

AIR CHARTER



**OPERATOR STANDARDS
MANUAL**

RECORD OF REVISIONS

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ACKNOWLEDGEMENTS

The ACSF Industry Audit Standard (IAS) was developed with the cooperation of and assistance from leading charter operators, fractional program managers, charter brokers, corporate charter customers, and aviation auditors. The ACSF is grateful to the working groups for their painstaking efforts in the development of this Standard and related audit materials.

The Air Charter Safety Foundation is grateful to the International Air Transport Association (IATA) Operational Safety Audit (IOSA) program, which pioneered the standardized audit concept for scheduled air carriers and was inspirational in the creation of this Standard.

INTRODUCTION

The Air Charter Safety Foundation (ACSF) has established the ACSF Industry Audit Standard to advance on-demand charter and shared aircraft ownership industry standards and practices, and to promote the universal acceptance of safety management systems. This manual provides the standards, recommended practices, and guidance necessary for an On-Demand Air Carrier or Shared Ownership Program Manager to successfully prepare for an audit conducted under the ACSF Industry Audit Standard.

Operators participating in this audit program shall establish, document, implement, and maintain a management system that includes safety and quality, and provides for continuous improvement of the management system in accordance with these standards.

The primary objectives of the ACSF audit are to:

1. Determine the degree of conformance by Operators in implementing the standards published in this manual.
2. Observe and assess an Operator's adherence to ACSF-recommended practices, associated procedures, guidance material and safety-related practices.
3. Determine the effectiveness of an Operator's management systems.
4. Provide Operators with guidance to improve their safety and quality capabilities.

The surrender, revocation, or suspension of an Air Operator Certificate, Operations Specifications or Management Specifications shall immediately void any status as an ACSF audited/registered organization. To be reinstated, the Operator must undergo another registration audit.

Operator Standards and Audit Materials

Operators who wish to participate in this audit program should be thoroughly familiar with this Operator Standards Manual and the Operator Standards Guidance in Appendix A. All manuals, materials and guidance are available on the ACSF website: www.acsf.aero/audit.

ACSF reviews and revises the Operator Standards annually. No revision service is provided. It is the user's (Operator, Audit Company, and Auditor) responsibility to ensure they possess the current version of the Standards. Recommendations and suggestions regarding the ACSF standards are welcomed and may be submitted to audit@acsf.aero.

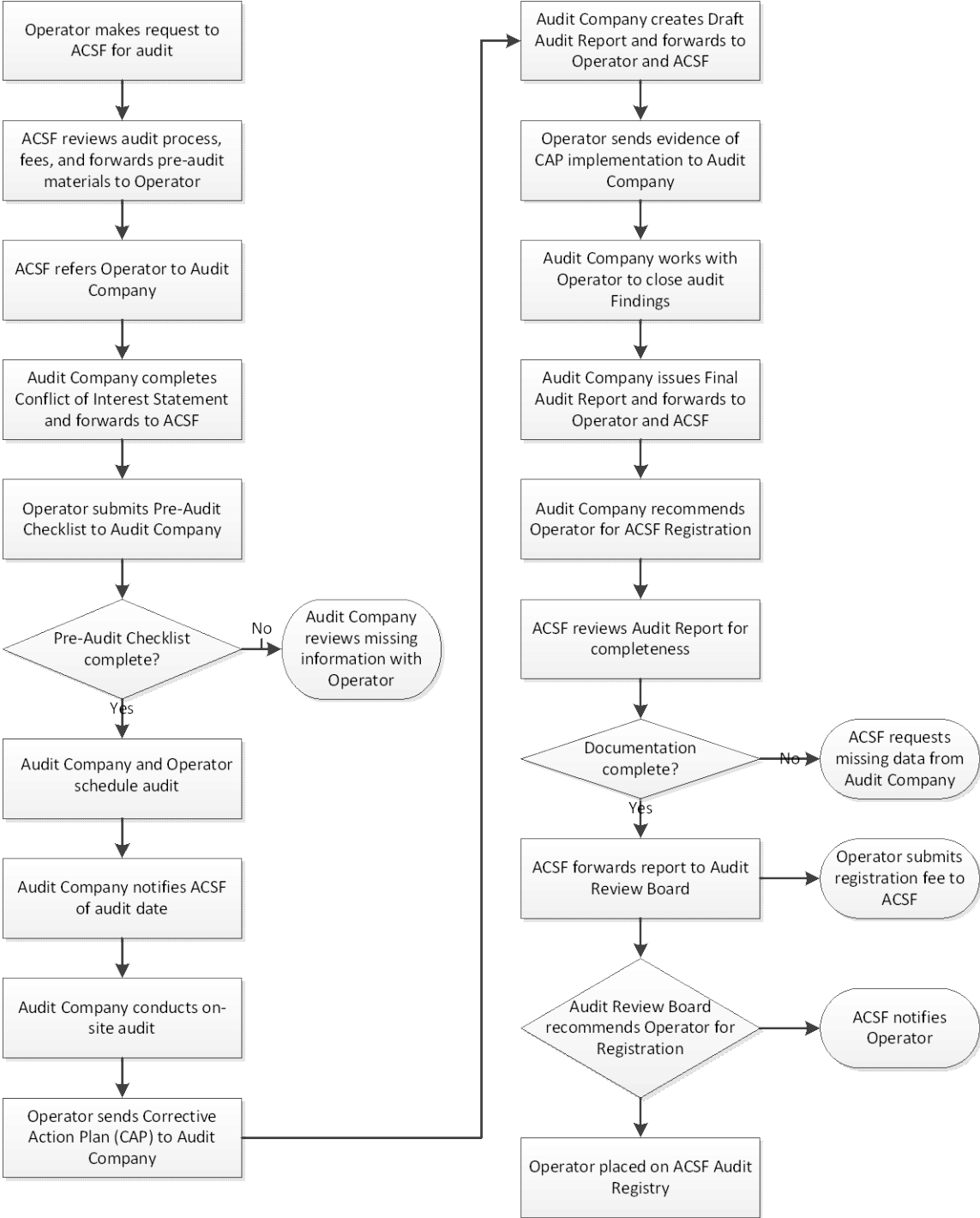
Registration Requirements

To be included in the ACSF Audit Registry, an Operator must satisfy the following requirements:

- Complete the ACSF Pre-Audit Checklist.
- Undergo an ACSF audit by an accredited Audit Company and accredited Auditors.
- Successfully complete an ACSF audit, including the resolution (to the satisfaction of the ACSF Audit Review Board) of all noted Audit Findings.
- Recommendation by the Audit Company to the ACSF Audit Review Board for inclusion in the Registry.
- ACSF Audit Review Board must approve the inclusion of the Operator after review and acceptance of the above steps.

The diagram on the next page outlines the audit registration process.

ACSF Audit Registration Process



ABBREVIATIONS AND ACRONYMS

AAIP	Approved Aircraft Inspection Program
AC	Advisory Circular
ACAS	Airborne Collision Avoidance System
ACSF	Air Charter Safety Foundation
AD	Airworthiness Directive
AFM	Aircraft Flight Manual
AMC	Acceptable Means of Compliance
AMO	Approved Maintenance Organization
ASAP	Aviation Safety Action Program
AOC	Air Operator Certificate
APU	Auxiliary Power Unit
ASR	Air Safety Report
ASRS	Aviation Safety Reporting System (NASA)
ATC	Air Traffic Control
CAMP	Continuous Airworthiness Maintenance Program
CAP	Corrective Action Plan
CAR	Corrective Action Record
CASE	Coordinating Agency for Supplier Evaluation
CASS	Continuing Analysis & Surveillance System
CDL	Configuration Deviation List
CEO	Chief Executive Officer
CFR	Code of Federal Regulations (US)
CFIT	Controlled Flight into Terrain
CHDO	Certificate Holding District Office (FAA)
CMO	Certificate Management Office (FAA)
CRM	Crew Resource Management
CVR	Cockpit Voice Recorder
DAR	Designated Airworthiness Representative
DER	Designated Engineering Representative
DG	Dangerous Goods
EASA	European Aviation Safety Agency
EGPWS	Enhanced Ground Proximity Warning System
ELT	Emergency Locator Transmitter
EPA	Environmental Protection Agency
ERP	Emergency Response Plan
EU	European Union
FAA	Federal Aviation Administration (US)
FAR	Federal Aviation Regulation (US)
FBO	Fixed Base Operator
FDR	Flight Data Recorder
FMS	Flight Management System
FOD	Foreign Object Damage
FOM	Flight Operations Manual
FOQA	Flight Operational Quality Assurance
FSDO	Flight Standards District Office (FAA)
GMM	General Maintenance Manual
GOM	General Operations Manual
GPS	Global Positioning System
GPWS	Ground Proximity Warning System
HFACS	Human Factors Analysis and Classification System
ICAO	International Civil Aviation Organization
IEP	Internal Evaluation Program

INFO	Information for Operators
IPM	Inspection Procedures Manual
ISO	International Organization for Standardization
JAA	Joint Aviation Authorities
JAR	Joint Aviation Requirement
JHA	Job Hazard Analysis
LOSA	Line Operations Safety Audit
MEL	Minimum Equipment List
MISR	Maintenance Interruption Summary Report
MMEL	Master Minimum Equipment List
MNPS	Minimum Navigation Performance Specifications
MRB	Maintenance Review Board
MRM	Maintenance Resource Management
MRO	Maintenance Repair Organization
MRR	Maintenance Reliability Report
MSAW	Minimum Safe Altitude Warning
MSDS	Material Safety Data Sheet
NAA	National Aviation Authority
NASA	National Aeronautics and Space Administration (US)
NM	Nautical Mile
NTSB	National Transportation Safety Board (US)
OEM	Original Equipment Manufacturer
OM	Operations Manual
OSHA	Occupational Safety and Health Administration (US)
PBE	Personal Breathing Equipment
PIC	Pilot in Command
PPE	Personal Protective Equipment
QAR	Quick Access Recorder
QAS	Quality Assurance System
RA	Resolution Advisory
RII	Required Inspection Item
RNP	Required Navigation Performance
RSM	Repair Station Manual
RVSM	Reduced Vertical Separation Minimum
SARPs	Standards and Recommended Practices (ICAO)
SAFO	Safety Alert for Operators
SB	Service Bulletin
SDR	Service Difficulty Report
SIC	Second in Command
SID	Standard Instrument Departure
SIDA	Security Identification Display Area
SM	Safety Manager
SMM	Safety Management Manual
SMS	Safety Management System
SOPs	Standard Operating Procedures
SUPS	Suspected Unapproved Parts
STC	Supplemental Type Certificate
TAWS	Terrain Awareness and Warning System
TCAS	Traffic Alert and Collision Avoidance System
TCDS	Type Certificate Data Sheet
TEM	Threat and Error Management
TSA	Transportation Security Administration (US)
U.S.	United States
VDRP	Voluntary Disclosure Reporting Program

DEFINITIONS

A

Accountable Executive / Manager: The manager who has corporate authority for ensuring that all prescribed actions are performed to the standard required by the National Aviation Authority. When authorized by the Authority, the Accountable Manager may delegate all or part of his / her authority in writing to another person within the organization, who becomes the Accountable Manager for the matters delegated.

Audit: The structured and objective assessment of an Operator to determine conformity with Air Charter Safety Foundation standards and recommended practices.

Audit Closure: The point in the audit process when all Findings have been closed and verified.

Audit Report: The documented record of an audit that contains information regarding the conduct and results of the audit.

Auditee: The operator that is audited.

Auditor: An auditor that has satisfied Air Charter Safety Foundation qualification and competence standards, and has successfully completed training and qualification to conduct audits under the Air Charter Safety Foundation Industry Audit Standard.

B

Best Practice: A strategy, process, approach, method, tool or technique that is generally recognized as being effective in helping an operator to achieve operational objectives.

C

Cabin Server: An individual provided to assist in the comfort and convenience of the passengers. The cabin server is considered a passenger (not a crewmember) and cannot perform safety-related duties. A cabin server may only operate equipment after receiving instruction from the pilot-in-command, including what actions to take in the event the equipment malfunctions.

Conformity: Fulfillment of specifications contained in recommended practices as determined by an audit in terms of having been documented and/or implemented by the operator.

Contractor: An organization or person, external to the operation, whose business is to supply services, goods or information for payment. The services, goods or information are supplied for a negotiated cost and period of time.

Corrective action: The action(s) taken to eliminate or mitigate the cause of or to reduce the effects of a detected non-conformity or other undesirable situation.

Corrective Action Plan (CAP): The total plan of an auditee to close all findings through implementation of comprehensive and permanent corrective action(s).

Corrective Action Record (CAR): A document that identifies the need for corrective action based on a finding, and provides a history of implementation and verification of the corrective action.

D

Dangerous Goods (DG): Articles or substances which are capable of posing significant risk to health, safety, property or the environment when transported by air.

Dispatch Personnel: When used in this manual, includes those Operator employees who either hold a dispatch license issued by the NAA, or are unlicensed flight schedulers.

Documented: The state of a specification as being published and accurately represented in an operational manual, handbook or other official Operator medium, e.g., paper, electronic, etc.

Documented Procedure: When used in this manual, it means that the procedure is documented, established, implemented, and maintained.

E

Evaluation: (Ref: AC 120-59A.) A functionally independent review of company policies, procedures and systems. If accomplished by the company itself, the evaluation should be done by an element of the company other than the one performing the function being evaluated. The evaluation process builds on the concepts of auditing and inspection. An evaluation is an anticipatory process and is designed to identify and correct potential findings before they occur. An evaluation is synonymous with the term systems audit.

Evidence: Data or information discovered during an audit that is analyzed by the auditor to determine fulfillment of Air Charter Safety Foundation recommended practices.

F

Finding: The documented statement based on factual evidence that indicates an operator is not in conformity with an Air Charter Safety Foundation Standard.

Flight Attendant: A crewmember assigned by the certificate holder or program manager who is trained and checked to perform safety-related duties. Safety-related duties include, but are not limited to, operation of aircraft exits, conducting the required passenger safety briefing, and operating available emergency equipment.

H

Hazard: Any existing or potential condition that can lead to injury, illness, or death to people; damage or loss of a system, equipment or property; or damage to the environment. A hazard is a condition that is a prerequisite to an accident or incident.

Hazardous Material: A substance or material capable of posing an unreasonable risk to health, safety, property or the environment when transported by air.

I

Implemented: The state of a specification as being activated, integrated, incorporated, deployed, installed, or made available as part of the operational system, and monitored and evaluated as necessary for continued effectiveness.

In-Briefing: The meeting at the beginning of the on-site phase of the audit, where the audit team reviews with the auditee the audit plan and other arrangements, activities and information relevant to the conduct of the audit.

Industry Audit Standard: The combination of the Air Charter Safety Foundation (ACSF) Operator Standards and industry best practices that constitute the scope of the ACSF audit processes.

Interim Corrective Action: Action that provides satisfactory resolution of non-conformity on a temporary basis until comprehensive and permanent corrective action in accordance with the accepted CAP can be fully implemented by the auditee.

Interim Audit Report: The official report of Findings and Observations that is presented to the auditee after completion of the on-site phase of the audit.

L

Library: An organized system for documentation retention and control.

Likelihood: The estimated probability or frequency, in quantitative or qualitative terms, of an occurrence related to a hazard.

N

National Aviation Authority (NAA): The national aviation regulatory agency of a State, as defined by international law.

Non-Conformity: Non-fulfillment of specifications contained in Air Charter Safety Foundation recommended practices as determined by the auditor in terms of having been documented and/or implemented by the Operator.

O

Objective Evidence: Information, which can be proved to be true, based on the facts obtained through observation, measurement, test or other means.

Observation: The documented statement by the auditor based on factual evidence gathered during an audit that indicates an Operator has not fulfilled an Air Charter Safety Foundation Recommended Practice.

Operational Control: Exercising the authority over the initiation, conduct, and termination of a flight or series of flights.

Operator: An air carrier or other organization that engages in aircraft operation; a company holding an AOC and/or MSpecs.

Out-Briefing: The formal meeting at the conclusion of the on-site phase of an audit, where the audit team reviews with the auditee information relative to findings and observations, the corrective action plan (CAP) and other subjects relevant to the audit process.

P

Preventive action: Action to eliminate or mitigate the cause or reduce the effects of a potential non-conformity or other undesirable situation.

Q

Quality: The degree to which a system consistently meets specified requirements, satisfies stated needs, or produces desired outcomes.

R

Recommended Practice: A specified program, system, policy, process, procedure, plan, set of measures, facility, component, type of equipment, or any other aspect of operations under the audit scope of the Air Charter Safety Foundation, the fulfillment of which is considered optional, but desirable, by the Operator.

Registry: The official listing of organizations that have achieved and are currently maintaining a qualified status with the Air Charter Safety Foundation.

Requirement: A specification in an ACSF Operator Standard that is an operational necessity.

Risk: The composite of predicted severity and likelihood of the potential effect of a hazard in the worst credible system state.

Risk Control: The steps taken to eliminate hazards or to mitigate their effects by reducing severity and/or likelihood of risk associated with those hazards.

S

Safety: A condition in which the risk of harm or damage is limited to an acceptable level.

Safety Assurance: SMS process management functions that systematically provide confidence that organizational products/services meet or exceed safety requirements.

Safety Management System (SMS): The formal, top-down business-like approach to managing safety risk. It includes systematic procedures, practices, and policies for the management of safety (as described in this Standard it includes safety risk management, safety policy, safety assurance, and safety promotion).

NOTE 1: The extent of the SMS documentation can differ from one organization to another due to the size of the organization and type of flight activities.

NOTE 2: The documentation can be in any form or type of medium.

Safety Promotion: A combination of safety culture, training, and data sharing activities that support the implementation and operation of an SMS in an organization.

Safety Risk Management (SRM): A formal process within the SMS composed of describing the system, identifying the hazards, assessing the risk, analyzing the risk, and controlling the risk. The SRM process is embedded in the processes used to provide the product/service; it is not a separate/distinct process.

Satellite Base: The permanent location, other than an Operator's main base, of an aircraft over which an Operator exercises operational control.

Service Provider: Any entity that offers or sells a product/service to satisfy a want or need in the air transportation system. Examples of product/service providers include: aircraft and aircraft parts manufacturers; aircraft operators; maintainers of aircraft, avionics, and air traffic control equipment; educators in the air transportation system; etc.

Severity: The consequence or impact of a hazard in terms of degree of loss or harm.

Standard: A specified program, system, policy, process, procedure, plan, set of measures, facility, component, type of equipment, or any other aspect of operations under the audit scope of

the Air Charter Safety Foundation, that is considered an operational necessity, and with which an Operator will be expected to be in conformity at the conclusion of the audit.

Standards Guidance: Information in the ACSF Operator Standards Manual that establishes operational provisions and/or practices that ensure conformity with ACSF recommended practices, and serves to clarify the meaning and intent of standards and recommended practices.

Standards Manual: The published document that contains the Air Charter Safety Foundation recommended practices, and other supporting information.

State: A Contracting State (Nation) of the Convention on International Civil Aviation.

Supplier: An internal or external organization or person, whose business is to supply services, goods or information for payment. This entity may or may not enter into a contractual arrangement. (Also see “Contractor.”)

System: An integrated set of constituent elements that are combined in an operational or support environment to accomplish a defined objective. These elements include people, hardware, software, firmware, information, procedures, facilities, services, and other support facets.

System Attributes: The characteristics of a well-defined system. There are six system attributes:

- **Responsibility:** The person or persons accountable for managing a process (planning, organizing, directing, controlling) and its ultimate accomplishment.
- **Authority:** The person or persons who can direct, control, or change a process, and who can make key decisions, such as risk acceptance. This attribute includes the process of empowerment.
- **Procedures:** Specified ways to carry out an activity or process. Procedures translate the “what” in goals and objectives into “how” in practical activities.
- **Controls:** Elements of the system that include hardware, software, special procedures or procedural steps, and supervisory practices designed to keep processes on track.
- **Process Measures:** Means of providing feedback to responsible parties that required actions are taking place, required outputs are being produced, and expected outcomes are being achieved.
- **Interfaces:** Includes items such as, lines of authority between departments, lines of communication between employees, consistency of procedures, and clear delineation of responsibility between organizations, work units and employees.

I

Top Management: (Ref: ISO 9000-2000 definition 3.2.7.) The person or group of people that directs or controls an organization.

W

Wet Footprint: A term used when an aircraft exceeds the equal time point to land on anything but intended destination (Island) or water. Can be used with the prefixes “all engines operating,” “depressurization” and “single engine out” to represent wet footprints of varying reasons.

SECTION 1: CORPORATE ORGANIZATION AND MANAGEMENT

1.0 Management System

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.
- 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.
- 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.
- 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 description.
- 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.
- 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.
- 1.1.7 The Operator shall appoint an individual whose responsibility is to manage, monitor, and coordinate the implementation and continuing oversight of 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 will be clearly presented in all applicable operations manuals and in other controlled documents, as appropriate.

SECTION 1: CORPORATE ORGANIZATION & MANAGEMENT

- 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.

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 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.
- 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.
- 1.2.3** The Operator shall continually seek ways to improve and refine the organization's safety/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.

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.
- 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.
- 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. These person(s) shall meet the applicable requirements of the position to which they are temporarily appointed.

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- 1.3.4 Responsible individuals shall be accountable for quality and safety 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 have a method to gather objective evidence in order to assess the individual's success/failure.

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.

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.
- 1.5.2 Corrective and preventive action shall ensure that the causes and effects of actual and potential non-conformances are mitigated, remedied and/or eliminated. This assessment shall be documented.
- 1.5.3 The management system shall have a procedure that specifies 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.

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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 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.

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.

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.

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.

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.

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 must remain qualified. The training shall include but is not limited to management skills and qualifications updates. All training shall be documented in the individual's training record.

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

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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.

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.

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, current and understandable by those who use them.

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

2.2 Control of Documents

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

2.2.2 The Operator shall have processes and procedures 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
- 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.

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.

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2.3 Control of Records

- 2.3.1 Records shall be established and maintained to provide evidence of conformity to requirements.
- 2.3.2 Records shall be legible, readily identifiable and retrievable.
- 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.
- 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.
- 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.
- 2.3.6 The Operator shall have a system for backing up all electronic records and files.
- 2.3.7 The Operator shall have a system for protecting all paper records and files against loss and/or destruction.

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.
- 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.

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- 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.
- 3.1.4 The Operator should have a safety management plan that meets the safety objectives described in its safety policy.
- 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.
- 3.1.6 The Operator should document and communicate the roles, responsibilities, and authorities with regard to safety throughout its organization.
- 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.
- 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.

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

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- 3.2.4 The Operator should identify, describe, and document the characteristics of 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**.
- 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**.
- 3.2.6 The Operator should assess each **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.
- 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.

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.
- 3.3.2 The Operator should collect, analyze and manage the data necessary to demonstrate the effectiveness of organizational 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).
- 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.
- 3.3.5 The Operator should include the results of audits by oversight organizations **(regulatory authority) and other organizations** in its analysis of data.
- 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**.
- 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**.

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

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

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.

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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.

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

- 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.

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

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.

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.

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.

SECTION 1: CORPORATE ORGANIZATION & MANAGEMENT

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.

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.

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.

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

1.2 Organization Structure and Responsibilities / General Management

- 1.2.1 The Operator shall display in its Operations Manual (OM) an Operator organizational chart.
- 1.2.2 The Operator shall list in its OM all management personnel required by the NAA.
- 1.2.3 The Operator shall list in its OM the duties and responsibilities of the management personnel required by the NAA.
- 1.2.4 The Operator shall list in its OM or otherwise document the duties and responsibilities of additional managers and supervisors.

1.3 Human Resource Policies

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

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.

2.2 Flight / Cabin Crew Responsibilities

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

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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).
- 2.3.2 The Operator shall have procedures to prevent Flight and Duty Time non-conformity.
- 2.3.3 The Operator shall document training and other non-flight duty time in the Flight and Duty records.
- 2.3.4 The Operator shall have documented procedures to ensure that flight crews receive the required rest periods per calendar quarter.
- 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.**
- 2.3.6 The Operator shall have procedures to ensure that only trained, qualified and authorized crewmembers are assigned to each flight.
- 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.
- 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.
- 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.
- 2.3.10 The Operator shall document procedures to ensure that adequate and NAA-approved rest facilities are provided as required by the NAA onboard the aircraft when any augmented crewmember is utilized.
- 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.
- 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

SECTION 2: FLIGHT OPERATIONS

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.

2.5 Ground Handling

- 2.5.1 The Operator shall have ground-handling procedures to prevent personal injury and/or aircraft or property damage.
- 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.**
- 2.5.3 The Operator shall have procedures to ensure proper fueling procedures and fuel grades are followed.
- 2.5.4 The Operator shall have procedures for flight crew to ensure the operation of line vehicles, and other vehicles operating, or parking near aircraft, to prevent personal injury and/or aircraft, or property damage.

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

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 operations from before engine start through engine shutdown and security of the aircraft.
- 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.
- 2.7.3 The Operator shall have a policy regarding PIC assignment and which seat the SIC may occupy and these seat assignments shall be established by a company manager.

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.

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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.
- 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.
- 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 training for each aircraft at least annually. (See Guidance if simulator is not available.)

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.
- 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.

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.
- 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.

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.
- 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 / authorized by the regulatory authority/operator. The currency of the device shall be documented and available for inspection.

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3.5 Ground Training Syllabus

- 3.5.1 The Operator's ground-training manual and program shall be approved by the NAA.
- 3.5.2 The Operator shall document in its Internal Evaluation Program its procedures for oversight of a training provider's ground training program.
- 3.5.3 The Operator shall have procedures to ensure flight crewmembers are trained in RNP requirements and aircraft equipment.
- 3.5.4 The Operator shall include in its NAA-approved ground training program, instruction in Crew Resource Management.

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.
- 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.
 - 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.
- 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.
- 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.
- 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 items shall include

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the calculation of takeoff and landing distances, weight limitations on takeoff and landing, and calculating gradients for obstacle departure procedures.

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.

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.

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.

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.

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.

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

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

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

5.1.5 The Operator shall have international procedures training for crewmembers.

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.**

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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.
- 5.2.2 The Operator shall document its processes and procedures to comply with applicable State(s) immigration requirements.
- 5.2.3 The Operator shall document its processes and procedures to comply with applicable State(s) security requirements.
- 5.2.4 The Operator shall document its processes and procedures to comply with applicable State(s) agriculture requirements.
- 5.2.5 The Operator shall document its processes and procedures regarding the international transportation of minors.

5.3 Overwater Operations

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

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.
- 1.1.2 The Operator shall list in the appropriate NAA authorizations, manual or manual system those individuals having operational control authority.
- 1.1.3 The Operator shall have processes 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.
- 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.
- 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.
- 1.1.6 The Operator shall have processes and procedures to ensure oversight of every satellite base from which it operates.

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 for flight crews for filing of an NAA flight plan.

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.

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 processes and procedures, on

SECTION 3: OPERATIONAL CONTROL

behalf of the Operator. The training shall consist of both initial and recurrent training.

5.0 Hiring – Qualifications – Licensing – Certification

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

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.

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

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.
- 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, the Operator 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 inspections functions for the Operator. This agreement, at a minimum, shall:
 - A. Specify all maintenance and inspection requirement and define all tasks to be performed.
 - B. Comply with the procedures governing maintenance arrangements as specified in the Operator's Maintenance Manual.

SECTION 4: AIRCRAFT MAINTENANCE

- 1.2.3** The organization shall include oversight audits as a means of ensuring the safety, quality, and compliance with OEM, the Operator 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).

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 as needed to ensure personnel remain in compliance with the Airworthiness and Return to Service Authority granted by the NAA.
- 1.3.2** The Operator shall have a process to define, document, and ensure all persons of a supervisory or management position are properly certificated in accordance with 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.

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 which it arranges to perform these inspections shall provide a similar list.
- 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.

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.

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

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.
- 2.2.2** The Operator shall have a documented process to ensure the current documents are onboard each aircraft prior to flight operation:
- A. Aircraft registration
 - B. Radio station license (if applicable)
 - C. Certificate of Airworthiness
 - D. Operating handbook
 - E. Weight and balance information

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.
- 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 NAA, and the control of records and control of documents procedures.

SECTION 4: AIRCRAFT MAINTENANCE

- 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.

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.

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.
- 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.
- 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.
- 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.
- 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.
- 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.
- 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.
- 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.

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

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.)
- 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 in 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.
- 3.2.3 The Operator shall ensure the availability and currency of Material Safety Data Sheets (MSDS) to all personnel and shall provide the related safety equipment for handling those materials.

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.
- 3.3.2 The operator shall have processes and procedures to ensure compliance with all applicable environmental, health and safety standards, such as EPA, OSHA, or other regulatory agencies. (See Guidance for additional information.)
- 3.3.3 The operator shall have a documented 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.

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 NAA, and shall be either accepted or approved by the 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

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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.

- 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.
- 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.

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.

SECTION 5: CABIN OPERATIONS

1.0 Organization and Management

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

2.0 Manuals and Documentation

- 2.0.1 The Operator shall have policies and procedures regarding the duties, responsibilities, limitations, and other requirements for cabin 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.
- 2.0.2 The Operator shall have policies and procedures regarding the use of flight attendants and cabin servers, to include duty time limitations and rest requirements, even when not required by regulation.

3.0 Training Programs

- 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.
- 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.
- 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.
- 3.0.5 *Reserved.*
- 3.0.6 *Reserved.*

SECTION 5: CABIN OPERATIONS

4.0 Flight Attendants

- 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.
- 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.

5.0 Cabin Servers

- 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 acknowledgement by the cabin server of such limitations.
- 5.0.2 When a cabin server is utilized, the Operator shall have documented 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.
- 5.0.3 When a cabin server is utilized, the Operator shall have documented policies and procedures to ensure the cabin server is listed as a passenger on all flight documents.

6.0 Medical Personnel

- 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.
- 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.

7.0 Security Personnel

- 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.
- 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.

SECTION 5: CABIN OPERATIONS

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.

8.0 Other Safety Representatives

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

9.0 Use of Jump Seats

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.

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.

SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

1.0 Organization and Management

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

2.0 Manuals and Documentation

- 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.
- 2.0.2** The Operator shall have policies and procedures regarding transportation (if applicable), recognition and handling of dangerous goods.
- 2.0.3** The Operator shall have policies and procedures that describe interface, authorities and responsibilities for compliance with local airport operations and regulations.

3.0 Training Programs

- 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.
- 3.0.2** The Operator shall have an initial and annual 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:

SECTION 6: AIRCRAFT GROUND HANDLING & 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.

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.

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.

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 a means to implement quality assurance methods.

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.

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.

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

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**.

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.

SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

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 policies and procedures.

5.0 Programs

5.1 Parking of Aircraft

5.1.1 The Operator shall have policies and procedures regarding the parking of aircraft to include proper placement of safety cones and appropriate size wheel chocks for aircraft parked on the ramp or 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 the aircraft to be towed, the minimum number of wing-walkers specified by the company is used, and an effective system of communications between the vehicle driver and wing-walkers is in place.

5.3 Taxiing of Aircraft

5.3.1 The Operator shall have policies and procedures regarding non-flightcrew taxiing of aircraft, as applicable, including a training program for those individuals assigned responsibility for taxiing company aircraft.

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.

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.

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.

SECTION 6: AIRCRAFT GROUND HANDLING & SERVICING

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.
- 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.

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 7: 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.

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.

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

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, how long it shall be retained, and where manifests are maintained.

3.0 Manuals and Documentation

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

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

4.0 Training Programs

4.0.1 The Operator shall have a current initial and recurrent 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.

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

SECTION 7: CARGO OPERATIONS

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

SECTION 8: OPERATIONAL SECURITY

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 documentation 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.

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.

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.

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 process and procedures that its personnel will follow to assure compliance with any State 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.

3.0 Quality Assurance

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

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

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

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- B. Aircraft security
- C. Client/customer confidentiality
- D. Workplace violence

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

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.

5.0.2 All contract security service personnel used by the Operator must 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.

6.0 Access Control

6.0.1 The Operator shall specify in its NAA-required manual or other document, the processes and procedures used to ensure controlled access to its facilities (including data storage facilities), the aircraft under its control, and airport operations areas.

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.

7.0 Aircraft

7.0.1 The Operator shall have policies and procedures either in its NAA-required manual or other documentation, describing the procedures used for securing aircraft under its control.

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.

8.0.2 The Operator shall have documented policies and procedures for the handling and disposition of any prohibited item carried by a passenger, including the provisions for items that are discovered prior to initial departure or during subsequent legs. This can include disposal or alternate transportation of the items.

8.0.3 If the Operator accepts the carriage of firearms aboard its aircraft, the Operator shall have procedures to:

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- A. Ensure that all passenger firearms are unloaded and properly secured so as not to be used as a weapon 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 include:

- 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 and return of the firearm.

These procedures shall include provisions for reviewing the laws of the country especially when firearms are to be transported from one country to another.

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.

9.0.2 The Operator shall have policies and procedures to ensure only authorized passenger baggage is loaded on the aircraft.

10.0 Security Requirements

10.0.1 The Operator shall have a Security Program. This Security Program shall include all State regulatory elements.

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.

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.

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 to the extent possible without violating privacy regulations of the governing authority. If the laws of the State prohibit testing, the Manual system must so state.

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.

SECTION 8: OPERATIONAL SECURITY

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.

12.0.2 The Operator shall have processes 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.

13.0 Facility Security

13.0.1 The Operator shall have processes and procedures to maintain security of its facilities and property, including internal evaluation and documentation of weaknesses, corrections, and effectiveness of corrections.

14.0 Passenger Confidentiality

14.0.1 The Operator shall have policies and procedures regarding passenger and customer confidentiality.

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.

1.0.2 The Operator shall have policies and procedures regarding the appropriate interaction between crewmembers and passengers.

2.0 Passenger Loading / Unloading

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.

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, passenger service items, passenger briefing of onboard equipment and service items.

SECTION 10: DANGEROUS GOODS / HAZARDOUS MATERIALS — WILL CARRY OPERATOR

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 (DG) / Hazardous Materials (Hazmat) with passenger transportation.
- 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.

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.
- 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.
- 2.0.3** The Operator shall have a current initial and recurrent 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.
- 2.0.4** The Operator shall have an audit process for contract cargo handling and loading when utilized.

3.0 Hazardous Materials

- 3.0.1** The Operator shall hold the appropriate NAA authorization regarding its will-carry status.

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.
- 4.0.2** The Operator shall have policies and procedures regarding the retention of DG / Hazmat records for a minimum of 90 days.

SECTION 10: DANGEROUS GOODS / HAZARDOUS MATERIALS (WILL CARRY OPERATOR)

5.0 Training Programs

- 5.0.1** The Operator shall provide training specific to the cargo loading, and security, to include weight and balance training for the types of cargo, and the specific types of aircraft being utilized.
- 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.
- 5.0.3** The Operator shall provide training regarding safety and security to flight crew and cargo loadmasters.

APPENDIX A: OPERATOR STANDARDS GUIDANCE

SECTION 1: CORPORATE ORGANIZATION AND MANAGEMENT SYSTEM

SECTION 2: FLIGHT OPERATIONS

SECTION 3: OPERATIONAL CONTROL

SECTION 4: AIRCRAFT MAINTENANCE

SECTION 5: CABIN OPERATIONS

SECTION 6: AIRCRAFT GROUND HANDLING AND SERVICING

SECTION 7: CARGO OPERATIONS

SECTION 8: OPERATIONAL SECURITY

SECTION 9: PASSENGER HANDLING AND SAFETY

**SECTION 10: DANGEROUS GOODS / HAZARDOUS MATERIALS – WILL CARRY
OPERATOR**

APPENDIX B: REGULATORY CROSS-REFERENCE TABLE