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| **Organization:** |  | **Location:** |  |
| **Responsible person Name: (Quality & Safety)** |  | **Signature** |  | **Date:** |  |
| **Assessed By:** |  | **Signature** |  | **Date:** |  |

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| **S/No.** | **Operator Risk Parameter** | **RISK LEVEL / PROFILE** | **RESULT** |
| **Level 3 (Least Desirable)** | **Level 2 (Average)** | **Level 1 (Most Desirable)** | **(Level #)** |
|  | Accountable Manager – ownership of safety/quality functions. | Safety/quality functions non- existent in Accountable Manager TOR. | Accountable Manager TOR has negligible or indistinct mention of safety/quality functions | Final accountability for safety and quality matters clearly addressed in Accountable Manager TOR. |  |
|  | Average Age of Fleet | >12 years | 8 to < 12 years | < 8 years |  |
|  | Hazard Identification & Risk Assessment (HIRA) Program | No HIRA in program in place | Have HIRA program in place. Compilation or review of 1 to 3 risk assessment projects within the last 12 months | HIRA program in place for major operational areas. Completion or review of > 3 risk assessment projects for all operational areas within the last 12 months |  |
|  | Compliance with flight and duty time regulations | >5 discrepancies / findings in past 12 months | < 5 discrepancies / findings in past 12 months | NIL discrepancies / findings in past 12 months |  |
|  | Ratio of internal Safety + Quality Control staff to all Operational staff (includes active part-time persons) | 1: > 50 | 1:25 to 50 | 1: < 25 |  |
|  | Mixed Fleet Flying [% of pilots involved in MMF higher % less desirable] | More than 5% of pilotsManagement pilots carry out mixed fleet flying | Less than 5% of pilots | No mixed fleet flying |  |
| **S/No** | **Operator Risk Parameter** | **RISK LEVEL / PROFILE** | **RESULT** |
| **Level 3 (Least Desirable)** | **Level 2 (Average)** | **Level 1 (Most Desirable)** | **(Level #)** |
| 7. | ETOPS Routes (% of ETOPS sectors operated) higher % less desirable] | More than 25% of flights | Less than 25% of flights | No ETOPS flights |  |
| 8. | ETOPS Duration [higher duration less desirable] | >180 minutes | >120 minutes | >60 minutes |  |
| 9. | Company years of operation | >5 years | 5 to < 10 years | < 10 years |  |
| 10. | Combined turnover of Accountable Executive, Safety Manager and Quality Manager over last 36 months | 3 or more | 2 | 1 or Nil |  |
| 11. | Experience & qualification of Accountable Executive as of assessment date) | Has <3 years aviation experience | Has 3 to 10 years aviation experience | Has >10 years aviation experience |  |
| 12. | Experience & qualification of Safety Officer/Manager (SM) | Has <5 years civil aviation safety management experience OR no aviation technical qualification OR no Safety Officer/Manager | Has civil aviation technical qualifications AND >5 years civil aviation safety management experience | Has civil aviation technical qualifications AND > 15 years civil aviation safety management experience |  |
| 13. | Experience & qualification of Quality Manager | Has <5 years civil aviation Quality management experience OR no civil aviation technical qualifications | Has civil aviation technical qualifications AND >5 years civil aviation quality management experience | Has civil aviation technical qualifications AND > 15 years civil aviation quality management experience |  |

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| **S/No.** | **Operator Risk Parameter** | **RISK LEVEL / PROFILE** | **RESULT** |
| **Level 3 (Least Desirable)** | **Level 2 (Average)** | **Level 1 (Most Desirable)** | **(Level #)** |
| 14 | Multiple portfolio Safety/Quality management staff (QM/SM) | SM or QM holds other simultaneous executive position(s) within or without the Operator. | SM or QM TOR includes other non-direct safety/quality functions eg IT, Administration, Training, etc | SM or QM does not hold any other simultaneous executive position(s) within or without the Operators and their TOR do not include other non-directquality safety functions. |  |
| 15. | Multiplicity of aircraft types | > 4 aircraft types | 3 to 4 aircraft types | > 3 aircraft types |  |
| 16. | Average fleet MEL application rate (per 100 FH) | > 3 MEL applications per 100 FH | 1 to 3 MEL applications per100 FH | < 1 MEL applications per 100 FH |  |
| 17. | Internal Technical Concessions applications | > 3 concession per aircraft per year< | > 1 concession per aircraft per year | > 1 concession per aircraft per year |  |
| 18. | NCAA Technical Concession applications | > 1 concession per aircraft per year | > 0.5 concession per aircraft per year | > 0.5 concession per aircraft per year |  |
| 19. | Safety Accountability Structure | Safety management function/ office/ manager is accountable or subservient to some operational functions | Safety management function/ office/ manager is accountable to senior management and is independent of all operational functions. | Safety management function/ office/ manager has direct accountability and reporting to CEO. |  |

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| **S/No.** | **Operator Risk Parameter** | **RISK LEVEL / PROFILE** | **RESULT** |
| **Level 3 (Least Desirable)** | **Level 2 (Average)** | **Level 1 (Most Desirable)** | **(Level #)** |
| 20 | Quality Accountability Structure | Quality management function/ office/ manager is accountable or subservient to non quality/ safety related functions. | Quality management function/ office/ manager is accountable to senior management and is independent of all operational functions | Quality management function/ office/ manager has direct accountability and reporting to CEO |  |
| 21 | CAA AOC main base audit findings rate (Level 1 & 2 findings only, observations excluded) for last 24 months | Any Level 1 finding OR > 5 findings per audit per aircraft | > 1 finding per audit per aircraft | 1 finding per audit per aircraft |  |
| 22. | CAA line station inspection findings rate (Level 1 & 2 findings only, observations excluded) for last 24 months | Any Level 1 finding OR > 3 findings per audit per Line Station | > 0.5 finding per audit per Line Station | 0.5 finding per audit per Line Station |  |
| 23. | Component (Rotables/ LRUs) Soft/ CM/ Hard life policy beyond mandatory or MPD requirements | No component life control policy (hard/ soft) beyond mandatory or MPD requirements | Active component hard life control policy and procedures. At least 5-10% of all (MPD/AMS listed) flight & engine control rotables (beyond mandatory and MPD requirements) have been soft or hard lifed. | Active component hard life control policy and procedures.>10% of all (MPD/AMS listed) flight & engine control rotables (beyond mandatory and MPD requirements) have been soft or hard lifed. |  |

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| **S/No.** | **Operator Risk Parameter** | **RISK LEVEL / PROFILE** | **RESULT** |
| **Level 3 (Least Desirable)** | **Level 2 (Average)** | **Level 1 (Most Desirable)** | **(Level #)** |
| 24 | Scope of incident Investigation | Internal incident investigation process applied to mandatory incidents only. | Internal incident investigation process for all reported incidents. | Internal incident investigation process for all reported incidents |  |
| 25 | Availability of Special Inspection program based on non mandatory OEM service publications | Special Inspection program for AD related Service Bulletins only. | Special Inspection program for ADs as well as Alert Service Bulletins only | Special Inspection program for ADs, Alert SBs as well as routine OEM service publications. |  |
| 26 | Control of Fleet Technical Management | Fully contracted out to external organization. (FTM + ITM) | Partially contracted out to external Operator | Internal management by AOC Operator |  |
| 27 | Use of Contracted Technical staff | >15% contracted staff (from another Organization) for internal engineering/ technical functions | 5 to 15% contracted staff (from another organization) for internal engineering/ technical functions | < 5 % contracted staff (from another organization) for internal engineering/ technical functions |  |
| 28 | Pilot, technician or AME pre-flight Inspection certification | Practice Pilot pre-flight Inspection certification in lieu of qualified engineering Technician/ AME | Practice Technician (limited rating) pre-flight Inspection certification in lieu of AME | Practice only AME (full type rated) pre-flight Inspection certification only. |  |
| 29 | Incident reporting. Investigation & remedial actions procedure. | No documented incident reporting, Investigations or remedial actions procedure | Documented incident reporting. Investigation & remedial actions procedure. | Documented & implemented incident reporting, investigation & remedial actions procedure andaccepted by NCAA |  |

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| **S/No.** | **Operator Risk Parameter** | **RISK LEVEL / PROFILE** | **RESULT** |
| **Level 3 (Least Desirable)** | **Level 2 (Average)** | **Level 1 (Most Desirable)** | **(Level #)** |
| 30 | Technical Records, Technical Stores and Fleet Planning Management | Fully contracted out Technical Records, Technical Stores and Fleet Planning management to external organization. | Contracts out Technical Records, Technical Stores or Fleet Planning management to external Operator | Internal (in-house) Technical Records, Technical Stores or Fleet Planning management |  |

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| **RISK LEVEL / PROFILE** | **SUB-TOTAL** | **ORP Categorization** | **ORP Category** |
| **LEVEL 3** |  | **Total Score** |
| **LEVEL 2** |  | **30-41** | **A (Desirable)** |
| **LEVEL 1** |  | **42-53** | **B** |
| **NA** |  | **54-65** | **C** |
| **Total No of Applicable Questions** |  | **66-77** | **D** |
| **78-90** | **E (Least Desirable)** |
| **ASSESSMENT RESULT** |
| **Total Points** | **OPERATOR RISK PROFILE CATEGORY** |
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| **Inspector Name: (OPS)** |  | **Signature** |  | **Date:** |  |
| **Inspector Name: (AIR)** |  | **Signature** |  | **Date:** |  |

1. This form has been adapted from guidance in ICAO Doc 9859 to provide the CAA with a tool for assessing the safety risk profile for existing AOC holders.
2. Points to be allocated for each parameter assessed – namely 1, 2 or 3 for Level 1, 2 and 3 respectively.
3. This assessment may be completed by assigned Inspector on scheduled basis (such as during Operator audit) or ad hoc. He may need to liaise with the service provider to obtain some of the data required.
4. Total points achieved and its correspondence ORP Category (Cat A to E) to be annotated. Results may be provided to the Operator assessed.
5. Results of this ORP assessment should be correlated with other regulatory inspection/audit programme findings to identify organizations with greater concern or need. Notification of assessment results to each organization alone may suffice as a mechanism to encourage organizational behavior (safety culture) towards the desirable category where applicable.
6. Use the remarks column at the end for overall remarks or observations. For detailed findings inspectors may also use the Audit Inspection Report Form Base- Insp 004. Attach to this checklist