complying with the laws, regulations, policies and procedures of the States in which operations are conducted.

#### Guidance

The safety commitment statement (signed by the Accountable Executive) shall outline the organization's responsibility for complying with all laws and regulations of the States in which operations are conducted. The statement must make provisions for adherence to the applicable policies and procedures of the State.

**1.1.3** The Operator shall have a management system in place that ensures the organization has clearly defined lines of authority and responsibility for the establishment of processes to identify the minimum regulatory requirements, and a procedure to ensure regulatory compliance.

#### Guidance

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In order to maintain a safe and secure operational environment, it is essential that all personnel comply with all regulatory requirements, and the requirements of internal policies and procedures. 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/documentation are examples of appropriate locations for documenting and delineating management system responsibilities. Documentation must describe lines of authority, responsibility and accountability at all levels of management. The Operator will be required to demonstrate that the management system is not only documented, but is fully functional under the direction provided in the documentation.

**1.1.4** The Accountable Executive or a designated representative shall have overall accountability and responsibility for the effectiveness of the management system. This Accountable Executive shall possess absolute authority over control of resources necessary to finance, implement and enforce policies and procedures within the organization. All operations shall function as a system and not as isolated entities. The organization shall demonstrate clear lines of accountability from the AE into the systems of each operational area. The system of accountability shall be defined as part of senior management and included in the respective job descriptions.

### Guidance

The Accountable Executive (AE) is the most senior manager in the organization with the authority and responsibility to set policy. Through setting policy, the AE demonstrates commitment to setting objectives, meeting requirements, approving the commitment of resources, implementing processes and ensuring desired outcomes are met.

The AE has overall responsibility for and control of the resources required to finance, implement and enforce policies and procedures. These responsibilities can be delegated to other managers, provided there is an understanding that the AE is not relieved of ultimate responsibility. If the AE chooses to delegate these responsibilities, there must be a well-defined process within the management system to ensure coordination and communication. All operations must function as a system and not as isolated entities.

The organization must demonstrate clear lines of accountability from the AE into the systems of each operational area. The system of accountability must demonstrate that safety, security and quality initiatives are implemented on behalf of and supported by the AE. The system of accountability must be defined as part of senior management and included in the respective job descriptions. Authority and responsibility for ensuring safe, secure operations must be clearly defined.

Managers that are responsible for operations must have the authority to establish policy, make financial decisions, provide adequate resources, resolve safety, security and quality issues, and take action to ensure their particular operation functions within the system.

**1.1.5** The Operator shall ensure that the minimum required management positions, as required by the NAA, are filled with individuals who meet the minimum regulatory requirements, and are approved by the NAA. If a waiver is required to fill a required position, all of the appropriate documentation shall be available for review.

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### Guidance

Each required management position will be documented, reviewed and approved in accordance with the requirements of the NAA.

**1.1.6** The Operator shall assign responsibility for compliance with governing regulations and internal standards to managers and individuals, as required by the complexity of the organization, who are qualified, trained, and approved or authorized by the Operator. Responsibilities for compliance shall be clearly defined in each individual job description.

### Guidance

Responsibilities for compliance shall be clearly defined in each individual job description, and communicated in the job descriptions section of the appropriate manual(s), e.g., Operations Manual, Maintenance Manual, etc.

**1.1.7** The Operator shall appoint an individual whose responsibility is **to manage, monitor, and coordinate** the Safety Management System (SMS) **processes**. In this capacity the individual shall report to the Accountable Executive or designated representative who is accountable for the effectiveness of the system. The Company Organization Chart shall depict this individual's position within the organization and duties and responsibilities of this position shall be clearly presented in all applicable operations manuals and in other controlled documents, as appropriate.

### Guidance

The Company Organization Chart shall depict this individual's position within the organization, indicating direct-line reporting to the Accountable Executive (when performing duties regarding implementation and oversight of the Safety Management System). The individual job description will outline the duties and responsibilities associated with this position.

**1.1.8** The Operator shall document the competency requirements for the position identified in 1.1.7. The individual appointed shall meet those requirements.

No further guidance provided.

## 1.2 Management Commitment

**1.2.1** The Operator shall have a corporate policy, signed by the Accountable Executive, that commits the organization to **ensure that** safety and quality are core values and a priority in all phases of the operation. The corporate policy shall be reviewed at least every two years and updated as required.

### Guidance

The corporate policy must be documented in operations manuals or other controlled documents. Posters, banners, and other media formats can be used to communicate this policy. Top management must clearly articulate the importance of safety and quality management as a fundamental priority.

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**1.2.2** The Operator shall include safety, security and quality in the duties and responsibilities at all levels of management. **This shall be identified in job descriptions.**

### Guidance

Specific safety, security and quality duties and responsibilities for all levels of management shall be documented in all job descriptions as well as applicable operations manuals, work activities, training documents and all relevant manuals within the Safety Management System.

**1.2.3** The Operator shall continually seek ways to improve and refine the organization's safety and quality commitment and culture. This shall be accomplished by:

- A. Documenting the requirement for all personnel to fully comply with all governing statutes and regulations.
- B. The conduct of periodic reviews, by Top Management and the Accountable Executive, of the safety and quality systems. This review shall validate the suitability of policies and procedures, and update or revise them as necessary.
- C. Establishing a method of communicating to the entire organization, the importance of meeting safety, quality, statutory, and regulatory requirements.
- D. Establishing a safety policy.
- E. Ensuring that safety objectives are established, managed, remain current, and are updated or revised as necessary.
- F. Ensuring the availability of the resources needed to manage and maintain the safety and quality systems.

### Guidance

The organization's willingness to seek continuous improvement can be demonstrated in a variety of ways. One method is a documented audit process that includes:

- Documentation of a gap analysis,
- A review of the gap analysis findings,
- The rating of each finding as a result of the analysis,
- The corresponding action to mitigate/eliminate the finding, and
- A review of current policies, procedures and processes.

During periodic audits of organizational functions, the auditor will ensure that:

- a. The SMS Policy Statement, signed by the Accountable Executive, contains a statement that safety, security and quality is the responsibility of each employee regardless of position within the organization;
- b. The Accountable Executive/Top Management is conducting periodic reviews and implementing/revising policies and procedures to correct deficiencies and/or improve operations;
- c. Communication reaches all employees to ensure they are fully aware of the vital role they play in safety, security and quality of the company;
- d. Continuous improvement is critical to the success of the SMS;
- e. This is accomplished by appointing a person **who can** ensure the entire organization's processes, procedures and systems are designed, implemented and reviewed to ensure the program is meeting the organization's goals; and

## SECTION 1: CORPORATE ORGANIZATION AND MANAGEMENT

f. The Accountable Executive is the final authority and the one who will balance requirements against resources. The AE can seek input from the organization in order to establish priorities, but the final decision **rests with the AE** or the designated representative.

### 1.3 Responsibilities and Authorities

**1.3.1** The Accountable Executive shall ensure that authorities and responsibilities are defined, **documented, and communicated throughout the organization.**

#### Guidance

Assignment of authority and responsibility should be documented, communicated and understood throughout the organization. Organization charts are an acceptable means of documenting the structure of a management system. Authorities and responsibilities must be documented in individual job descriptions and in the appropriate manuals, e.g., Operations Manual, etc.

Management positions critical to operational safety, aircraft airworthiness, or security may require enhanced job descriptions or terms of reference that reflect specialized requirements, such as delegation of authority.

**1.3.2** The Accountable Executive shall appoint an individual who is responsible for oversight of each specific function of the operation. This individual shall be responsible for developing, implementing, maintaining and integrating (in conjunction with other functions) processes and procedures for his/her specific function. Further, this responsible individual shall keep the Accountable Executive informed on the performance of and need for improvement of the management system.

#### Guidance

Job descriptions, terms of reference, and operating manuals are examples of appropriate locations for documenting management system responsibilities. It is imperative that the individual understand the Accountable Executive's expectations, and the degree of latitude the individual has in the exercise of his/her responsibilities. It is incumbent on the Accountable Executive to ensure the individual has a complete understanding of his/her roles, authorities and responsibilities.

The Accountable Executive must clearly define expectations and the assessment criteria for successful accomplishment of these expectations. It is essential for the individual to effectively communicate with the Accountable Executive. This communication may take any form, but it must ensure understanding by all parties.

**1.3.3** The Accountable Executive shall establish clearly defined lines of succession for those times when the managers and supervisors are not readily available or are absent from the workplace. The person(s) shall meet the applicable NAA requirements of the position to which they are temporarily appointed.

#### Guidance

This requires a documented process that designates a specific person (or persons as appropriate) to assume the responsibilities of a manager who either is or is expected to

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be away from normal duties. Such nomination of a temporary replacement for an operational manager should be communicated throughout the management system.

Required management personnel lines of succession must be consistent with applicable NAA regulations.

**1.3.4** Responsible individuals shall be accountable for safety and quality results, and shall ensure compliance with applicable rules, regulations and organizational standards. They shall identify deficiencies, develop, implement and verify preventive and corrective measures. They shall communicate as appropriate with the appropriate regulatory authorities regarding issues related to safety and quality. The Accountable Executive shall be provided a means to gather objective evidence in order to assess the individual's success/failure.

### Guidance

To ensure the Accountable Executive has a means to objectively evaluate the individual's acceptance and execution of these responsibilities, they must be provided a means to gather objective evidence in order to assess the individual's success/failure. Examples of objective evidence would include: periodic management reviews, internal audits, external audits, voluntary self-disclosures, etc.

## 1.4 Internal Communication

**1.4.1** The organization shall have defined internal communication processes that are able to effectively communicate organizational, operational, safety and quality messages and information in a format that ensures comprehension by the appropriate personnel and adheres to all relevant regulatory requirements. The communication medium shall include the entire organization and include provisions for receiving as well as communicating information related to safety and quality issues. All areas of the organization (including satellite operations) shall be included in the communications network.

### Guidance

While the method of communication may vary, the company must establish how issues involving the organization, operations, safety and quality will be communicated to all employees. The medium used can include, but not be limited to, company newsletters, email, use of bulletin boards, etc. Employees should understand how information will be communicated and that they are responsible for reviewing it on a regular basis. If a standard means of communication is not established and followed, to the company risks misunderstanding through rumors, etc.

## 1.5 Corrective / Preventive Action

**1.5.1** The management system shall have corrective and preventive action procedures to eliminate or mitigate to as low a level as practical, any quality and/or safety deficiency that is identified. The procedures shall include the level of management with the authority to commit resources (if necessary) to control the risk.

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### Guidance

Risk elimination or mitigation is an essential element of a successful SMS. Once the risk is identified, management must assess the severity of the risk (the threat to the operation) and either eliminate or mitigate the risk to an acceptable level. The procedures to be followed to control risk shall be documented in the Manual System and must include the level of management with the authority to commit resources (if necessary) to control the risk. The control of risk is an ongoing process and the procedures should be standardized.

**1.5.2** Corrective actions and preventive measures shall ensure that the causes and effects of actual and potential non-conformances are mitigated, remedied and / or eliminated. This assessment shall be documented.

### Guidance

The implementation of corrective or preventive measures can result in changes to policy, procedures, processes, resource allocation, etc. Once changes have been implemented, the company shall assess the corrective action to ensure the action was successful in controlling the risk to an acceptable level.

**1.5.3** The management system shall have procedures that specify the individuals responsible for:

- A. Reviewing non-conformities, noncompliance and deficiencies
- B. Determining the root cause of the non-conformities
- C. Evaluating the need for corrective action
- D. Implementing the appropriate corrective measures to **prevent** a recurrence
- E. Assigning an individual responsible for implementation of corrective and/or preventive actions
- F. Monitoring and tracking the results of the actions
- G. Mitigating regulatory action
- H. **Verifying** that corrective or preventive actions have been implemented and **are** effective

Individual departments shall document their processes for controlling risk and indicate how these processes integrate with company processes.

### Guidance

These responsibilities will vary with each identified risk. The process for controlling risk shall be documented and this shall include how each department and the entire organization will deal with non-conformities, non-compliance and deficiency resolution.

The Operator should also describe methods for mitigating regulatory action, such as participation in a self-disclosure or voluntary disclosure reporting program.

## 1.6 Corporate Management Review

**1.6.1** At regular intervals (not to exceed one year) the Accountable Executive shall conduct a review of the management system to assess its adequacy and suitability. This review shall evaluate the systems effectiveness, determine required improvements, and

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the need for changes to the safety management system, and implement appropriate corrective and preventive actions. This review shall include, but not be limited to:

- A. Safety policy
- B. Safety objectives
- C. Organizational and internal reporting structure
- D. Individual authorities and responsibilities
- E. Company and organizational
  - a. Policies;
  - b. Processes;
  - c. Procedures.

### Guidance

This Standard requires that a formal management review be conducted on an annual basis. One method of satisfying this requirement is to have periodic meetings with top management, which includes a formal agenda and the participation of all executive managers. The purpose of these meetings is to assess the status and functioning of the SMS. The review shall consider the company's operational performance, and the suitability, adequacy and effectiveness of the company's safety and quality management systems.

Top management shall ensure that any deficiencies identified during these reviews are corrected. Resolution shall include, but will not be limited to, organizational, policy, and procedural changes as applicable.

Input to the review process shall include, but not be limited to:

- Results of audits, inspections, and investigations and the corresponding actions to eliminate or mitigate identified deficiencies,
- Changes to safety and quality policies and the outcomes,
- Feedback from all company and contractual sources,
- Changes to regulatory legislation, policy and regulations,
- Status of deficiency corrective and preventive actions,
- Status of follow up actions from previous management meetings,
- Regulatory violations or infringements.

Output from these reviews should include decisions and actions to be taken as a result of:

- Decisions as to the effectiveness of the current management system and required improvements,
- Decisions related to safety and quality improvements and resource requirements.

**1.6.2** Records from management reviews shall be maintained. The company shall have procedures and processes for documenting the results and decisions reached during these management reviews. The documentation of the meeting shall be comprehensive and include definitions of the subject matter, discussion generated, conclusions and corrective action plans identified for each item.

### Guidance

No further guidance provided.

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### 1.7 Provision of Resources

**1.7.1** The Accountable Executive shall ensure sufficient resources are available to implement and sustain effective quality and safety systems.

#### Guidance

It is the Accountable Executive's responsibility to ensure adequate resources are available to make necessary changes and correct identified deficiencies. The AE may delegate resource allocation to the managers of each department, but the AE retains responsibility for ensuring availability. The AE will determine and document the extent to which managers can allocate resources.

**1.7.2** The Accountable Executive shall ensure all functions within the organization are filled with competent individuals with the minimum knowledge, experience, qualifications, and demonstrated skills appropriate for the position.

#### Guidance

No further guidance provided.

**1.7.3** The Accountable Executive shall ensure position responsibilities and qualifications requirements are practical, appropriate, and achievable. This includes all positions regardless of technical and regulatory proficiency requirements. A review of each job description shall be completed at least annually to ensure changes in expectations, competencies and responsibilities are addressed. The entire process shall be documented in the Manual System.

#### Guidance

The Accountable Executive shall ensure individual job descriptions include the job responsibilities and that these responsibilities are understandable, achievable and meet the requirements of the position. This review should be completed with the individual present and ensure that the individual understands the change in expectations.

**1.7.4** The Accountable Executive shall ensure all personnel maintain their competency through continuing education and training. All personnel required to meet regulatory requirements for their position shall remain qualified. The training shall include, but is not limited to, management skills and qualification updates. All training shall be documented in the individual's training record.

#### Guidance

The Operator shall have a documented training program for all personnel that ensures they remain competent and qualified for their position.

**1.7.5** The organization shall maintain accurate records on all personnel, to include their qualifications, experience, education and training.

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### Guidance

Adequate and regular training is the foundation on which good organizations are built. Key to an organization's success is providing employees with the skills necessary to effectively perform their duties and responsibilities. The operator shall maintain accurate training records on each individual in their employ. The records shall include all training the individual has received prior to and while in the company's employ.

### 1.8 Operational Safety Planning and Control

**1.8.1** The Operator shall have processes and procedures to identify, evaluate and implement mandates from external sources, such as original equipment manufacturers, regulatory agencies, etc., in its planning and decision processes. The Operator shall specify the individual(s) responsible for ensuring compliance and document this responsibility in its Manual System, and in the individual's job description. The Operator shall establish a policy that clearly states all personnel are responsible for complying with these mandates when performing their assigned duties.

### Guidance

Compliance with mandates from external sources is essential to ensure a safe operational environment.

The processes and procedures shall include items, such as, Safety Alerts for Operators (SAFOs) and all Information for Operators (INFOs), as applicable.

**1.8.2** The Operator shall establish processes and procedures to identify the minimum regulatory requirements, prior to each flight operation, and a procedure to ensure regulatory compliance for:

- A. Flight crew,
- B. Airplane,
- C. Flight operations, and
- D. Passengers.

### Guidance

The Operator shall document in its Manual System procedures for ensuring that all aspects of a flight meet the minimum regulatory requirements regarding:

- a. Flight crew qualifications,
- b. Aircraft serviceability,
- c. Operating parameters, and
- d. Passenger qualifications, e.g., TSA or other applicable security requirements.

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### 2.0 Documentation and Records Management

#### 2.1 Operational Documentation

**2.1.1** The organization shall ensure all documents used in the conduct of business are identifiable, concise, legible, and understandable by those who use them.

##### Guidance

The size of the organization will dictate the complexity of the **document** system. Smaller operators may opt to use a single manual, while larger operators may have a Manual System. Regardless of the size of the system, the Operator shall ensure the **applicable** manual(s) fully describe how each task is to be completed. **This standard applies to all company documents and manuals.**

**2.1.2** The organization shall ensure all documents are easily retrievable, useable and presented logically.

##### Guidance

To conform to this standard, the Operator must develop a system appropriate to the size of the operation. A small company may be able to accomplish this by developing a master document and assigning copies or portions of the material to the individual(s) that have a requirement for the information to complete their responsibilities. For a large operator, a Manual System **may be appropriate**, where all documents are controlled and released for specific functions, e.g., the Operations Manual to all aircraft or crewmembers, the Safety Manual to all employees, etc.

#### 2.2 Control of Documents

**2.2.1** The Operator shall have a master library and a system for document control and retention.

##### Guidance

The system implemented by the Operator should be suited to fit the needs of the company. A single manual that contains all of the required information may be all that is required. A Manual System may fit the needs of larger organizations. Regardless of the system used, the Operator shall have a means of controlling all documents. The Master shall be the governing document(s) and all assigned manuals must conform to the Master Manual contained in the system.

**2.2.2** The Operator shall have a process to ensure all documentation and manuals are kept current. This shall include, but not be limited to:

- A.** Review, update and approval
- B.** Identification of revision, status and changes
- C.** Distribution and control

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- D. Prevention of the unintended use of obsolete documents and application of suitable identification to them if they are retained for any use.
- E. Regulatory authority approval as required.

### Guidance

Document control is necessary to ensure that all manuals are current and accurate and are available to those who require them. The system must be controlled by procedures that ensure:

- All documents are current and adequate prior to use,
- All documents are reviewed and updated as necessary,
- All changes are readily identified and the current revision status is easily discernable,
- All pertinent documents are made readily available to the user,
- All documents are reviewed periodically to ensure they are legible and easily identifiable,

All procedures documentation, regardless of how informal the contents, must contain information regarding its currency/revision status. The Operator must include information in its Manual System with regard to who is responsible for the control of the document and procedures delineating how this responsibility will be accomplished.

Each manual that contains procedures and/or processes should typically include the following:

- A title page that identifies the manual's function and a reference to the department that is responsible for its currency,
- A table of contents that details where information can be found,
- A preface that outlines the overall contents of the manual and describes its intended purpose,
- A complete distribution list that identifies which individuals require access to the manual,
- Identification of the person issuing and/or authorizing the use of the manual,
- Section numbers, consecutive page numbering and a means for indicating the page revision status and date of the revision.

**2.2.3** The Operator shall have a process and procedure for controlling and disseminating externally acquired and used documents. An individual shall be appointed to ensure the currency and proper distribution of the documents.

### Guidance

The Operator shall have a system to control all documents that originate from external sources. Provisions shall be in place to ensure all external documents are current and their distribution is controlled.

## 2.3 Control of Records

**2.3.1** Records shall be established and maintained to provide evidence of conformity to requirements.

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### Guidance

The Operator shall establish a records system that conforms to the requirements of the NAA and its own system. This may be in the form of paper file or electronic. If the Operator is authorized and chooses to use an electronic system, the records shall be adequately backed up on a regular basis to preclude loss.

Retention of all records shall be in accordance with the policies of the Operator and/or the requirements of the NAA.

### 2.3.2 Records shall be legible, readily identifiable and retrievable.

### Guidance

The Operator shall ensure records are maintained in an easily readable manner and are immediately available upon request. The auditor will ensure the Operator is conforming to the requirements of its record system and the requirements of the NAA.

### 2.3.3 A procedure shall be established to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of records.

### Guidance

This may be as simple or as complex as necessary to ensure records are maintained to protect from loss, and readily available for review.

### 2.3.4 The procedure shall define the method for controlling records that are created and/or retained by suppliers, vendors, or other outside agencies.

### Guidance

If records are maintained by an external source, the Operator shall ensure procedures are in place for ready access to the information.

### 2.3.5 Records shall be available for review, inspection, and audit by regulatory authorities, and other entities in accordance with contract or regulatory requirements.

### Guidance

Appropriate provisions and procedures must be developed to ensure the records are available upon demand or request. In many cases, this will be dictated by the NAA. If no rules governing the accessibility of records exist, the Operator shall develop procedures that ensure accessibility and control of all records.

### 2.3.6 The Operator shall have a system for backing up all electronic records and files.

### Guidance

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If the Operator utilizes electronic record keeping, there should be a documented system to ensure the integrity of the functions by providing proof of the security of the safe storage of the primary and back-up systems. These records should mirror the permanent record.

There shall be a defined retention period for all records and this shall conform to NAA requirements. In the case of archived electronic records, there shall be a provision for retrieval of these records.

**2.3.7** The Operator shall have a system for protecting all paper records and files against loss and/or destruction.

### Guidance

If the Operator maintains paper copies of records, there shall be provisions for storing in a secure location. This shall include provisions for the prevention of loss and/or destruction by fire or other disasters. This may be accomplished by utilizing fireproof cabinets.

## 3.0 Safety Management System

### 3.1 Safety Policy

**3.1.1** The Operator should have an integrated and comprehensive Safety Management System for its entire organization, and should incorporate procedures to identify and maintain compliance with current safety-related legal, regulatory, and statutory requirements.

### Guidance

The SMS should be defined, documented and included in each of the Operator's systems, as applicable:

- Organizational Management System
- Flight Operations
- Operational Control
- Aircraft Maintenance
- Cabin Operations
- Ground Handling and Servicing
- Cargo Operations
- Operational Security
- Passenger Handling and Safety
- Dangerous Goods Will Carry
- Dangerous Goods Will Not Carry

The SMS should be integrated within each of the organization's systems and interfaced between system manuals and documents as required to maintain operational continuity.

The SMS should have the following elements in place:

- The assignment of accountability at the highest levels of corporate management for safe operations, and defined lines of authority and responsibility throughout the organization;

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- A policy that reflects management's commitment to safety as a fundamental priority;
- A process for periodic reviews of the SMS to ensure ongoing effectiveness in achieving desired operational outcomes;
- A program that ensures confidentiality of safety reporting, including non-punitive response to the reporting of human error.

**3.1.2** Top management should define the Operator's safety policy and communicate the expectations, objectives, commitments, and accountabilities to all employees. The safety policy should:

- Include a commitment to implement and maintain an SMS
- Include a commitment to continuously improve the level of safety
- Include a commitment to the management of safety risk
- Include a commitment to comply with applicable regulatory requirements
- Include a commitment to encourage employees to report safety issues without reprisal
- Establish clear standards of acceptable behavior for all employees
- Provide management guidance for setting safety objectives
- Provide management guidance for reviewing safety objectives
- Be documented
- Be communicated with visible management endorsement to all employees and responsible parties
- Be reviewed periodically to ensure it remains relevant and appropriate to the organization
- Identify responsibility and accountability of management and employees with respect to safety performance.

### Guidance

Top Management is typically the CEO or the president of a company; or the person who is authorized to approve the resources necessary to establish and maintain an SMS.

Top Management will define the organization's safety policy and will be required to show how the safety policy is communicated to all employees and responsible parties either through electronic media or manuals.

The Operator should have a process to regularly review and revise the safety policy when operational requirements change.

**3.1.3** The Operator should integrate and interface safety and quality within its organization. Because Safety Management Systems use a quality approach to manage safety, both the safety and quality policy statements may be combined. However, if they are not combined, they should be consistent and interfacing.

### Guidance

If the organization chooses to have a quality policy/QMS separate from the SMS, it must be compatible with the SMS.

The organization should demonstrate that safety and quality are integrated and interfaced within all systems of the organization.

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**3.1.4** The Operator should have a safety management plan that meets the safety objectives described in its safety policy.

### Guidance

The Operator should define and document a safety management plan that describes how the organization meets its safety objectives. The safety plan should incorporate the following management functions:

- Planning (What to do, when, by whom, with what)
- Organizing (Who does what, who are the bosses)
- Directing (Assignment of work)
- Controlling (Monitoring and measuring)

**3.1.5** The Operator should specify the processes needed for the Safety Management System and the application of these processes throughout the operator's organization. The Operator should:

- A. Determine criteria and methods needed to ensure that both the operation and control of these processes are effective, and determine the interaction of these processes.
- B. Ensure the availability of resources and information necessary to support the operations, monitoring, measuring, and analysis of these processes.
- C. Implement actions necessary to achieve planned results and continual improvement of these processes.

### Guidance

The Operator should demonstrate that its safety policies, objectives, and procedures are clear, accurate, current, and accessible to all employees. This may be contained in either paper or via electronic means.

The organization should establish and maintain procedures to accomplish the objectives of the safety policy. These objective should be clearly stated and have criteria for measuring the outcome.

The organization should establish and maintain process controls to ensure procedures are followed for safety-related operations and activities.

**3.1.6** The Operator should define, document and communicate the roles, responsibilities, and authorities with regard to safety throughout its organization.

### Guidance

The Operator should document that Top Management has the ultimate responsibility for the SMS including:

- Providing the resources essential to implementing and maintaining an SMS;
- Having a process to document, monitor, measure and analyze the effectiveness of the SMS.

The Operator should appoint a member of management with the responsibility and authority to:

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- Ensure that SMS processes are established, implemented and maintained;
- Report to top management on the performance of the SMS and the areas within the system that require improvement;
- Ensure that safety awareness is promoted throughout the organization.

The Operator should have a process to ensure that safety-related roles, responsibilities and relationships are defined, documented and communicated throughout the organization. This process should also describe lines of authority, accountability and responsibility within each department of the organization.

The Operator should have a process to ensure that the personnel in safety-related positions meet competency requirements. Requirements should include: hiring criteria, experience, training standards, and personnel evaluation systems.

Organization chart/s should be developed and included in the document that describes responsibilities and authorities for each operational system.

**3.1.7** The Operator should integrate compliance with regulatory, legal, and Safety Management System requirements. To ensure compliance, these requirements will be clearly and consistently conveyed to all employees. The organization also will establish and maintain a procedure to identify applicable requirements, including a procedure for controlling and disseminating externally-acquired safety-related information and data.

### Guidance

The Operator should establish and maintain a procedure to identify current safety-related, legal, and regulatory requirements and how these requirements are integrated within the SMS. This procedure should include a periodic review and revision process designed to identify and communicate any new requirements that may impact the organization.

The Operator will have to demonstrate how these requirements are conveyed to all employees on a regular basis.

### **3.1.8** *Reserved.*

**3.1.9** The Operator should have a clearly defined policy that encourages non-punitive reporting of unintentional or inadvertent errors. This policy should be supported from the highest levels of management and clearly articulated in the appropriate documents and manuals. The only exception to the non-punitive policy will be for those personnel committing errors that are the result of: willful violations of law or company policy, any event where there was intentional disregard for safety, any event or condition that involves criminal activity, substance abuse, controlled substances, alcohol or intentional falsification, willful misconduct or gross negligence.

### Guidance

The Operator should articulate, in writing, the company's position with regard to the reporting of unintentional or inadvertent errors. They should ensure each employee understands that mistake will be tolerated and that they will not be punished for making mistakes and that this system is designed to ensure the company is operating in accordance with the highest levels of safety attainable. Additionally, each employee will

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understand that intentional disregard for the rules and regulations of the NAA or the States will not be tolerated.

### 3.2 Safety Risk Management (SRM)

**3.2.1** The Operator should identify the critical characteristics of its systems and operational environment and apply this knowledge to the identification of hazards, risk decision-making, and the design of risk controls.

#### Guidance

The Operator will define and document the control characteristics of its systems and operational environment to include the following (if applicable):

- Organizational Management System;
- Flight Operations;
- Operational Control;
- Aircraft Maintenance;
- Cabin Operations
- Ground Handling and Servicing
- Cargo Operations
- Operational Security
- Passenger Handling and Safety
- Dangerous Goods Will Carry
- Dangerous Goods Will Not Carry
- Services provided by contractors

Hazard identification and analysis and the assessment of the associated risk are an effective means of managing safety. This provides for a systematic means of examining operational conditions that have potential hazards and an examination of the risks associated with the identified hazards. The objective is to identify the levels of operational risk, determine the acceptability of the risk and develop measures to eliminate and/or mitigate the risk to an acceptable level.

Once the control characteristics are identified, the organization should have a process to apply this knowledge to the identification of hazards, risk decision-making, and the design of risk controls.

At a minimum, the Operator should have the following documented processes as part of its Safety Risk Management program:

- **System description and task analysis;**
- **Hazard identification;**
- Safety risk **analysis;**
- Safety risk **assessment; and**
- Safety risk **control and mitigation.**

**3.2.2** Safety Risk Management should be applied to initial system design and reviewed when changes occur to the organization's operational environment to maintain safe operations.

#### Guidance

The organization should define and document its SRM process as it applies to:

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- Initial designs of systems, organizations and other products;
- The development of operational procedures;
- Planned changes to operational processes to identify hazards associated with those changes.
- Hazards that are identified in the Safety Assurance functions (see Section 3.3).

The organization should also apply its SRM process during periodic reviews of its operational environment to ensure continued safe operations. The Operator must realize that effective risk management is an ongoing process and should be applied to every task. Teaching employees to assess the risk inherent with any task will lead to an environment where safety is the paramount consideration.

**3.2.3** The Operator should analyze its operational environment to gain an understanding of critical design and performance factors, processes, and activities to identify hazards.

### Guidance

The Operator should identify, analyze and document hazards in its operational environment to include:

- The systems interaction in the air transport system (e.g. airports, air traffic control);
- The requirements for each of its operating systems;
- Human factors considerations (e.g. cognitive, ergonomic, environmental, occupational health and safety);
- Employee tasks;
- The hardware and software components;
- Contracted and purchased products and services;
- Critical design and performance factors, processes and activities;
- Any assumptions made about:
  - The system;
  - System interactions, and
  - Existing safety risk controls.

System descriptions and task analysis will be developed to the level of detail necessary to:

- (a) Identify hazards,
- (b) Develop operational procedures, and
- (c) Develop and implement risk controls.

Hazards will be:

- (a) Identified for the entire scope of the system, as defined in the system description; and
- (b) Documented.

Hazard information will be:

- (a) Tracked, and
- (b) Managed throughout the entire SRM process.

This is a long-term, complex requirement. Most Operators will not meet this standard during an initial audit. This standard requires the Operator to identify each task or activity performed in the company, then determine the hazards associated with that task or

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activity. Other standards in this section rely on this identification of tasks and activities in order to assess and mitigate risk. Therefore, those standards (i.e., 3.2.4 through 3.2.7) cannot be successfully met without first meeting this standard.

**3.2.4** The Operator should identify, describe, and document the hazards in its operations that are likely to cause death, serious physical harm, or damage to equipment or property in sufficient detail to determine the associated level of risk and risk acceptability.

### Guidance

Hazards should be identified, documented and analyzed for each component of the system being evaluated. Additionally, The Operator should define and document acceptable and unacceptable levels of safety risk (safety risk objectives). Finally, The Operator should document, analyze, monitor, and measure hazards in its operations using the elements of sound safety risk management.

The organization should define, document, and monitor acceptable risk for hazards that will exist in the short-term while safety risk control/mitigation plans are being developed.

**3.2.5** The Operator should determine and analyze the severity and likelihood of potential events associated with identified hazards, and will identify risk factors associated with unacceptable levels of severity or likelihood.

### Guidance

The organization's safety risk analysis process should include reviewing, defining and documenting the following elements:

- Existing safety risk controls
- Triggering mechanisms, and
- Safety risk of reasonably likely outcomes from the existence of a hazard, to include:
  - Likelihood
  - Severity
  - Consequences

The Operator should have a documented risk assessment process that includes establishing definitions for severity levels and likelihood of occurrence of potential risks.

**3.2.6** The Operator should assess risk associated with each identified hazard and define acceptance procedures and levels of management that can make safety risk acceptance decisions. The organization should define the decision-making processes to determine risk acceptability and requirements for risk controls.

### Guidance

The following should not be implemented until the safety risk of each identified hazard is acceptable in:

- New system designs;
- Changes to existing system designs;
- New operations/procedures; and

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- Modified operations/procedures.

The SRM process should not preclude the organization from taking immediate action to eliminate or mitigate existing safety risk.

**3.2.7** The Operator should design and implement a risk control for each hazard for which there is an unacceptable risk, to reduce risk to acceptable levels. For each risk control the residual or substitute risk should be analyzed before implementation.

### Guidance

The organization's safety control/mitigation plans should be defined and documented for all hazards determined to pose unacceptable risk.

The Operator's safety controls/mitigation plans should be:

- Clearly described;
- Evaluated to ensure the control/mitigation requirements have been met;
- Documented;
- Implemented to reduce the potential for death, serious physical harm, or damage to equipment or property to acceptable levels.

Substitute/residual risks should be evaluated during the creation of safety risk controls/mitigations.

## 3.3 Safety Assurance

**3.3.1** The Operator should develop and maintain a means to monitor, measure, and verify the safety performance of the organization and to validate the effectiveness of risk controls.

### Guidance

The Operator should have a process to ensure that it monitors, measures and evaluates the performance and effectiveness of risk controls to include:

- Identifying new hazards
- Measuring the effectiveness of safety risk controls
- Ensuring compliance with regulatory requirements applicable to the SMS, and
- Ensure the Safety Assurance function is based upon a comprehensive system description

The Operator should have a documented process for monitoring, measuring, and evaluating the results of internal and external audits and the application of appropriate risk controls to the identified risks.

**3.3.2** The Operator should collect, analyze and manage the data necessary to demonstrate the effectiveness of organizational processes and the SMS.

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### Guidance

The Operator should have a documented process to ensure that it analyzes and manages the data collected from its safety reporting, audit and feedback system. The Operator should use this data to verify the effectiveness of organizational systems/processes and the SMS.

**3.3.3** Products and services received from contractors should be monitored to ensure conformity to the SMS. The Operator should have a process for ensuring the safety and quality of a product, system or function that is outsourced. The system of control and oversight should be defined or referenced in the Operator's SMS. External audit results of each contractor/vendor should be kept on file at the Operator's headquarters for a time established by the Operator (normally two years).

### Guidance

The organization should ensure a current approved contractor list is developed, updated, and maintained.

The Operator should develop and maintain an auditing process and schedule to evaluate the products and services from contractors and other external vendors and suppliers to ensure they conform to its SMS standards.

External audits will be focused on ensuring that the programs, systems, processes and procedures the contractors employ are in place, valid and satisfy the requirements of the Operator's SMS.

External audit results of each contractor/vendor will be kept on file at the Operator's headquarters for a time established by the Operator (normally two years). This information should be used to provide valuable trend data over an extended time period.

**3.3.4** The Operator should perform regularly scheduled internal audits of safety-related operational processes. These should include oversight audits as a means of managing and ensuring the safety and quality of outsourced products, systems or functions. These audits should be used in determining the conformance and effectiveness of safety-related controls that are currently in place.

### Guidance

The Operator should have a process that it ensures it conducts regularly scheduled internal audits of safety-related functions of the organization's operational process and documents the results of these audits. The results of these audits should be analyzed and measured to ensure the conformance and effectiveness of safety-related risk controls to the Operator's SMS standards.

The Operator should have a process that ensures regular audits of safety-related functions are conducted on subcontractors and vendors who perform services. The results of these audits will be analyzed to determine if contractors meet the standards of the Operator's SMS.

The Operator's audit program should include:

- Definition of the audit;
- Audit criteria;

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- Audit scope;
- Audit frequency;
- Processes used to select auditors;
- A requirement that individuals performing work will not inspect their work;
- Documented procedures that include the responsibilities and requirements for:
  - Planning audits;
  - Conducting audits;
  - Reporting results;
  - Maintaining records;
  - Audits of contractors and vendors.

**3.3.5** The Operator should include the results of audits by oversight organizations (regulatory authority) and other third-party organizations in its analysis of data.

### Guidance

The Operator should maintain copies of the results of audits conducted by external organizations. This data should be analyzed to improve organizational safety, efficiency effectiveness, and compliance with regulatory requirements.

**3.3.6** The Operator should establish procedures to collect data and investigate incidents, accidents, and instances of potential regulatory noncompliance to identify potential new hazards or risk control failures.

### Guidance

The Operator should define and document procedures for collecting data on, and successfully investigating incidents and accidents.

The Operator will have a process to thoroughly investigate all instances of potential regulatory non-compliance issues.

**3.3.7** The Operator should perform an assessment of the output of its Analysis of Data to assess the performance and effectiveness of risk controls in the organization's operational processes and the SMS, and to identify the root causes of non-conformances and potential new hazards.

### Guidance

The organization should analyze the data collected through the SMS to demonstrate performance and effectiveness of:

- Risk controls in the organization's operational processes and
- The SMS.

Through data analysis, the organization will identify root causes of nonconformance and potential new hazards and evaluate where improvements can be made to the organizations:

- Operational processes and
- The SMS.

The Operator may utilize any appropriate root cause identification tool or program.

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**3.3.8** The Operator should take action to eliminate **the causes, or potential causes of non-conformances identified during analysis to prevent recurrence.** The process also should include a method to prioritize, track, implement, and determine the effectiveness of all actions taken.

### Guidance

The organization should develop a process that includes prioritizing, implementing, and monitoring corrective actions for non-conformities identified during audits.

The organization should also develop a process that analyzes, documents, monitors, and measures the effectiveness of actions taken to correct non-conformances and to preclude them from recurring.

**3.3.9** Top Management should conduct regular reviews of the SMS, including outputs of Safety Risk Management; Safety Assurance; and Lessons Learned. Top Management should determine the reporting requirements (inputs) to support this function. Management reviews should include assessing the effectiveness of an organization's operational **and safety performance, effectiveness of risk controls, conformance to SMS expectations, and the objectives of the safety policy,** and the need for possible changes. Action items from previous Management Reviews also should be reviewed. Top Management should document the outputs of the Management Review.

### Guidance

Top Management should develop a process to conduct regular reviews of organizational outputs and inputs in regards to its SMS. The review process will include analyzing, documenting, monitoring and measuring the results.

The following SMS elements will be reviewed by Top Management:

- Safety Risk Management
- Safety Assurance
- Lessons Learned

**Management reviews will include assessing the organization's process designs and the need for improvements of:**

- **Operational processes, and**
- **The SMS**

**3.3.10** The Operator should use the outputs of the Management Review to continually improve the effectiveness of the SMS and of safety risk controls through the use of the safety and quality policies, objectives, audit and evaluation results, analysis of data, and corrective and preventive actions.

### Guidance

The operator will use outputs of the Management Review to develop a process to continually improve the effectiveness of the SMS and safety risk controls by reviewing the following elements:

- Safety and quality policies;

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- Objectives;
- Audits and evaluation results;
- Analysis of data;
- Corrective and preventive actions;

**3.3.11** The Operator should develop and maintain a process to identify changes within the organization or its operational environment which may affect established processes and services and to describe the arrangements to assure safety performance before implementing changes.

### Guidance

This standard requires completion of the SRM processes outlined in 3.2, *Safety Risk Management*. After the SRM process is entirely implemented, the Operator should apply this requirement to:

- (a) New system designs,
- (b) Changes to existing system designs,
- (c) New operations/procedures, and
- (d) Modified operations/procedures.

## 3.4 Safety Promotion

**3.4.1** Top Management should promote the growth of a positive safety culture by communicating the safety-related responsibilities for the organization's personnel including clear and regular communication of safety policy, goals, objectives, and standards.

### Guidance

The organization should define the safety-related responsibilities for their employees. This data will be reviewed, updated, and included in the organization's systems manuals. Top Management will also develop a process to regularly communicate its safety policy, goals, objectives and standards to all employees.

**3.4.2** Top Management should communicate the output of the organization's SMS, including rationale behind controls, preventative or corrective actions to its employees.

### Guidance

The organization should define and document the outputs of its SMS. Once this is accomplished, the organization will develop a process and be able to demonstrate how the SMS outputs are regularly communicated to all employees. The organization should develop and implement a safety lessons learned program to promote and communicate continuous improvement of its SMS to its employees. This program will be analyzed, documented, monitored and measured as necessary to provide accurate, up-to-date information on all safety-related matters.

**3.4.3** Top Management should promote the growth of a positive safety culture through the organization's policies by assuring that employees receive initial and recurrent training commensurate with their positions. The organization also should evaluate and document the effectiveness of training.

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### Guidance

The organization will develop training standards and a subsequent program designed to promote the positive safety culture of the organization to all employees.

The training program will include initial and recurrent training and be flexible enough to be applied to each employee based on his or her duties and responsibilities.

The training will be documented, evaluated and revised as necessary to provide the level of training required to meet the standard.

### 3.4.4 *Reserved.*

### SMS Level Evaluation Guidance

The FAA has published the *Safety Management System (SMS) Implementation Guide* to assist FAA representatives, operators, and others in assessing the implementation level of a Safety Management System. The items listed below will be reviewed during the SMS portion of the audit. The auditor(s) will ask for evidence of completion where applicable. All items listed under a specific level must be successfully completed before that level can be validated.

#### Level One – Planning & Organization:

- Does the operator have objective evidence of the Accountable Executive's commitment to implement an SMS, define safety policy, and convey safety expectations and objectives to its employees?
- Does the operator have objective evidence of the Accountable Executive's commitment to ensure adequate resources are available to implement the SMS?
- Has the operator designated a management official who will be responsible for SMS development?
- Has the operator defined safety-related positions for those who will participate in SMS development and implementation?
- Has the operator completed Preliminary and Detailed Gap Analysis' for the entire organization on all elements of the SMS Framework?
- Does the operator have a comprehensive SMS implementation plan for the entire organization?
- Has the operator completed training commensurate with Level One (typically training of key safety personnel) and developed a training plan for all employees?

The auditor should look for the following documents as evidence of Level One completion:

- Management commitment document
- Safety policy
- Summary of SMS implementation plan for the entire organization through SMS Implementation Level 4
- SMS training plan for all employees

#### Level Two – Reactive Processes:

- Does the operator have documented processes and procedures for operating the SMS to the level of reactive analysis, assessment, and mitigating actions? (For example, does the operator have a process for analyzing hazard or incident reports and implementing corrective actions to mitigate future risk?)

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- Has the operator developed documentation relevant to SMS implementation plan and safety risk management components?
- Has the operator documented and initiated a voluntary non-punitive employee reporting program?
- Has all staff directly involved in the SMS completed training? Has training been initiated for all staff members?
- Has the operator applied safety risk management processes and procedures to at least one known hazard and initiated the mitigation process?
- Has the operator updated the detailed gap analysis for the entire organization?
- Has the operator updated the comprehensive SMS implementation plan (if necessary)?

The auditor should look for the following documents as evidence of Level Two completion:

- Objective evidence that safety risk management processes and procedures have been applied to at least one existing hazard and the mitigation process has been initiated (for example, a completed risk analysis tool and corrective action plan)
- Updated comprehensive SMS plan (or summary) to take the operator through Level Four
- Updated SMS training plan for all employees

### Level Three – Proactive and Predictive Processes:

- Does the operator have objective evidence that all SMS processes are being updated, maintained and practiced?
- Does the operator have objective evidence that the safety risk management process has been conducted on all operating processes?
- Has the operator described and analyzed its systems, operations, and operational environment to gain an understanding of critical design and performance factors, processes, and activities to identify hazards?
- Has the operator identified and determined acceptable safety risk for changes within the organization that may affect established processes and services by new system design, changes to existing system designs, new operations/procedures, or modified operations/procedures (for example, adding a new aircraft type)?
- Has the operator documented competency requirements for key safety personnel? Are those requirements met by current key safety personnel?
- Have all applicable SMS processes and procedures been applied to at least one existing hazard and has the mitigation process been initiated?
- Have all employees received SMS training commensurate with Level Three?

The auditor should look for the following documents as evidence of Level Three completion:

- Objective evidence that safety risk management processes and procedures have been applied to all operating processes
- Objective evidence that safety risk management processes and procedures have been applied to at least one existing hazard and the mitigation process has been initiated (for example, a completed risk analysis tool and corrective action plan)
- Updated comprehensive SMS implemented plan
- Updated SMS training plan for all employees

### Level Four – Continuous Improvement:

The FAA has not yet developed specific criteria for SMS Level Four. The final level of SMS maturity is the continuous improvement level. Processes have been in place and their performance and effectiveness have been verified. The complete safety assurance process, including continuous monitoring and the remaining features of the other SRM

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and safety assurance processes are functioning. A major objective of a successful SMS is to attain and maintain this continuous improvement status for the life of the organization.

The specific objective of Level 4 is for the Operator to verify the performance and effectiveness of its SMS management practices and operational processes.

### 4.0 Quality Assurance

NOTE: This section, Quality Assurance, applies to processes and procedures throughout the entire organization. Although this section is typically completed by a maintenance auditor, it does not apply exclusively to maintenance operations.

### 4.1 Quality Systems

4.1.1 The Operator should have a quality management process that defines and establishes the Operator's quality policy and objectives.

#### Guidance

The Operator should document the process by which it will ensure the quality of its program. This should include but not be limited to the expectations of Top Management with regard to quality, the objectives of the program and the policies that govern the program. By clearly defining the objectives and policies the Operator will ensure all employees understand and can adhere to the requirements in the performance of their individual responsibilities.

4.1.2 The Operator's quality assurance process should encompass the following elements:

- A. Monitoring and measurement of service providers;
- B. Inspection and testing methods;
- C. Monitoring of equipment including calibration and measurement;
- D. Internal audits (self-audits as required by this Program) and external audits (third-party audits);
- E. A system for collecting and monitoring corrective and preventive action(s);
- F. The use of appropriate statistical analysis, when required, to measure the effectiveness of the process;
- G. Appropriate training provided to designated employees on the elements of the quality assurance program to include their roles and responsibilities;
- H. Systems for reporting / collecting from employees' information relative to quality-related errors occurring in the workplace;
- I. Defined methods for analyzing process-related errors for root-cause factors that provide input to the corrective action reporting process.

#### Guidance

The objective of this standard is to document the above elements to ensure all employees understand the Operator's expectations with regard to quality. Each employee should comply with the company's quality requirements and strive for improvement in those areas that do not meet expectations. The Operator should have a

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process to analyze feedback with regard to the quality of the operation and either take corrective action or provide feedback as to why no action is taken. Quality in a system is a precursor to ensuring safety.

**4.1.3** The quality systems should include, but not be limited to:

- A. Basic process control of the elements that make up that section
- B. Documentation of process control for the elements of that section
- C. Internal audit system of those elements
- D. External evaluation of vendors / suppliers associated with those elements
- E. Measurement of processes for reliability and effectiveness
- F. Independent audit (third party) of the elements of each section

### Guidance

To ensure the quality system is effective the above elements must be clear and understandable by all levels of employees. Once comprehension at all levels is attained the Operator can then focus on obtaining the feedback necessary for improving the system. This is a critical element to the development of a successful SMS and it is incumbent on management that they continually review all portions of the system to ensure they are achieving the highest levels of quality and safety.

## 4.2 Internal Evaluation Program

**4.2.1** The Operator shall perform regularly scheduled internal audits of its operational processes. The evaluation process shall be an ongoing function that identifies deficiencies, develops corrective and preventive actions, and performs follow up evaluations that measure the effectiveness of interventions. The internal audit cycle should never exceed 24 months.

### Guidance

The internal audit cycle can be flexible but should never exceed 18 months. Follow up audits should be scheduled to verify that corrective actions taken have achieved the desired results. The Operator must impress on all employees it is their individual responsibility to continually assess their responsibilities to identify any potential or actual weaknesses in the system and elevate these observations to individuals responsible for and with the authority to initiate changes and improvements.

The Operator and all employees must be aware that internal reviews are necessary to conducting business. It is everyone's responsibility to ensure the quality of the operation by seeking ways to improve operations and services. These reviews can be informal however, the results must be elevated to the individual for implementing change and the results of the change must be evaluated to ensure the desired result was achieved.

**4.2.2** The internal evaluation process should be an independent function that has straight-line reporting responsibility to senior management and/or the Safety Department.

### Guidance

It is imperative the audit responsibilities are operationally independent and that the individual responsible for the execution of the audit function report directly to Top

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Management. This reporting structure ensures the independence of the internal audit function and provides the autonomy necessary to ensure unbiased results.

### 4.3 External Evaluation Program

**4.3.1** The Operator should have independent third-party audits conducted in accordance with the requirements of this program.

#### Guidance

Most successful evaluations of an organization are the result of an independent third party who has no preconceived opinions with regard to the operations quality and safety. The Operator should evaluate the third-party qualifications to ensure they will be conducting an impartial review of all of the programs. The results of these unbiased external reviews are critical to ensuring the organization is continually improving and meeting their stated goals and objectives.

### 5.0 Emergency / Contingency Management

#### 5.1 Planning

**5.1.1** The Operator shall develop and implement procedures in the event of an accident or incident or operational emergency. The emergency response plan, or process, shall address, at a minimum, the following events:

- A.** Major or Catastrophic Aircraft Accident
  - 1) Substantial damage to the aircraft, or
  - 2) Serious or fatal injury to one or more persons, or
  - 3) Substantial damage to property.
- B.** Missing aircraft
- C.** Emergency airborne or potentially hazardous situation
- D.** Hijacking
- E.** Bomb threat/terrorist act
- F.** Reportable incidents to the appropriate agency, e.g., NTSB
- G.** Facility Accident/Incident
  - 1) Substantial damage to Operator property, loss of life or serious injury caused by an event not covered by A, F, or H of this section
- H.** Aircraft damaged
  - 1) Minor damage on the ground, no loss of life, minor injury to person(s)
- I.** Environmental event
- J.** Health-related event
- K.** Employee welfare following a major event
- L.** Business Continuity/Recovery Plan
- M.** Managing events that occur outside of its country

#### Guidance

In addressing the above the plan shall include consideration of specific regulatory requirements as well as best practices and expectations of the community where the occurrence takes place. The considerations for the community may be an evolving situation and is critical to the overall success of the company and its future operations.

Environmental events could include hurricanes, tornadoes, or other natural disasters. Health-related could include epidemics, pandemics, and other illnesses.

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### 5.2 Preparation

**5.2.1** The Operator shall conduct periodic training and orientation on the Operator's emergency response plan for all employees. As a minimum, those employees that are directly involved in the management of the emergency response plan shall attend the training and orientation. During the refresher training all procedures shall be reviewed for currency and applicability.

#### Guidance

An initial training program for all employees shall be developed to introduce the plan and expectations of the organization in the event of an occurrence. The purpose of the training is to expose non-essential personnel to the critical nature of the program. Refresher training for those individuals directly involved in the execution of the ERP shall be conducted on a regular basis and should occur at a minimum of every two years. During the refresher process all procedures will be reviewed for currency and applicability. As an option refresher training can be conducted during table top execution of the ERP.

**5.2.2** The Operator shall conduct an emergency response exercise, on at least an annual basis, in order to evaluate the effectiveness of the Operator's emergency response plan and to take appropriate corrective action to improve the Operator's emergency response readiness. The results of the annual emergency response exercise shall be documented in the Management Review required by this Standard.

#### Guidance

In order to ensure the completeness of the plan the Operator shall exercise the ERP at least annually. This shall take one of two forms. The first can be in the form of a "table top" exercise, where a scenario is developed and all aspects of the company's approach to dealing with the scenario are discussed, including the potential consequences of the occurrence, and final resolution is reached. The second method is more extensive and requires coordination with all internal operations as well as external agencies. This is a more realistic approach with regard to identifying potential shortfalls in the program. Most airports conduct these types of exercises. The company should be actively involved and understand how its ERP integrates with the plans of other agencies on the airport.

The Operator shall document both approaches, in order to understand where their plan needs to be adjusted and/or improved.

## **SECTION 2: FLIGHT OPERATIONS**

### **1.0 Flight Operations Organization and Management**

#### **1.1 Air Operator Certificate (AOC) and Government Supervision**

**1.1.1** The Operator shall have a current copy of its Air Operator Certificate (AOC) available for inspection.

##### **Guidance**

The AOC must be available for inspection in either print or electronic form. The format in which the AOC is available shall meet the requirements of the NAA.

Special authorizations may or may not be included in the documents provided by the State. A copy of these special authorizations shall be included in the Operator's documentation.

**1.1.2** The Operator shall have available a list of the National Aviation Authority (NAA) personnel responsible for the oversight of its operation.

##### **Guidance**

The format of this list will vary depending on the requirements of the NAA. If a list is not available, the Operator will inform the evaluation team on how to contact the NAA, so verification of NAA personnel can be accomplished.

The evaluation team may contact the NAA to verify the information provided.

#### **1.2 Organization Structure and Responsibilities / General Management**

**1.2.1** The Operator shall display in its Operations Manual (OM) an Operator organizational chart.

##### **Guidance**

The organizational chart must depict all members of the management team and reflect the organization's reporting structure and chain-of-command.

**1.2.2** The Operator shall list in its OM all management personnel required by the NAA.

##### **Guidance**

This list shall, in accordance with the requirements of the NAA, identify those positions required and list the names of the individuals who currently fill those positions.

## SECTION 2: FLIGHT OPERATIONS

**1.2.3** The Operator shall list in its OM the duties and responsibilities of the management personnel required by the NAA.

### Guidance

The OM must have a detailed description of the duties and responsibilities for each management position required by the NAA. The duties assigned to any individual should be reasonable and within the scope of their expertise. If there are provisions for the delegation of individual duties or responsibilities, there must be a documented process to ensure coordination and communication.

**1.2.4** The Operator shall list in its OM or otherwise document the duties and responsibilities of additional managers and supervisors.

### Guidance

The duties and responsibilities of the additional managers and supervisors can be contained in other documents or records, and these shall be current and readily available. The duties assigned to these individuals should be reasonable and within the scope of their expertise. If there are provisions for the delegation of individual duties or responsibilities, there must be a documented process to ensure coordination and communication.

## 1.3 Human Resource Policies

**1.3.1** The Operator shall provide to each employee -current human resource policies and procedures.

### Guidance

The operator shall provide a comprehensive document to each employee in either print or electronic form that describes company policies and procedures. This document shall be part of the Manual System and shall outline company policies regarding: hiring, termination of employment, drug and alcohol abuse, etc.

## 2.0 Line Operations

### 2.1 Management of Policies and Procedures

**2.1.1** All policies, instructions, and procedures relevant to the flight crew and the overall operation of the mission shall be described in the appropriate section of the Operations Manual or in other controlled documents.

### Guidance

The Operations Manual may be divided into separate manuals, volumes or parts; however, the applicable sections shall be readily available to individuals in the performance of their duties.

## SECTION 2: FLIGHT OPERATIONS

### 2.2 Flight / Cabin Crew Responsibilities

**2.2.1** The Operator's OM shall document line-oriented procedures and responsibilities for the PIC.

#### Guidance

The Operator shall incorporate into the OM, or provide in a separate document, detailed guidance to the PIC regarding company standards for the conduct of all flight operations.

**2.2.2** The Operator's OM shall document line-oriented procedures and responsibilities for the SIC.

#### Guidance

The Operator shall incorporate into the OM, or provide in a separate document, detailed guidance to the SIC regarding company standards for the conduct of all flight operations.

**2.2.3** The Operator's OM shall document line-oriented procedures and responsibilities for any Flight Attendant/Cabin Server.

#### Guidance

The Operator shall incorporate into the OM, or provide in a separate document, detailed guidance to the Flight Attendant or Cabin Server regarding company standards for the conduct of all flight operations.

### 2.3 Flight / Cabin Crew Composition, Qualifications, Flight Time Limitations and Scheduling

**2.3.1** The Operator shall have procedures to maintain Flight and Duty Time and Rest records. These records shall be provided for the previous 30 days (or longer if required by the NAA).

#### Guidance

These procedures shall incorporate all applicable NAA requirements regarding Flight and Duty Time and Rest. The Operator shall provide, in either written or electronic form, the previous 30 days (or longer if required by the NAA) of Flight and Duty Time with the appropriate rest periods for each crewmember.

**2.3.2** The Operator shall have procedures to prevent Flight and Duty Time non-conformity.

#### Guidance

The Operator shall have a documented procedure in the OM, or other approved documentation, describing the steps to avoid exceeding flight and duty time regulations. (A computer-based program should be utilized to automatically highlight any non-conformity.)

## SECTION 2: FLIGHT OPERATIONS

**2.3.3** The Operator shall document training and other non-flight duty time in the Flight and Duty records.

### Guidance

The Operator shall have a system of records, in either paper or electronic form, indicating the duties in which the crewmember has performed during, at a minimum, the previous 30-day period. These records should indicate all duties the individual has performed, to include training, office time, and other company related requirements.

**2.3.4** The Operator shall have procedures to ensure that flight crews receive the required rest periods per calendar quarter.

### Guidance

The Operator shall have described in either the OM or other related, controlled documents the scheduling policies with regard to rest received prior to each flight and for the calendar quarter. This policy shall contain provisions for additional rest for flight crews returning from a flight that has crossed multiple time zones.

**2.3.5** The Operator shall document fatigue countermeasures to ensure adequate crewmember rest and alertness when operating across multiple time zones. This policy shall contain provisions for additional rest for flight crews returning from a flight that has crossed multiple time zones and shall consider the effects of circadian rhythm disruptions.

### Guidance

The Operator shall document guidance to crewmembers to combat fatigue when crossing multiple time zones over extended periods of time.

**2.3.6** The Operator shall have procedures to ensure that only trained, qualified and authorized crewmembers are assigned to each flight.

### Guidance

The Operator shall have a documented procedure in the OM describing the steps to ensure that each crewmember assigned to a flight meets the training and qualification requirements of the NAA. One method of compliance with this requirement is through the use of a computer-based program that automatically highlights any non-conformity.

**2.3.7** The Operator shall define minimum flight crew pairing standards, and develop the procedures to ensure that no crew is assigned to a flight that does not meet these standards.

### Guidance

The Operator shall have a documented procedure in the OM describing the steps to ensure that crewmembers assigned to a particular flight meet the minimum pairing standards as required by the governing regulations and/or these standards. Use of a computer-based program can be used to automatically highlight any non-conformity.

## SECTION 2: FLIGHT OPERATIONS

**2.3.8** The Operator shall specify in the crewmember's qualification records, the number of aircraft types, and aircraft-type derivations, that a flight crewmember may operate. This shall be limited to two aircraft types.

### Guidance

The training records for each crewmember must reflect the type equipment the crewmember is authorized to operate, including any aircraft derivations, and must indicate the crewmember's seat qualification for each aircraft. To comply with these standards, a crewmember is limited to qualification in two aircraft types.

**2.3.9** The Operator shall document its policy regarding the use of part-time or contract crewmembers, including requirements to receive all ground and flight training as required by the training manual, responsibility to report all commercial flight time, and number of commercial operators for which the pilot is permitted to serve.

### Guidance

The Operator shall have documentation outlining the company policy regarding the use of part-time or contract pilots. The policy must indicate that the part-time pilot must receive all ground and flight training as required by the Operator's training manual. The Operator must ensure that the part-time pilot documents all commercial flight time, including flights conducted for other operators.

The Operator shall indicate the number of other commercial operators for which the part-time pilot may be qualified to serve. The Operator must have a process to ensure that any part-time pilot has adequate rest prior to the acceptance of a duty period.

**2.3.10** The Operators shall document procedures to ensure that adequate rest facilities are provided as required by the NAA onboard the aircraft when any augmented crewmember is utilized.

### Guidance

One method an operator may ensure the aircraft crew rest area conforms to NAA requirements is to comply with the criteria outlined in AC121-31 for US operators, or the requirements of the applicable NAA. The FAA Advisory Circular library can be accessed at the following link:

[http://rgl.faa.gov/Regulatory\\_and\\_Guidance\\_Library/rgAdvisoryCircular.nsf/](http://rgl.faa.gov/Regulatory_and_Guidance_Library/rgAdvisoryCircular.nsf/)

**2.3.11** *Reserved.*

## 2.4 Flight Preparation and Preflight

**2.4.1** The Operator shall document the duties and responsibilities of each flight crewmember during flight preparation and planning, including the use of a CFIT checklist for mountainous airport operations

## SECTION 2: FLIGHT OPERATIONS

### Guidance

The Operator's OM will have detailed description of the duties and responsibilities to complete preflight preparation and planning. The duties and responsibilities should conform to regulatory requirements and industry standards. For mountainous airport operations, the Operator shall utilize a CFIT checklist.

**2.4.2** The Operator shall document procedures for flight crew in the event an aircraft discrepancy is discovered during preflight. The procedure shall include a system of notification, recording of discrepancies, MEL procedures, and how to properly sign off required maintenance. There shall be a documented policy regarding the determination that a discrepancy deferred in accordance with the MEL does not represent a safety-of-flight issue.

### Guidance

The Operator's OM shall include documented procedures for either the flight crew or maintenance technician to follow when a discrepancy is discovered. The Operator's procedures shall note any differences applicable to discrepancies discovered while operating internationally.

## 2.5 Ground Handling

NOTE: See guidance in Section 6 (Ground Handling) for additional information.

**2.5.1** The Operator shall have ground-handling procedures to prevent personal injury and/or aircraft or property damage.

### Guidance

The Operator's OM or other manuals must document a policy and procedure for the movement of aircraft under tow.

**2.5.2** The Operator shall have procedures for flight crew to supervise aircraft ground-handling personnel and procedures, including fueling. A flight crewmember shall ensure that the fuel truck is equipped with the emergency equipment required by the NAA and is properly grounded.

### Guidance

The Operator shall have documented policies to ensure that all ground servicing of the aircraft is supervised by a member of the flight crew. This policy should include a statement that no one other than company personnel shall have access to the aircraft except in the presence of a member of the flight crew.

**2.5.3** The Operator shall have procedures to ensure proper fueling procedures and fuel grades are followed.

### Guidance

No further guidance provided.

## SECTION 2: FLIGHT OPERATIONS

**2.5.4** The Operator shall have procedures for the flight crew to follow to ensure the proper operation of line vehicles, and other vehicles operating, or parking near aircraft, to prevent personal injury and/or aircraft, or property damage.

### Guidance

These procedures shall account for any and all contingencies for vehicles and equipment operating in and around the aircraft.

## 2.6 Airspace Rules

**2.6.1** The Operator shall have a flight release process and procedures to ensure each aircraft meets the airspace operational equipment requirements in accordance with the rules under which each flight is to be conducted.

### Guidance

The Operator shall have documented procedures to ensure that an aircraft released for a particular flight meets all departure, en route, approach airspace and RNP requirements. The Operator shall provide the flight crews with information regarding each aircraft's navigation capabilities and standard equipment.

## 2.7 In-Flight

**2.7.1** The Operator shall provide each crewmember with a NAA-accepted or -approved (as applicable) normal operations checklist. The checklist shall encompass procedures and checks related to aircraft operation from before-engine start through engine shutdown and securing of the aircraft.

### Guidance

The Operator shall provide each crewmember with an aircraft specific, NAA-accepted or -approved normal operations checklist.

**2.7.2** The Operator shall provide each crewmember with aircraft-specific and operator-specific standard operating procedures. At a minimum, the manual shall have references to aircraft-specific flow patterns, standard call-outs, the use of normal and emergency checklists, and stabilized approach standards.

### Guidance

The Operator shall provide each crewmember with an aircraft-specific and operator-specific standard operating procedures manual. The manual shall encompass the procedures required to complete a flight operation that begin at the flight crew's arrival at the airport until such time that the aircraft has been secured at the completion of the flight.

**2.7.3** The Operator shall have a policy regarding PIC assignment and which seat the SIC may occupy and these sign assignments shall be established by a company manager.

## SECTION 2: FLIGHT OPERATIONS

### Guidance

The Operator shall have a documented policy and procedure whereby a flight crewmember's seat assignment may only be established by a company manager at the Chief Pilot level or higher.

### 2.8 Non-Normal / Abnormal Operations, Handling of Incidents / Accidents

**2.8.1** The Operator shall provide each crewmember with NAA accepted or approved abnormal and emergency checklists.

### Guidance

The Operator shall ensure that each aircraft is equipped with an NAA-accepted or -approved abnormal and emergency checklist. There shall be evidence that the checklist revision is current and conforms to the Aircraft Flight Manual.

If the Operator utilizes a training provider's checklist, there shall be documentation that the checklist has been accepted or approved by the NAA.

### 3.0 Flight Crew Training and Examination

#### 3.1 Organization Structure and Management General

**3.1.1** The Operator and/or NAA-approved training provider shall document all qualified instructors and list the subjects for and aircraft in which they are approved to provide training.

### Guidance

The Operator shall provide a listing of all qualified instructors. The list must provide detail regarding the aircraft in which they are qualified to provide instruction, and the ground training subjects for which they are qualified.

**3.1.2** The Operator and/or NAA-approved training provider shall document all qualified Check Airmen and list the aircraft and/or simulators in which they are approved and the checks that may be accomplished.

### Guidance

The Operator shall provide a list of all company Check Airmen. The list must detail each Check Airman's authority regarding the type(s) of aircraft in which the checks may be performed as well as the type(s) of checks that may be performed.

If the Operator utilizes the services of a training provider, a list similar to that above must be maintained by the Operator. The list must include the names of each Check Airman the training provider utilizes on behalf of the Operator. The list must detail each Check Airman's authority regarding the type(s) of aircraft in which the checks may be performed as well as the type(s) of checks that may be performed.

## SECTION 2: FLIGHT OPERATIONS

**3.1.3** The Operator shall utilize a Level C or above simulator (when available) at least annually for all flight training and checking other than a line check or a line quality assurance program. Crewmembers qualified in more than one aircraft shall attend simulator for each aircraft at least annually. (See Guidance if simulator is not available.)

### Guidance

The Operator shall train its flight crewmembers in a Level C or higher simulator at least annually.

Line checks, line quality assurance checks, and instrument checks may be accomplished in the aircraft.

For those aircraft that do not have a simulator available, the Operator shall make arrangements to provide instrument and unusual attitude training in a task trainer on an annual basis.

## 3.2 Instructors, Examiners, Line Check Airmen

**3.2.1** The Operator and/or NAA-approved training provider shall document that all instructors and Check Airmen have received training relative to their duties and responsibilities.

### Guidance

Each Instructor and Check Airman personal training record shall document that they have received and satisfactorily completed the required training in accordance with the Operator's training manual. The training must include the duties and responsibilities of an Instructor/Check Airman.

**3.2.2** The Operator and/or NAA-approved training provider shall document all ground and flight training administered by instructors and Check Airmen in their respective Flight and Duty records.

### Guidance

The Operator or the NAA-approved training provider shall maintain a record of the instructor's and Check Airman's Flight and Duty Time to ensure they are provided adequate rest prior to conducting training or administering check rides.

## 3.3 Examination / Certification

**3.3.1** The Operator shall have a procedure to ensure that each crewmember has received and successfully completed the required oral and flight examinations. These records shall include any failures and the corrective action taken to ensure the individual is qualified.

### Guidance

The Operator's procedures shall include provisions for documenting the results of oral and flight examinations in the individual training records.

## SECTION 2: FLIGHT OPERATIONS

**3.3.2** The Operator shall have a procedure to ensure that each crewmember has completed the required training events before assignment to flight duties.

### Guidance

The Operator must have a detailed procedure to ensure that each flight crewmember has completed all training and oral and flight checks prior to being assigned to a flight operation. One method to ensure compliance is through the use of a computer-based system that automatically indicates when a crewmember has not completed all required training and checking.

### 3.4 Facilities, Training Aids and Equipment

**3.4.1** The Operator and/or NAA-approved training provider shall have a designated room or facilities in which to conduct ground training.

### Guidance

The Operator shall provide a room that is conducive to a good training environment. The room should be well lit with good ventilation and provide either a method to project images onto a screen or a board to diagram training subjects.

**3.4.2** The Operator and/or NAA-approved training provider shall ensure that any **technical** training aids and equipment utilized are adequately maintained, current and are approved and/or authorized by the regulatory authority/operator. The currency of the device shall be documented and available for inspection.

### Guidance

All **technical** training aids shall be inspected to ensure they are in good working order, well maintained and meet the currency requirements of the manufacturer, operator and/or NAA. **(This does not apply to items such as white boards, projection screens, sound systems, etc.)**

### 3.5 Ground Training Syllabus

**3.5.1** The Operator's ground-training manual and program shall be approved by the NAA.

### Guidance

The Operator's ground-training manual must contain a letter and/or appropriate stamp of approval from the NAA, as applicable. The Operator shall have documentation that a ground-training program conducted by a training provider has been approved by the NAA and meets the requirements of the Operator and is approved for the Operator's use.

## SECTION 2: FLIGHT OPERATIONS

**3.5.2** The Operator shall document in its Internal Evaluation Program its procedures for oversight of a training provider's ground training programs.

### Guidance

The Operator shall provide documentation that each training provider has been audited on an annual basis to ensure that the ground and flight training meets the requirements of the Operator's NAA-approved training program/manuals.

**3.5.3** The Operator shall have procedures to ensure flight crewmembers are trained in RNP requirements and aircraft equipment.

### Guidance

The Operator's NAA-approved training manual must include instruction in airspace RNP requirements and the method to determine an aircraft's RNP authorization. If this instruction is administered by the Operator's approved training provider, the documentation shall include validation that the provider is conducting this training in accordance with the Operator's approved training program.

**3.5.4** The Operator shall include in its NAA-approved ground training program instruction in Crew Resource Management.

### Guidance

The Operator's NAA-approved training manual must include instruction in CRM procedures and techniques to ensure the crew is working together safely. It shall emphasize the latest techniques and supplement the training received during simulator and/or flight training.

## 3.6 Simulator and / or Airplane Training Syllabus

**3.6.1** The Operator shall ensure that its flight-training manual has been approved by the NAA.

### Guidance

The Operator shall have documentation that the NAA has approved its flight-training manual. This approval may be in the form of a letter issued by the approving authority or a stamp of approval contained in the program manual.

**3.6.2** The Operator shall document in its Internal Evaluation Program its procedures for oversight of a training provider's flight training program. This documentation shall include provisions for review of completed individual training accomplishments as well as provisions for on-site inspection/oversight of training in progress.

A. The Operator shall have a process to ensure any training conducted by a training provider is conducted in accordance with the Operator's approved training program.

## SECTION 2: FLIGHT OPERATIONS

B. The Operator shall conduct an evaluation of the training provider at least every two years or as required by the NAA. All discrepancies found during the evaluation shall be fully documented and the provider shall provide, in writing, their proposed resolution of these discrepancies.

### Guidance

The Operator shall have documented policies and procedures as to how it will complete this evaluation. All findings identified during the evaluation will be fully documented and the provider shall provide, in writing, their proposed resolution of these discrepancies. The final approval of the corrections is the responsibility of the Operator.

A review of the provider's records shall be accomplished to ensure all training is provided in accordance with the requirements of the Operator's approved/accepted training program.

The Operator shall document that the training conducted by a third-party training provider conforms to the Operator's NAA-approved flight training program.

**3.6.3** The Operator shall include in its NAA-approved training program instruction and evaluation in Crew Resource Management during simulator and flight training.

### Guidance

The Operator's NAA-approved training manual must include instruction in CRM procedures and techniques that ensure the crew is working together safely. The CRM training shall complement the Operator's ground training program and provide for practical application under controlled conditions.

**3.6.4 Reserved.**

**3.6.5 Reserved.**

## 4.0 Technical Operations

### 4.1 Airplane Performance

**4.1.1** The Operator shall have procedures to ensure that aircraft are not dispatched to or from any airport that is beyond the performance capabilities of the aircraft in accordance with the rules under which the flight is being conducted. If a computer-based program is not used, scheduling/dispatch personnel shall have received documented training regarding minimum performance standards for each type of aircraft operated.

### Guidance

The Operator shall have documented procedures to ensure that aircraft are not dispatched to airports that exceed the capabilities of the aircraft. Preferably, a computer-based program is utilized that automatically highlights any airport with runways that do not meet the required minimum runway lengths and/or with excessively high field elevation. In lieu of a computer-based program, scheduling/dispatch personnel shall have

## SECTION 2: FLIGHT OPERATIONS

received documented training regarding minimum performance standards for each type of aircraft operated.

**4.1.2** The Operator shall have procedures to ensure that flight crewmembers are trained in calculating aircraft performance. This shall include performance certification standards and requirements. The performance issues shall include the calculation of takeoff and landing distances, weight limitations on takeoff and landing, and calculating gradients for obstacle departure procedures.

### Guidance

The Operators training syllabus shall include training regarding aircraft performance. The flight crews must also receive training on certification standards and requirements applicable to the authorizing/approving NAA.

## 4.2 Navigation and Facilities

**4.2.1** The Operator shall have procedures to ensure that an aircraft meets departure, en route and terminal navigation requirements applicable to their operating authority. Flight crews and dispatch personnel shall receive training regarding the navigation equipment installed in each aircraft and the Operator's NAA-authorized areas of operation.

### Guidance

The Operator shall have documented procedures to ensure that an aircraft is not dispatched for a flight operation that is not in accordance with the requirements of their operating authority.

## 4.3 Certification and Equipment Requirements

**4.3.1** The Operator shall have procedures to ensure that all aircraft meet the type certification and equipment requirements of the applicable NAA rules under which the flight will be conducted.

### Guidance

A review of each aircraft shall reveal that the type certification and equipment requirements of the applicable NAA have been met. The NAA rules and regulations under which the flight is conducted shall be applied.

**4.3.2** The Operator shall have procedures to ensure that flight crewmembers and dispatch personnel are aware of any MEL/CDL deferrals and to what extent they may affect flight operations. Flight crewmembers and dispatch personnel shall be trained to recognize that deferred items could affect the safety of a particular flight operation.

### Guidance

## SECTION 2: FLIGHT OPERATIONS

The Operator shall have a method to notify the flight crews and dispatchers of MEL/CDL deferrals. Dispatch personnel must be trained to recognize that deferred items could affect the safety of a particular flight operation and may prevent the dispatch of the aircraft.

Flight crewmembers shall be trained to recognize deferred items and how they affect the safety of flight. Flight crews shall be trained to recognize safety of flight issues regarding deferred items and their responsibility to refuse an operation that cannot be conducted with an acceptable level of safety.

**4.3.3** The Operator shall have procedures to ensure that the required survival equipment is onboard the aircraft and is within the applicable inspection cycle, prior to flight release authorization, for the intended flight operation.

### Guidance

The procedures shall conform to the requirements of the applicable NAA and the equipment shall be current with regard to the manufacturers' specifications and NAA regulations.

**4.3.4** *Reserved.*

## 5.0 International Operations

### 5.1 Documentation

**5.1.1** The Operator shall document its authorized areas of operation in its manual system. This information shall be available to flight crews and those with authority to initiate or otherwise control the Operator's flights.

### Guidance

The Operator will include the areas of operation that are approved by the NAA, if applicable.

**5.1.2** The Operator shall have a reference library sufficient to cover the authorized areas of operation available to flight crews and those with authority to initiate or control flights.

### Guidance

The Operator shall ensure that adequate manuals, charts, and other reference documents are available to its flight crews and those with authority to initiate or otherwise control the Operator's flights.

**5.1.3** The Operator shall have procedures to retain all international flight documentation in accordance with its policy or applicable NAA rules.

### Guidance

## SECTION 2: FLIGHT OPERATIONS

The Operator shall retain all international flight documentation for the period of time required by the NAA, if applicable, or the Operator's document retention policy, whichever is greater. The information should be kept in an orderly manner and readily accessible.

**5.1.4** The Operator shall have procedures to ensure all international flight documentation conforms to applicable NAA rules and regulations.

### Guidance

The Operator's manual system shall provide instructions for creating and using international flight documentation, in compliance with NAA regulations. The documentation may be created by the Operator or an authorized third party, when permissible, and must conform to all of the requirements of the governing NAA.

**5.1.5** The Operator shall have international procedures training for crewmembers.

### Guidance

The International procedures training provided by the Operator shall be documented in the appropriate portion of the Operator's Operations Manual or manual system and shall be approved by the NAA. The training may be provided by a third party; however, this training must be in accordance with the Operator's approved/accepted training documentation. The Operator shall maintain a copy of the training in the individual's training record.

**5.1.6** The Operator shall have processes and procedures regarding the use of third-party flight planning and/or handling services, including the scope of the services provided and means to identify and correct any deficiencies in these services.

### Guidance

If the Operator utilizes the services of a third party for flight planning and/or handling, they shall have documentation that outlines the scope of the services provided and means to identify and correct any deficiencies in these services.

## 5.2 Compliance with International Requirements

**5.2.1** The Operator shall document its processes and procedures to comply with applicable State(s) aviation regulatory requirements.

### Guidance

The Operator shall ensure that it is knowledgeable of the aviation regulatory requirements of the applicable NAA for all authorized areas of operation. Processes and procedures shall be developed and documented to apply that knowledge on a consistent basis. This will ensure compliance and assist managers and flight crews in making appropriate decisions.

**5.2.2** The Operator shall document its processes and procedures to comply with applicable State(s) immigration requirements.

## SECTION 2: FLIGHT OPERATIONS

### Guidance

The Operator shall ensure that it is knowledgeable of the immigration requirements of all authorized areas of operation. Processes and procedures shall be developed and documented to apply the knowledge on a consistent basis. This will ensure compliance and assist managers and flight crews in making appropriate decisions.

**5.2.3** The Operator shall document its processes and procedures to comply with applicable State(s) security requirements.

### Guidance

The Operator shall ensure that it is knowledgeable of the security requirements of all authorized areas of operation. Processes and procedures shall be developed and documented to apply that knowledge on a consistent basis. This will ensure compliance and assist managers and flight crews in making compliant decisions.

**5.2.4** The Operator shall document its processes and procedures to comply with applicable State(s) agriculture requirements.

### Guidance

The Operator shall ensure that it is knowledgeable of the agriculture requirements of all authorized areas of operation. Processes and procedures shall be developed and documented to apply that knowledge on a consistent basis and this will ensure compliance and assist managers and flight crews in making compliant decisions.

**5.2.5** The Operator shall document its processes and procedures regarding the international transportation of minors.

### Guidance

The Operator shall ensure that it is knowledgeable regarding the requirements for the transportation of minors in all authorized areas of operation. Specific policies shall be in place based on those requirements. This should include specific parental release documents, the person authorized to sign the release, notary requirements, and the company representative responsible to review this document.

## 5.3 Overwater Operations

**5.3.1** The Operator shall have a policy that prohibits the release of a flight if preflight planning indicates it will have a “wet footprint” considering the possible loss of one powerplant and/or a loss of pressurization.

### Guidance

The Operator's manual system shall include guidance on preflight planning for overwater flights. This guidance shall prohibit initiating a flight if it will have a “wet footprint” and the appropriate equipment is not onboard the aircraft. This guidance shall also include the requirement for this calculation to be made considering the loss of one powerplant and/or

## SECTION 2: FLIGHT OPERATIONS

loss of pressurization. In addition, the Operator should consider the same calculation for a medical emergency that could occur en route.

**5.3.2** The Operator shall have processes and procedures to ensure compliance with NAA ETOPS operations requirements, if authorized.

### **Guidance**

If authorized to conduct Extended Operations, as defined by the applicable NAA, the Operator shall have documented processes and procedures in place outlining how they shall support such operations. This shall include documented processes and procedures for flight operations and maintenance requirements.

NOTE: If the Operator does not have ETOPS authorization, the auditor should indicate this item as N/A and state the Operator does not have ETOPS authorization. If the Operator has ETOPS authorization but chooses not to use the authorization, the Operator's manual should indicate that operations having a web footprint are prohibited.

## SECTION 3: OPERATIONAL CONTROL

### 1.0 Organization and Management

#### 1.1 Management System

**1.1.1** The Operator shall have processes and procedures for the exercise of control over the initiation, conduct, termination and continuance of a flight, according to the authorizations and regulatory guidance of the NAA. Included in **these procedures** shall be the name of the individual responsible for the operational control of each flight.

##### **Guidance**

The Operator's Manual System shall describe how it will conform to the rules and regulations governing operational control.

The Operator's GOM shall contain adequate briefing and trip planning procedures to ensure all safety requirements are fulfilled. Operators shall ensure that the GOM contains detailed policies, guidance, and specific procedures for each category of employee responsible for the planning and authorizing of a flight.

NOTE: In some operations, many operational control-related duties and responsibilities may be delegated to the pilot-in-command. This is acceptable, provided the ultimate responsibility for operational control is held by an individual listed in A006 or other NAA authorization.

**1.1.2** The Operator shall list in the appropriate NAA authorizations, manual or manual system those individuals having operational control authority.

##### **Guidance**

The Operator's Manual System shall include a current list of personnel authorized to exercise operational control. An organization chart or process map (workflow) should be included in the manual system for clarity of the operational control process.

**1.1.3** The Operator shall have policies and procedures to be followed by designated personnel to ensure operational control within the system. Operational control procedures shall comply with the applicable regulations and may be exercised through flight plans, flight following, or flight locating. Individuals exercising operational control shall be properly trained.

##### **Guidance**

A. Operators shall require flight crews to file and activate air traffic control flight plans. The Operator's GOM shall prohibit the flight crew from operating without an activated flight plan until arrival at the destination airport.

## SECTION 3: OPERATIONAL CONTROL

B. Procedures in Lieu of Flight plans. When a flight plan is not filed, operators must have established procedures for following and locating each flight. The individual authorized to exercise operational control must be provided with at least the information required in a VFR flight plan.

C. Flight-Locating Information When Radio Contact Cannot Be Maintained. When operations are conducted in an area in which radio contact cannot be maintained with ATC, the individual authorized to exercise operational control must be provided with the location, date, and estimated time at which the flight will re-establish radio or telephone communications. Flight-locating information must be retained at the operator's principal base of operations, or at other places designated by the operator, until the completion of the flight.

D. Flight Followers. The majority of NAA require the operator to list the name of each individual authorized to perform flight-following duties in the GOM. The operator shall maintain records that specify the qualifications for and training received by these individuals.

E. Training. Operators are responsible for ensuring individuals authorized to exercise operational control are adequately trained and qualified to perform their assigned duties.

NOTE: Individuals exercising operational control must be knowledgeable of, and have access to, appropriate sections of the Operator's GOM while performing their assigned duties.

**1.1.4** The Operator shall have processes and procedures to ensure the appropriate management personnel coordinate and communicate on matters involving operational control. Records of these communications shall be maintained.

### Guidance

Only personnel assigned and depicted in an operator's GOM shall coordinate and communicate on matters involving operational control. Records of these communications shall be maintained to show compliance with the procedures outlined in the GOM and with NAA rules and regulations. The communications process is best depicted in a tree or diagram format. However, textual descriptions are acceptable.

**1.1.5** The Operator shall ensure all personnel with authority and responsibility for the exercise and/or monitoring of operational control have ready access to appropriate safety information.

### Guidance

The operator shall produce this guidance in either paper or electronic form. The guidance must be current and in compliance with the NAA governing regulations.

**1.1.6** The Operator shall have processes and procedures to ensure oversight of every satellite base from which it operates.

## SECTION 3: OPERATIONAL CONTROL

### Guidance

When an Operator bases aircraft at locations other than its main operating location, the Operator shall ensure the Satellite Base is conducting business in accordance with the policies, processes and procedures used by the company in its daily operations.

The Operator shall have a documented audit process to ensure the Satellite Base is following all processes and procedures in the company manual system for both operations and maintenance. The audit program documentation shall identify the individual(s) responsible for conducting the oversight audits, and include a schedule for audit completion. Records of audits, including corrective actions, shall be maintained at the Operator's main base for at least two years.

The Operator shall appoint individuals with the following responsibilities at each Satellite Base, as appropriate:

- Base Manager
- Base Chief Pilot
- Base Maintenance Manager

The duties and responsibilities shall be included in company documentation and depicted on the company organizational chart.

NOTE: If the Operator does not have satellite bases, the auditor should mark this item N/A and state the Operator does not have satellite bases.

## 2.0 Manuals and Documentation

**2.0.1** The Operator shall have a company manual system that meets the requirements of the NAA and this Standard, which describes its flight locating system. If a flight-locating system is not utilized, the OM shall contain procedures to flight crews for filing of an NAA flight plan.

### Guidance

If the operator does not have a flight-locating system, the GOM must contain directions to flight crews regarding the filing of a NAA flight plan for each flight. If a flight-locating system is established, the GOM must contain the procedures that will provide the operator with at least the information included in a visual flight rules (VFR) flight plan for each flight. The flight-locating system shall provide for timely notification to an NAA facility, and search-and-rescue facility when an aircraft is overdue or missing. If an operator uses a flight control system that is more sophisticated than the basic requirements of the regulation, the GOM shall contain a description of the system and procedures to be used.

## 3.0 Quality Assurance

**3.0.1** The Operator shall have, as part of an Internal Evaluation Program, a process of quality assurance of operational control procedures and processes.

## SECTION 3: OPERATIONAL CONTROL

### Guidance

The operator shall maintain specific performance measurements that pertain directly to its operational control procedures and processes.

### 4.0 Training Programs

**4.0.1** The Operator shall have a training program, in accordance with the NAA, for any person to whom it will grant the ability to perform operational control tasks, within the limits of the Operator's documented policies and procedures, on behalf of the Operator. This training shall consist of both initial and recurrent training.

### Guidance

This documented training program shall conform to the requirements of the NAA. The training program shall consist of both initial and recurrent training to ensure all personnel are fully qualified and remain so as regulations are updated.

### 5.0 Hiring – Qualifications – Licensing – Certification

**5.0.1** The Operator shall have a policy regarding the qualifications of dispatch personnel, including non-certificated flight followers.

### Guidance

If an operator chooses to utilize a certificated dispatcher, the dispatcher shall be qualified in accordance with the specific NAA regulations. If certificated dispatchers are not used, the operator's manual system will contain a list of those individuals and their qualifications and authority to exercise the dispatch function. The duties, responsibilities, authorities, delegation of authority, and qualifications shall be contained within the operator's manual system.

### 6.0 Records Retention

**6.0.1** The Operator shall have procedures for retaining records related to its exercise of operational control. Records shall be maintained for a minimum of 30 days.

### Guidance

The Operator shall retain all records of the procedures used and the individual responsible for operational control for a minimum of 30 days. These records will reflect the individual(s) exercising control and will be compared with the policies and procedures in the Operator's Manual System to ensure compliance.

## SECTION 4: AIRCRAFT MAINTENANCE

### 1.0 Organization and Management System

#### 1.1 Management

**1.1.1** The Operator shall have a maintenance program administered by a Maintenance Manager who meets the requirements of and has been approved by the NAA, as applicable. The requirements of the maintenance program shall be defined, documented, and communicated throughout the company via controlled media.

##### Guidance

The Operator's Maintenance Manager shall meet the competency requirements established by the organization and the NAA.

**1.1.2** The Maintenance Manager shall have responsibility and accountability for the effectiveness of the maintenance program. This individual shall have the authority over and control of the resources required to implement and enforce policies and procedures related to maintenance.

##### Guidance

The Operator shall define and document the Maintenance Manager's responsibility and accountability for the effectiveness of the maintenance program and communicate this information throughout the organization in either electronic media or paper. This documentation shall be contained in the Operator's Operations Manual and Maintenance Manual (if applicable) and the Maintenance Manager's personnel and training records.

The Operator shall document that the Maintenance Manager has ultimate authority over and control of the resources required to implement and enforce policies and procedures related to maintenance.

The Operator shall also demonstrate that the Maintenance Manager's responsibilities and authorities are not only documented, but are fully functional as shown in the documentation.

**1.1.3** As required by the NAA, the operator shall appoint a quality assurance or chief inspector function within the maintenance department. This position shall be accepted or approved as required by the NAA. The quality assurance or chief inspector function shall:

- A. Have responsibility over the inspection aspects of the maintenance program.
- B. Be listed in the mandatory manuals, or documents according to the NAA requirements.
- C. Be established at the appropriate organizational level to avoid conflicts of interest.

## SECTION 4: AIRCRAFT MAINTENANCE

### Guidance

If required by the NAA, the Operator shall define, document, and establish a permanent quality assurance or chief inspector position within the maintenance department. This position shall also be approved or accepted in writing as required by the NAA. The individual appointed to this position shall meet the competency requirements of the organization and the NAA.

The individual appointed to this position shall have defined and documented responsibility and authority over all inspection aspects of the maintenance program. Documentation must show and describe lines of authority, accountability and responsibility in company manuals or documents, and as required by the NAA.

The quality assurance or chief inspector position shall be defined, documented and established at the appropriate level within the organization in order to avoid conflict of interest or any perception of conflict.

NOTE: This position is not required by FAR Part 135. Therefore, operators might not have this position defined. If this is the case, indicate "N/A".

**1.1.4** The Operator shall establish the aircraft maintenance and inspection programs in accordance with the NAA.

### Guidance

The Operator shall define, document and establish aircraft maintenance and inspection programs that meet the requirements of the NAA. These programs will be communicated throughout the organization, either in electronic media or paper. (Refer to Section 4.0 for a detailed description of maintenance and inspection programs.)

## 1.2 Organization

**1.2.1** The operator either shall possess or have procedures to acquire the necessary tools, equipment, facilities, and personnel to accomplish the work performed in accordance with its accepted or approved maintenance and inspection programs.

### Guidance

Top Management shall have documented processes, procedures, and the necessary resources to ensure the following infrastructure elements are in place to support its accepted or approved maintenance and inspection programs:

- A permanent mailing address;
- Buildings, workspaces, and associated utilities;
- Facilities for people in the organization;
- Support equipment and tooling;
- Maintenance manuals, specifications and associated documents;
- Support services, including transportation and communication;
- Adequate number of trained, competent personnel.

## SECTION 4: AIRCRAFT MAINTENANCE

**1.2.2** The maintenance organization shall have a system for ensuring the quality of any maintenance that is outsourced. This system shall ensure contractor and sub-contractor compliance with NAA and OEM requirements are met. The system of control and oversight shall be defined in appropriate company documentation. This shall include: documented audit procedures to initially qualify a vendor, and a system of periodic reviews to ensure the vendor complies with applicable documentation and processes of the Operator. The Operator shall ensure a documented maintenance agreement has been executed with each external organization that performs maintenance or inspection functions for the Operator. This agreement, at a minimum shall:

- A. Specify all maintenance and inspection requirements and define all tasks to be performed;
- B. Comply with the procedures governing maintenance arrangements, as specified in the Operator's Maintenance Manual.

### Guidance

The Operator shall develop, document, and maintain a system of control and oversight of contractors, sub-contractors, and other external vendors to ensure their maintenance and inspection programs, systems, processes, and procedures satisfy the requirements of the Operator, the OEM, and the NAA. This information will be defined, documented, and communicated throughout the organization and to respective contractors, sub-contractors and vendors as required.

**1.2.3** The organization shall include oversight audits as a means of ensuring the safety, quality, and compliance with OEM and NAA requirements of outsourced functions and products. The Operator shall maintain the audit results of each contractor, sub-contractor and vendor at the Operator's headquarters for an established time period (normally two years).

### Guidance

The Operator shall define, develop, and maintain an auditing process and schedule to periodically evaluate the products, services and procedures of contractors, sub-contractors and other external vendors. The purpose of this audit process is to ensure the vendor's safety, quality, and maintenance functions comply with the Operator's quality standards, the OEM, and the NAA requirements.

This information will be analyzed to improve organizational efficiency and effectiveness, and to ensure continued regulatory compliance.

## 1.3 Maintenance Personnel

**1.3.1** The Operator shall have a process to identify, document, and track those individuals with Airworthiness or Return to Service Authority to ensure they are properly trained and certificated to meet NAA requirements. This process shall track and revise personnel ratings and certificates to ensure personnel remain in compliance with the Airworthiness and Return to Service Authority granted by the NAA.

## SECTION 4: AIRCRAFT MAINTENANCE

### Guidance

All persons with Airworthiness or Return to Service Authority shall be certificated to NAA requirements and that their certificates and/or ratings are in compliance with the Airworthiness and Return to Service Authority granted.

**1.3.2** The Operator shall have a process to define, document and ensure that all persons in a supervisory or management position are properly certificated in accordance with NAA requirements.

### Guidance

The Operator shall have a process to define, document, and monitor all company personnel assigned to supervisory or management positions to ensure they are properly certificated and remain qualified in accordance with organizational and NAA requirements.

**1.3.3** The Operator shall have a process to ensure company maintenance technicians performing maintenance, preventive maintenance or alterations are properly certificated in accordance with NAA requirements for the type of work they perform. If the operator utilizes non-certificated technicians, there shall be procedures for the qualification, supervision, and surveillance of any maintenance, preventive maintenance, or alterations performed by these technicians.

### Guidance

The Operator shall have a documented process to ensure company maintenance technicians performing maintenance, preventive maintenance, or alterations are properly certificated in accordance with NAA requirements for the type of work they perform.

The Operator shall have a documented process in place to monitor the training and qualifications of non-certificated technicians, including non-certificated avionics technicians performing maintenance, preventive maintenance or alterations. This documentation shall include provisions for surveillance and supervision of all non-certificated technicians.

## 1.4 Inspection Personnel

**1.4.1** The Operator shall have processes and procedures to ensure all persons performing required inspections are certificated in accordance with NAA regulations, and are properly trained and qualified for the type inspection(s) they perform. The Operator shall maintain a current list, including name, occupational title, and inspections authorized to complete, of persons who have been trained, qualified, and authorized to conduct required inspections. Each external organization with whom it arranges to perform these inspections shall keep a similar list.

### Guidance

The Operator shall have a documented process to ensure those persons who perform required inspections are appropriately trained and certificated in accordance with NAA regulations. The process will also include a method to ensure these persons are familiar with and qualified for the type of inspection(s) they perform.

## SECTION 4: AIRCRAFT MAINTENANCE

The Operator shall maintain a current list of persons who have been trained, qualified, and authorized to conduct required inspections. These persons must be identified by name, occupational title, and the inspections they are authorized to report. The Operator shall give written information to each person so authorized, describing the extent of that person's responsibilities, authorities, and inspection limitations.

The Operator shall ensure each external organization, with whom it arranges to perform its required inspections, maintains a current listing of persons who have been trained, qualified, and authorized to conduct the required inspections. These persons must be identified by name, occupational title, and the inspections they are authorized to report. The Operator (or organization with whom it arranges to perform its required inspections) shall provide documented information to each person so authorized, describing the extent of that person's responsibilities, authorities, and inspection limitations.

**1.4.2** The Operator shall have procedures to prevent Required Inspection Item (RII) inspectors from inspecting their own work or specific work on which they have conducted training.

### **Guidance**

The Operator shall have clear, documented instructions that prevent Required Inspection Item (RII) inspectors from inspecting their own work or specific work on which they have conducted training. These instructions will be communicated throughout the organization and to external contractors and vendors as required.

The Operator shall have a process that prohibits any person from performing a required inspection unless, at that time, the person performing the inspection is under the supervision and control of the inspection unit.

## **2.0 Documentation / Records / Manuals**

### **2.1 General**

**2.1.1** The Operator shall have processes and procedures to ensure all aircraft maintenance records are in compliance with NAA requirements. The Operator shall have a process to ensure, when a maintenance organization used by the Operator terminates its relationship with the Operator, the maintenance organization returns all retained maintenance records to the Operator.

### **Guidance**

The Operator is responsible for the maintenance records (including supporting documentation) of its aircraft, whether the records are retained at the Operator's location, at a third-party maintenance organization, or other location.

The Operator shall develop a process to ensure all aircraft maintenance records are maintained in accordance with company and NAA requirements for records control.

The Operator shall have a process to ensure, when a maintenance organization used by the Operator terminates its relationship with the Operator, the maintenance organization returns all retained maintenance records to the Operator.

## SECTION 4: AIRCRAFT MAINTENANCE

**2.1.2** The Operator shall have a process to ensure compliance with all applicable Airworthiness Directives. This process shall identify the individual(s) responsible for reviewing the Airworthiness Directives for applicability, and the individual(s) responsible for making the final decision regarding the inclusion and scheduling of the associated work.

### Guidance

If compliance is ongoing, the Operator shall provide procedures for accomplishing the requirement in a timely and recurring manner.

This process will include tracking the current status of ADs (to include AD amendment numbers), including the date and methods of compliance, and, if the AD involves recurring action, the time and date when the next action is required.

**2.1.3** The Operator shall have processes and procedures to review Service Bulletins and Letters published by the aircraft, engine, propeller, and appliance manufacturer. This process shall designate an individual responsible for reviewing the Service Bulletins and Letters for applicability and making the final decision regarding the inclusion and scheduling of the associated work.

### Guidance

The Operator shall develop a process to ensure that Service Bulletins and Letters published by aircraft, engine, propeller, and appliance manufacturers are reviewed and communicated throughout the organization as required.

If compliance is ongoing, the Operator shall provide procedures for accomplishing the requirement in a timely and recurring manner. The process shall also describe how these documents are distributed to external maintenance providers.

For non-mandatory items, the records shall contain an explanation of why the recommended action is not being performed.

**2.1.4** The Operator shall have processes and procedures for reporting failures, malfunctions and defects to the NAA, as required.

### Guidance

The company shall have a verifiable process that ensures the timely submission of NAA-required reports, such as:

- Maintenance Interruption Summary Report (FAR 135.417)
- Service Difficulty Report (FAR 135.415)

**2.1.5** The Operator shall have processes and procedures to ensure both MEL- and non-MEL deferred items are tracked and controlled. These shall include at a minimum:

1. A master list of items either MEL- or non-MEL deferred on each aircraft.
2. The time limitations for each MEL- or non-MEL deferred item.
3. A projected repair time for each item.
4. Procedures for extending time limits for MEL-deferred maintenance.
5. Procedures for extending non-MEL deferred items.

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### Guidance

The Operator shall have a process to ensure both MEL- and non-MEL deferred items are properly handled and management is informed of the status of each aircraft. The process shall include designating an individual responsible for:

- Tracking these items,
- Ensuring parts are ordered in a timely manner,
- Requesting extensions as required,
- Ensuring the items are properly closed out when repairs are complete, and
- Informing management of any changes.

### 2.2 Aircraft and Certification Documents

**2.2.1** For each aircraft type, the operator shall maintain a current copy of the appropriate Type Certificate Data Sheets (TCDS), or demonstrate the ability to access the appropriate TCDS from the NAA. The Operator shall also maintain Supplemental Type Certificate (STC) Data Sheets for any installed appliance, equipment, or aircraft configuration.

#### Guidance

The Operator shall develop a documented process to ensure Type Certificate Data Sheets (TCDS) and Supplements for each aircraft and all installed appliances, equipment and aircraft configurations are readily accessible and current.

**2.2.2** The Operator shall have a process to ensure required and current documents are onboard each aircraft prior to flight operations:

- A. Aircraft registration
- B. Radio station license (if applicable)
- C. Certificate of Airworthiness
- D. Operating handbook
- E. Weight and balance information

#### Guidance

This process can be accomplished by establishing a documented requirement for maintenance personnel and/or the flight crew to include this verification during the preflight process.

### 2.3 Airframe / Engine / Propeller / Appliance Records (Log Books)

**2.3.1** The Operator shall have processes and procedures to ensure Airframe, Engine, Propeller, and Appliance Records are properly completed, maintained, and retrievable in accordance with NAA requirements.

## SECTION 4: AIRCRAFT MAINTENANCE

### Guidance

The Operator shall have a documented process to ensure that airframe, engine, propeller, and appliance records are properly completed, maintained, and retrievable in accordance with internal and NAA requirements.

**2.3.2** The Operator shall maintain records of all major repairs and alterations, to include any instructions for continued airworthiness, in accordance with the requirements of the state NAA, and the control of records and control of documents procedures.

### Guidance

The Operator shall have a documented process to ensure the records of all major repairs and alterations, to include any instructions for continued airworthiness, are maintained in accordance with the requirements of the NAA.

**2.3.3** The Operator shall have processes and procedures to ensure the appropriate Airworthiness Certificate, Airworthiness Release Certificate and Statement of Conformity documents are properly completed as required by the NAA.

### Guidance

The Operator shall have documented process and procedures for completing and filing the applicable airworthiness forms in both its manual system and appropriate aircraft records. This process shall ensure proper completion of documents, such as:

- 8130-3 Authorized Release Certificate (Airworthiness Approval Tag)
- 8130-6 Application for Airworthiness Certificate
- 8130-9 Statement of Conformity

NOTE: Form 8130 is typically required of Part 145 repair stations, but is not necessarily required of Part 135 Operators.

## 2.4 Manufacturers Maintenance Manuals

**2.4.1** The Operator shall have processes and procedures to ensure that maintenance manuals recommended by the aircraft, engine, propeller, and appliance manufacturer are available and current.

### Guidance

The Operator shall develop a process to ensure that maintenance manuals recommended by the aircraft, engine, propeller, and appliance manufacturer are available and current. A list of these documents shall at least include the following:

- Aircraft maintenance manual;
- Component maintenance manual;
- Engine operating instructions manual;
- Engine standard practices;
- Propeller maintenance manual;
- Illustrated parts catalog;
- Non-destructive testing;

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- Overhaul manual;
- Power plant buildup manual;
- Tool and equipment manual;
- System schematics.

This process shall be assigned to a responsible individual(s) and include monitoring all phases of manual management to include:

- Ordering, receiving and distributing new manuals;
- Ensuring manuals are available at all internal and external maintenance providers;
- Ensuring the latest manual revision is utilized;
- Rescinding or deleting manuals as required.

### 3.0 Materials, Housing, and Facilities

#### 3.1 Materials Management

**3.1.1** The Operator shall have processes and procedures in place for materials management that meet the requirements of the state NAA, and other agencies. These processes and procedures shall be described in the required manuals, and as a minimum shall incorporate the following requirements:

**A.** Audits and an approval process for all suppliers of parts and materials to ensure parts and materials meet NAA airworthiness standards as required.

#### Guidance

The Operator shall develop a comprehensive audit program and approval process to evaluate all external suppliers and vendors of parts and materials to ensure these parts and materials meet NAA airworthiness standards as required.

**B.** Receiving inspection to ensure proper receipt of part/material/service ordered and compliant with NAA airworthiness standards. The process shall also include developing qualification standards for Receiving Inspectors.

#### Guidance

The Operator shall develop a process that defines and documents receiving inspection procedures that meet NAA airworthiness requirements. These procedures shall be established to control the parts and materials received by the Operator. The process shall also include developing qualification standards for Receiving Inspectors.

A qualified Receiving Inspector shall ensure the following checklist items are followed:

- Parts or materials match the purchase order;
- Parts or materials are not damaged or deteriorated ;
- Parts or materials are protected in proper packaging;
- Parts are in proper working order
- Verification of manufacturer's certification.

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**C.** Proper traceability acceptable, to the state NAA requirements, is maintained for all parts. Repairable and rotatable parts shall have proper certification attached. Expendable parts shall be marked with the purchase order, or equivalent, that it was received with or be traceable through other internal processes back to the manufacturer. All expendable parts shall be tracked for shelf-life expiration and a process developed to ensure these parts are removed in a timely manner.

### Guidance

The Operator shall develop a process to ensure proper traceability exists on all parts, as required by NAA standards.

**D.** Suspected Un-Approved Parts Program that incorporates initial and recurrent training of parts and maintenance personnel and includes a system of reviewing approved vendors, who may be the subject of a SUPS notification.

### Guidance

The Operator shall develop a Suspected Un-Approved Parts (SUPS) Program that meets NAA requirements that includes, but is not limited to:

- Initial and recurrent training of parts and maintenance personnel regarding identification and disposition of suspected un-approved parts;
- A system of reviewing approved vendors, who may be the subject of a SUPS notification;
- A method of detecting suspected un-approved parts including detailed inspection of shipping documents, traceability/certification documents, and part data plates of parts suspected of being fraudulent, counterfeit, unapproved, or misrepresented.

**E.** Proper parts and materials storage according to environmental conditions, packaged properly, segregated i.e. customer parts, and inventory controlled. Suspected un-approved parts stored in a separate secure quarantined area.

### Guidance

The Operator shall have a process that describes how parts and materials are properly inventoried, packaged and stored to meet NAA standards including:

- Parts in bins match the part number on the bin;
- Parts and materials are properly protected from damage and deterioration;
- Parts are properly segregated, i.e., aircraft tail number, customer name, maintenance work order number;
- Flammable, toxic, or volatile materials are properly identified and stored;
- A method for segregating parts to be returned to manufacturers for overhaul and/or rebuild.
- A method for segregating parts that are to be destroyed or otherwise rendered unusable

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- A method of segregating and quarantining suspected un-approved parts until disposition instructions are received from the NAA;
- Providing areas for receiving and for shipping customer units with adequate space, lighting, shelving, security and fire protection to accommodate customers' units in a manner that will preclude damage, loss or theft.
- Developing a process to protect and control parts and components that are sensitive to Electro-Static Discharge (ESD). The process shall include a designated storage area, ESD certified support equipment including mats and wrist straps, as required;
- Developing a training program for all personnel who handle ESD sensitive equipment.

**F.** Proper Shelf-Life inspection program for consumables and synthetic and rubber parts or materials as may be required by the individual material, or part manufacturer or aircraft, engine, propeller, or appliance manufacturer.

### **Guidance**

The Operator shall establish and document a comprehensive shelf-life inspection program for consumables, and synthetic and rubber parts or materials required by the individual material, or part manufacturer, aircraft, engine, propeller, or appliance manufacturer that includes:

- An accurate, up-to-date list that includes all parts and materials that have a shelf life or are life limited;
- A method to ensure each shelf-life item has the shelf-life limit displayed;
- An inspection process to assure that no item will be issued or used past its expiration limits;
- A method to ensure shelf-life items are properly protected from damage and deterioration due to the environment including light, heat, cold, humidity and weather, as appropriate.

**G.** Proper tagging and or certifications to identify serviceable parts, materials, repairable parts, rejected parts and materials, and parts removed from an aircraft. This shall include a procedure to ensure defective expendable parts, such as hoses and common hardware, are properly discarded and/or destroyed.

### **Guidance**

The Operator shall have a documented process to properly certify and identify all parts and material removed from an aircraft to include:

- A procedure to identify, segregate, and tag parts and materials as serviceable, repairable and/or rejected;

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- A procedure to ensure parts tags are filled out completely and accurately for each part and material item removed from an aircraft.

**H.** Procedures for handling, quarantine, destruction, and disposal of rejected parts and materials in accordance with applicable NAA requirements and other regulatory agencies. The Operator shall develop a training program to ensure only trained and qualified persons are authorized to quarantine, destroy or dispose of rejected parts and materials. The Operator shall have a process that records the part number and serial number of a scrapped part and the date the part was scrapped. This process shall also include a method to track this information for a time period as required by the NAA.

### Guidance

The Operator shall develop a process for handling, quarantine, destruction, and disposal of rejected parts and materials in accordance with NAA requirements and other regulatory agencies.

The Operator shall establish and maintain a quarantine area for rejected parts, components, and materials. The quarantine area will be located in a separate and secured location, away from serviceable parts and materials. This area will be strictly controlled by those persons with the authority to determine the disposition of these components, parts, or materials.

**I.** Proper shipping and packaging of aircraft parts and materials to preclude damage from shipping.

### Guidance

The Operator shall develop a documented process for the proper packaging and shipping of aircraft parts and materials that meets the requirements of the NAA.

This process shall include:

- Procedures to prevent parts and materials from being damaged during shipping;
- Procedures to ensure parts and components are shipped in appropriate shipping containers or as specified by the customer;
- Procedures to ensure all shipping related documents are accurate and complete;
- A training program that emphasizes the issues involving shipping Dangerous Goods / Hazardous Materials;
- A method to track all parts/materials shipping documents.

## 3.2 Dangerous Goods / Hazardous Materials

**3.2.1** The Operator shall have processes and procedures to ensure federal and local requirements for the proper storage and disposal of Dangerous Goods / Hazardous Materials and waste. (This standard applies to storage and disposal of DG/Hazmat – NOT transportation of these goods.)

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### Guidance

The Operator shall establish a documented process that details the proper storage and disposal requirements of Dangerous Goods / Hazardous Materials and Waste and is in compliance with local, state, and federal regulations.

**3.2.2** The Operator shall have an acceptable training program that encompasses the required elements of the state NAA, Environmental Agencies, and shall include:

**A.** Dangerous Goods / Hazardous Materials recognition, handling, and safety for all employees who do, or may come in contact with Dangerous Goods / Hazardous Materials.

**B.** Training on the storage, disposal and shipping of Dangerous Goods/Hazardous Materials for all applicable maintenance, parts, and ground support personnel for Air Carriers "Will Transport / Will Not Transport" Dangerous Goods/Hazardous Material policy.

### Guidance

The Operator shall develop and maintain a comprehensive Dangerous Goods / Hazardous Materials training program that includes the elements required by the NAA, state and federal environmental agencies.

At a minimum, the Operator's training shall include: identification, proper handling, packaging, marking, labeling, classification, description, and documentation of shipments of hazardous materials, and compliance with the appropriate regulations that apply to the particular hazardous material and related functions and precautions imposed by the company.

The Operator will ensure that this training is given to and documented for all maintenance, parts and ground support personnel for Air Carriers "Will Transport / Will Not Transport" Dangerous Goods/Hazardous Material policy on an initial and recurrent basis. For U.S.-based operators, this training shall meet both DOT and OSHA requirements.

**3.2.3** The Operator shall have a process to ensure the availability and currency of Material Safety Data Sheets (MSDS) to all personnel.

### Guidance

The Operator shall develop a Material Safety Data Sheet (MSDS) awareness program that is comprehensive, understandable and provided to all employees. At a minimum, this program shall include instructions on how to obtain MSDS information in a timely manner, and how to interpret the information provided in the MSDS. There shall be a documented process to ensure the currency of all MSDS data.

## 3.3 Facilities / Equipment

**3.3.1** The operator shall have processes to ensure the maintenance facility is adequate for the level of work performed.

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### Guidance

The operator shall have documented rules and procedures to ensure the maintenance facility (including hangars and shops) contains proper storage, shelving, and protection of work, and that the work area/s are clean, free from clutter, and do not present a FOD or contamination hazard. The following could be considered the minimum requirements to support a safe and healthy work environment:

- A method to segregate non-aircraft parts, components and materials from aircraft-related functions;
- Sufficient work space and areas for the proper segregation and protection of parts and materials;
- Segregated work areas that allow environmentally hazardous or sensitive operations, such as painting, cleaning, welding, avionics work, and machining to be performed properly, and in a manner that does not adversely affect other maintenance;
- Suitable racks, hoists, trays, stands, and other segregation means for the storage and protection of all parts, tools, etc.;
- Sufficient space to segregate articles and materials stocked for installation from those undergoing maintenance, preventive maintenance, or alterations;
- Ventilation, lighting, and control of temperature, humidity and other climatic conditions sufficient to ensure personnel are able to perform maintenance, preventive maintenance, and alterations to the standards of the NAA.

**3.3.2** The operator shall have processes and procedures to ensure compliance with all applicable environmental, health and safety standards.

### Guidance

The operator must have a documented program that demonstrates how it complies with all applicable environmental, health, and safety requirements, such as, EPA, OSHA, or other regulatory agencies. This process shall ensure:

- There is an adequate supply of safety equipment for all personnel.
- The equipment is in good condition and usable for its intended purpose.
- The equipment is on a documented, periodic inspection program.

The company shall have a verifiable process that ensures:

- Personal protective equipment is provided and used by all personnel working in the facility. This includes items, such as:
  - Biohazard Protection
  - Fall Protection
  - Hearing Protection
  - Sight Protection
  - Static Wick Protection

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- Emergency equipment is provided throughout the facility. This equipment shall be in working order, and on a periodic test and inspection schedule. This includes items, such as:
  - Emergency Shower Stations
  - Eyewash Stations
  - Fire Extinguishers
  - First Aid Kits
  - Spill Kits
- Proper storage shall be provided for all flammables and hazardous materials.
- Clear and prominent labeling/signage shall be displayed for items, such as:
  - Emergency Equipment
  - Emergency Exits
  - Flammables Storage
  - Hazardous Materials Storage
  - Lock-out/Tag-out
  - MSDS Information
  - Trip/Fall Hazards

OSHA has instituted a Voluntary Protection Program to promote workplace safety and health. Further information regarding this program is available at the following link:

<http://www.osha.gov/dcsp/vpp/index.html>

**3.3.3** The operator shall have a process to ensure Measuring and Test Equipment (MTE), tooling, and equipment is calibrated as required to acceptable industry standards, properly stored, maintained and serviced. There shall be a process to ensure non-owned (mechanic-owned) MTE, tooling, and equipment used is properly calibrated, stored, maintained and serviced. It shall include a list of all tools and equipment by part number and serial number required to be calibrated, and a policy that includes identifying and quarantining damaged or broken tools or pieces of equipment to prevent their continued use.

### Guidance

The Operator shall have a documented tool calibration program that includes the following:

- A system to ensure all tools and equipment are calibrated to standards that are recognized by a nationally accredited institution;
- A system to identify the calibration due date and calibration frequency of each tool and piece of equipment in the program;
- A procedure for identifying, controlling and preventing tools and equipment that are out-of-service or overdue calibration from being used;
- A procedure for controlling the calibration of personal tools;
- A procedure to label each tool or piece of equipment indicating "Calibration Date" and/or "Date of next Calibration Due";

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- A dedicated, permanent location where calibrated tools and equipment, including personal, are properly stored, maintained and/or serviced.

The tool calibration program shall be documented, monitored and revised and will include the following information on each tool or piece of equipment:

- Description;
- Part number and serial number;
- Calibration due date;
- Calibration frequency;
- Details of adjustments and repairs;
- Standard used to calibrate each item;
- Storage location within the facility.

### 4.0 Maintenance Programs

**4.0.1** The operator shall have a maintenance and inspection program for each type of aircraft that meets the minimum requirements of the state NAA, and shall be either accepted or approved by the state NAA. The Operator's aircraft maintenance program documentation shall have a preface that defines the maintenance program contents, the inspection standards to be applied, permitted variations to task frequencies and, where available, any procedure to escalate established inspection intervals. It shall also include a statement signed by the Operator that the specified aircraft are maintained in accordance with the Operator's maintenance/inspection program and that the program is current and updated as required. The Operator's approved aircraft maintenance program shall be subject to periodic review to ensure it reflects the current Type Certificate Holder's recommendations and mandatory requirements and maintenance needs of the aircraft. The Operator shall review the detailed requirements of the maintenance manual at least annually.

#### Guidance

The Operator shall develop and maintain a documented maintenance and inspection program for each type of aircraft and appliance for which it performs maintenance, preventive maintenance or alterations. This program shall meet the minimum requirements of the NAA and shall be either accepted or approved by the NAA.

The Operator's maintenance and inspection program should contain the following basic information:

- The name and permanent address of the Operator;
- The type/model and registration number of the aircraft, engines, auxiliary power units, propellers and appliances that it is authorized to repair;
- Contents to include a list of effective pages of the Operator's maintenance manual;
- Procedures for the escalation of established inspections, where applicable, and acceptable to the NAA;
- The tasks and the periods (intervals/frequencies) at which each part of the aircraft, engines, APUs, propellers, components, accessories, equipment,

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instruments and associated systems and installations are to be inspected, together with the type and degree of inspection;

- The intervals when items are checked, cleaned, lubricated, replenished, adjusted, and tested;
- Details of specific structural inspections or sampling programs;
- Details of a corrosion control program, as required;
- Procedures for collecting engine health monitoring data;
- The intervals when overhauls and/or replacements by new or overhaul parts are to be made;
- A cross-reference to other documents approved by the NAA that contain the details of maintenance tasks related to mandatory life-limitations and Airworthiness Directives;
- Details of, or cross-reference to, any required reliability program or statistical methods of continuous service;
- A statement that practices and procedures to satisfy the maintenance program are to the standards specified in the Type Certificate Holder's Maintenance Instructions;
- The method of performing routine and non-routine maintenance (other than required inspections), preventive maintenance, and alterations;
- A designation of the items of maintenance and alteration that must be inspected (required inspections) including at least those that could result in a failure, malfunction, or defect endangering the safe operation of the aircraft, if not performed properly or if improper parts or materials are used;
- The method of performing required inspections and a designation by title of personnel authorized to perform each required inspection;
- Procedures for the re-inspection of work performed under previous required inspection findings (buy-back procedures);
- Procedures, standards, and limits necessary for required inspections and acceptance or rejection of the items required to be inspected and for periodic inspection and calibration of precision tools, measuring devices, and test equipment;
- Procedures to ensure that all required inspections are performed;
- Instructions and procedures to prevent any person who performs work on any item from performing any required inspection of that work;
- Instructions and procedures to prevent any decision of an inspector regarding any required inspection from being countermanded by persons other than supervisory personnel of the inspection unit, or a person at the level of administrative control that has overall responsibility for the management of both the

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required inspection functions and the other maintenance, preventive maintenance, and alterations functions;

- Procedures to ensure that required inspections, other maintenance, preventive maintenance, and alterations that are not completed as a result of work interruptions are properly completed before the aircraft is released to service;
- A suitable system (which may include a coded system) that provides for the retention of the following:
  - A description (or reference to data acceptable to the NAA) of the work performed;
  - The name and license number of the person performing the work if the work is performed by a person outside the Operator's organization;
  - The name or other positive identification of the individual approving the work.
- The Operator's Maintenance Manual (that part that contains maintenance information or instructions), in whole or in part, in printed form or other form must be retrievable in English.

The maintenance and inspection program shall include, at a minimum, the following guidance:

- Clear and concise instructions;
- Standardization of all task cards to include the appropriate personnel safety warnings and cautions;
- Clear instructions for the mechanic / inspector as to where to sign, certify, initial, and date the task;
- Referral to the applicable approved data.

**4.0.2** The Operator shall have an active analysis and surveillance program, as required by the NAA, for any aircraft it operates that is type-certificated for ten or more passenger seats. Any required auditors, to include vendor-assigned auditors, shall be trained in accordance with the processes and procedures in the Operator's Continuing Analysis and Surveillance (CAS) Training Program. The Operator shall have a documented CAS training program that covers CAS regulations and guidance, and the applicable NAA rules and regulations. The training program shall list all approved personnel, both operator and vendor employed, and a record of each individual's training and currency. All CAS approved auditors shall be trained in accordance with the training program on at least an annual basis.

### Guidance

The Operator shall have guidance in either its approved Maintenance Manual or other documentation for a Continuing Analysis and Surveillance (CAS) program (Ref: FAR 135.431). The CAS program shall have the appropriate NAA approval.

**4.0.3** The operator shall have an aging aircraft inspection program that conforms to the regulations of the NAA and the guidance provided by the applicable manufacturer. A description of the program shall be contained in the company inspection program, Maintenance Manual or other appropriate documentation.

## SECTION 4: AIRCRAFT MAINTENANCE

### Guidance

The operator shall have clearly documented processes and procedures to ensure conformity with the NAA and manufacturers aging aircraft program. The program shall include, but not be limited to:

- A full description of what is being inspected during each phase,
- A description of how the inspection will be conducted, i.e. NDT, visual, etc,
- The interval between inspections (if it is not incorporated into the overall maintenance program), and
- Actions to be taken in the event something is discovered outside of the inspection phase process, e.g., abnormal wear, corrosion, etc.

NOTE: This is seldom applicable to FAR Part 135 operators. It is only required for multi-engine aircraft with ten or more passenger seats in SCHEDULED operations - unless otherwise required under an operator's maintenance program. If the Operator does not have aircraft subject to such a program, the auditor should indicate "N/A" and include a statement, such as "The Operator does not operate aircraft subject to an aging aircraft program."

### 5.0 Training Programs

**5.0.1** The Operator shall have an NAA-approved (as applicable) initial and recurrent training program for all maintenance personnel at least every two years. It shall include training on both the aircraft and support equipment.

#### Guidance

The Operator shall develop a documented training program that includes both licensed and non-licensed technicians. The program shall include provisions for both initial and recurrent training. The initial training could be conducted by either the manufacturer or an authorized training provider for the equipment on which work will be performed.

Recurrent training shall be conducted at least every two years to ensure the technician is familiar with the latest methods and techniques for repair and servicing of the equipment on which work is performed. This training shall include both the aircraft and support equipment.

The Operator shall maintain a schedule to ensure that all training occurs on a routine basis.

## SECTION 5: CABIN OPERATIONS

### 1.0 Organization and Management

The Operator shall have an organizational and management structure documented and in place to support the number of cabin personnel employed or otherwise assigned to flight operations.

**1.0.1** The Operator shall have policies and procedures regarding the assignment of cabin personnel.

#### Guidance

The Operator shall document the policies and procedures to be used when assigning cabin personnel. This shall include the conditions in which cabin personnel are assigned, and what type and number of cabin personnel shall be assigned to flights.

**1.0.2** The Operator shall have policies and procedures regarding the duties, responsibilities, limitations and authority of cabin personnel managers.

#### Guidance

The Operator shall document in its manual system the duties, responsibilities and authority of persons who manage cabin personnel. This documentation shall encompass the management of all categories of cabin personnel assigned to the operator's flights.

**1.0.3** The Operator shall have policies and procedures regarding the responsibilities, authority, and interfaces between the pilot-in-command, second-in-command, and assigned cabin personnel.

#### Guidance

The Operator shall document in its manual system the interfaces and chain-of-command between cabin personnel and other crewmembers. This documentation shall include the division of duties for typical flights, and also consider flights that typically include cabin personnel but are conducted without cabin personnel onboard. For example, if a flight attendant is qualified and usually conducts the required passenger safety briefing, who will conduct the briefing without a flight attendant onboard.

### 2.0 Manuals and Documentation

The Operator shall include in its manual system and/or other documentation sufficient guidance to ensure that cabin personnel are knowledgeable of their duties and responsibilities.

**2.0.1** The Operator shall have policies and procedures regarding the duties, responsibilities, limitations, and other requirements for cabin personnel.

## SECTION 5: CABIN OPERATIONS

This training shall be appropriate to the specific aircraft type and duty assignment of these personnel and shall include operational, safety and security procedures.

### Guidance

The Operator shall document in its manual system the duties, responsibilities and authority of persons assigned as cabin personnel. The documentation shall encompass all categories of cabin personnel assigned to the operator's flights.

**2.0.2** The Operator shall have policies and procedures regarding the use of flight attendants and cabin attendants, to include duty time limitations and rest requirements, even if not required by regulation.

### Guidance

The Operator shall document in its manual system when cabin personnel will be assigned to a flight. In addition, the Operator shall state how regulatory flight time, duty time, and rest requirements (if applicable) are managed and documented.

If regulatory flight time, duty time, and rest requirements do not apply, the Operator shall establish such limitations in its manual system. These Operator-specific limitations shall be reasonable and consistent with the type of operation.

### 3.0 Training Programs

The Operator shall have a training program in place adequate for its type of operation. If applicable, it must be approved by the NAA. If final approval for the training program has not been granted, the program document must indicate the expiration date of the interim approval.

**3.0.1** The operator shall have a training program for its cabin personnel, including medical and security personnel. This training shall be appropriate to the specific aircraft type and duty assignment of these personnel and shall include operational, safety and security procedures.

### Guidance

This program shall conform to the requirements of the NAA (if applicable) and/or include the latest industry guidance, to include the medical and security communities.

The Operator shall have a training program appropriate to the type of cabin personnel used and specific to the aircraft in which these personnel are assigned.

As a minimum, the training program for Flight Attendants shall have the training elements required by the NAA necessary to meet the applicable regulations or guidance requirements.

The training program for other cabin personnel shall include prohibition on the performance of safety-related duties. The training shall identify any limitations of duties applicable to cabin personnel. For example, the training must expressly identify what safety-related duties (passenger briefing, exit operation, etc.) that cannot be accomplished by any person other than a fully trained and qualified flight attendant.

## SECTION 5: CABIN OPERATIONS

The Operator's training program shall include training on security procedures applicable to the Operator's type of operation and type of aircraft operated. If no NAA-specified security procedures are required, the Operator shall provide training on company established and required security procedures.

### **3.0.2 Reserved.**

**3.0.3** The Operator shall provide training for pilots and cabin personnel regarding the safe handling and storage of food. The training shall include instruction on proper temperature control, storage procedures, and techniques for packaging and securing food and beverages in the aircraft.

#### **Guidance**

The Operator's training program shall include training on the safe storage and handling of food products. This training is applicable to all cabin personnel who may serve or handle food. This includes pilots that may serve, stow or handle food on aircraft that typically where a cabin server or attendant is not normally utilized.

**3.0.4** The Operator shall provide training for cabin personnel and pilots regarding the use of any available medical equipment carried or installed in the aircraft, including the administration of CPR and/or first aid.

#### **Guidance**

This training shall include certification on the use of any available medical and emergency equipment carried or installed in the aircraft and in the performance of CPR and/or administering first aid, as appropriate. Cabin personnel shall not perform any of these functions until certified.

The Operator's training program must include training on each type of medical and emergency equipment or device carried or installed in the aircraft. To the extent practical, the training should include "hands-on" experience using the equipment or device. All training shall be properly documented and included in the individuals training and/or personnel record.

### **3.0.5 Reserved.**

### **3.0.6 Reserved.**

## **4.0 Flight Attendants**

The Operator shall clearly document in its manual system the conditions under which a trained and qualified flight attendant will be assigned to a flight. If the Operator elects not to use flight attendants but assigns other cabin personnel to its flights, those individuals must meet the requirements contained in Sections 5.0 through 8.0, as applicable.

## SECTION 5: CABIN OPERATIONS

**4.0.1** The Operator shall use qualified flight attendants when required by the operation and/or aircraft type in accordance with applicable NAA regulations, including completion of the Operator's training program.

### Guidance

When required by the NAA for the type of operation or type of aircraft, the Operator shall use qualified flight attendants. The flight attendants shall be trained and checked (if required) in accordance with the Operator's approved/accepted training program and the requirements of the NAA and listed on the manifest as a crewmember.

This training program shall conform to the requirements and guidance of the NAA, and shall be approved by the NAA prior to implementation. If there is an interim and final approval process for the program, the program document shall indicate the expiration date of the interim approval.

**4.0.2** If the operator uses flight attendants, they shall be fully trained and qualified in accordance with the Operator's NAA-approved flight attendant training program.

### Guidance

If qualified flight attendants are not required by the NAA and the Operator elects to use them and permit them to perform safety-related duties, the flight attendant must be trained and tested in accordance with the NAA approved/accepted program. In this instance, the flight attendant shall be listed on the manifest as a crewmember.

## 5.0 Cabin Servers

The Operator shall clearly indicate in its manual system the conditions under which a cabin server will be assigned to a flight.

**5.0.1** When the Operator elects to use a cabin server, the Operator shall document that the cabin server cannot perform safety-related duties, and require written acknowledgment by the cabin server of such limitations.

### Guidance

The Operator's policies shall include the prohibition of cabin servers performing safety-related duties. Safety-related duties include, but may not be limited to:

- Conducting the passenger safety briefing;
- Operating aircraft exits, including the entrance door;
- Providing evacuation guidance and/or assistance as a crewmember.

In addition, the Operator must document that the cabin server has acknowledged that they have read and that they understand the limitations related to safety-related duties.

**5.0.2** When a cabin server is utilized, the Operator shall have policies and procedures to ensure that the passenger safety briefing delivered to passengers clearly indicates the cabin server cannot perform safety-related duties and that the flight crew is responsible for ensuring their safety.

## SECTION 5: CABIN OPERATIONS

### Guidance

The Operator's policies must include guidance to flight crewmembers that they are responsible for delivering the passenger safety briefing and for the evacuation of passengers during an emergency. The passenger safety briefing should include the information that the flight crew is responsible for any emergency actions required, and that the cabin server does not perform these duties.

**5.0.3** When a cabin server is utilized, the Operator shall have policies and procedures to ensure the cabin server is listed as a passenger on all flight documents.

### Guidance

The Operator's policies shall ensure that cabin servers are always considered passengers and listed as such on the manifest or other flight documents.

## 6.0 Medical Personnel

The Operator shall clearly document in its manual system the conditions in which medical personnel will be assigned to a flight.

**6.0.1** The Operator shall have policies and procedures to ensure any medical crewmembers, required for the flight, are fully trained and qualified for the operation and the aircraft type in accordance with the applicable NAA regulations.

### Guidance

The Operator's policies shall include training for medical crewmembers on opening all emergency exit doors, including the entrance door; emergency evacuation procedures; and proper securing of medical equipment and gurneys.

**6.0.2** The Operator shall have policies and procedures to ensure that any medical crewmembers, when transported in the absence of other passengers, are appropriately documented as either passengers or crew in accordance with the applicable NAA regulations.

### Guidance

The Operator's policies shall ensure that medical crewmembers are considered passengers and listed as such on the manifest or other flight documents in accordance with the applicable NAA regulations.

## 7.0 Security Personnel

The Operator shall clearly document in its manual system the conditions under which security personnel will be assigned to a flight.

## SECTION 5: CABIN OPERATIONS

**7.0.1** The Operator shall use fully trained and qualified security personnel, including Armed Security Officers, when required by the State authority. If security personnel are required by the State authority, the Operator's manual system shall specify the duties and responsibilities of the security personnel and how these security personnel interface with other crewmembers assigned to the flight. The security personnel shall acknowledge in writing their understanding of the limitations of their assigned duties. The Operator's policies shall also describe the means for verifying security personnel have been trained by the State authority.

### Guidance

The Operator's policies shall describe the conditions under which security personnel and/or an Armed Security Officer is required. If security personnel are required by the State authority, the Operator's manual system shall specify the duties and responsibilities of the security personnel and how these security personnel interface with other crewmembers assigned to the flight. The security personnel shall acknowledge in writing their understanding of the limitations of their assigned duties. The Operator's policies shall also describe the means for verifying security personnel have been trained by the State authority, when required i.e. flights utilizing the DCA Access Standard Security Program.

**7.0.2** The operator shall have a policy to describe the conditions under which firearms and other weapons shall be stowed to prevent access. These policies shall be consistent with all security programs required by the State authority.

### Guidance

The Operator's policies shall ensure that all security personnel are trained in safe stowage, carriage, and operation of firearms and use of other weapons in the aircraft environment. The policy shall describe the conditions under which firearms and other weapons shall be stowed to prevent access. These policies shall be consistent with all security programs required by the State authority. (Security personnel might be required by elected officials and other clients. However, these client needs cannot violate State-mandated security programs.)

**7.0.3** The Operator shall have policies and procedures to ensure that security personnel, when transported in the absence of other passengers, are documented as a passenger on appropriate flight documents.

### Guidance

The Operator's policies shall ensure that security personnel are always considered passengers and listed as such on the manifest or other flight documents.

## 8.0 Other Safety Representatives

If the NAA requires some other safety representative to be assigned to the flight, these individuals shall be trained and qualified in accordance with the applicable regulations.

**8.0.1** When other safety representatives are used or are required by the aircraft certification documents or Aircraft Flight Manual (such as an evacuation crewmember), the Operator shall have policies and procedures regarding the duties and responsibilities

## SECTION 5: CABIN OPERATIONS

of that representative, and require written acknowledgement by the safety representative of the safety-related limitations associated with their duties.

### Guidance

The Operator's policies shall describe in detail the conditions under which a safety representative is required. If required, the Operator's manual system shall specify the duties and responsibilities of that crewmember and how that crewmember interfaces with other crewmembers assigned to the flight. The safety representative must acknowledge in writing the limitations of their assigned duties.

## 9.0 Use of Jump Seats

The Operator's policies must indicate when jump seats may or may not be used by cabin personnel.

**9.0.1** The Operator shall have policies and procedures regarding the conditions in which installed aircraft jump seats may be used by cabin personnel.

### Guidance

The Operator's policies shall identify under what conditions cabin personnel may use an installed jump seat. These policies must be consistent with the certification status of the seat and the type of cabin personnel permitted by the Operator and/or NAA, as applicable.

**9.0.2** The Operator shall have policies and procedures to ensure jump seats are utilized in accordance with NAA regulations, State authorities, and aircraft manufacturer limitations.

### Guidance

The Operator shall establish the status of any installed jump seat in its aircraft. Care shall be taken to establish whether the seat is certificated as "crew only" or whether passengers are permitted to occupy the seat. The Operator's policies must identify the conditions under which jump seats may be used in accordance with State authority security requirements.

## SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

NOTE: Most charter operators do not perform all ground handling functions in-house. Due to the on-demand nature of charter operations it can be very difficult to require each individual performing ground handling functions to be trained to a particular standard. The goal of this section is risk mitigation; specifically the risk of damage to an aircraft or a resulting accident following ground handling service performed improperly. Ideally, an operator would ensure each individual performing ground handling functions has been properly trained. However, this is not always possible. Therefore, operators may develop any range of risk mitigation strategies for dealing with ground handling and servicing away from home base. One example could be:

1. The pilot-in-command will ensure the ground handling service provider has completed an industry-recognized training program, which might consist of the NATA Safety 1<sup>st</sup> Professional Line Service Technician training, a fuel provider's training program, or equivalent program. In the event training cannot be verified, then
2. The pilot-in-command (or second-in-command) will observe all ground handling functions. In the event a crew member cannot observe all ground handling functions, then
3. A thorough pre-flight inspection will be conducted by the pilot-in-command or second-in-command to ensure the aircraft has not been damaged by errant ground handling procedures and proper fuel, oil, and other ground handling functions have been conducted.

In most cases, the pilot-in-command will be responsible for these functions (although tasks may be delegated to the second-in-command).

### 1.0 Organization and Management

*Note: The standards in this sub-section apply to ground handling functions at the Operator's home base and any satellite base locations, even if those functions are outsourced. The Operator has a responsibility to ensure the following items are met.*

**1.0.1** The Operator shall have processes and procedures to ensure that only personnel with the appropriate qualifications are allowed to perform any of the ground-handling functions. These individuals shall be listed in the Manual System or other appropriate documentation.

#### Guidance

The Operator shall identify, in its Manual System or other appropriate documentation, those individuals who have received training and are qualified to perform ground-handling functions.

**1.0.2** The Operator shall document the personnel assigned to ground handling management and ensure they have the appropriate authority to make changes within the system.

#### Guidance

The Operator shall designate in its Manual System or other appropriate documentation an individual who has the duties and responsibilities for oversight of ground handling and servicing of aircraft and associated equipment.

## SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

**1.0.3** The Operator shall have a procedure to communicate ground operations policies, procedures, corrective actions, operations alerts, lessons learned and other relevant information.

### Guidance

The Operator shall establish a procedure to communicate to all personnel the lessons learned and other information gathered during the ground handling of aircraft and equipment. This communication will be beneficial when revising policies and procedures. Communications may be through any of the following:

- Email,
- A specified safety or operational reporting system,
- Letters, memos, bulletins,
- Newsletters and other publications.

**1.0.4** The operator shall have processes and procedures to ensure compliance with all applicable environmental, health and safety standards during ground operations.

### Guidance

The operator must have a documented program that demonstrates how it complies with all applicable environmental, health, and safety requirements, such as, EPA, OSHA, or other regulatory agencies.

The company shall have a verifiable process that ensures:

- Personal protective equipment is provided and used by all ground-handling personnel. This includes items, such as:
  - Hearing Protection
  - Protective Footwear
  - Sight Protection
- Emergency equipment is provided. This equipment shall be in working order, and on a periodic test and inspection schedule. This includes items, such as:
  - Fire Extinguishers
  - First Aid Kits
  - Spill Kits
- Proper storage shall be provided for all flammables and hazardous materials.
- Clear and prominent labeling/signage shall be displayed for items, such as:
  - Emergency Equipment
  - Flammables Storage
  - Hazardous Materials Storage
  - Vehicles

## 2.0 Manuals and Documentation

**NOTE:** The standards in this sub-section to ground handling functions at the Operator's home base and any satellite base locations, *even if those functions are outsourced*. The Operator has a responsibility to ensure the following items are met.

## SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

**2.0.1** The Operator shall have procedures for ground operations that include definitions, authorities and responsibilities. This shall include industry best practices, with emphasis on safety and security of equipment and personnel.

### Guidance

The Operator shall include in its Manual System, or other appropriate documentation, policies and procedures for ground operations. As many foreseeable situations as possible should be included. **If the Operator outsources ground handling functions at its home base, the Operator shall ensure the organization that provides these services meets this requirement.**

**2.0.2** The Operator shall have policies and procedures regarding transportation (if applicable), recognition and handling of dangerous goods.

### Guidance

The Operator is responsible to ensure all personnel are familiar with the rules regarding Hazardous Materials for both a "will" and "will not" carry operator. Procedures should be well documented in the Manual System or other appropriate documentation for personnel to understand company rules and how they are applied. **If the Operator outsources ground handling functions at its home base, the Operator shall ensure the organization that provides these services requires this training.**

NOTE: Even "will-not-carry" operators should have policies and procedures regarding recognition and handling of dangerous goods. This item should not be marked N/A for "will-not-carry" operators.

**2.0.3** The Operator shall have policies and procedures that describe interface, authorities and responsibilities for compliance with local airport operations and regulations.

### Guidance

The documentation, at a minimum, shall identify those individuals responsible for and with the authority to act on behalf of the Operator when dealing with airport authorities. The documentation shall include appropriate references to the governing airport regulations and operations procedures, to ensure the responsible individuals are familiar with the contents.

## 3.0 Training Programs

**Note: The standards in this sub-section apply to ground handling functions at the Operator's home base and any satellite base locations, even if those functions are outsourced. The Operator has a responsibility to ensure the following items are met.**

**3.0.1** The Operator shall have at least an annual recurrent training program that addresses the recognition, handling and transportation of dangerous goods, and specific emergency response for the release of dangerous goods.

## SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

### Guidance

The Operator shall develop a training program to familiarize personnel with the company's policies regarding the carriage of Dangerous Goods / Hazardous Materials. The training shall be administered during initial hiring of new personnel and repeated as recurrent training on at least an annual basis. A critical aspect of the training is the recognition of what is hazardous and what to do should the material be presented for further disposition. For "will not carry" operations, this training should be sufficient to ensure the Operator's personnel and equipment are safe. For a "will carry" operation, the training shall include, at a minimum, instruction on packaging, handling, loading, protecting and disposing of the materials. **If the Operator outsources ground handling functions at its home base, the Operator shall ensure the organization that provides these services requires and provides this training.**

**3.0.2** The Operator shall have an annual and recurrent training program that addresses all relevant tasks and procedures for ground handling to include:

- A. Ergonomics, specifically proper lifting techniques regarding baggage and cargo handling;
- B. Proper use of personal protective equipment;
- C. Aircraft and ground vehicle fueling and servicing;
- D. The operation of all ground vehicles relevant to ground handling.
- E. Industry best practices in ground handling procedures
- F. The regulations, policies and procedures of the specific airports of operation.
- G. Aircraft ground handling and servicing:
  - 1) Directing movement of aircraft
  - 2) Parking aircraft
  - 3) Aircraft ground power, engine and propeller operation
  - 4) Tie down of aircraft
  - 5) Taxiing of aircraft
  - 6) Servicing of oxygen systems
  - 7) Debris hazards at the airport
  - 8) Ground vehicle operation on airports
  - 9) Ground operations in conditions conducive to aircraft icing
  - 10) Hazards following ground de-icing
  - 11) Painting, marking, and lighting of vehicles used in support of aircraft operations on an airport.

### Guidance

The Operator shall develop a training program to fully qualify an individual for all ground operations and handling. The training shall ensure the individual is familiar with the airport rules and procedures that apply to the company's operation. This program shall cover both initial and recurrent training. The training shall at least cover the areas listed above. All personnel shall be briefed on these practices, either during recurrent training or safety meetings. This training and/or briefings shall be documented and included in individual training records. **If the Operator outsources ground handling functions at its home base, the Operator shall ensure the organization that provides these services requires and provides this training.**

### 4.0 Ground Handling Vendors — Away From Home Base

**NOTE:** The standards in this sub-section apply to ground handling facilities other than the Operator's primary facility at its home base.

## SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

### 4.1 Organization and Management

**4.1.1** The Operator shall have policies and procedures to ensure that **vendor** personnel have the appropriate qualifications, authority and responsibility to perform ground handling.

#### Guidance

The Operator shall include in its Manual System, or other appropriate documentation, procedures for all company personnel to follow when engaging a **vendor** to provide ground handling services. This documentation shall address how an individual will ensure the **vendor** is qualified and possesses the proper authority to perform the service(s).

### 4.2 Auditing and Quality Assurance

**4.2.1** The Operator shall have processes and procedures for auditing, tracking and trending of **ground handling** vendors and means to implement quality assurance methods.

#### Guidance

These processes and procedures shall be documented as part of the external oversight system/program the Operator has developed for use with other **vendors**. It shall evaluate the contractor's compliance with procedures and guidance developed for its own use when performing like operations and functions. All discrepancies and deficiencies shall be documented. The **vendor** shall provide in writing how they will correct these findings.

**4.2.2** The Operator shall have processes and procedures to ensure that a **ground handling vendor** employs proper maintenance and servicing techniques / intervals for all ground servicing equipment.

#### Guidance

This area shall be included in the external audit system/program referenced in 4.2.1.

**4.2.3** The Operator shall have processes and procedures to ensure that a **ground handling vendor** employs proper calibration and maintenance of all calibration critical instruments, tools, gauges and monitoring methods.

#### Guidance

This area shall be included in the external audit system/program referenced in 4.2.1.

**4.2.4** The Operator shall have processes and procedures to ensure quality control of goods and services provided by ground handling **vendors**.

## SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

### Guidance

This area shall be included in the external audit system/program referenced in 4.2.1. The Operator shall include these processes and procedures as part of the acceptance documentation referenced in Section 4.

### 4.3 Management of Ground Handling Vendors

**4.3.1** The Operator shall have policies, procedures and a method for oversight of ground handling vendors.

### Guidance

The Operator shall document in its Manual System or other appropriate documentation the policies and procedures that ground handling vendors shall follow when servicing its aircraft. Assurance that the vendor is performing correctly shall be through the company external audit program.

**4.3.2** The Operator shall have policies to ensure that ground handling personnel meet the minimum training and qualifications required in paragraph 3.0 in this section of the Standard.

### Guidance

The Operator shall review the vendor's training program to ensure individuals utilized are fully qualified to perform ground operations and handling functions in accordance with the Operator's program. The training shall ensure the trainee is familiar with the local airport rules and procedures that apply to the operation prior to full certification. This program shall cover both initial and recurrent training.

### 4.4 Safety Programs and Risk Control

**4.4.1** The Operator shall have policies, procedures and controls related to safety for ground handling vendors that includes acknowledgement and signature of relevant polices and procedures.

### Guidance

The Operator shall ensure that all vendor personnel are familiar with its policies and procedures regarding safety and that these policies and procedures are applied consistently when the vendor is handling company equipment. It is recommended that the Operator obtain the signature of the vendor designated representative acknowledging their familiarity with and understanding of the Operator's expectations regarding ground handling operations.

## SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

### 5.0 Programs

**NOTE:** Unless otherwise specified, the standards in this sub-section apply to all ground handling facilities the Operator utilizes, including its primary home base facility, and all other ground handling facilities the Operator utilizes.

### 5.1 Parking of Aircraft

**5.1.1** The Operator shall have policies and procedures regarding the parking of aircraft related to airport sites, considering safety and security concerns, including proper placement of safety cones and appropriate size wheel chocks for aircraft parked on the ramp or in hangars.

#### Guidance

The Operator shall document in its Manual System or other appropriate documentation the policies and procedures to be utilized when parking aircraft. In developing these policies and procedures, the Operator shall attempt to make them consistent regardless of location.

The company shall have a verifiable process that ensures:

- Proper placement of safety cones around the aircraft;
- Use of appropriate size wheel chocks for aircraft parked both on the ramp and in hangars.

### 5.2 Towing of Aircraft

**5.2.1** The Operator shall have policies and procedures regarding towing of aircraft (including a training program) that ensures towing equipment is appropriately rated for aircraft to be towed, the minimum number of wing-walkers specified by the company is used, and an effective system of communications between the tow vehicle driver and wing-walkers is in place.

#### Guidance

These policies and procedures shall be included in the Manual System or other appropriate documentation. Training shall be provided on these policies and procedures to all personnel who will be involved in towing operations. This training will include sufficient exposure to ensure the individuals performing this function are fully qualified and certified. For those not actually engaged in the function, the training will provide familiarity with the policies and procedures to ensure the individual can properly perform an oversight role, i.e., crewmembers observing the movement of company equipment.

### 5.3 Taxiing of Aircraft

**5.3.1** The Operator shall have policies and procedures regarding non-flight crew taxiing of aircraft (where applicable), including a document training program for those individuals assigned responsibility for taxing company aircraft..

## SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

### Guidance

These policies and procedures shall be documented in the Manual System or other appropriate documentation. A documented training program shall be included for those individuals assigned responsibility for taxiing company aircraft. This training program shall include provisions for initial and recurrent training and shall lead to full qualification and certification by a qualified supervisor. As part of the Operators oversight program, there shall be a requirement to ensure that individuals who are not employed by the operator are trained, qualified and certified to taxi company aircraft. If the qualifications of these personnel cannot be determined, policies shall be in place to ensure company equipment is restricted to towing only.

### 5.4 Fueling and Servicing of Aircraft

**5.4.1** The Operator shall have policies and procedures regarding the fueling and servicing of aircraft, including procedures to ensure the fueler's quality control program meets industry standards.

### Guidance

These policies and procedures shall be documented in the Manual System or other appropriate documentation. A documented training program shall be included for those individuals assigned the responsibility for fueling and servicing company aircraft. This training program shall include provisions for initial and recurrent training and shall lead to full qualification and certification by a qualified supervisor. As part of the Operators oversight program, there shall be a requirement to ensure individuals at out bases are trained, qualified and certified to refuel the types of aircraft operated by the company.

The company shall have a verifiable process that ensures:

- Line service personnel follow company documented procedures when operating a re-fueling vehicle with regards to approaching, positioning and parking in the vicinity of an aircraft;
- Company documented procedures are followed regarding proper aircraft grounding and fueling;
- There is a documented policy as to whether "hot" re-fueling is permitted with passengers onboard.
- There are documented procedures that outline both flight and ground crew responsibilities during "hot" re-fueling with passengers onboard (if permitted).

### 5.5 Directing Movement of Aircraft

**5.5.1** The Operator shall have policies and procedures for marshalling and direction of aircraft movement, including a training program for individuals assigned to marshal aircraft at the operator's home base.

### Guidance

These policies and procedures shall be documented in the Manual System or other appropriate documentation. A documented training program shall be included for those individuals assigned the responsibility for marshalling and directing aircraft movement. This training program shall include provisions for initial and recurrent training and shall lead to full qualification and certification by a qualified supervisor. As part of the

## SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

Operator's oversight program, there shall be a requirement to ensure individuals at any location are trained, qualified and certified to marshal and direct aircraft movement.

### 5.6 Baggage Loading

**5.6.1** The Operator shall have policies and procedures regarding weighing and loading aircraft baggage, including a training program for all individuals assigned to weigh and load aircraft baggage, including carry-on baggage.

#### Guidance

These policies and procedures shall be documented in the Manual System or other appropriate documentation. A documented training program shall be included for those individuals assigned the responsibility for weighing and loading aircraft baggage, including carry-on baggage. The training shall include any NAA rules and/or regulations covering the loading and carriage of baggage.

### 5.7 Quality Assurance

**5.7.1** The Operator shall have processes and procedures for auditing, tracking and trending of ground operations. This shall include internal and external audits.

#### Guidance

These policies and procedures shall be documented in the Manual System or other appropriate documentation. Provisions for internal and external audits shall be included to ensure all ground handling conforms to company policies and procedures. The tracking and trending information shall be reviewed to ascertain where there is risk to the Operator and/or their equipment and appropriate actions shall be taken to eliminate or mitigate the risk(s) to an acceptable level.

**5.7.2** The Operator shall have processes and procedures to ensure proper maintenance and servicing techniques / intervals for all ground servicing equipment. This includes internal and external audits.

#### Guidance

These policies and procedures shall be documented in the Manual System or other appropriate documentation. The appropriate maintenance and servicing intervals are normally dictated by the equipment manufacturer. Internal and external audits shall be designed to ensure company policies and procedures are being followed at all locations.

### 5.8 Aircraft De-icing / Anti-Icing

**5.8.1** The Operator shall have policies and procedures regarding aircraft anti-ice/de-ice operations including holdover times, if applicable.

## SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

### Guidance

These policies and procedures shall be documented in the Manual System or other appropriate documentation. The procedures shall be developed utilizing manufacturer recommendations and industry best practices. Included in this documentation shall be information regarding holdover times.

NOTE: Some operators might have a statement that holdover times are not applicable and cannot be used. Many operators are not authorized to use holdover times. **In these instances, holdover documentation shall not be required.**

## SECTION 7: CARGO OPERATIONS

NOTE: In order to assess this Section the auditor must review the Operator's Operations Specifications or other NAA authorizations. If an Operator is authorized for both passenger and cargo operations, but chooses to perform passenger operations only, the Operator **shall** have a statement in its manual system indicating the Operator conducts passenger-only operations and that only baggage and company cargo is accepted. Alternatively, an Operator may indicate that only "clean" cargo (e.g., baggage associated with a passenger and in accordance with FAR 135.87) is accepted. Only with such a statement should this section be marked "N/A", and the auditor should describe this statement in the audit checklist.

If the Operator indicates it conducts passenger operations only, but does not have a statement in its manual system, such as the examples described above, the Auditor should write only one finding for this section. The following is an example:

"The Operator is authorized for both passenger and cargo operations. However the Operator only conducts passenger operations. No policy is included in the Operator's manual system limiting the Operator to passenger-only operators or 'clean' cargo operations."

### 1.0 Organization and Management

**1.0.1** The Operator shall have policies and procedures describing the responsibilities and authority of managers and assigned aircrew (to include loadmasters and cargo handlers) in the Operations Manual required by this Standard. This shall include the conditions under which loadmasters or cargo handlers are assigned, and the type and number of loadmasters or cargo handlers that shall be assigned to flights.

#### Guidance

The Operator shall document the policies and procedures to be used when loadmasters or cargo handlers are assigned. This shall include the conditions under which loadmasters or cargo handlers are assigned, and the type and number of loadmasters or cargo handlers that shall be assigned to flights.

### 2.0 Loading Cargo

**2.0.1** The Operator shall have a training program to qualify aircrew (including loadmasters) in cargo handling, loading and transportation.

#### Guidance

The Operator shall have a training program in place adequate for its type of operation. If applicable, it must be approved by the NAA. If final approval for the training program has not been granted, the program document shall indicate the expiration date of the interim approval.

## SECTION 7: CARGO OPERATIONS

**2.0.2** The Operator shall have a audit process regarding the use of contract cargo handlers and loadmaster services.

### Guidance

The Operator shall document the policies and audit procedures to be used when contract cargo handlers and loadmaster services are utilized. This shall include the conditions under which cargo handlers and loadmaster services are assigned, and the type and number of cargo handlers and loadmaster services that shall be assigned to flights.

**2.0.3** The Operator shall have policies and procedures for completing load manifests as required by the NAA. This description shall include: identification of the individual(s) responsible for the completion of the load manifests, a description of what information is required by the NAA, and how long it shall be retained, and where manifests are maintained.

### Guidance

The Operator shall document the policies and procedures to be used when completing load manifests required by the NAA.

## 3.0 Manuals and Documentation

The Operator shall have a manual system or other documentation adequate to ensure that flight crewmembers, cargo handlers and loadmasters are knowledgeable of their duties and responsibilities.

**3.0.1** The Operator shall have policies and procedures regarding the duties, responsibilities, limitations, for flight crewmembers, cargo handlers and loadmasters.

### Guidance

The Operator shall document in its manual system the duties, responsibilities, and authority of persons assigned as flight crewmembers, cargo handlers and loadmasters, including contract cargo handlers and loadmasters.

**3.0.2** The Operator shall maintain loadmaster records to include training and qualification.

### Guidance

The Operator shall document cargo handler and loadmaster training and qualification records and maintain the records as required by the NAA or specified in the Operator's policies.

## 4.0 Training Programs

The Operator shall have a training program in place adequate for its type of operation. If applicable, it shall be approved by the NAA. If final approval of the training program has

## SECTION 7: CARGO OPERATIONS

not been granted, the program document must indicate the expiration date of the interim approval.

**4.0.1** The Operator shall create and keep current a training program for its flight crew and cargo loadmasters, to include cargo inspection and loading procedures, and hazmat notification, recognition, and acceptance/rejection procedures according to the Operator's NAA-approved Dangerous Goods / Hazardous Materials carrying status.

### Guidance

Requirements for initial and recurrent training shall be dictated by the authorized operation and shall be within the scope of the Operator's authorizations. A source for guidance when developing this training is contained in the *IATA Airport Handling Manual*.

**4.0.2** The Operator shall provide training specific to the cargo and aircraft being utilized.

### Guidance

The Operator shall have an adequate training program appropriate to: the type of cargo handlers or loadmasters used, the type of cargo authorized for carriage, and the type and configuration of aircraft to be utilized.

**4.0.3** The Operator shall provide training regarding the use of an emergency response plan for cargo spills and other non-standard events for flight crew and cargo loadmasters.

### Guidance

The Operator's training program shall include training on emergency response plans for cargo spills and other non-standard events. This training must be in accordance with NAA regulations, if applicable.

**4.0.4** The Operator shall provide training regarding safety and security to flight crew, cargo handlers and loadmasters.

### Guidance

The Operator's training program shall include training on safety and security to flight crew, cargo handlers and loadmasters. This training shall be appropriate to the type of aircraft used and cargo transported. If applicable, the training program shall be approved by the NAA.

## SECTION 8: OPERATIONAL SECURITY

NOTE: Many Operators believe they meet the requirements of this Section through a government-mandated security program. However, this is rarely the case, as additional security policies and procedures are necessary to ensure the security of facilities, personal information (of clients and employees), and flights not covered by government-mandated programs.

Some Operators are tenants of an FBO or other organization. This does not relieve the Operator from ensuring the security of its aircraft or the facilities that it utilizes.

### 1.1 Organization and Management

**1.1.1** The Operator shall have sufficient personnel in place, either directly employed by the Operator or by contractual agreement, to administer its security program, in accordance with the requirements of the State authority/authorities. The Operator shall state in its Manual System the name of the person(s) who it has designated to be the primary and alternate (if any) Security Coordinators as required by any State authority.

#### Guidance

The Operator shall include its Security Program in its Manual System. The documentation shall contain a description of the duties and responsibilities individual responsible for the Operations security.

### 1.2 Management

**1.2.1** The Operator's management shall have knowledge of the State security requirements and assist the Security Coordinator in the execution of the Security Program.

#### Guidance

Management shall be and thoroughly familiar with the security requirements of the NAA and other applicable government agencies. This training shall be documented, in the form of a training record, certificate or letter issued by the applicable authority.

**1.2.2** The Operator shall screen, train and test all employees in accordance with State requirements and/or the Operator's security policies and procedures. Documentation of this training, including test scores, shall be maintained.

#### Guidance

The Operator shall have documentation, either in individual training or personnel records, which indicates successful completion of the appropriate screening process and training in accordance with NAA requirements. The documentation shall contain testing scores, indicating the individual has attained the minimum standard required by the NAA (if applicable) or the operator if the State does not require a minimum passing score.

## SECTION 8: OPERATIONAL SECURITY

### 2.0 Manuals and Documentation

**2.0.1** The Operator shall include either in its NAA-required manual, or in a separate document, those security processes and procedures that its personnel will follow to assure compliance with any federally or Operator mandated security procedures. The manual or other document shall include guidance on the reporting of security anomalies or deficiencies to the Operator's security management personnel.

#### Guidance

The Operator shall include in its Manual System both the State mandated requirements and the Operator's Security Program. The documentation shall contain procedures for ensuring all assets are protected in accordance with the requirements of State and Operator directives. The documentation shall include procedures for reporting any deviations and for correcting any deficiencies within the security system.

### 3.0 Quality Assurance

**3.0.1** The Operator shall have a process in its Internal Evaluation Program to evaluate the effectiveness of its security program. The evaluations shall be documented to include any deficiencies found and the corrective action taken. All future evaluations shall include a focused look at any deficiencies identified in its previous evaluations.

#### Guidance

Internal evaluation is one method for validating the effectiveness of the Operator's Security Program. All evaluations shall be fully documented for the Security Coordinator/Manager to implement corrective action where necessary. The internal evaluation shall document identified deficiencies and appropriate corrective action. During subsequent evaluations, the evaluator will ensure the deficiencies have been corrected. Another method for evaluating the system is through external, third-party audits. Both systems are satisfactory and the documentation of deficiencies and corresponding corrective actions shall be comparable.

**3.0.2** The required evaluation shall be conducted by a person authorized by the Operator, with a "need to know." The results of any security program evaluations shall be maintained at the highest level of confidentiality, and shall not be available or disclosed to any person or entity.

#### Guidance

Documented procedures shall identify the evaluators authorized to assess an operator's security program and the results of internal evaluation. The Operator shall have documentation indicating the evaluator(s) have signed the State-specific or company non-disclosure form. This action serves two purposes: (1) it satisfies the state requirement for non-disclosure for sensitive security information, and (2) assesses an operator's compliance with its security program requirements.

## SECTION 8: OPERATIONAL SECURITY

### 4.0 Training Programs

**4.0.1** The Operator shall conduct initial and annual recurrent basic security training for all employees to consist of at least the following elements:

- A. Facility security
- B. Aircraft security
- C. Client/customer confidentiality
- D. Workplace violence
- E. Roles and Responsibilities

#### Guidance

An operator's security training program should conform to other company approved training programs for consistency. The Security Coordinator/Manager shall validate compliance with this standard by assessing initial and annual recurrent training curriculum and personnel training records. The Security Coordinator/Manager shall document compliance in the individual training records to indicate the company has complied with the State mandated or company program. This training record and the corresponding Security Coordinator/Manager validation shall be retained as part of the individual training/personnel record.

In addition to the training that employees receive regarding NAA requirements, the Operator shall ensure employees are trained in all aspects of the company security program, as this program shall be more comprehensive than NAA requirements. This training shall cover variances encountered when operating across State borders, and the Operator's requirements.

NOTE: This standard applies to ALL employees, to varying degrees. For example, an accountant need not complete full flight-related security training, but should be appropriately trained on how to handle a phoned-in threat or similar incident, as well as how to ensure security of information.

**4.0.2** The Operator shall maintain security training records for all employees.

#### Guidance

Records shall be maintained in a secure location and shall include record retention protocols, such as electronic backup, fire-proof storage, etc. Records shall be maintained as either part of the employee's permanent training record or personnel file.

### 5.0 Contract Services

**5.0.1** If the Operator utilizes contract security services for either facilities or aircraft security, the services used must be bonded (where permitted by local regulations), insured, and have a formal security personnel training program approved by the Operator.

## SECTION 8: OPERATIONAL SECURITY

### Guidance

The Operator shall have procedures for ensuring contractors are bonded, insured, and that the contractor's formal security personnel training program is approved by the Operator.

NOTE: Not all States have provisions for the bonding of security services, making it impossible to apply this standard in all cases.

**5.0.2** All contract security service personnel used by the Operator shall have a full ten (10) year background check completed consisting of at least the minimum requirements for Operator employee background checks, where permitted by local regulations. These documented procedures shall designate the individual(s) responsible for verifying contractor records and ensuring the requirements are met.

### Guidance

The Operator shall have documented procedures in its security program to validate the contractor has met the requirements of this standard.

NOTE: Some States have strict laws protecting personal information. In these instances, the background checks described above might not be available.

## 6.0 Access Control

**6.0.1** The Operator shall specify in its NAA-required manual or other document, the policies and procedures used to ensure controlled access to its facilities (including data storage facilities), the aircraft under its control, and airport operations areas.

### Guidance

The Operator shall have documented procedures in its Security Program that state who may be allowed access to controlled areas, such as:

- Facilities (including data storage facilities)
- Aircraft under its control, and
- Airport operations areas.

These procedures shall contain policies and procedures for authorizing supervised access to critical areas.

NOTE: If the Operator leases space from an FBO, measures should still be taken by the Operator to secure the space it leases. These measures could include visitor sign-in sheets, badges, and escorted access. This can be achieved either by the FBO or the Operator.

**6.0.2** The Operator shall have policies and procedures regarding ramp access of ground transportation vehicles, ensuring that any "through the fence" transportation is escorted and marshaled.

### Guidance

## SECTION 8: OPERATIONAL SECURITY

The Operator shall document in its Manual System or other appropriate documentation policies regarding ramp access. These procedures shall include provisions and policies regarding “through the fence” access and shall delineate how escort shall be accomplished as well as marshalling procedures. Policies shall be articulated that describe the crewmembers responsibilities at all locations.

The effectiveness of these policies and procedures shall be validated and this is accomplished through documented training and assessment. All personnel involved in this process shall be identified, properly trained and the training shall be documented in the individual's permanent training/personnel record.

### 7.0 Aircraft

**7.0.1** The Operator shall have policies and procedures in either its NAA-required manual or other documentation, describing the procedures used for securing aircraft under its control.

#### Guidance

These documented procedures might include, but are not limited to, security (tampering tape) seals, locking aircraft, security guards, etc. The appropriate documentation shall describe the procedures utilized by the Operator and include any authorized deviations.

### 8.0 Carriage of Prohibited Items

**8.0.1** The Operator shall provide information to passengers regarding prohibited items that may not be carried aboard a commercially operated aircraft.

#### Guidance

Each operator shall maintain a complete list of prohibited items. For example, the TSA prohibited item list is provided in the following document:

[http://www.tsa.gov/assets/pdf/prohibited\\_and\\_permitted\\_items\\_10-24-07.pdf](http://www.tsa.gov/assets/pdf/prohibited_and_permitted_items_10-24-07.pdf)

The information provided to passengers regarding prohibited items shall be concise, understandable, and convey the consequences of any violations.

**8.0.2** The Operator shall have policies and procedures for the handling and disposition of any prohibited item carried by a passenger, including provisions for items that are discovered prior to initial departure or during subsequent legs. This can include disposal or alternate transportation of the items.

#### Guidance

These documented policies and procedures shall contain provisions for items that are discovered prior to initial departure and for the discovery during subsequent legs of the trip. If disposal of the item(s) is not an option, procedures shall include options for transporting the item(s) to a destination of choice by the client.

## SECTION 8: OPERATIONAL SECURITY

**8.0.3** If the Operator accepts the carriage of firearms aboard its aircraft, the Operator shall have procedures to:

- A. Ensure that all passenger firearms are unloaded and properly secured so as not to be used as weapons while onboard the aircraft.
- B. Ensure that all persons such as law enforcement personnel or personal bodyguards, who the Operator has approved to carry a firearm aboard its aircraft have been properly briefed regarding the safety precautions required for the carriage and use of firearms in an aircraft.

Procedures for carrying unloaded firearms on an aircraft shall indicate:

- The individual responsible for ensuring the firearms are properly cleared,
- Indicate where the firearms will be located,
- The individual under whose control the firearms will be placed, and
- Proper exchange of and return of the firearms.

These procedures shall include provisions for reviewing the laws of the country, especially when firearms are to be transported from one country to another.

### Guidance

Procedures for carrying unloaded firearms on an aircraft shall indicate:

- The individual responsible for ensuring the firearms are properly cleared,
- Indicate where the firearms will be located,
- The individual under whose control the firearms will be placed, and
- Proper exchange of and return of the firearms.

These procedures shall include provisions for reviewing the laws of the country, especially when firearms are to be transported from one country to another.

The briefing identified in paragraph B shall be concise and cover all applicable requirements of the country in which commencement of the carriage shall occur. The briefing shall cover the laws of the country of destination if the trip is to cross international borders.

**8.0.4 Reserved.**

## 9.0 Passengers and Cabin Baggage

**9.0.1** The Operator shall have policies and procedures to ensure that passengers embarking are properly identified.

### Guidance

This documentation shall be contained in the Operators Manual System. It shall clearly state how identification will be completed and what actions are required if the passenger can not be properly identified.

## SECTION 8: OPERATIONAL SECURITY

**9.0.2** The Operator shall have policies and procedures to ensure that only authorized passenger baggage is loaded on the aircraft.

### Guidance

This documentation shall be contained in the Operators Manual System. It shall clearly state how passenger baggage will be identified for identification prior to loading. Provisions shall be made for the distribution of baggage that is not properly identified.

## 10.0 Security Requirements

**10.0.1** The Operator shall have a Security Program. This Security Program shall include all State regulatory elements.

### Guidance

The Operator shall include its Security Program in its Manual System. The security documentation shall describe how the Operator will conform to the requirements of the NAA/State mandated program (if applicable). Contained in the documentation shall be procedures for ensuring all assets are protected and the individual responsible for the protection of these assets. The procedures will account for how the protection of the assets will be accomplished at all locations. The documentation shall contain the name of the individual responsible for security and a complete description of their roles and responsibilities.

**10.0.2** The Operator shall maintain records for at least three years on all employees' who have received training in accordance with the Operator's Security Program.

### Guidance

The policies and procedures for maintaining these records shall be described in the Operator's Manual System or Security Program, if maintained under separate cover. These records can be retained either as part of the Operators training program or in individual personnel files. The procedures shall include retention/destruction procedures if an individual leaves the company prior to the end of the three-year retention period. Additionally, the procedures shall cover disposition of the records after the three-year retention period.

## 11.0 Drug and Alcohol Screening

**11.0.1** The Operator shall have an Anti-drug and Alcohol Misuse Education and Prevention Program for all employees.

### Guidance

The Manual System shall contain provisions for an Anti-drug and Alcohol Misuse Education and Prevention Program that conforms to the laws of the State. In States where testing is not required, the Operator shall have at least an education program for all employees. The education program should contain information regarding the hazards of these substances and should be geared to providing a foundation for avoidance.

## SECTION 8: OPERATIONAL SECURITY

**11.0.2** The Operator shall have a drug and alcohol testing program for employees assigned to safety-sensitive positions as required by the NAA. In States where no testing is required, the Operator shall comply with this standard without violating privacy regulations of the governing authority. If laws of the State prohibit testing, the Manual system shall so state.

### Guidance

In States where a program is mandatory, the Operator shall have documented procedures to conform to applicable laws. In States where no testing is required, the Operator shall have a documented program that satisfies the requirements of this standard, without violating the privacy issues regarding testing as prohibited by the governing authority. The policy can be a simple direction to test under suspicious circumstances. If the laws of the State in which the Operator is certificated prohibit such testing, the Manual System must contain a statement delineating the States prohibition.

**11.0.3** If a drug and alcohol testing program is not required by the NAA, the operator will conduct pre-employment, random, reasonable suspicion, post-accident, return to duty, and follow-up testing, as applicable, for all employees in safety-sensitive positions. In those cases where the Operator is prohibited from accomplishing some portion of the standard, it shall document the prohibition and cite the law preventing conformance.

### Guidance

The Operators program must conform to the laws of the State in which it is certificated. For those States where testing is not required, the Operator shall have documented procedures for completing whatever is permitted by State law. In those cases where the Operator is prohibited from accomplishing some portion of the standard, it shall document the prohibition and cite the law preventing conformance.

## 12.0 Employee Background Checks

**12.0.1** The Operator shall have processes and procedures for conducting a full 10-year background check on all employees where permitted by the State. The background check for criminal convictions shall have no time limitation.

### Guidance

The Operator shall document in its Manual System policies and procedures for conducting a thorough background check on all new employees. The program shall include but not be limited to a review of: an individual's work history, driver's record, criminal convictions (if applicable), business associates recommendations and any other data that will portray the individual's character. The results of this review shall be maintained in the individuals training or personnel record as appropriate.

NOTE: Some States might prohibit this type of background check.

**12.0.2** The Operator shall have policies and procedures for conducting a full 10-year background check on all contract employees, regardless of whether they are employed directly by the Operator or through an employment agency, where permitted by the State. The background check for criminal convictions shall have no time limitation.

## SECTION 8: OPERATIONAL SECURITY

### Guidance

The policies and procedures shall be fully documented in the Operators Manual System. This program shall include but not be limited to a review of: an individual's work history, driver's record, criminal convictions (if applicable), business associates recommendations and any other data that will portray the individual's character. The results of this review shall be maintained in the contractor training or personnel record as appropriate. The Operator shall have documented procedures for reviewing this information to ensure conformity with the Operator's standards.

### 13.0 Facility Security

**13.0.1** The Operator shall have policies and procedures to maintain security of its facilities and property, including internal evaluation and documentation of weaknesses, corrections, and effectiveness of corrections.

### Guidance

The Operator's Security Manual or documentation shall contain policies and procedures describing how it will protect its facilities and property. The Operator's Internal Evaluation shall ensure the processes and procedures are effective and adequately protect company assets. Provisions may include an assessment of the system through simulated penetrations and theft. Any weaknesses identified shall be documented. Corrections shall be implemented, and the effectiveness of the corrections evaluated for compliance. Records shall be maintained on these evaluations and corrective actions.

### 14.0 Passenger Confidentiality

**14.0.1** The Operator shall have policies and procedures regarding passenger and customer confidentiality.

### Guidance

The Manual System shall contain policies and procedures to ensure a client's confidentiality is maintained. This documentation shall contain provisions for breaching confidentiality should a situation arise where this is necessary.

## SECTION 9: PASSENGER HANDLING & SAFETY

### 1.0 Customer Trip Coordination / Customer Interaction.

**1.0.1** The Operator shall have policies and procedures to ensure safety of flight situations are disclosed and coordinated with the customer. This may include, but is not limited to:

- A. Duty time,
- B. Baggage constraints,
- C. Airport limitations,
- D. Aircraft capabilities, and
- E. Weather considerations.

#### Guidance

The Operator shall have policies and procedures in its Manual System or other appropriate documentation to ensure safety-of-flight information is conveyed, so the client/customer can plan accordingly for the initiation and/or completion of a trip. This frequently requires coordination between flight followers or customer service representatives and flight crew members in order to alert clients as soon as possible. At a minimum, these procedures shall address issues involving:

- a. Crew duty and rest limitations,
- b. Baggage constraints, including size and weight limitations, and the carriage of restricted or prohibited items,
- c. Limitations and/or restrictions at the airport of intended departure or landing, i.e. limitations due to weight, obstacle clearance, night time operations, mountainous terrain, etc.
- d. Operating limitations of the aircraft,
- e. Departure and/or landing airport weather considerations, and en route weather restrictions that may cause routing deviations/changes.

**1.0.2** The Operator shall have policies and procedures regarding the appropriate interaction between crewmembers and passengers.

#### Guidance

The Operator shall document in its Manual System or other appropriate documentation policies and procedures regarding the conduct of the crew with passengers. This should be in the form of guidance and should address areas, such as, meeting and greeting passengers, responsibilities to the passengers during flight, access to the crew compartment, jump seat usage by passengers (if applicable) and how to handle deplaning and departure of the passengers.

For some Operators, this will require coordination between the crew assigned to a particular flight and the flight follower (or similar function).

### 2.0 Passenger Loading / Unloading

## SECTION 9: PASSENGER HANDLING & SAFETY

**2.0.1** The Operator shall have policies and procedures regarding the loading and unloading of passengers. Consideration items should include weather and passenger physical / mental condition.

### Guidance

The Operator shall document in its Manual System or other appropriate documentation the policies and procedures for loading and unloading passengers. Consideration should be given to developing one set of procedures to be utilized irrespective of the threat situation.

**2.0.2** *Reserved.*

## 3.0 In-Flight

**3.0.1** The Operator shall have policies and procedures regarding in-flight customer safety and convenience standards. These procedures shall take into consideration: response to health emergencies, in-flight passenger mobility standards, passenger service items, passenger briefing of onboard equipment and service items.

### Guidance

The Operator shall establish guidance for the crew when dealing with passenger health emergencies. The passenger briefing shall include the operation of convenience items, service limitations as well as emergency equipment usage.

## **SECTION 10: DANGEROUS GOODS / HAZARDOUS MATERIALS — WILL CARRY OPERATOR**

NOTE: In order to assess this Section, the auditor must verify the Operator's NAA authorization as a will or will-not carry operator. If an Operator is approved for "will"-carry and elects not to exercise that authorization, the Operator shall have in its manual system a statement, such as "Although authorized for dangerous goods/hazardous materials carriage, ABC Operator does not carry dangerous goods/hazardous materials."

If an Operator is a "will-not-carry" operator, the auditor should mark this section N/A and state the Operator does not have authorization to carry dangerous goods/hazardous materials on the audit checklist and in the Summary of Findings.

### **1.0 Organization and Management**

**1.0.1** The Operator shall have policies and procedures regarding the assignment of flight crew and cargo loadmasters, including the use of contract personnel, for the carriage of Dangerous Goods/Hazardous Materials with passenger transportation.

#### **Guidance**

The handling of Dangerous Goods/Hazardous Materials requires specialized training. The Operator shall ensure all appropriate personnel are properly trained in the recognition and handling of this cargo. The Operator shall have policies and procedures in its Manual System and/or other appropriate documentation that specifies the qualifications required to handle DG/HAZMAT, and ensures that only qualified personnel may handle these materials.

**1.0.2** The Operator shall have policies and procedures regarding responsibilities, authority, and interfaces between the pilot-in-command, second-in-command, and assigned cargo loadmasters.

#### **Guidance**

It is critical that the crews understand their individual responsibilities and authority during these types of operations. Each crewmember must be familiar with the other crewmember roles and responsibilities. The Operator shall document these responsibilities in all guidance materials and conduct training to ensure understanding.

### **2.0 Inspecting and Loading Cargo**

**2.0.1** The Operator shall have policies and procedures for a crewmember or company representative to inspect all DG / Hazmat and packaging before it is placed onboard the aircraft.

## SECTION 10: DANGEROUS GOODS / HAZARDOUS MATERIALS — WILL CARRY OPERATOR

### Guidance

The inspection process is critical to the success of Dangerous Goods/Hazardous Material transportation. Whether the Operator is engaged in this business on a full-time or part-time basis, it shall have trained and qualified personnel who are responsible for the inspection, packaging and loading of these materials. The Manual System shall include policies and procedures that specify the process for inspecting, releasing and loading the materials. These shall conform to the NAA and other regulatory requirements.

**2.0.2** The Operator shall have policies and procedures to ensure the pilot in command is notified when DG / Hazmat is placed onboard the aircraft and is provided appropriate documentation in accordance with State regulations.

### Guidance

Procedures for notification of the pilot in command shall be defined in the Operator's Manual System and shall include the type of materials, the hazards they may present and the area of the aircraft where the material is loaded.

**2.0.3** The Operator shall create and keep current a training program for its flight crew and cargo loadmasters, to include cargo inspection and loading procedures, and DG / Hazmat notification, recognition, and acceptance/rejection procedures according to the Operator's NAA-approved DG / Hazmat carrying status.

### Guidance

The training program shall include initial and recurrent training designed to ensure:

- All personnel are able to recognize the material;
- Properly inspect the packaging for conformance with industry and authority standards and requirements;
- All DG/Hazmat is properly loaded and secured;
- Notification and acceptance procedures; and
- The policy regarding acceptance/rejection.

The training shall emphasize that the PIC is the final authority with regard to the transportation of these materials.

**2.0.4** The Operator shall have an audit process for contract cargo handling and loading when utilized.

### Guidance

The Operator shall have documented procedures that govern the use of contractors and the duties these contractors are authorized to perform. The internal audit process shall include provisions for ensuring the contractor conforms to the policies and procedures of the Operator. At a minimum, this will include packaging, loading, and the notification process for the Operator and PIC.

## SECTION 10: DANGEROUS GOODS / HAZARDOUS MATERIALS — WILL CARRY OPERATOR

### 3.0 Hazardous Materials

**3.0.1** The Operator shall hold the appropriate NAA authorization regarding its will-carry status.

#### Guidance

This shall be included in the authorizations granted by the NAA and shall outline any deviations or exceptions imposed by the governing authority. The Operator shall not carry any unauthorized DG/Hazmat.

### 4.0 Manuals and Documentation

**4.0.1** The Operator shall have policies and procedures regarding the duties, responsibilities, and limitations for flight crew and cargo loadmasters.

#### Guidance

The duties and responsibilities and limitations of these individuals are critical to the success of the operation. These shall be contained in the Manual System and shall clearly define the Operators expectations with regard to the exercise of these. These shall conform to the requirements of the NAA.

**4.0.2** The Operator shall have policies and procedures regarding the retention of DG / Hazmat records for a minimum of 90 days.

#### Guidance

These policies and procedures shall be contained in the Manual System and/or other appropriate documentation and shall define how, where and in what format these records will be retained. The system of retention is at the discretion of the Operator, but all records shall be legible and readily retrievable.

### 5.0 Training Programs

**5.0.1** The Operator shall provide training specific to the cargo and aircraft being utilized.

#### Guidance

If various aircraft are utilized to transport DG/Hazmat, the Operator shall have training specific to each type of aircraft. The training shall include, but not be limited to, the aircraft characteristics with regard to carriage/loading; instruction on loading and load placement; and any special items such as weight and CG limitations, tie down or securing, ventilation, etc.

**5.0.2** The Operator shall provide training regarding the use of an emergency response plan for cargo spills and other non-standard events for flight crew and cargo loadmasters.

#### Guidance

## **SECTION 10: DANGEROUS GOODS / HAZARDOUS MATERIALS — WILL CARRY OPERATOR**

The Operators Emergency Response Plan shall include procedures for spills and other non-standard events for both home base and other locations. The reaction of management and the crew will vary dependent on location and each case shall be considered. Company policies and procedures should be developed to provide specific instructions regarding, at a minimum, notification, reaction, and oversight of cleanup, reporting and follow on actions.

**5.0.3** The Operator shall provide training regarding safety and security to flight crew and cargo loadmasters.

### **Guidance**

This training shall include at a minimum the safety and security precautions the crew and loadmasters must exercise in the handling, loading, securing, transportation and unloading of DG/Hazmat. Included shall be procedures for dealing with potential threats, either environmental and/or hijacking/stealing of the materials.