ISAGO Standards Manual

Effective March 2016

5th Edition

NOTICE

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ISAGO Standards Manual

Change/Revision History

The fifth Edition of the ISAGO Standards Manual has been developed by IATA, with support and guidance from the industry, including ISAGO Pool members, Oversight Council (GOC) members, IGOM/Ground Operations Task Force and Ground Service Providers.

Step	Name	Date
Changes prepared by:	Andrea Rizzo Manager, Audit Training	November 2015
ISAGO Program Office (IPO) Reviewed:	Monika Mejstrikova, Head, Ground Operations Audits	November 2015
Approved by:	Catalin Cotrut Director, Audit Program based on ISAGO Standards Board (GOSB) recommendations	November 2015

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Record of Revisions

Edition Number	Revision Number	Issue Date	Effective Date
First Edition	Revision 0	May 2008	May 2008
Second Edition	Revision 0	January 2010	May 2010
Third Edition	N/A	October 2013	January 2014
Third Edition	Temporary Revision (TR) 1	May 2014	May 2014
Fourth Edition	N/A	April 2015	July 2015
Fifth Edition	N/A	November 2015	March 2016

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ISAGO Standards Manual (GOSM)
Fifth Edition Description of Changes

Revisions Highlights

The following tables describe changes contained in the Fifth Edition of the ISAGO Standards Manual (GOSM Edition 5). All changes are described as changes to the GOSM in relation to the Edition 4.

The first table highlights the significant changes in this GOSM revision. Subsequent tables provide a listing that identifies and briefly describes each individual change.

GOSM Change Highlights	
Area Changed	**Description of Change**
General	All provisions are updated to the 2016 edition of the IATA Ground Operations manual (IGOM) and Airport Handling manual (AHM). Auditor Actions were incorporated in manual for better transparency. IGOM references were added and updated to all GOSARPs as applicable. Alignment of the content between GOSM Ed 5 and IGOM Ed 5 reached 100%. LOD, PAB, HDL, AGM and CGM Sections have detailed revision tables incorporated within each individual Section.
Introduction	Section 6–Safety Management System was amended to better reflect the SMS requirements for Providers and ISAGO approach to SMS. New Section 8 was added to introduce Auditor Actions and the rest of the Sections in Introduction were re-numbered.
Section 1–ORM-H/HS/S	In line with a five year (2013–2018) strategic implementation of Safety Management Systems (SMS), a restructuring of the requirements in the ORM-H and ORM-HS Sections was undertaken. In both H and HS, there is a new Standard for the development of a SMS implementation. Sub-section 4 (Emergency Response) is relocated within Sub-section 3. Two new Sub-section was introduced for Safety Assurance and Safety Promotion in order to mirror the ICAO SMS Approach: Safety policy and objectives, safety risk management, safety assurance and safety promotion. The ORM-S SMS provisions are aligned with those in ORM-H and ORM-HS. A new Recommended Practice (2.2.3) introduces the need for a Provider to develop operational procedure to ensure conformance with various customer requirements. A new Recommended Practice (7.2.1) introduces requirements for GSE to reduce the probability of aircraft damage. Table 1.2 is amended to address the changes to the SMS and customer airline provisions, and to broaden the scope of Human Factor training.

Changes to GOSM Section 1 (ORM)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
ORM-H/HS 1.1.2	Upgraded to standard	Editorial
ORM-HS/S 1.2.1	No change	Editorial to be consistent with ORM-H 1.2.1
ORM-S 1.7	Eliminated, risk management is now part of the SMS GOSARPs	Eliminated, risk management is now part of the SMS GOSARPs
ORM-H/HS/S 2.2.2	No Change	GM Revised for technical clarity
ORM-H/HS/S 2.2.3	New Recommended Practice	New GM
ORM-H/HS/S 2.2.4	Re-numbered from ORM-H/HS/S 2.2.3	No Change
ORM-H/HS/S 2.2.5	Re-numbered from ORM-H/HS/S 2.2.4	No Change
ORM-H/HS 3.1.1	Added a note about upgrade to Standard.	No Change
ORM-H 3.1.2	Relocated from ORM-H/HS 3.1.4, added a note about upgrade to Standard.	No Change
ORM-HS 3.1.2	Relocated from ORM-H/HS 3.1.4, added a note about upgrade to Standard, combined two elements - person responsible for SMS on corporate and station level	Expanded GM
ORM-H/HS 3.1.3	Relocated from ORM-H/HS 3.1.5, added a note about upgrade to Standard, and aligned wording with IOSA. Previous ORM-H/HS 3.1.3 relocated to ORM-H/HS 3.1.4	No Change
ORM-H/HS 3.1.4	Relocated from ORM-H/HS 3.1.2, revised and upgraded to Standard. Previous ORM-H/HS 3.1.4 relocated to ORM-H/HS 3.1.2	Expanded GM
ORM-H/HS 3.1.5	Relocated from ORM-H/HS 3.1.3, upgraded to Standard. Previous ORM-H/HS 3.1.5 relocated to ORM-H/HS 3.1.3	No Change
ORM-H/HS 3.1.6	Relocated from ORM-H/HS 4.1.1 and 4.1.2, combined and added a note about upgrade to Standard. Previous ORM-H/HS 3.1.6 relocated to ORM-H/HS 3.5.1	GM revised
ORM-H/HS 3.1.7	Relocated from ORM-H/HS 3.1.8, added a note about upgrade to Standard. Previous ORM-H/HS 3.1.7 relocated to ORM-H/HS 3.3.4	No change
ORM-H/HS 3.1.8	New SMS Standard.	New GM
ORM-H/HS 3.1.9-10	Relocated to ORM-H/HS 3.3.3 and Sub-section 5	No Change
ORM-S 3.1	New Subsection SMS - Safety Policy and Objectives	n/a

Changes to GOSM Section 1 (ORM)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
ORM-S 3.1.1 - 3.1.8	New SMS Recommended Practices and Standards	New GM
ORM-H/HS 3.2.1	Relocated from ORM-H/HS 3.2.3, added a note about upgrade to Standard. Previous ORM-H/HS 3.2.1 relocated to ORM-H/HS 3.2.3	Eliminated and reference made to revised guidance contained in AHM 610
ORM-H/HS 3.2.2	Wording revised to align with ICAO Annex 19, added “non punitive” requirement and a note about upgrade to Standard.	GM Revised for technical clarity
ORM-H/HS 3.2.3	Relocated from ORM-H/HS 3.2.1, added a note about upgrade to a Standard.	No Change
ORM-H/HS 3.2.4	Combined ORM-H/HS 3.2.4 and 3.2.5, eliminated word “aircraft”, added a note about upgrade to a Standard.	GM Combined
ORM-H/HS 3.2.5	Relocated from ORM-H/HS 3.2.5, combined ORM-H/HS 3.2.4 and 3.2.5, eliminated word “aircraft”, added a note about upgrade to a Standard.	GM Combined
ORM-H/HS 3.2.7	Relocated to ORM-H/HS 3.3.5	Relocated to ORM-H/HS 3.3.5
ORM-H/HS 3.2.8	Relocated to ORM-H/HS 3.5.2	Relocated to ORM-H/HS 3.5.2
ORM-H/HS 3.2.9	Relocated to ORM-H/HS 3.3.2	Relocated to ORM-H/HS 3.3.2
ORM-H/HS/S 3.2.10	Text modified for technical clarity and applicability	No change
ORM-H/HS/ORM-S 3.3	New sub-section SMS - Safety Assurance	n/a
ORM-H/HS/S 3.3.1	New Recommended Practice related to Safety Assurance program. (ORM-S 3.3.1 from Ed. 4 was eliminated)	New GM
ORM-H/ORM-HS 3.3.2	Relocated from ORM-H/HS 3.2.9, added a note about upgrade to Standard.	Extended GM
ORM-S 3.3.2	New SMS Recommended Practice, added a note about upgrade to Standard (ORM-S 3.3.2 from Ed. 4 was relocated to ORM-S 3.2.10)	New GM
ORM-H/HS/S 3.3.3	New SMS Recommended Practice, added a note about upgrade to Standard	New GM
ORM-H/HS/S 3.3.4	New SMS Recommended Practice, added a note about upgrade to Standard	New GM
ORM-H/HS 3.3.5	Relocated from ORM-H/HS 3.2.7, added a note about upgraded Standard	No change
ORM-S 3.3.5	New SMS Recommended Practice, added a note about upgrade to Standard	New GM

Changes to GOSM Section 1 (ORM)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
ORM-HS 3.4	Heading modified to include Quality Assurance and Control	n/a
ORM-H/HS 3.4.1	Eliminated (iv) and (v) and relocated to Safety Assurance Program	GM revised
ORM-HS 3.4.1	Expanded applicability to both ORM-HS 3.4.1 and 3.4.2	n/a
ORM-HS 3.4.2	New Standard related to Quality Control Program applicable to all stations. Aligned with ORM-S 3.4.1	New GM. Aligned with ORM-S 3.4.1
ORM-HS 3.4.3	Expanded applicability to both ORM-HS 3.4.1 and 3.4.2	n/a
ORM-S 3.4.3	Eliminated (iv) and (v) and relocated to separate standards ORM-S 3.4.4 - 5	No change
ORM-HS 3.4.4	Expanded applicability to both ORM-HS 3.4.1 and 3.4.2	No change
ORM-HS 3.4.5	Expanded applicability to both ORM-HS 3.4.1 and 3.4.2	No change
ORM-S 3.4.4	New standard derived from ORM-S 3.4.3	New GM derived from ORM-S 3.4.3
ORM-S 3.4.5	New standard derived from ORM-S 3.4.3	New GM derived from ORM-S 3.4.3
ORM-H/HS/HS 3.5	New Sub-section SMS - Safety Promotion	n/a
ORM-H/HS/HS 3.5.1	New SMS Recommended Practice, added a note about upgrade to Standard	New GM
ORM-H/HS/HS 3.5.2	New SMS Recommended Practice, added a note about upgrade to Standard	New GM
ORM-H/HS 4.1.1	Eliminated. Relocated to ORM-H/ HS 3.1.6	Eliminated
ORM-H/HS 4.1.2	Eliminated. Relocated to and combined with ORM-H/HS 3.1.6	Eliminated
ORM-H/HS/ S 5.1.1-5.5.1	Modfied reference to Table 1.2, changed name of the Table 1.2	No change
ORM-H/HS/S 5.7	Heading change to include Safety Training	n/a
ORM-H/HS/S 5.7.2	New SMS Recommended Practice referring to SMS training. Relocated from ORM-H/HS 3.1.10	New GM
ORM-H/HS/S 5.8.1	Item (iii) modified for technical accuracy	Reference to DGR revised.
ORM-H/HS/S 5.8.2	Eliminated	Eliminated
ORM-H/HS/S 7.2.1	New Recommended Practices	New GM and reference made to revised guidance contained in AHM 900
Table 1.2	Amended to add two more functions and to identify [SMS] related subjects	
Table 1.4	Amended to add Airline Specific Procedures training requirements	

Changes to GOSM Section 1 (ORM)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
Table 1.5	Amended to add Airline Specific Procedures training requirements	
Table 1.6	Amended to add Airline Specific Procedures training requirements	
Table 1.6	Amended to add Airline Specific Procedures training requirements	
Table 1.8	Amended to add Airline Specific Procedures training requirements	
Table 1.9	Amended to add Airline Specific Procedures training requirements	
Table 1.10	Amended to add Airline Specific Procedures training requirements	
Table 1.11	Amended to add Airline Specific Procedures training requirements	
Table 1.12	Amended to add Airline Specific Procedures training requirements	
Table 1.13	Amended to add Airline Specific Procedures training requirements	
Table 1.14	Amended to add Airline Specific Procedures training requirements	
Table 1.16	New SMS Table	

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Foreword

The IATA Safety Audit of Ground Operations (ISAGO) program is an internationally recognized and accepted system for assessing the operational management and control systems of an organization that provides ground handling services for airlines (the “Provider”). ISAGO is based on industry-proven quality audit principles and structured to ensure a standardized audit with consistent results.

The technical content of the ISAGO Standards and Recommended Practices (GOSARPs) contained in this manual is under continual review and maintenance by task forces, each comprising a membership of operational, safety, security and quality experts from airlines, regulatory authorities and various other industry entities associated with operational audit. Special care is taken to ensure a regionally diverse membership of each task force.

Over the long term, IATA will continually review and update the content of this manual to ensure material is up-to-date and meets the needs of the industry.

Your comments are welcome…

Only the readers and users of this GOSM can tell us if it meets their needs and expectations. Your comments on any aspect of this manual–content, format, style or other–are solicited and may be addressed to:

isago@iata.org

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Applicability

The ISAGO Standards and Recommended Practices contained in this ISAGO Standards Manual (GOSM) are used as the basis for an assessment (the “Audit”) of a provider conducted under the ISAGO Program.

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Introduction

1. Purpose

The ISAGO Standards Manual (GOSM) is published in order to provide the operational standards, recommended practices and associated guidance material necessary for the Audit of a ground service provider (hereinafter the “Provider”).

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

The GOSM is the sole source of assessment criteria utilized by ISAGO auditors when conducting an Audit.

2. Structure

The GOSM consists of six sections as follows:

Section 1—Organization and Management (OMR-H, ORM-HS, ORM-S);

Section 2—Load Control (LOD);

Section 3—Passenger and Baggage Handling (PAB);

Section 4—(Intentionally Open);

Section 5—Aircraft Handling and Loading (HDL);

Section 6—Aircraft Ground Movement (AGM);

Section 7—Cargo and Mail Handling (CGM).

Each section has an associated 3-letter identifier (in parentheses above). The reference code for every standard or recommended practice within a section will include the specific identifier for that section (e.g., LOD 1.1.1).

3. ISAGO Standards and Recommended Practices (GOSARPs)

The Standards and Recommended Practices contained in this manual have been developed solely as the basis for the Audit under the ISAGO program. GOSARPs are *not* regulations.

The GOSARPs contained in this manual are the basis for the assessment of a provider conducted under the ISAGO Program (i.e. the Audit).

Applicability Guidance

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

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

Systemic Applicability

When making a determination as to the applicability of individual GOSARPs in the ORM-H section, it is important to take into account operations (relevant to the individual standard or recommended practice) that are conducted, not only at the home station, but at all stations and other locations throughout the provider's entire system.

Standards

ISAGO **Standards** are specified systems, policies, programs, processes, procedures, plans, sets of measures, facilities, components, types of equipment or any other aspects of ground operations under the scope of ISAGO that are considered an operational necessity, and with which a provider will be expected to be in conformity at the conclusion of the Audit.

Standards always contain the word “shall” (e.g., “The Provider shall have a process…”) in order to denote a requirement.

During an Audit, determination of nonconformity with specifications contained in an ISAGO Standard results in a Finding, which in turn results in the generation of a Corrective Action Report (CAR) by the Audit Team that conducted the Audit.

To close a Finding, a provider will be required to implement corrective action that will be verified by the Audit Team.

Recommended Practices

ISAGO **Recommended Practices** are specified systems, policies, programs, processes, procedures, plans, sets of measures, facilities, components, types of equipment or any other aspects of ground operations under the audit scope of ISAGO that are considered operationally desirable, but conformity is optional by a provider.

Recommended Practices always contain the italicized word “*should*” (e.g., “The Provider *should* have a policy…”) to denote optional conformity.

During an Audit, a determination of nonconformity with specifications contained in an ISAGO Recommended Practice results in an Observation, which in turn results in the generation of a CAR by the Audit Team.

A Provider is not obliged to respond to an observation with corrective action. However, if a provider chooses to close an Observation, it will require the implementation of corrective action exactly as is required to close a Finding.

Conditional Provision

Certain ISAGO Standards and Recommended Practices are only applicable to a provider when that provider meets specific and clearly stated operational condition(s). The specific condition(s) is (are) always stated at the very beginning of the provision following the phrase, “If the Provider…”

When assessing a provider against a conditional provision, the Auditor will first determine if the provider meets the stated operational condition(s). If the provider meets the condition(s), that provision is applicable to the provider and must be assessed for conformity. If the provider does not meet the condition, the provision is not applicable to that provider and the provision will be recorded on the ISAGO Checklist as N/A or as “Out of Scope” if the entire section is not assessed due to “limited” scope of operation of the audited provider.

Symbols

A **(GM)** in bold text immediately following a provision indicates the existence of associated guidance material for that provision.

An **[SMS]** symbol in bold text following a provision indicates the provision specifies one or more of the elements of a safety management system (SMS).

4. Guidance Material (GM)

Guidance material is informational in nature and supplements or clarifies the meaning or intent of specifications contained in either an ISAGO Standard or Recommended Practice. GOSARPs that are self-explanatory do not have guidance material.

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

Guidance material is found immediately below the Standard or Recommended Practice, and is preceded by the bold sub-heading “**Guidance**.”

Guidance material refers to the following manuals/publications:

- IATA Ground Operations Manual (IGOM)
- Airport Handling Manual (AHM)
- Dangerous Goods Regulations (DGR)
- Airport Council International Airside Safety Handbook (ACI)

5. Operational Audit

During an Audit, a provider is assessed against the ISAGO Standards and Recommended Practices contained in this manual. To determine conformity with any standard or recommended practice, the ISAGO Auditor will assess the degree to which specifications are *documented* and *implemented* by the provider. In making such an assessment, the following guidance is applicable.

Documented

Documented shall mean any specification(s) in GOSARPs is (are) published and accurately represented in a controlled document. A controlled document is subject to processes that provide for positive control of content, revision, publication, distribution, availability and retention.

Implemented

Implemented shall mean any specification(s) in GOSARPs is (are) established, activated, integrated, incorporated, deployed, installed, maintained and/or made available, as part of the operational system, and is (are) monitored and evaluated, as necessary, for continued effectiveness.

The requirement for specifications to be documented and implemented by a provider is inherent in GOSARPs unless stated otherwise.

Outsourced Functions

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

6. Safety Management Systems (SMS)

A Safety Management System (SMS) is a framework of policies, processes, procedures and techniques for an organization to monitor and continuously improve its safety performance by making informed decisions on the management of operational safety risks. Annex 19 to the Convention on International Civil Aviation (ICAO Annex 19, Safety Management) details the global regulations for SMS that are applicable to specified air operators, air traffic service providers and certified airport, and developed and implemented in accordance with the ICAO State Safety Program (SSP). The ICAO safety management principle methods of operation are similar for all types of operator and service provider and are based on a single prescribed framework of processes and procedures contained in 4 discrete components that are further sub-divided into a total of 12 elements.

No reference is currently made in the ICAO SSP and SMS regulations to ground service providers but ground handling personnel, as involved in an operational environment, are mentioned in the context of reporting safety events or issues and therefore play an important role in safety management at an airport. Furthermore, the SMS applicable to aircraft operations encompasses ground operations where aircraft safety is concerned.

In the meantime, ISAGO Standards and Recommended Practices (GOSARPs) for SMS are included in Section 1 (Organization and Management System (ORM)) of the Ground Operations Standards Manual (GOSM) and in ISAGO SMS Strategy which is complimentary document that outlines the strategy to upgrade the Recommended Practices to Standards over time and in accordance with the ISAGO Strategy and Audit Concept (2013-2018). This strategy proposes a timetable for all the ISAGO SMS provisions in Edition 5 of the GOSM to be elevated from Recommended Practices to Standards by 2019. The planned time schedule upgrade of each SMS Recommended Practice to Standard is described in the note below the GOSARP.

The SMS strategy aims to enable:

- Providers to establish implementation plans and to budget for resources accordingly;
- IATA to incorporate a succession of GOSARP amendments; and
- IATA to plan amendments to the ISAGO Program.

The strategy is also intended to raise the level of safety investment and commitment of Providers to equal that required of their customer airlines (such as IOSA ORG 1.1.10) and host airports.

SMS standards and recommended practices are identified by a bold **[SMS]** symbol immediately following the last sentence of the provision.

7. ISAGO Documentation System

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

- IATA Reference Manual for Audit Programs (IRM);
- ISAGO Program Manual (GOPM);
- ISAGO Audit Handbook (GOAH);
- Q5AIMS Auditor manual;
- Q5AIMS Auditee manual.

The manuals listed above comprise the ISAGO documentation system.

8. Auditor Actions

The Auditor Actions for all ISAGO disciplines have been incorporated into ISAGO Standards manual for better transparency and awareness of all stakeholders. They are also part of the ISAGO word checklists.

Auditor Actions are action steps that have been specifically created and compiled for each individual ISAGO Standard and Recommended Practice (GOSARP) by Task Forces, and incorporated in the ISAGO Program for the following reasons:

- To address industry concerns that implementation of the GOSARPs was not being adequately assessed.
- To provide a record of the actions taken by auditors to assess implementation.
- To provide a basis for standardizing the assessment of implementation across the ISAGO program.
- To provide transparency and traceability to the audit process.

More importantly, accomplishing the action steps will ensure the collection of sufficient evidence to support a conclusion of either conformity or non-conformity with an ISAGO Standard or a Recommended Practice.

9. English Language

English is the official language of the ISAGO Program; documents comprising the ISAGO Documentation System are written in International English[1] in accordance with IATA policy.

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

10. Manual Revisions

Revisions to the GOSM are developed and issued in accordance with the ISAGO Standards Change Management process, which is published in the ISAGO Program Manual (GOPM).

The ISAGO Standards Board consists of the Director, Audit Programs, the Head Ground Operations Audits, the GOC Chairperson, IGOM/Ground Operations TF chairperson and Manager, Ground Operations Standards (according to GOPM).

The issue date and effective date are indicated in the record of revisions section of the GOSM.

The GOSM shall normally be revised annually in alignment with new edition of IGOM and AHM. In accordance with IATA policy, a revision to the GOSM (other than a temporary revision) will always result in a new edition of the GOSM.

The time period between the issuance of a new edition of the GOSM and the effective date of such new edition is typically three full months unless GOC recommends otherwise.

Should critical issues arise that affect the content of the GOSM, a temporary revision (TR) will be issued. A TR is effective immediately upon issuance.

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

Usable Edition

The Provider, in conjunction with the pool member (PM) and/or the audit organization (AO), normally determines the edition of the GOSM that will be used for an Audit. The Provider has the option to select either:

- the edition that is effective on the day before the on-site phase of the Audit is scheduled to begin, or
- an edition that has been published prior to the day the on-site phase of the Audit is scheduled to begin, but has not yet become effective.

11. Conflicting Information

Manuals within the ISAGO documentation system are not revised concurrently, thus creating the possibility of conflicting information in different manuals.

In the case of conflicting information in different ISAGO manuals, the information contained in the manual with the most recent revision date can be assumed to be valid.

12. Definitions

Refer to the IATA Reference Manual for Audit Programs (IRM) for the definitions of technical terms and the meaning of abbreviations and acronyms.

Definitions associated with terms specific to the ISAGO Program are located in the GOPM.

13. ISAGO Documents and Forms

ISAGO documents and forms are referenced in this manual and are available on the ISAGO website at the following internet address: http://www.iata.org/isago.

14. Authority

The ISAGO Program operates under the authority of the IATA Operations Committee (OPC) with reference to the Board of Governors of IATA.

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Section 1 – Organization and Management (ORM-H)

Applicability

Section 1 addresses the organization and management of a ground services provider (hereinafter the "Provider"), and provides specifications for the systems, policies, programs, procedures and manuals necessary to ensure control of ground operations throughout the organization (including all stations).

This section (ORM-H) is utilized when only a headquarters is audited.

Sub-section 7 Ground Support Equipment (GSE) Management shall be assessed when provider utilize GSE at any station.

Sub-section 8 Unit Load Device (ULD) Management shall be assessed when the provider handles ULDs at any station.

The Auditor will determine individual provisions not applicable to a specific Provider.

General Guidance

Definitions of technical terms used in this section, as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

1. Management and Control

1.1 Organization and Accountability

ORM-H 1.1.1 The Provider shall have a management system that ensures:

(i) Policies, systems, programs, processes, procedures and/or plans of the Provider are administered and/or implemented throughout the organization;

(ii) Ground operations are supervised and controlled;

(iii) Operations are conducted in accordance with applicable regulations and requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed management system structure.

Crosschecked association and conformity of the management system throughout the organization.

Evaluated status of conformity of management system throughout the organization with other management system GOSARPs.

Identified/Assessed assignment and deployment of supervision responsibilities.

Evaluated status of conformity of operations with applicable regulations and customer requirements.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Provider.

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

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

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

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

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

The management system ensures compliance with internal standards and the applicable regulations of all states where operations are conducted.

ORM-H 1.1.2 The Provider shall identify one senior management official as the Accountable Executive who is accountable for performance of the management system as specified in ORM-H 1.1.1 and:

(i) Irrespective of other functions, has ultimate responsibility and accountability on behalf of the Provider for the implementation and maintenance of the Safety Management System (SMS) throughout the organization;

(ii) Has the authority to ensure the allocation of resources necessary to manage safety risks to ground operations;

(iii) Has overall responsibility and is accountable for ensuring operations are conducted in accordance with applicable regulations and standards of the Provider. **[SMS] (GM)**

Auditor Actions

Confirmed job description of designated individual includes assigned accountability and responsibilities and reporting lines (especially between 'safety systems manager') in accordance with the standard.

Identified/Interviewed individual designated.

Evaluated examples of individual's actions taken that demonstrate the appropriate accountability and responsibility.

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Accountability, Accountable Executive (AE), Authority, Aircraft Operations, Responsibility, Safety Risk Management and Senior Management.

Guidance related to accountability for SMS may be found in AHM 610. Similar requirement is in IOSA ORG 1.1.3 applicable to the Operator.

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

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

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

In an SMS, the AE would typically have:

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

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

To ensure that the provider continues to meet applicable requirements, the AE might designate a manager with the responsibility for monitoring compliance. The role of such a manager would be to ensure that the activities of the provider are monitored for compliance with the applicable regulatory requirements, as well as any additional requirements as established by the provider, and that these activities are being carried out properly under the supervision of the relevant head of functional area.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 1.1.3 The Provider shall ensure the management system:

(i) Defines lines of accountability for operational safety and security throughout the organization, including direct accountability on the part of senior management;

(ii) Assigns responsibilities for ensuring ground operations are provided with the necessary resources and conducted in accordance with standards of the Provider, applicable regulations and requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified nominated officials responsible for the provision and conduct of operations.

Examined management system structure and organizational lines of accountability.

Examined job descriptions of all nominated officials throughout the organization (focus: accountabilities/ responsibilities are as specified in the standard).

Interviewed accountable executive and/or designated management representative(s).

Other Actions (Specify).

Guidance

There is no universal model for the designation of management accountability. Some organizations, perhaps based on regional or other business considerations, may have a management system whereby overall accountability for operational safety and security is shared among multiple corporate management officials.

Ideally, a provider would designate only one corporate management official to be accountable for system-wide operational safety and security. However, assignment of overall operational accountability to one corporate official is a recommended model, not a requirement.

When a provider designates more than one senior corporate official to share operational accountability, defined processes are in place to ensure operations are standardized and conducted within a functioning system, and not among separate stand-alone organizations (i.e. “silo effect”). In these cases an emphasis should be placed on clearly defining the delineation of authority and the communication mechanisms in place to ensure there is no confusion, contradiction or overlap of direction or decision-making by the many designated senior corporate officials.

With the designation of accountability, there is also a clear identification of authority and financial control within the management system for making policy decisions, providing adequate resources, resolving safety and security issues and ensuring necessary system components are in place and functioning properly.

Acceptable means of documenting accountability include, but are not limited to, organization charts (organograms), job descriptions, corporate by-laws and any other descriptive written material that defines and clearly indicates the lines of operational accountability from the corporate level(s) of management to the station level.

1.2 Management Commitment

ORM-H 1.2.1 The Provider shall have a policy that commits the organization to:

(i) A culture with safety and security as fundamental operational priorities;

(ii) Continuous improvement of the management system, as well as the levels of operational safety and security. **(GM)**

Auditor Actions

Identified/Assessed corporate safety and security policies (focus: organizational commitment to provision of necessary resources).

Identified/Assessed corporate continual improvement policy.

Examined examples of corporate communication.

Verified communication of policies in all operational areas.

Other Actions (Specify).

Guidance

The policy of a provider reflects the commitment of senior management to a strong culture of operational safety and security, and to ensure measuring and evaluating on a continuing basis, and making changes that improve the management system and the culture. Such policy (or policies) is (are) expressed in the organizational documents, and carried out through operational manuals and other controlled documents that are accessible to and used by personnel at all stations. To enhance effectiveness in creating the desired culture, the policy is communicated and made visible throughout the organization, to include stations, by disseminating communiqués, posters, banners and other forms of information in a form and language which can be easily understood. To ensure continuing relevance, the corporate risk management policy is normally reviewed for possible update at a minimum of every two years.

Ideas for (continuous) improvement may come from internal and/or external sources; therefore, the organization would be constantly monitoring all sources and willing to make changes as necessary to keep the management system of the organization refreshed and strongly focused on improving the levels of operational safety and security.

1.3 (Intentionally Open)

1.4 Communication

ORM-H 1.4.1 The Provider shall have a communication system that:

(i) Enables and ensures an exchange of information that is relevant to the conduct of ground operations;

(ii) Ensures changes that affect operational responsibilities or performance are communicated as soon as feasible to applicable management and front line personnel. **(GM)**

Auditor Actions

Identified/Assessed corporate communication system (focus: organizational capability for communicating information relevant to operations to all personnel).

Verified implementation of communication system in all operational areas.

Observed examples of information communication.

Interviewed selected management system and front line personnel.

Other Actions (Specify).

Guidance

An effective communication system ensures an exchange of relevant operational information among senior managers, operational managers and front line personnel. To be totally effective, the communication system would also include customer airlines, as well as external organizations that work alongside the provider or conduct outsourced operational functions for the provider.

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

Specific means of communication between management and operational ground handling personnel may include:

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

Where applicable, an effective system would ensure any non-verbal communication of operationally critical information or data requires an acknowledgement of receipt (e.g., changes to regulatory requirements, procedural changes from customer airlines).

1.5 Management Review

ORM-H 1.5.1 The Provider shall have a process to review the management system at intervals not exceeding one year to ensure its continuing suitability, adequacy and effectiveness in the management and control of ground operations. A review shall include assessing opportunities for improvement and the need for changes to the system, including, but not limited to, organizational structure, reporting lines, authorities, responsibilities, policies, processes, procedures and the allocation of resources. **(GM)**

Auditor Actions

Identified/Assessed corporate management review process (focus: process identifies organizational opportunities for changes/improvement to management system).

Interviewed accountable executive and/or designated management representative(s).

Examined records of management reviews and review meetings.

Examined selected examples of output from management review process (focus: changes implemented to improve organizational performance).

Other Actions (Specify).

Guidance

Management review is a necessary element of a well-managed company and provides a process through which organizational control and continuous improvement can be delivered. To be effective, a formal management review takes place on a regular basis, but typically not less than a minimum of once per year.

An appropriate method to satisfy this requirement is a periodic formal meeting of senior executives. The agenda of the meeting includes a general assessment of the management system to ensure all defined elements are functioning effectively. The review also includes an assessment of operational performance to ensure the management system is producing the desired operational safety, security and quality outcomes.

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

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

- Risk management issues;
- Safety and security issues;
- Quality assurance issues;
- Provision of resources;
- Operational feedback;
- Incident and near-miss reports;
- Changes in regulatory policy or civil aviation legislation;
- Changes in company and/or customer airline policies or requirements;
- Process performance and organizational conformity;

- Status of corrective and preventative actions;
- Follow-up actions from previous management reviews;
- Feedback and recommendations for management system improvement;
- Regulatory violations.

To ensure the scope of a management review is systemic, the process would normally include input from stations.

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

- Improvement of the effectiveness of processes throughout the management system;
- Improvement of the management of risks;
- Ensuring the provision of resources necessary to satisfy operational safety, security and quality requirements.

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

1.6 Provision of Resources

ORM-H 1.6.1 (Intentionally open)

ORM-H 1.6.2 The Provider shall have a policy that ensures:

(i) Positions within the organization that affect operational safety and security are filled by personnel that possess the knowledge, skills, training, and experience appropriate for the position; and

(ii) Personnel who perform operationally critical functions are required to maintain competence on the basis of continuing education and training. **(GM)**

Auditor Actions

Identified/Assessed standards/processes for hiring/selection of management/non-management personnel (focus: safety/security positions relevant to aircraft operations are filled by personnel with qualifications appropriate for position).

Identified/Assessed standards/processes for maintaining competency of personnel in functions relevant to safety/security of aircraft operations (focus: standards specify continuing education/training, meeting technical requirements).

Interviewed accountable executive or designated management representative(s).

Interviewed selected personnel that perform safety/security functions relevant to aircraft operations.

Verified adequacy of physical resources/services and implementation of personnel selection standards/processes in all operational areas.

Other Actions (Specify).

Guidance

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

For example, the position of station manager would typically have special prerequisite criteria an individual would have to meet in order to be considered for assignment to that position. Similarly, special prerequisite criteria are typically required for other positions throughout the management system that affect safety and security (e.g. safety manager, quality assurance manager, security manager).

Positions that require the implementation of security functions typically require completion of a background and criminal history check.

A corporate personnel selection policy that applies to all operational areas of the company serves to satisfy this requirement.

Positions or functions within the organization of a provider considered “operationally critical” are those that have the potential to affect operational safety or security. In general, most front line operational functions in load control, passenger handling, baggage handling, aircraft handling and loading, aircraft movement, and cargo handling would typically be considered operationally critical, as well as functions that involve the training of operational personnel. Positions not directly associated with operations (e.g., administrative or clerical positions) may not be deemed as operationally critical.

ORM-H 1.6.3–1.6.4 (Intentionally open)

ORM-H 1.6.5 The Provider shall have a policy that addresses the use of psychoactive substances by operational personnel, and ensures:

(i) The exercise of duties while under the influence of psychoactive substances is prohibited;

(ii) Consequences for such behavior are defined. **(GM)**

Auditor Actions

Identified/Assessed use of psychoactive substances policy.

Interviewed accountable executive or designated management representative(s).

Verified policy is implemented in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Psychoactive Substances.

2. Documentation and Records

2.1 Documentation System

ORM-H 2.1.1 The Provider shall have a system for the management and control of the internal and external documentation and/or data used directly in the conduct or support of operations. Such system shall comprise the elements specified in Table 1.1 and shall include documentation provided to external entities, if applicable. **(GM)**

Auditor Actions

Identified/Assessed system(s) for management/control of operational documentation/data (focus: system addresses applicable documentation types/elements as specified in Table 1.1).

Interviewed persons involved in the documentation management/control process.

Examined selected examples of documentation/data used in operations.

Verified implementation of documentation management/control system in all operational areas.

Other Actions (Specify).

Guidance

External suppliers and companies that are outsourced to deliver ground operations services and products to the audited Provider are considered under the term “external entities”.

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

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

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

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

Document control might include:

- Retention of a master copy;
- Examination and approval prior to issue;
- Review and update, to include an approval process;
- Version control (electronic documents);
- Identification of revision status;
- Identification and retention of revisions as history;
- Identification and retention of background or source references as history;
- Distribution to ensure appropriate availability at points of use;
- Checking of documents to verify they remain legible and readily identifiable;
- As required, identification, update, distribution and retention of documents of external origin;
- As applicable, identification and retention of obsolete documents;
- As applicable, disposal of documents.

Additionally, control of operational manuals might include:

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

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

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

ORM-H 2.1.2 If the Provider utilizes an electronic system for the management and control of any documentation and/or data used directly in the conduct of operations, and/or for the management and control of records, the Provider shall ensure the system provides for a scheduled generation of backup files for such documentation and/or data. **(GM)**

Auditor Actions

Identified/Assessed process for schedule back-up of electronic documentation, data and or electronic operational records (focus: system defines schedule for periodic file backup).

Interviewed responsible management representative(s).

Verified satisfactory functionality of back-up system(s), including recovery of data.

Verified applicable back-up process is implemented in all operational areas.

Other Actions (Specify).

Guidance

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

The retention period for electronic documents and records is typically in accordance with requirements defined by applicable regulations and/or legislation and the provider.

To ensure retrieval of archived documents and records, applicable hardware and/or software is normally retained after it has been replaced.

2.2 Operational Manuals

ORM-H 2.2.1 The Provider shall have a Policies and Procedures Manual (PPM) that contains the operational policies, procedures, instructions and other guidance or information necessary for ground handling personnel to perform their duties and be in compliance with applicable regulations, laws, rules, requirements and standards, and such a manual shall be accessible to all operational personnel in a usable format at all stations. **(GM)**

Auditor Actions

Identified/Assessed PPM for content in conformity with this standard (focus: document management and control).

Interviewed responsible management representative(s) and station operational personnel.

Verified PPM accessible in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Policy and Procedure Manual.

Policies and Procedures Manual (PPM) is a generic name; an equivalent manual with a different name is an acceptable alternative (e.g. Ground Operations Manual, Ramp Handling Manual, Passenger Handling Manual, as applicable to the operations).

The PPM contains generic guidance that addresses all functions within the scope of ground operations, and also contains information that is function-specific. Because the scope of ground operations is broad, rather than publishing one large manual, a Provider may choose to issue the Manual in separate parts that are specific to the various ground handling functions conducted by the provider (e.g., Passenger Handling Manual, Baggage Handling Manual, Cargo Handling Manual). Each individual part would contain generic guidance that is applicable to all ground handling functions (e.g., organizational policies, general definitions), as well as guidance that is specific to the particular function (e.g., process descriptions, standard operating procedures). To ensure standardization, a control process would be in place to ensure use of either the PPM and/or the Operations Manual (OM) of the customer airline(s) such that all applicable operational safety, security and quality requirements are fulfilled.

ORM-H 2.2.2 The Provider *should* utilize as a minimum processes and procedures as outlined in the IATA Ground Operations Manual (IGOM) as applicable to the Provider's scope of operations at the station. **(GM)**

Auditor Actions

Identified/Assessed implementation of IGOM processes and procedures.

Interviewed responsible management representative(s).

Verified, where utilized, implementation of IGOM processes and procedures in all operational areas.

Other Actions (Specify).

Guidance

As a best practice, a provider would typically conduct a gap analysis of its GOM processes and procedures to identify the level of compliance with those in the IGOM.

Processes/procedures in the IGOM have been developed based on industry-accepted practices that generally provide an acceptable level of safety risk in the conduct of ground handling operations.

It is recommended that providers utilize all “shall” processes and procedures contained in the IGOM as a minimum standard in their GOM.

ORM-H 2.2.3 The Provider *should* have a process to ensure conformance with the specific operational requirements of each customer airline(s). **(GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed process defining the Operator documentation Gap Analysis and development of Provider's specific procedures.

Identified/Assessed process to implement updated Operator-specific procedures to all operational personnel as applicable.

Interviewed responsible manager(s) as identified by related process.

Examined a sample of gap analyses related to maintaining Provider procedures for Operator-specific operations within the scope of ISAGO.

Other Actions (Specify).

Guidance

It is a Provider's obligation to conduct its ground operations in accordance with the operational requirements of the customer airline. The Provider should therefore define how the Operator-specific procedures can be identified and incorporated in the ground operations procedures. The Provider should normally conduct a gap analysis of the Operator's documentation (usually referred to as GOM) against its own processes and procedures.

The Provider should then adopt Operator-specific procedures for any deviation identified. Details of any amendment and implementation of a new procedure should be communicated to all operational personnel and, where necessary, training conducted.

This process could be completed either entirely at headquarter level or at or in collaboration with each station.

This process can be significantly simplified when both, the Operator and Provider accept IGOM requirements.

ORM-H 2.2.4 The Provider shall have processes to ensure the required operational documentation is accessible in a usable format in all station locations where operations are conducted. Such required documentation shall include:

(i) The current version of applicable operational manual(s) of all customer airline(s);

(ii) The current IATA Dangerous Goods Regulations (DGR) and Addenda, if applicable, or equivalent documentation;

(iii) The current emergency response plan (ERP) of local airport authority and of the customer airline(s), as applicable;

(iv) The current Live Animal Regulations (LAR), Perishable Cargo Regulations (PCR) and ULD Regulations (ULDR), as applicable. **(GM)**

Auditor Actions

Identified/Assessed processes for provision of operational documentation.

Verified operational documentation as required by this standard in all operational areas.

Other Actions (Specify).

Guidance

A provider may be required to maintain only part of the manual for certain customer airlines.

Based on customer airline requirements and the types of ground operations conducted at a specific location, only relevant parts of applicable manuals may be necessary.

Availability of only the provider's manual may be sufficient when such manual is accepted by the customer airline(s) or when a customer airline does not provide a manual.

A current edition of the DGR would include any Addenda that are applicable.

Equivalent documentation would contain information derived from the DGR that is relevant only to the specific ground handling functions conducted at any particular location. Also, the ICAO Technical Instructions for the Transport of Dangerous Goods would be considered equivalent documentation.

The Live Animal Regulations (LAR), Perishable Cargo Regulations (PCR) and ULD Regulations (ULDR) are manuals that are required only at stations where cargo operations are conducted.

Applicability of dangerous goods requirements to ground operational functions is defined in DGR Section 1, Table 1.5.A.

Guidance with respect to ERP requirements may be found in AHM 620.

ORM-H 2.2.5 If the Provider outsources ground operations and/or associated functions to an external ground service provider, the Provider shall have a process to ensure each applicable external provider is supplied with operational manuals relevant to the type(s) of outsourced ground operations conducted, including all applicable manuals from customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed process to ensure each applicable external provider is supplied with operational manuals.

Verified in a selected number, forwarding of proprietary and customer airlines(s) operational manuals to external ground service provider(s).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Outsourcing.

2.3 Records System

ORM-H 2.3.1 The Provider shall have a system for the management and control of operational records to ensure the content and retention of such records is in accordance with applicable regulations and requirements of the customer airline(s), and to ensure operational records are subjected to standardized processes for:

(i) Identification;

(ii) Legibility;

(iii) Maintenance;

(iv) Retrieval;

(v) Protection and security;

(vi) Disposal, deletion (electronic records) and archiving. **(GM)**

Auditor Actions

Identified/Assessed system for management/control of operational records (focus: system includes standardized processes as specified in standard).

Interviewed responsible management representative(s).

Examined selected examples of operational records.

Verified implementation of records management/control processes in all operational areas.

Other Actions (Specify).

Guidance

Such process would typically address all records associated with ground operations at each station, including personnel training records and any other records that document the fulfillment of operational requirements (e.g. GSE maintenance, weigh bridge calibration).

3. Safety and Quality Management System

3.1 SMS–Safety Policy and Objectives

ORM-H 3.1.1 The Provider *should* have an SMS that is implemented and integrated throughout the organization to ensure management of the safety risks associated with ground operations. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard. Conformity with ORM-H 3.1.1 is possible only when the Provider is in conformity with all standards and recommended practices that are identified by the **[SMS]** symbol.*

Auditor Actions

Identified/Assessed SMS structure (focus: implementation of safety risk management processes).

Interviewed accountable executive and/or designated management representative(s).

Assessed status of conformity with all ORM SMS GOSARPs.

Verified SMS implemented and integrated in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Safety Management System (SMS) and State Safety Program (SSP).

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.1.10 applicable to the Operator.

ISAGO specifications for a Provider's SMS are derived from the SMS Framework, which is published in Annex 19 to the Convention on International Civil Aviation (ICAO Annex 19). The SMS Framework specifies the four major components and 12 elements that make up the basic structure of an SMS.

Where applicable, a SMS is designed and implemented in accordance with the State Safety Program (SSP). The manner in which the elements of SMS are implemented typically reflects the size and complexity of the provider's organization.

In general, an SMS is designed and implemented to:

- Identify safety hazards in operations;
- Ensure remedial action is implemented to control safety risks;
- Provide for ongoing monitoring and assessment of safety performance;
- Make continual improvement to the level of safety in operations.

Expanded guidance may be found in the ICAO Safety Management Manual (ICAO SMM), Document 9859.

ORM-H 3.1.2 The Provider *should* appoint a manager who is responsible for the implementation, maintenance and the day-to-day administration and operation of the SMS at the corporate level and throughout the organization. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified appointed safety manager for implementation, maintenance and day-to-day administration of the SMS (representation in the organization chart and reporting lines, especially between “safety manager” and chief executive and other personnel within the organization).

Examined job description of SMS manager (focus: assigned SMS responsibilities).

Interviewed SMS manager and/or designated representative.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.1.12 applicable to the Operator.

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

The individual assigned responsibility for organizational implementation of an SMS is ideally a management official that reports to the AE. Also, depending on the size, structure and scope of a provider's organization, such individual may be assigned functions in addition to those associated with the SMS manager position. The SMS responsibilities of the appointed manager are to be documented and reporting lines are to be clearly defined, especially between the appointed manager and the AE. The reporting lines are generally defined on an organization chart and may be defined within the Job Description.

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.1.3 The Provider *should* define the safety responsibilities of management and non-management personnel throughout the organization and specify the levels of management with the authority to make decisions that affect the safety of ground operations. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed defined safety accountabilities/authorities/responsibilities for management/non-management personnel (focus: definitions apply to personnel throughout the organization

Interviewed accountable executive and/or designated management representative(s).

Verified defined accountabilities/authorities/responsibilities in all operational areas (SMS organization chart and identification of key personnel involved in SMS).

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.3.1 applicable to the Operator.

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

In the context of an SMS, accountability means being responsible for taking corrective actions, either to address hazards and/or errors identified through reporting or from other sources, or in response to events, such as accidents and incidents.

An effective management system has lines of authority and responsibility that flow from corporate senior management into all operational areas of the organization.

Delegation of authority and assignment of responsibility is described and communicated such that it is understood throughout the organization. As a minimum, organization charts or organograms, are acceptable means for documenting the structure of a management system.

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.1.4 The Provider shall have a corporate safety policy that:

(i) Reflects the organizational commitment regarding safety;

(ii) Includes a statement about the provision of the necessary resources for the implementation of the safety policy;

(iii) Includes safety reporting procedures as specified in ORM-H 3.2.2;

(iv) Indicates which types of behaviors are unacceptable and includes the circumstances under which disciplinary action would not apply as specified in ORM-H 3.1.5;

(v) Is signed by the Accountable Executive of the organization;

(vi) Is communicated, with visible endorsement, throughout the organization;

(vii) Is periodically reviewed to ensure it remains relevant and appropriate to the Provider. **[SMS] (GM)**

Auditor Actions

Identified/Assessed corporate safety policy that is signed by the Accountable Executive of the organization and periodically reviewed (focus: organizational commitment to safety/commitment to continual improvement/provision of necessary resources).

Interviewed accountable executive, SMS manager and/or designated management representative.

Examined examples of corporate communication (focus: safety policy communicated throughout organization.

Verified communication of safety policy throughout the organization.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.2.1 applicable to the Operator.

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

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

- Compliance with applicable regulations and standards of the Provider;
- Ensuring the management of safety risks to operations;
- The promotion of safety awareness;
- Continual improvement of operational performance.

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

Such policy might be documented in the operations manual or other controlled document, and, to enhance effectiveness, is communicated and made visible throughout the organization through dissemination of communiqués, posters, banners and other forms of information in a form and language which can be easily understood. To ensure continuing relevance, the corporate policy is normally reviewed for possible update a minimum of every two years.

Consistent with the structure and complexity of the provider's organization, the corporate safety policy may be issued as a stand-alone policy or combined with others.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.1.5 The Provider shall have a corporate safety reporting policy that encourages personnel to report hazards to ground operations and, in addition, defines the Provider's policy regarding disciplinary action, to include:

(i) Types of operational behaviors that are unacceptable;

(ii) Conditions under which disciplinary action would not be taken by the Provider.
[SMS] (GM)

Auditor Actions

Identified/Assessed corporate safety reporting policy and procedures (focus: personnel urged to report operational hazards; definition of disciplinary policy/potential disciplinary actions; data protection).

Interviewed accountable executive and/or designated management representative(s).

Verified implementation of safety reporting in all operational areas.

Examined examples of safety reports.

Other Actions (Specify).

Guidance

Similar requirement is in IOSA ORG 1.2.3 applicable to the Operator.

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

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

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

Consistent with the structure and complexity of the provider's organization, the safety reporting policy may be issued as a stand-alone policy or combined with others.

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.1.6 The Provider *should* have a corporate emergency response plan (ERP) that includes provisions for:

(i) The central management and coordination of all the Provider's activities should it be involved in or it is necessary to respond or react to an aircraft accident or other type of adverse event that could result in fatalities, serious injuries, considerable damage and/or a significant disruption to operations;

(ii) The appropriate coordination or be compatible with the ERPs of other applicable organizations relevant to the event. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed corporate emergency response plan (ERP) (focus: plan suitable for organizational response to major accident/other adverse event).

Interviewed designated ERP manager.

Verified implementation of ERP in all operational areas.

Identified/Assessed ERP transition processes (focus: plan includes transition from normal-emergency/and emergency-normal operations; coordination with relevant external organizations).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Emergency Response Plan (ERP).

Guidance may be found in AHM 620. Similar requirement is in IOSA ORG 4.1.1 and 4.1.4 applicable to the Operator.

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

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

An ERP typically defines:

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

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

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.1.7 The Provider *should* have SMS documentation that includes a description of:

(i) The safety policy and objectives, SMS requirements, SMS processes and procedures, the accountabilities, authorities and responsibilities for processes and procedures, and the SMS outputs;

(ii) Its approach to the management of safety, which is contained in a manual as a means of communication throughout the organization. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed SMS documentation (focus: description of overall organizational management of safety).

Interviewed SMS manager and/or designated management representative(s).

Examined selected parts of SMS documentation (focus: content includes safety policy; describes/defines accountabilities/responsibilities for safety processes/procedures in all areas of operations).

Coordinated to verify SMS documentation in all operational areas.

Other Actions (Specify)

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 2.1.5, applicable to the Operator.

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

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

SMS documentation typically addresses:

- Scope of the SMS;
- Regulatory and legislative SMS requirements including Airport Regulations (if applicable);
- Safety policy and objectives;
- Safety accountabilities;
- Key safety personnel;
- Document and record control procedures;
- Coordination of emergency response planning;
- Hazard reporting system;
- Incident reporting and investigation procedures;

- Hazard identification and risk management schemes;
- Safety assurance including continuous improvement, auditing and management of change;
- Safety performance indicators and safety performance monitoring;
- Safety auditing (safety and quality auditing may be combined);
- Management of change;
- Safety promotion including training and communication;
- Outsourced services.

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

SMS documentation supports the management of operations and would be subject to management and control as specified in ORM-H 2.1.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.1.8 The Provider shall have an SMS implementation plan, formally endorsed by the organization that defines the Provider's approach to the management of safety in a manner that meets the organization's safety objectives. **[SMS] (GM)**

Auditor Actions

Identified/Assessed implementation plan (focus: includes all SMS provisions).

Interviewed responsible management representative(s).

Examined progress records (focus: adherence to plan).

Other Actions (Specify).

Guidance

Additional guidance may be found in AHM 610.

For a provider that is in the process of working toward full SMS implementation, documentation would typically include an SMS implementation plan that details the way the provider will structure its organization, resources and processes to effectively manage safety in operations. It contains a realistic strategy for implementation of SMS with a realistic timeline of activities. In addition, documentation would describe those SMS elements that have been implemented and, as feasible, elements that are in the process of being implemented.

A phased approach to the implementation of SMS was commonly practiced in other areas of aviation operations. It was seen as an effective and efficient way of managing the development and implementation of the various functions, processes and procedures involved. It allows Providers to establish budgets for resources and assign roles, work plans and responsibilities accordingly. An implementation plan, based on the existing

and future amendments of the SMS provisions, would show the organization's intentions and commitment to the management of safety.

The implementation plan must cover all SMS provisions that are not already in place–as determined probably by a gap analysis. And it must also cover all areas of the organization, including all stations.

The SMS implementation plan may be a stand-alone document or it can be a distinct SMS section or chapter within an existing organizational document that is approved by the Authority (if applicable). Where details of the organization's SMS processes are already addressed in existing documents, appropriate cross referencing to such documents is sufficient.

The SMS implementation plan is kept up to date by the provider. When significant amendments are made, acceptance by the Authority might be required.

The steps in the table below provide a guideline to implementing an SMS and could be part of the implementation plan.

Develop a 'Management Plan' Senior management should develop an SMS management/strategic plan which could include safety-related goals, objectives, and performance measures. This will assist in determining the priorities of the organization for the implementation of an SMS.
Develop an Implementation Plan An implementation plan does not have to be a large document; it can be developed by extracting the list of outstanding tasks from the gap analysis, ordering them in terms of the priority of implementation, and listing the resources and the individuals responsible for completing them. Timeframes for each of the tasks will assist in keeping the implementation actions on track.
Assign accountability and responsibility It is essential that the roles and responsibilities of staff in the implementation of an SMS are defined, clearly communicated and then tracked. Recommended individual responsibilities of executives, managers, and individual staff should be covered.
Develop policies, procedures and other documentation This step can be the most time consuming, but is essential in ensuring that there is a standardized, well-understood and well-communicated SMS. A policy statement from the executive staff outlining their commitment to safety is needed. Consider a procedures manual which outlines the processes, actions and work flows that are involved.

Establish the SMS 'toolkit' A 'toolkit' contains the actions, processes, and supporting tools that are the heart of an SMS. It can include any or all of the following: • internal safety reporting processes (including a database that an organization may use to capture reports); • internal safety investigation procedures; • an internal auditing system; • safety communication processes, such as a safety committee meeting, and how safety-related information is escalated, and disseminated to those in the company and the relevant external entities; and • training and education packages.
Implement an SMS training and education program Once the plans, policies, procedures and toolkit are in place the rationale for implementing an SMS should be communicated to all staff. This can be done through a structured training and education program which may include a presentation to all staff, a web-based package or a series of informative newsletters or emails. Consider the level of education required by those with safety responsibilities; e.g. the executives, the safety manager.
Monitor and review Once the components of a safety management system have been implemented, it is important to gain assurance that they are actually working. The performance measures originally outlined in the management plan can be used to track the success of the SMS. The way to track them could be through a safety committee meeting, or through an annual review of the SMS.

3.2 SMS–Safety Risk Management

ORM-H 3.2.1 The Provider *should* have a hazard identification program that is implemented and integrated throughout the organization to include:

(i) A combination of reactive and proactive methods for safety data collection;

(ii) Processes for safety data analyses that identify existing hazards and predict future hazards to operations. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed organizational safety hazard identification program (focus: program identifies hazards to operations; describes/defines method(s) of safety data collection/analysis).

Interviewed SMS manager and/or designated management representative(s).

Examined records/documents that illustrate organizational integration (focus: coordinated involvement of all operational areas in hazard identification process).

Examined selected examples of hazards identified through data collection/analysis.

Other Actions (Specify)

Guidance

Guidance may be found in AHM 621. Similar requirement is in IOSA ORG 3.1.1 applicable to the Operator.

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

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

To be effective, reactive and proactive processes are used to acquire information and data, which are then analyzed to identify existing or predict future (i.e. potential) hazards to operations. Examples of processes that typically yield information or data for hazard identification include:

- Confidential or other reporting by personnel;
- Investigation of accidents, incidents, irregularities and other non-normal events;
- Observation of personnel during operations and training;
- Quality assurance and/or safety auditing;
- Safety information gathering or exchange (external sources).

Processes would be designed to identify hazards that might be associated with organizational business changes, the introduction of significant outsourcing of operational functions etc.

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.2.2 The Provider *should* have a non-punitive operational safety reporting system that is implemented throughout the organization in a manner that:

(i) Encourages personnel to report any incident or hazard to ground operations, identify safety hazards, expose safety deficiencies or raise safety concerns;

(ii) Complies with applicable mandatory reporting regulations and requirements;

(iii) Includes analysis and management action as necessary to address safety issues identified through the reporting system;

(iv) Specifies the measures to protect safety data from being used for any purpose other than the improvement of safety and SMS. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed corporate safety reporting policy and procedures (focus: personnel urged to report operational hazards; definition of disciplinary policy/potential disciplinary actions; data protection).

Interviewed accountable executive and/or designated management representative(s).

Verified implementation of safety reporting in all operational areas.

Examined examples of safety reports.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 621 and AHM 650. Similar requirement is in IOSA ORG 3.1.3 applicable to the Operator.

Operational reporting is considered a proactive hazard identification activity in an SMS.

Frontline personnel, such as ground crew, gate and check in staff, warehouse staff and GSE operators, are exposed to hazards and face challenging situations as part of their everyday activities. An operational reporting system provides such personnel with a means to report these hazards or any other safety concerns so they may be brought to the attention of relevant managers.

Such systems are considered “non-punitive” because they afford a level of protection (excluding willful misconduct) to reporters. While the nature and extent of the Providers’ non-punitive policies may vary, the intent is to promote an effective reporting culture and proactive identification of potential safety deficiencies to support continuous improvement. Policies that distinguish willful acts of misconduct from inadvertent errors, providing for an appropriate punitive or non-punitive response, are essential to assure the effective reporting of systemic safety deficiencies. A culture that fails to distinguish unintentional errors/mistakes from acts of willful misconduct will inhibit the reporting process. If personnel avoid reporting for fear of punishment, management will not gain important safety information.

To build a positive reporting culture and confidence in the reporting process and encourage more reporting, an acknowledgement of receipt is typically provided to each person that submits a report. Additionally, providing feedback on the outcome of the action taken also builds a positive reporting culture and a sense of ownership and inclusion of the reporter.

An effective system provides for a review and analysis of each report to determine whether a real safety issue exists, and if so, ensure development and implementation of appropriate action by responsible management to correct the situation. Any risks identified and corrections/changes made as a result of the operational safety reporting, review and analysis must be disseminated throughout the organization to the relevant staff.

While the Provider may not be required by regulation to report directly to the Authority, the provider will need to know the mandatory reporting of the Authority within the scope of their activities. The Provider may not report these to the authorities but will be required to report these to the Operator/Customer who then must fulfil their regulatory obligation and report them to the Authority. The Provider needs to know and support the Operators/regulatory requirements.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.2.3 The Provider *should* have a safety risk assessment and mitigation program that includes processes implemented and integrated throughout the organization to ensure:

(i) Hazards are analyzed to determine corresponding safety risks to ground operations;

(ii) Safety risks are assessed to determine the requirement for risk mitigation action(s);

(iii) When required, risk mitigation actions are developed and implemented in operations. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed organizational safety risk assessment/mitigation program (focus: hazards analyzed to identify/define risk; risk assessed to determine appropriate action; action implemented/monitored to mitigate risk).

Identified/Assessed process for risk assessment/mitigation (focus: all operational disciplines participate in process).

Interviewed SMS manager and/or designated management representative(s).

Examined records/documents that illustrate organizational integration (focus: coordinated involvement of all operational disciplines in risk assessment/mitigation program).

Examined selected examples of risk assessment/risk mitigation action(s).

Coordinated to verify implementation of safety risk assessment/mitigation in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Risk.

Guidance may be found in AHM 610 and AHM 621. Similar requirement is in IOSA ORG 3.1.2 applicable to the Operator.

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

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

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

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

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

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.2.4 The Provider *should* have a process:

(i) To conduct and/or participate in an investigation of an incident/accident where its services were involved, to include reporting of events, in accordance with requirements of the costumer airline(s), the Airport Authority, and/or State, as applicable;

(ii) For identifying and investigating irregularities and other non-routine operational occurrences that might be precursors to an accident or incident. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed accident investigation procedures (focus: formal procedures developed for the triggers to commence an investigation, processes for gathering evidence and conducting the analysis, processes for developing recommendations, and for distributing the report - process includes compliance with applicable requirements).

Interviewed responsible manager(s).

Examined selected reports on accidents and incidents (focus: correct involvement; investigation identifies operational safety hazards, produces recommendations to prevent recurrence/mitigate risk).

Other Actions (Specify).

Guidance

Guidance may be found in AHM 652 and AHM 653. Similar requirement is in IOSA ORG 3.3.10 and 3.3.11 applicable to the Operator.

Incident/accident investigation is considered a reactive hazard identification activity in an SMS.

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

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

An effective investigation process typically includes:

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

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

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

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

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

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

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.2.5–3.2.9 (Intentionally open)

ORM-H 3.2.10 The Provider *should* have a process to ensure aircraft ground damages are reported, if not prohibited by the customer airline(s), to IATA for inclusion in the Ground Damage Database (GDDB). Such reports *should* be submitted in accordance with the formal IATA ground damage reporting structure. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed process for reporting aircraft ground damage to IATA GDDB.

Examined a sample of reports for completeness.

Crosschecked aircraft ground damages events notification to IATA

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of IATA Ground Damage Database (GDDB).

The IATA GDDB has been established as a quality source of defensible data that will support a performance-based approach to the management of ground operations. Data submitted to IATA for the GDDB is assembled and integrated in a manner that permits, through statistical analysis, the identification of trends and contributing factors associated with aircraft ground damages.

Participants that submit data for the GDDB benefit from having access to the analytical results. Additionally, such results are used by IATA and the various working groups and task forces associated with the ISAGO program as the basis for the development of damage prevention strategies and success measurement metrics.

The assurance of data quality and overall database integrity requires that data is submitted by participants in a uniform and consistent manner. Therefore, the GDDB includes strict reporting protocols, as well as associated definitions and assumptions. GDDB together with ISAGO and IGOM/AHM is part of IATA Integrated Solution for Ground Operations. Reporting guidelines and other information can be found online at the IATA Global Safety Information Center (GSIC) (http://www.iata.org).

3.3 SMS–Safety Assurance

ORM-H 3.3.1 The Provider *should* have a safety assurance program, including a detailed audit planning process and sufficient resources that provides for the auditing and evaluation of the effectiveness of the management system and ground operations at all stations to ensure the Provider is:

(i) Complying with applicable safety regulations and requirements of the customer airline(s);

(ii) Identifying hazards to operations;

(iii) Monitoring effectiveness of safety risk controls;

(iv) Verifying safety performance in reference to the safety performance indicators and safety performance targets. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed safety assurance program (focus: role/purpose within organization/SMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management system/operational areas).

Interviewed SMS manager and/or designated management representative(s).

Interviewed Safety assurance program manager.

Interviewed selected operational managers (focus: interface with quality assurance program).

Examined selected safety audit reports (focus: audit scope/process/organizational interface.

Coordinated to verify implementation of safety assurance audit program in all operational areas.

Other Actions (Specify).

Guidance

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

Similar requirement is in IOSA ORG 3.4.1 applicable to the Operator.

A Safety Assurance program focuses on and is a means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls.

While there as similarities between Quality Assurance (QA) and Safety Assurance (SA); the objective of QA within a QMS is to provide systemic assurance that the processes and procedures used by the organization will result in the provision of products or services that meet a predetermined standard and hence customers' expectations. It does this by ensuring adequacy of and compliance to approved procedures. SA within a SMS differs from QMS in that SMS focuses on human factors and organizational factors, and integrates into these, quality management techniques and processes, to contribute to the achievement of safety satisfaction.
The objective of SMS is to identify the safety hazards the organization must confront and in some cases generates during delivery of services, and to bring the safety risks or the consequences of these hazards under organizational control. As the SMS and QMS share many techniques, processes and commonalities, there may be a tendency to assume that an organization that has established and operates a QMS does not need, or already has, a SMS.

Due to the commonalities between QA and SA, or more broadly QMS and SMS, there is the possibility to integrate the activities, this create efficiency and leverages off common resources. This integration is scalable to the size and complexity of the organization, and be of particular advantage for a small, non-complex organization. For example, by using the same techniques i.e. auditing, a Provider may add the scope of quality auditing with the scope of safety auditing and conduct the audit of a line station as one event. Similarly, integration can occur with a combine Safety and Quality Policy, as with many other areas of the QMS and SMS. There are also similarities with Workplace or Occupational Health and Safety in which integration may occur.

The SA program is applied throughout the organization and includes auditing, with the following detail:

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

The process normally includes means whereby the auditor and the audited area have a comprehensive discussion and reach agreement on the findings and corresponding corrective or preventive actions. Clear procedures are typically established to resolve any disagreement between the auditor and audited area, and action items are followed up to ensure closeout within an appropriate time frame.

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

In addition to auditing, the evaluation of effectiveness may be performed in other ways, through safety inspections, safety surveys and other similar tools. A similar approach to auditing is taken in terms of planning, determining findings, reporting, follow-up and close-out activities.

ORM-H 3.3.2 The Provider *should* have processes for setting performance objectives and measures as a means to monitor the operational safety performance of the organization and to validate the effectiveness of safety risk controls. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed processes for setting performance measures (focus: program defines/requires development/application of performance measures; measures used to track/monitor operational safety performance/validate safety risk controls).

Interviewed SMS manager and/or designated management representative(s).

Examined selected performance measures currently being tracked (focus: performance measures are set/tracked in all operational disciplines).

Examined records/documents that identify tracking of performance measures (focus: tracking used to assess/monitor operational safety performance, assess/validate risk control effectiveness).

Verified implementation of performance measures in all operational areas.

Identified/Assessed procedures for internal reviews of SMS performance.

Interviewed selected operational managers (focus: interface with safety assurance program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Performance Measures.

Guidance may be found in AHM 621. Similar requirement is in IOSA ORG 3.2.1 applicable to the Operator.

Setting measurable safety objectives is an element of the Safety Assurance component of the SMS framework.

By setting performance measures, a Provider is able to track and compare its operational performance against a target (i.e. the performance objective, typically expressed as a rate or number reduction) over a period of time (e.g. one year). Achievement of the target (or objective) would represent an improvement in the operational performance. The use of performance measures is an effective method to determine if desired safety outcomes are being achieved, and to focus attention on the performance of the organization in managing operational risks and maintaining compliance with relevant regulatory, legislative, airport and customer requirements (where applicable).

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

In addressing compliance, meaningful measures, as a minimum, would focus on compliance with significant regulatory requirements in all operational areas, and on conformity with customer airline(s)' requirements.

Ideally, performance measures are designed to be challenging, which, in turn, enhances the effectiveness of the risk management system.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

The following examples illustrate the relationship between safety performance indicators and safety performance targets.

Safety Performance Indicator	Safety Performance Target	Proactive/reactive/ Interactive indicator
Number of major/critical findings per external audit.	No more than one major or critical finding per external audit, with no repeat findings.	Reactive
Average number of days to close safety investigation finding.	Within one year, the average number of days to close an internal safety investigation finding reduces to 60 days or less.	Proactive
Percentage of employees who have completed risk management training.	In 2 years, the 100% of employees will have completed risk management training (appropriate to their role).	Proactive
Hazard reporting rate.	Increase in the rate of hazard reporting (per flight hour) by 10% in 6 months, with a corresponding average reduction in the risk level of each report.	Reactive

Safety Performance Indicator	Safety Performance Target	Proactive/reactive/ Interactive indicator
Percentage of employee surveys completed.	At least 60% completed employee survey reports at next survey.	Interactive
Percentage of completed employee surveys which identifies procedure deviations.	Less than 10% at next survey.	Interactive
Percentage of internal occurrence investigations which have supervision as a primary cause.	Less than 25%, calculated for one year period.	Proactive

ORM-H 3.3.3 The Provider *should* have a process to identify changes within or external to the organization that have the potential to affect the level of safety risk of ground operations, identify, and to manage the safety risks that may arise from such changes. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed organizational change management process (focus: process identifies/assesses internal/external changes to determine operational safety risk).

Interviewed SMS manager and/or designated management representative(s).

Examined selected records/documents that show processing of internal/external changes (focus: assessment of changes to determine safety risk; actions taken to implement/revise new/existing risk controls).

Coordinated to verify implementation of change management process in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Change Management.

Guidance may be found in AHM 621. Similar requirement is in IOSA ORG 3.2.2 applicable to the Operator.

Change management is an element of the Safety Assurance component of the SMS framework.

Change management is considered a proactive hazard identification activity in an SMS.

Change may affect the appropriateness or effectiveness of existing safety risk mitigation strategies. In addition, new hazards and related safety risks may be inadvertently introduced into an operation whenever change occurs.

A change management process is designed to ensure risk management is applied to any internal or external changes that have the potential to affect established operational processes, procedures, products and services.

Internal changes typically include organizational expansion, contraction or consolidation, new initiatives, business decisions, as well as the introduction of new or the modification of existing systems, equipment, programs, products or services.

External changes could include new regulatory requirements or changes to the operating environment (e.g. new security regulations, amendments to the dangerous goods regulations).

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.3.4 The Provider *should* have processes to review and ensure continual improvement of the SMS throughout the organization to include:

(i) Identification of the cause(s) of substandard performance of the SMS;

(ii) Determination of the implications of substandard performance of the SMS in operations;

(iii) Elimination or mitigation of such cause(s) of substandard performance. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed SMS review process (focus: process identifies organizational opportunities for changes/improvement to SMS).

Interviewed accountable executive and/or designated management representative(s).

Examined selected examples of output from SMS review process (focus: changes implemented to improve organizational safety performance).

Other Actions (Specify).

Guidance

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

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.5.2 applicable to the Operator.

Continual improvement of the SMS is an element of the Safety Assurance component of the SMS framework.

Continual improvement would normally be overseen by a strategic committee of senior management officials that are familiar with the workings and objectives of the SMS. Such committee is typically referred to as a Safety Review Board (SRB), which is a very high level, strategic committee chaired by the AE and composed of senior managers, including senior line managers responsible for functional areas in operations.

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

In a situation where a Provider has SMS only partially implemented, the provider would demonstrate that the processes specified in this provision are being applied to ensure continual improvement of those SMS elements that have been implemented and, as feasible, elements that are in the process of being implemented.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.3.5 The Provider *should* have a process for management consideration of and decision-making to ensure significant issues arising from:

(i) The safety risk assessment and mitigation program, and

(ii) The safety assurance program are subject to management review in accordance with ORM-H 3.3.4 and ORM-H 1.5.1, as applicable. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed process for management review of safety assurance program recommendations (focus: continual improvement of Provider's processes and procedures).

Interviewed safety manager and/or designated management representative(s).

Examined records/documents of management review of safety assurance program recommendations

Other Actions (Specify).

Guidance

Guidance may be found in AHM 621.

Similar requirement is in IOSA ORG 3.4.4 and 3.3.3 applicable to the Operator.

Management review of significant safety assurance issues and decision-making process on risk management and hazard identification issues supports the continual improvement of safety performance, which is an element of the Safety Assurance component of the SMS framework.

Such review permits senior management to consider significant issues of non-conformance in areas of the organization that impact operational safety and security, and to:

- Continually monitor and assess operational safety and security outcomes;
- Ensure appropriate corrective or preventive actions that address the relevant conformance issues have been implemented and are being monitored for effectiveness;
- Ensure continual improvement of operational safety performance.

3.4 Quality Assurance Program

ORM-H 3.4.1 The Provider shall have a quality assurance program, including a detailed audit planning process and sufficient resources that provides for the auditing and evaluation of the management system and ground operations at all stations to ensure the Provider is:

(i) Complying with applicable regulations and requirements of the customer airline(s);

(ii) Satisfying stated operational needs;

(iii) Identifying undesirable conditions and areas requiring improvement. **(GM)**

Auditor Actions

Identified/Assessed quality assurance program (focus: role/purpose within organization; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management system/operational areas).

Interviewed quality manager and/or designated management representative(s).

Interviewed selected operational managers (focus: interface with quality assurance program).

Examined selected audit reports (focus: audit scope/process/organizational interface.

Verified implementation of quality assurance audit program in all operational areas.

Other Actions (Specify).

Guidance

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

The quality assurance program comprises two complementary functions:

- To monitor a provider's compliance with relevant regulations and standards, as well as to evaluate and continually improve operational performance;
- In some organizations the quality assurance program may have a different name (e.g. internal audit program, internal evaluation program).

The quality assurance program is applied throughout the organization and is typically structured to define:

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

The process normally includes means whereby the auditor and the audited area have a comprehensive discussion and reach agreement on the findings and corresponding corrective or preventive actions. Clear

procedures are typically established to resolve any disagreement between the auditor and audited area, and action items are followed up to ensure closeout within an appropriate time frame.

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

ORM-H 3.4.2 (Intentionally open)

ORM-H 3.4.3 The Provider shall have a process for addressing findings that result from audits conducted under the quality assurance program as specified in ORM-H 3.4.1, which ensures:

(i) A determination of root cause(s);

(ii) Development of corrective action as appropriate to address findings;

(iii) Implementation of corrective action in appropriate operational area(s);

(iv) Monitoring and evaluation of corrective action to determine effectiveness.

Auditor Actions

Identified/Assessed process for determining audit type.

Interviewed quality manager.

Examined selected audit reports/records, meeting minutes

Other Actions (Specify).

ORM-H 3.4.4 The Provider shall have a process to ensure significant issues arising from the quality assurance program are subject to management review in accordance with ORM-H 1.5.1. **(GM)**

Auditor Actions

Identified/Assessed process for management review of quality assurance program recommendations (focus: continual improvement of Provider's processes and procedures).

Interviewed quality manager and/or designated management representative(s).

Examined records/documents of management review of quality assurance program recommendations

Other Actions (Specify).

Guidance

Management review permits senior management to consider significant issues of non-compliance in areas of the organization that impact operational safety and security, and to:

- Continually monitor and assess operational safety and security outcomes;
- Ensure appropriate corrective or preventive actions that address the relevant compliance issues have been implemented and are being monitored for effectiveness;
- Ensure continual improvement of operational safety performance.

ORM-H 3.4.5 The Provider shall have a means for disseminating information from the quality assurance program as specified in ORM-H 3.4.1 to management and non-management operational personnel as appropriate to ensure an organizational awareness of compliance with applicable regulatory and other requirements. **(GM)**

Auditor Actions

Identified/Assessed means used for dissemination of quality assurance program information.

Interviewed quality manager.

Interviewed non-management operational personnel (focus: awareness of quality assurance program issues).

Examined examples of information disseminated to management/non-management personnel

Verified dissemination of quality assurance information in all operational areas.

Other Actions (Specify).

Guidance

An effective quality assurance program includes a process for disseminating information for the purpose of maintaining an ongoing awareness of compliance issues that might impact operational safety or security. As an example, such information might include an up-to-date status of operational performance against stated performance measures. The process ensures a method of dissemination commensurate with the size of the organization. Acceptable means of conformance include a magazine, newsletter or bulletin issued periodically. Electronic media in various forms are also effective in the timely dissemination of information.

ORM-H 3.4.6 The Provider shall ensure the quality assurance program utilizes auditors that:

(i) Have been trained and are qualified;

(ii) Are impartial and functionally independent from operational areas to be audited. **(GM)**

Auditor Actions

Identified/Assessed quality assurance auditor administration program (focus: definition of selection/qualification criteria for quality assurance program auditors.

Interviewed quality assurance program manager.

Examined selected individual auditor records (focus: application of selection/qualification criteria).

Crosschecked selected audit reports (focus: appropriately qualified auditors independent from the activity audited.

Interviewed selected quality assurance auditors (focus: verification of individual qualifications.

Other Actions (Specify).

Guidance

A quality assurance program is typically independent in a manner that permits the scheduling and conduct of audits, as deemed appropriate for the size and scope of operations. Operational independence ensures auditors are not put in a position where their objectivity may be subject to bias due to conflicting responsibilities. Quality audit principles forbid auditors from auditing their own work area. In small organizations, to ensure objectivity, it may be appropriate for the auditing function to be outsourced to external auditors.

To be effective, auditors receive an appropriate level of formal training that develops competency in quality auditing skills and techniques.

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

- To act in a strictly trustworthy and unbiased manner in relation to both the organization to which they are employed, contracted or otherwise formally engaged and any other organization involved in an audit performed by them or by personnel under their direct control;
- To disclose to their employer any relationship they may have with the organization to be audited before undertaking any audit function in respect of that organization;
- Not to accept any gift, commission, discount or any other profit from the organization audited, from their representatives, or from any other interested person nor knowingly allow personnel for whom they are responsible to do so;
- Not to disclose the findings, or any part of them, nor to disclose any other information gained in the course of the audit to any third party, unless authorized in writing by both the auditee and the audit organization, if applicable;
- Not to act in any way prejudicial to the reputation or interest of the audit organization; and
- In the event of any alleged breach of this code, to cooperate fully in any formal enquiry procedure.

3.5 Safety Promotion

ORM-H 3.5.1 The Provider *should* have processes for the communication of safety information throughout the organization to ensure personnel maintain an awareness of the SMS and current operational safety issues. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed safety information communication system (focus: organizational capability for communicating safety information to personnel; information stresses SMS awareness/operational safety issues).

Interviewed accountable executive and/or designated management representative(s).

Interviewed selected management system personnel.

Observed examples of safety information communication.

Verified communication of safety information in all operational areas.

Other Actions (Specify).

Guidance

Similar requirement is in IOSA ORG 1.4.2 applicable to the Operator. Safety communication is an element of the Safety Promotion component of the SMS framework.

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

Examples of safety communication can be safety newsletters, regular emails, safety committee meetings etc.

Also targeted safety promotion activities, not only within one's own organization but with other key staff and companies can be good examples of communications.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-H 3.5.2 The Provider *should* have a means for disseminating information from:

(i) The safety risk assessment and mitigation program, and

(ii) The safety assurance program to management and non-management operational personnel as appropriate to ensure an organizational awareness of compliance with applicable regulatory and other safety requirements. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed means used for dissemination of safety assurance program information.
Interviewed safety assurance program manager.
Interviewed non-management operational personnel (focus: awareness of safety assurance program issues).
Examined examples of information disseminated to management/non-management personnel
Coordinated to verify dissemination of safety assurance information in all operational areas.
Other Actions (Specify).

Guidance

Similar requirement is in IOSA ORG 3.4.5 and 3.3.4 applicable to the Operator.

Promulgation of safety information is an element of the Safety Promotion component of the SMS framework.

An effective safety assurance and safety risk assessment and mitigation programs include a process for disseminating information for the purpose of maintaining an ongoing awareness of compliance issues that might impact operational safety or security. As an example, such information might include an up-to-date status of operational safety performance against stated safety performance measures. The process ensures a method of dissemination commensurate with the size of the organization. Acceptable means include a magazine, newsletter or bulletin issued periodically. Electronic media in various forms are also effective in the timely dissemination of information.

Note: *SMS Training and Education is part of ORM-H Sub-section 5 Training and Qualification.*

3.6 Outsourcing Quality Control Program

ORM-H 3.6.1 If the Provider outsources ground operations and/or associated functions to external ground service providers, the Provider shall have a program that ensures a contract or agreement is executed with such external providers. The contract or agreement shall identify measurable specifications that can be monitored by the Provider to ensure requirements that affect operational safety and/or security are being fulfilled by the external provider. **(GM)**

Auditor Actions

Identified/Assessed processes for contract/agreement production/execution with external service providers that conduct outsourced operations functions.

Interviewed responsible manager(s).

Examined selected outsourcing contracts/agreements (focus: inclusion of measurable specifications applicable to service providers).

Verified implementation of service provider contract/agreement processes in applicable operational areas.

Other Actions (Specify).

Guidance

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

Guidance and examples of a standard ground handling agreement and a service level agreement may be found in AHM Chapter 6.

A Provider always retains responsibility for services that have been voluntarily transferred to an external service provider.

Maintenance of GSE would be considered a function associated with operational safety.

A contract or agreement is necessary to ensure the outsourced services and/or functions are formally documented. Inclusion of measurable specifications, usually in the form of a service level agreement, would provide the basis for a monitoring process.

ORM-H 3.6.2 If the Provider outsources ground operations and/or associated functions to external ground service providers, the Provider shall have processes for monitoring such external providers to ensure requirements that affect operational safety and security are being fulfilled by the external provider. **(GM)**

Auditor Actions

Identified/Assessed processes for monitoring external service providers that conduct outsourced operations functions.

Interviewed responsible manager(s).

Examined selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures provider is fulfilling applicable safety/security requirements).

Verified implementation of service provider monitoring in applicable operational areas.

Other Actions (Specify).

Guidance

The specifications of this provision are applicable to any outsourced services or functions that affect operational safety and/or security.

A Provider has a responsibility to monitor outsourced services or functions to ensure they are conducted in a manner that meets its own operational safety and security requirements, as well as those of the customer airline(s).

ORM-H 3.6.3–3.6.4 (Intentionally open)

ORM-H 3.6.5 If the Provider outsources dangerous goods handling functions to external ground service providers at any station, the Provider shall have a process to ensure such external providers have a dangerous goods training program in accordance with requirements of the Provider's dangerous goods training program.

Auditor Actions

Identified/Assessed process to ensure conformity of external provider's dangerous goods training program.

Interviewed responsible manager(s).

Examined selected records/reports resulting from monitoring of external service provider's training program

Other Actions (Specify).

4. (Intentionally Open)

5. Training and Qualification

5.1 Load Control Training Program

ORM-H 5.1.1 If the Provider delivers load control services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in operational load control functions complete initial and recurrent training in:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned load control function(s) as specified in Table 1.4;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.5 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Load Control, Loading Instruction/Report (LIR), NOTOC (Notification to Captain), Operational Flight Plan (OFP) and Unit Load Device (ULD).

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance may be found in AHM 590, 591 and DGR 1.5.

Guidance for Load Control Training may be found in AHM 590, 591 and DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.2 Passenger Handling Training Program

ORM-H 5.2.1 If the Provider delivers passenger handling services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in operational passenger handling functions complete initial and recurrent training in passenger handling operations, which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned passenger handling function(s) as specified in Table 1.6;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.7 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training for all staff as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vii) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions;

(viii) Aircraft access door training program in accordance with requirements of the customer airline(s) for personnel with duties that include the operation of aircraft access doors applicable to each type of access door operated at the station;

(ix) Passenger boarding bridge training for personnel with duties that include the operation of passenger boarding bridge as specified in Table 1.12.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Refer to the IRM for the definition of Passenger Boarding Bridge.

Guidance for DG training may be found in DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.3 Baggage Handling Training Program

ORM-H 5.3.1 If the Provider delivers baggage handling services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in operational baggage handling functions complete initial and recurrent training in baggage handling operations, which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned baggage handling function(s) as specified in Table 1.8;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.9 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training for all staff as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vii) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational function.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance for DG training may be found in DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

5.4 Aircraft Handling and Loading Training Program

ORM-H 5.4.1 If the Provider delivers aircraft handling and loading services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in aircraft handling and loading functions complete initial and recurrent training in aircraft handling and loading operations, which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned aircraft handling and/or loading function(s) as specified in Table 1.10;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.11 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training for all staff as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vii) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions;

(viii) Load control training program for personnel with duties that include the supervision of aircraft loading as specified in Table 1.13;

(ix) Aircraft access door training program in accordance with requirements of the customer airline(s) for personnel with duties that include the operation of aircraft access doors applicable to each type of access door operated at the station;

(x) Passenger boarding bridge training for personnel with duties that include the operation of passenger boarding bridge as specified in Table 1.12.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Refer to the IRM for the definition of Passenger Boarding Bridge.

Guidance may be found in AHM 630.

Guidance for DG training may be found in DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Supervision of Aircraft Loading may be found in AHM 590 and 591.

Aircraft loading supervision is an element of the load control process.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.5 Aircraft Ground Movement Training Program

ORM-H 5.5.1 If the Provider delivers aircraft ground movement services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in aircraft ground movement functions complete initial and recurrent training in aircraft ground movement operations, as applicable to assigned aircraft ground movement function(s), which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned aircraft handling as specified in Table 1.14;

(iii) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(iv) Safety training for all staff as specified in Table 1.2;

(v) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vi) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions;

(vii) Aircraft access door training program in accordance with requirements of the customer airline(s) for personnel with duties that include the operation of aircraft access doors applicable to each type of access door operated at the station.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance may be found in AHM 631.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.6 Cargo and Mail Handling Training Program

ORM-H 5.6.1 If the Provider delivers cargo and mail handling services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in cargo and mail handling functions complete initial and recurrent training. Such training shall provide the knowledge necessary for cargo handling personnel to perform duties, execute procedures and operate equipment associated with specific cargo handling functions, and include:

(i) General and function-specific training prior to being assigned to perform operational duties;

(ii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.15 including a recurrent training within 24-month period since the previous DG training including evaluation/testing by written means;

(iii) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(iv) Safety training for all staff as specified in Table 1.2;

(v) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vi) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

5.7 Safety and Security Training Programs

ORM-H 5.7.1 The Provider shall have a security training program that is in accordance with the Security Program of the customer airline(s), requirements of the civil aviation security authority of states where ground operations are conducted, and requirements of the airport authority at stations where ground operations are conducted. Such training program shall include initial and recurrent training, and have a balanced curriculum of theoretical and practical training to ensure:

(i) If personnel employed by the Provider implement security controls, such personnel have the competence to perform their duties;

(ii) Appropriate operational personnel, through security awareness training, are acquainted with preventative measures and techniques in relation to passengers, baggage, cargo, mail, equipment, stores and supplies intended for transport on aircraft, as applicable, so they may contribute to the prevention of acts of sabotage and other forms of unauthorized interference. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Security (Aviation), Security Program, Unlawful Interference and Unauthorized Interference.

Intensive training for personnel who are employed within the security organization of a provider will enable them to develop the expertise required to advise management on all aspects of the security program. There are two classifications of aviation security training for a provider:

Personnel Training

This might be subdivided into training for managers/supervisors, ramp personnel, cargo handling personnel, passenger and baggage handling personnel, and other categories of personnel who are directly involved in the implementation of security measures and thereby require an awareness of the obligations associated with aviation security.

General Security Awareness

Such training applies to the protection of assets from internal and external interference and the necessity of ensuring all ground handling personnel have a positive attitude to security. The focus of training to achieve such awareness will vary by region or company and may be influenced by cultural, religious and other circumstances. Such training is tailored to be effective in the environment in which it is to apply.

The completion of security training would normally be recorded and retained in the records system for proof of compliance with applicable security standards or regulations.

ORM-H 5.7.2 The Provider *should* have a program that ensures personnel throughout the organization are trained and competent to perform SMS duties. The scope of such training should be appropriate to each individual's involvement in the SMS as detailed:

(i) In Table 1.2 for all personnel for those elements identified with the **[SMS]** symbol, and

(ii) In Table 1.16 for personnel with specific assigned duties in the safety management system. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed program for personnel to be trained/competent to perform SMS duties.

Interviewed safety manager and/or designated management representative(s).

Examined selected initial/recurrent training curricula for personnel to be trained/competent to perform SMS duties

Examined selected management/non-management personnel training records (focus: completion of SMS training).

Verified SMS training is implemented in all applicable areas.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.6.5 applicable to the Operator.

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

Training on the SMS, including safety reporting, provided to operational personnel may be included in the Safety Training (as specified in Table 1.2). An overview of the SMS, its purpose, scope and functionality should, however, be provided for all personnel.

An SMS specifies initial and recurrent safety training standards for operational personnel within the organization, to include managers and supervisors, senior managers and the AE. The content of such training is appropriate to the individual's responsibilities and involvement in the SMS.

Personnel with specific SMS duties would include those that, as part of the safety office, perform safety risk assessments and activities associated with safety assurance.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

5.8 Dangerous Goods Training Program

ORM-H 5.8.1 The Provider shall ensure the instructors who deliver dangerous goods training have:

(i) The adequate instructional skills and, prior to delivering instruction, completed a dangerous goods training program that provides the knowledge in subject areas consistent with the level of instruction to be delivered;

(ii) Conducted a minimum of one dangerous goods training course within every 24 months or attended recurrent dangerous goods training; and

(iii) Received updates to the Regulations and training material on an annual basis. **(GM)**

Auditor Actions

Assessed training and competence plan for dangerous goods instructors.

Interviewed responsible manager(s).

Examined selected instructor training records and reports (focus: conformity with training plan).

Other Actions (Specify).

Guidance

Guidance may be found in DGR 1.5.7.

5.9 Training Program (General)

ORM-H 5.9.1 The Provider shall ensure each training program as specified in ORM-H 5.1-5.6 includes processes that require instructors (trainers) and evaluators who conduct training and evaluation for ground handling personnel to demonstrate they are competent, qualified and, where required, certified to conduct such training activities.

Auditor Actions

Identified/Assessed method of ensuring qualification/certification of trainers.

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

ORM-H 5.9.2 The Provider shall ensure each training program as specified in ORM-H 5.1-5.6 includes processes for the completion of all required training and evaluation by operational ground handling personnel, instructors (trainers) and evaluators to be documented in records, and such records retained in accordance with ORM-H 2.3.1 for a period as specified by applicable regulations and/or the customer airline(s).

Auditor Actions

Identified/Assessed training record management system.

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

ORM-H 5.9.3 The Provider shall ensure each training program as specified in ORM-H 5.1-5.6 includes processes for all aspects of the training program to be periodically reviewed and updated to remain operationally relevant and in accordance with requirements of the customer airline(s).

Auditor Actions

Identified/Assessed method of reviewing training programs.

Examined selected reports of reviews and action taken.

Other Actions (Specify).

6. Security Management

6.1 Security Program

ORM-H 6.1.1 The Provider shall have procedures in accordance with requirements of customer airline(s) and the civil aviation security program of states, where operations are conducted, that in case of security related incidents:

(i) Customer airline(s) and relevant authorities are notified;

(ii) The Provider liaises on behalf of the customer airline(s), when so authorized by such customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures for notification of security incidents and/or authorized liaison with relevant authorities.

Examined selected security incident records and reports.

Other Actions (Specify).

Guidance

Security related incidents include, but are not limited to:

- Threats;
- Unlawful interference.

7. Ground Support Equipment (GSE) Management

7.1 GSE Maintenance

ORM-H 7.1.1 The Provider shall have a program that ensures that GSE, at all applicable stations:

(i) Is maintained in accordance with instructions and/or guidance from the GSE manufacturer;

(ii) Is serviceable and in good condition prior to being used in ground operations;

(iii) When found to be defective, is reported and evaluated for removal from service;

(iv) Tagged as “Out of Service” and not utilized in airside operations if found in unserviceable condition;

(v) Removed from operations for repair or maintenance if unserviceable;

(vi) Maintenance is documented in records, and such records are retained for a period as specified by the Provider, applicable regulations and/or the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures for maintenance and serviceability of GSE.

Interviewed responsible manager(s).

Examined selected maintenance records and reports to reflect a program in conformity with instructions and/or guidance from the GSE manufacturer.

Examined selected maintenance records and reports to reflect operational condition (tagging and removal from operations).

Verified maintenance records and reports are retained for a period as specified by the Provider, applicable regulations and/or the customer airline(s).

Other Actions (Specify).

Guidance

Refer to IRM for the definition of Ground Support Equipment (GSE).

Maintenance programs would typically be designed to be in accordance with recommendations of the equipment manufacturer. If the GSE maintenance is outsourced, the GSE standards and recommended practice are still applicable and shall be assessed.

7.2 GSE Technical Requirements

ORM-H 7.2.1 The Provider *should* ensure that all aircraft GSE is equipped with a device that senses the proximity of an aircraft and provides a visual and audible indication to the operator of the aircraft GSE to reduce the risk of impact with the aircraft.

Auditor Actions

GSE are fitted with serviceable aircraft proximity warning devices.

Examined selected inspection records and reports.

Examined retrofit plans.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 900.

In addition to the safety aspects, significant costs and disruption is caused by aircraft damaged by GSE. Even with the slightest of touch, the damage caused may not always be easily visible or detectable. Apart from coverings or pneumatic devices that absorb impact it is commonplace on modern automobiles for devices to be installed that detect the proximity of another object and can provide either automatic braking and/or collision avoidance and/or an audible/visible alert to the operator. Where practicable and economically feasible, the GSE should be designed or equipped to eliminate the probability of aircraft damage.

All GSE manufactured and purchased after 1 July 2018 shall comply with the aircraft damage prevention requirements of AHM Chapter 9 and with specific focus on the following in order to reduce the risk of damage to aircraft:

- Positively controlled, non–jerking, slow speeds are required for the approach and final positioning of GSE at the aircraft;
- Bumpers shall be fitted to all leading edges and any part of the GSE that may contact the aircraft – including guard rails, access steps etc. Material used for bumpers shall be soft and compressible such that it does not damage the aircraft. Refer to SAE 1558 for more details on bumper materials and correct installation;

  Note: *Traditional D rubber material is not acceptable as it hardens over time and in cold weather offering little protection to the aircraft.*
- All self-propelled GSE interfacing with the aircraft shall be fitted with bumpers equipped with a means of automatically bringing the equipment to an immediate stop if actual contact with the aircraft is detected;
- All leading edges shall be fitted with an automatic cut out in the event that any part of the GSE contacts the aircraft. In the case of bumpers the cut out must initiate if the bumpers are compressed by more than 30% of their thickness;
- All self-propelled GSE interfacing with the aircraft shall have a tortoise speed mode that restricts the speed of the vehicle to a maximum of 6 km/h (3.5 mph) (ref ISO 6966). The turtle speed is to be engaged by the operator before entering the Equipment Restraint Area;
- For compliance/supervision purposes, the engagement of the tortoise speed mode shall be visible by means of an external indicator on the GSE;
- All self-propelled GSE interfacing with the aircraft shall have a snail speed mode that restricts the speed of the vehicle to a maximum of 0.8 km/h (0.5mph) (ref ISO 6966);
- All self-propelled GSE interfacing with the aircraft shall have a fail-safe sensing facility to automatically put the GSE in snail speed mode at any time the equipment is within 6 feet (2 meters) of the aircraft interface point;
- For compliance/supervision purposes, a recording mechanism is to be fitted to record the occasions when the GSE automatically engages the snail mode;
- All guard rails shall be designed to provide fall from height protection but must also be designed so that it is not possible to drive the GSE towards or away from the aircraft unless the guard rails are retracted;
- Where possible the GSE should be designed to stop at a safe distance from the aircraft, with final positioning of the interface equipment (such as a platform or end of a belt loader) to be done using a more precise mechanism.
- If final positioning to the aircraft interface point is provided by, for example, a telescopic platform, the telescoping speed shall not exceed 0.1 m/s (4 in/s)
- For self-propelled GSE interfacing with the aircraft, the snail speed shall offer precision throttle controls such as a move from a foot throttle to precision hand throttle or remote control.

8. Unit Load Device (ULD) Management

8.1 ULD Airworthiness and Serviceability

ORM-H 8.1.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs are inspected to identify damage, and to determine airworthiness and serviceability:

(i) When received or accepted;

(ii) Prior to being released for loading into an aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedures for inspection of ULDs.

Examined selected inspection records and reports.

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Component Maintenance Manual (CMM) and Unit Load Device (ULD).

Guidance may be found in the applicable section(s) of the IATA ULD Regulations (ULDR).

Damaged or unserviceable ULDs have the potential to affect flight safety.

Inspection procedures are typically applied to ULDs whether loaded or unloaded.

Upon accepting a ULD from another party, the Provider shall be responsible to the ULD owner for ensuring the continued airworthiness of the ULDs. (ULDR Sections 2–2.6 and 9–9.7.1).

Differences in damage limitations can occur between ULDs of the same manufacturer, as well as ULDs of different manufacturers. The maximum allowable damage for each specific ULD is typically stated in the applicable Component Maintenance Manual (CMM) issued by the manufacturer.

The ULD Operational Damage Limits Notice (ODLN) should be attached to the ULD to ensure easy access to the appropriate damage limit information and facilitate inspection in the field. (ULDR Section 7 Standard Specification 40/3 and 40/4).

Some airlines impose limits that are more stringent than those contained in the CMM.

ULDs, to include containers and pallets, as well as nets and straps, that do not comply with relevant regulations may not be transported on a commercial flight. An exception may be made for damaged ULDs that require transport to a repair facility, but only after it has been determined through evaluation by appropriately qualified personnel that such ULDs pose no risk of damage to the aircraft.

8.2 ULD Loading

ORM-H 8.2.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure that ULDs, whether received or loaded by the Provider, are in compliance with applicable requirements pertaining to ULD loading and load securing. **(GM)**

Auditor Actions

Identified/Assessed procedures for ULD loading and load securing.

Observed ULD loading and securing procedures.

Other Actions (Specify).

Guidance

Guidance may be found in the applicable section(s) of the ULDR.

Safety requirements address the loading of containers and pallets including nets and straps. Build-up of ULDs shall be in compliance with limitations stated in ULDR Section 2 and the Operating Specifications stated in ULDR Section 6. Each state may have additional or varying regulations and specifications.

ORM-H 8.2.2 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs are identified by exterior tags that display information relevant to the ULD and its contents prior to being released for loading into the aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedures for ULD tagging.

Observed ULD tagging procedures and conformity of content information.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 420.

Such tags typically indicate the origin and destination of the ULD, weight of the ULD and its contents, type of contents (e.g., cargo, baggage, dangerous goods) and location in the aircraft.

8.3 ULD Handling and Storage

ORM-H 8.3.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs are handled and stored in a manner that minimizes or eliminates the possibility of damage or loss. **(GM)**

Auditor Actions

Identified/Assessed procedures for ULD handling and storage.

Observed ULD handling and storage procedures.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 420 and 421.

The installation of ULD on board an aircraft is governed by the aircraft Weight and Balance Manual (WBM). Only ULD that complies with the requirements of the WBM shall be loaded onto an aircraft. The IATA ULDR is based on typical WBM requirements which will assist Providers to carry out ULD operations to comply with applicable requirements such as WBM.

Procedures typically specify proper ULD handling equipment, adequate facilities and space (as available by location), and methods of ULD storage that ensures:

- Identification;
- Inventory is tracked;
- Accessibility is maintained;
- Separation by customer airline.

ORM-H 8.3.2 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs that have been identified as being damaged or not airworthy are tagged and stored in a designated location that prevents usage for the transport of cargo, mail or baggage.

Auditor Actions

Identified/Assessed procedures for damaged or not airworthy ULD.

Observed damaged or not airworthy ULD procedures.

Other Actions (Specify).

8.4 Facilities and Equipment

ORM-H 8.4.1 The Provider shall ensure the availability of adequate and sufficient infrastructure for proper storing, transporting, moving, transferring, build-up and breakdown of ULDs. **(GM)**

Auditor Actions

Observed ULD storage, handling and transportation procedures.

Other Actions (Specify).

Guidance

Guidance may be found in ULDR Section 9.

The Ground Support Equipment (GSE) for ULD handling should meet the requirements stipulated in AHM 911 (ULDR Appendix ‘C’) and maintained correctly.

Tables

Table 1.1–Documentation System Specifications			
ORM-H 2.1.1 The Provider shall have a system for the management and control of the internal and external documentation and/or data used directly in the conduct or support of operations. Such system shall comprise the elements specified below and shall include documentation provided to external entities, if applicable. **Note:** Refer to the IRM for the definition of Documentation and Electronic Documentation.			
Elements	**Documentation Types**		
	Type 1	**Type 2**	**Type 3**
(i) Identification of the version and effective date of relevant documents and/or data.	**Recommended**	**Recommended**	**Required** Note
(ii) Identification of the title and, if applicable, sub-titles of relevant documents and/or data.	**Recommended**	**Recommended**	**Required** Note
(iii) Distribution and/or dissemination that ensures all users are provided relevant documents and/or data on or before the effective date: (a) Throughout appropriate areas of the organization, including all applicable stations; (b) To external service providers that conduct outsourced operational functions.	**Required** Note	**Required** Note	**Required** Note
(iv) Definition of the specific media type(s) designated for presentation or display of the controlled version of relevant documents and/or data.	**Required** Note	**Required** Note	**Required** Note
(v) Definition of documentation and/or data that is considered to be reproduced and/or obsolete.	**Required** Note	**Required** Note	**Required** Note
(vi) Review and revision to maintain the currency of relevant documents and/or data.	**Required** Note	**Required** Note	**Required** Note
(vii) Retention that ensures access to the content of relevant documents and/or data for a minimum period as defined by the Provider.	**Required** Note	**Required** Note	**Required** Note
(viii) Provision for a scheduled back up by copying and archiving relevant documents and/or data, to include validation of the documents or data being backed up.	**Required** Note	**Required** Note	**Required** Note

Table 1.1–Documentation System Specifications				
(ix)	Identification and allocation of documentation access/user and modification rights.	**Required** Note	**Required** Note	**Required** Note
(x)	Dissemination and/or accessibility of documentation received from external sources such as regulatory authorities and original equipment manufacturers.	**Required** Note	**Required** Note	**Required** Note
Note: Required for conformity with ORM-H 2.1.1				

Table 1.2–Safety Training Specifications

Functional Groups

For the purpose of determining the applicability of airside safety training subject areas, ground handling personnel are grouped according to operational function as follows. [Note 1]

Function 1:	Personnel whose duties require access to airside areas.
Function 2:	Personnel whose duties require operation of basic GSE (e.g., tractors, belt loaders).
Function 3:	Personnel whose duties require: (1) operation of specialized equipment (e.g., aircraft movement units, container/pallet loaders, de-icing vehicles, catering vehicles), (2) exercise of control during aircraft movement operations, or (3) performance of lead responsibility over other personnel.
Function 4:	Personnel in first level management, to include supervisors having responsibility for: (1) directing staff and/or equipment resources, or (2) controlling an operational activity.
Function 5	Personnel in station management having responsibility for resource issues, health and safety, incident management and budgetary control.
Function 6	Personnel with duties in ticketing, check-in and boarding activities.
Function 7	Personnel operating within Cargo warehouse

Note 1: Functional definitions may be varied as determined by local requirements or considerations

Training Subject Areas

Safety training shall address, according to assigned operational function(s).

1.1.1 Safety Philosophy			
	(a)	Company safety policy and program **[SMS]**	All Functions
	(b)	Employer/employee responsibilities **[SMS]**	All Functions
1.1.2 Safety Regulations			
	(a)	International aviation regulations **[SMS]**	All Functions
	(b)	State aviation regulations **[SMS]**	All Functions
	(c)	Airport airside regulations **[SMS]**	All Functions
	(d)	Safe working and operating practices **[SMS]**	All Functions
1.1.3 Hazards [Note 2]			
	(a)	Vehicle movements	All Functions
	(b)	Pedestrian movements	All Functions
	(c)	Aircraft movements	All Functions
	(d)	Jet engines	All Functions
	(e)	Propeller-driven aircraft and helicopters	All Functions
	(f)	Aircraft antennae and other protrusions	All Functions
	(g)	GSE	Functions 2–5
	(h)	Aircraft fueling and fuel spills	All Functions
	(i)	Adverse and seasonal weather conditions	All Functions
	(j)	Night operations	All Functions
	(k)	Working at height	All Functions
	(l)	Slips, trips and falls	All Functions
	(m)	Noise	All Functions

Table 1.2–Safety Training Specifications			
	(n)	Manual handling	All Functions
	(o)	Confined Spaces	All Functions
	(p)	Office Equipment	All Functions
	(q)	Display Screen Equipment (DSE)	All Functions
	(r)	Violence (physical & verbal attack and public disorder)	All Functions
	(s)	Lone working	All Functions
Note 2: Subject areas (a) through (s) are applicable to personnel as appropriate to specific function and types of operations conducted.			
1.1.4 Human Factors			
	(a)	Motivation and attitude	All Functions
	(b)	Human behavior	Functions 4, 5
	(c)	Communication skills	All Functions
	(d)	Stress	All Functions
	(e)	Ergonomics	All Functions
	(f)	Effects of psychoactive substances (drugs and alcohol)	All Functions
	(g)	Fatigue	All Functions
	(h)	Time pressure	All Functions
	(i)	Peer management pressure	All Functions
	(j)	Situational awareness	All Functions
	(k)	Teamwork	All Functions
1.1.5 Airside Markings and Signage			Functions 1 to 5
1.1.6 Emergency Situations [Note 3]			
	(a)	Reporting **[SMS]**	All Functions
	(b)	Injuries	All Functions
	(c)	Security threats	All Functions
	(d)	Spillage	Functions 1 to 5
	(e)	Alarms and emergency stops	Functions 1 to 5
	(f)	Fuel shut-offs	Functions 1 to 5
	(g)	Ground-to-flight deck emergency hand signals	Functions 1 to 5
	(h)	Fire	All Functions
	(i)	Severe weather	Functions 1 to 5
	(j)	Aircraft stand emergency procedures	Functions 1 to 5
Note 3: Subject areas (a) through (j) are applicable to personnel as appropriate to specific function and types of operations conducted.			
1.1.7 FOD prevention			Functions 1 to 5
1.1.8 Personal protection [Note 4]			
	(a)	Personal protective equipment	All Functions
	(b)	Occupational health and safety	All Functions
	(c)	Musculoskeletal injury prevention	All Functions
	(d)	Weather exposure	Functions 1 to 5

Table 1.2–Safety Training Specifications		
Note 4: Subject areas (a) through (d) are applicable to personnel as appropriate to specific function and types of operations conducted.		
1.1.9 Accidents, Incidents, Near Misses Note 5		
(a)	Personnel injuries **[SMS]**	All Functions
(b)	Damage to aircraft, GSE, facilities	Functions 1 to 5
(c)	Reporting **[SMS]**	All Functions
(d)	Investigation	Functions 4, 5
(e)	Prevention **[SMS]**	All Functions
(f)	Cost of accidents, incidents **[SMS]**	All Functions
(g)	Risk assessment	All Functions
Note 5: Subject areas (a) through (g) are applicable to personnel as appropriate to specific function and types of operations conducted.		
1.1.10 Airside Safety Supervision		
(a)	Creating an open reporting culture **[SMS]**	Functions 4, 5
(b)	Performance monitoring	Functions 4, 5
(c)	Coordination of airside activities	Functions 4, 5
(d)	Workload management	Functions 4, 5
(e)	Decision making	Functions 4, 5
(f)	Planning	Functions 4, 5

Table 1.3–Airside Driver Training Specifications
Airside driver training for ground handling personnel shall address, as a minimum: 1.2.1 General (a) Role and responsibilities of vehicle Operators (b) Vehicle equipment standards (c) Hazards of airside driving (d) Reduced visibility procedures (e) Accident and incident reporting procedures 1.2.2 Ramps (aprons), stands and airside roads (a) Familiarization with ramp layout, operational stands, vehicle corridors, airside roads, aircraft taxi lanes (b) Airport rules, regulations and/or procedures pertaining to airside vehicle operations (c) Procedures for crossing aircraft movement areas (d) Pedestrian crosswalk rules 1.2.3 Maneuvering area [Note 1] (a) Identification of obstacle free areas, limited access areas (b) Airport regulations and requirements (c) Air Traffic Control (d) Airport layout (e) Maneuvering area driving (f) Radio communication requirements and procedures (g) Aircraft familiarization **Note 1:** Applicable to vehicle Operators that require operational access to maneuvering areas. 1.2.4 Evaluation

Table 1.4–Load Control Functional Training Specifications
Training for personnel with duties and/or responsibilities in operational load control functions shall address the following operational subject areas, as applicable to assigned function(s): (i) General weight and balance proficiency and awareness: (a) terminology, definitions of terms, operational codes, abbreviations; (b) aircraft balance principles, consequences of improper aircraft loading. (ii) Aircraft structural load limitations: (a) linear (running load) limitation, area limitation (spreader floors); (b) limitation per compartment/section/ULD position; (c) monocoque (combined) limitation, cumulative limitation; (d) missing restraints limitation. (iii) Unit load devices (ULD): (a) IATA identification codes; (b) gross weight limitations, hold restraint requirements; (c) container/pallets build-up and tie-down limitations/rules; (d) tagging. (iv) Bulk hold loading: (a) load spreading rules; (b) load restraint rules: nets, tie-down, volume restraint. (v) Load Sheet: (a) computation, issuance, checking (electronic and manual modes); (b) last minute change procedures. (vi) Balance tables/charts: (a) computation, issuance, checking (all conventional methods). (vii) Loading Instruction/Report (LIR): (a) designation and numbering of aircraft holds; (b) issuance and checking (electronic and manual modes). (viii) Loading messages: (a) reading and sending standard loading messages. (ix) Airline Specific Procedures (as applicable)

Table 1.5–Load Control Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in operational load control functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations (loading restrictions, compatibility rules) (iii) List of dangerous goods (iv) Labelling and marking (ULDs and parcels) (v) Recognition of undeclared dangerous goods (vi) Storage and loading procedures (vii) Pilot-in-command notification (NOTOC) (viii) Provisions for passengers and crew (ix) Emergency procedures (x) Airline Specific Procedures (as applicable)

Table 1.6–Passenger Handling Functional Training Specifications
Training for personnel with duties and/or responsibilities in operational passenger handling functions shall address the following subject areas, as applicable operational function(s): (i) Passenger check-in policies and procedures (ii) Baggage check-in policies and procedures (iii) Manual check-in procedures (iv) Cabin seating considerations, to include exit row, special passengers (v) Passenger boarding policies and procedures (vi) Cabin access door operation, if applicable, in accordance with provisions in HDL 1.2 (vii) Boarding bridge operation, if applicable, in accordance with provisions in HDL 1.4 (viii) Dangerous goods regulations, considerations and procedures (ix) Security regulations, considerations and procedures (x) Load control consequences, coordination and procedures (xi) Handling and boarding of weapons and authorized persons carrying weapons (xii) Passengers requiring special handling (xiii) Communication procedures (customer airlines, load control, authorities, others) (xiv) Data protection and security (xv) Document protection and security (xvi) Abnormal and emergency procedures (fire, dangerous goods, security, other) (xvii) Health and safety (xviii) Emergency response procedures (xix) Airline Specific Procedures (as applicable)

Table 1.7–Passenger Handling Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in passenger handling functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations and procedures (iii) Labelling and marking (iv) Recognition of undeclared dangerous goods (v) Provisions for passengers and crew (vi) Emergency procedures (vii) Airline Specific Procedures (as applicable)

Table 1.8–Baggage Handling Functional Training Specifications
Training for personnel with duties and/or responsibilities in operational baggage handling functions shall address the following subject areas, as applicable operational function(s): (i) Baggage handling procedures (identification, sorting, loading in ULDs) (ii) Manual baggage handling procedures (iii) ULDs (designation codes, inspecting, loading, tagging, removal from service) (iv) Dangerous goods (regulations, considerations, procedures) (v) Security (regulations, considerations, procedures) (vi) Load control (consequences, coordination, procedures) (vii) Communication procedures (customer airlines, load control, authorities, others) (viii) Data protection and security (ix) Document protection and security (x) Abnormal and emergency procedures (fire, dangerous goods, security, other) (xi) Health and Safety (xii) Emergency response procedures (xiii) Airline Specific Procedures (as applicable)

Table 1.9–Baggage Handling Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in baggage handling functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations (iii) Labelling and marking (iv) Recognition of undeclared dangerous goods (v) Storage and loading procedures (vi) Pilot-in-command notification (vii) Provisions for passengers and crew (viii) Emergency procedures (ix) Airline Specific Procedures (as applicable)

Table 1.10–Aircraft Handling and Loading Functional Training Specifications
Training for personnel with aircraft handling duties and/or responsibilities shall address the following subject areas, as appropriate to assigned operational function(s): (i) Irregularity/incident/accident reporting procedures (ii) Manual handling of load (iii) Safety during aircraft fueling (iv) Principles of aircraft loading (v) Handling of loads that require special attention (vi) Loading incompatibilities (vii) Handling of ULDs (viii) Operation of aircraft loading systems/securing of ULDs (ix) Identification/consequences of malfunctions of in-plane loading systems (x) Consequences of load damage and spillage (xi) Positioning and operation of loading and servicing equipment (xii) Load notification to pilot-in-command (xiii) Passenger embarkation/disembarkation procedures (xiv) Standards of aircraft cleaning, lavatory and potable water servicing (xv) Aircraft movement operations (xvi) Airline Specific Procedures (as applicable)

Table 1.11–Aircraft Handling and Loading Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in operational aircraft loading functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations (iii) Labelling and marking (iv) Recognition of undeclared dangerous goods (v) Storage and loading procedures (vi) Pilot-in-command notification (vii) Provisions for passengers and crew (viii) Emergency procedures (ix) Airline Specific Procedures (as applicable)

Table 1.12–Passenger Boarding Bridge Training Specifications
Passenger boarding bridge training for ground handling personnel shall address, as a minimum: (i) Standard operating procedures (ii) Bridge control system, including emergency switches, cut-offs and buttons (iii) Out-of-limits procedures (for returning bridge to normal working limits) (iv) Back-off procedures and application (v) Manual wind-off procedures (vi) Accident and incident response procedures (vii) Accident and incident reporting procedures (airport, provider) (viii) Fire procedures (bridge or aircraft) (ix) Airline Specific Procedures (as applicable)

Table 1.13–Aircraft Loading Supervisor Training Specifications
Training for personnel assigned to supervise aircraft loading operations for The Provider should address the following subject areas: (i) General weight and balance proficiency and awareness: (a) terminology, operational codes, abbreviations; (b) aircraft balance principles, consequences of improper aircraft loading. (ii) Aircraft structural load limitations: (a) basic knowledge of containerized holds resistance (relationship between missing or damaged restraints and ULD gross weight limitations); (b) area limitation (spreader floors); (c) limitation per compartment/section/ULD position; (d) monocoque (combined) limitation; (e) cumulative limitation; (f) missing restraints limitation. (iii) Unit load devices (ULDs): (a) tie-down limitations and rules; (b) rejection criteria for damaged ULD and tie-down accessories; (c) tagging. (iv) Bulk hold loading: (a) physical loading rules concerning baggage, cargo and mail; (b) tie-down and spreader floor procedures; (c) utilization of nets. (v) Loading Instructions/Report (LIR): (a) designation and numbering of aircraft holds; (b) utilization of the LIR document. (vi) Loading messages: (a) reading standard loading messages for off-loading of holds. (vii) Dangerous goods: (a) cargo IMP codes; (b) ULD and parcels labelling and marking; (c) loading compatibilities; (d) onboard accessibility; (e) rejection criteria; (f) emergency procedures. (viii) Other special loads (e.g., perishables, EAT AVI WET OBX, LHO): (a) cargo IMP codes; (b) marking and labelling; (c) loading compatibilities.

Table 1.13–Aircraft Loading Supervisor Training Specifications
(ix) Positioning and operations of loading equipment:
(a) areas of aircraft susceptible to damage by ground support equipment;
(b) recording and reporting of damage to aircraft caused by ground support equipment.
(x) Operation of aircraft loading systems:
(a) opening and closing of aircraft hold doors;
(b) In-plane loading systems;
(c) ULD automated and hand-operated restraints;
(d) Operator's hold configurations and layouts.
(xi) Airline Specific Procedures (as applicable)

Table 1.14–Aircraft Ground Movement Functional Training Specifications
Training for personnel with assigned duties and/or responsibilities in aircraft ground movement operations shall address the following subject areas, as applicable to assigned operational function(s): (i) Aircraft ground movement operations: (a) scope of operations; (b) principles, responsibilities; (c) practices, procedures; (d) hazards, risk assessment; (e) safety precautions. (ii) Operation of equipment: (a) nose gear towbar tractor(s); (b) nose gear Towbarless tractor(s); (c) main gear tractor(s), if applicable; (d) towbars. (iii) Equipment-aircraft connect and disconnect procedures. (iv) Aircraft ground movement standard verbal communications (ground-flight deck): (a) nose gear controlled pushback and towing operations; (b) main gear controlled pushback operations, if applicable; (c) powerback operations, if applicable. (v) Aircraft ground movement standard hand signals (ground-flight deck, ground-ground): (a) nose gear controlled pushback, towing operations. (b) main gear controlled pushback operations, if applicable. (c) powerback operations, if applicable; (d) power-in and power-out operations, as applicable. (vi) Aircraft marshalling: (a) scope of operations, principles, responsibilities; (b) practices, procedures; (c) standard hand signals; (d) use of aircraft parking guidance system(s). (vii) Aircraft ground movement assistance: (a) scope of activities, principles, responsibilities; (b) practices, procedures; (c) standard hand signals. (viii) Airline Specific Procedures (as applicable)

Table 1.15–Cargo and Mail Handling Dangerous Goods Training Specifications		
Functional Groups		
Subject areas to be addressed in dangerous goods training for cargo handling personnel is determined on the basis of operational functions as defined below. Note 1		
Function 6: Personnel assigned responsibilities for dangerous goods acceptance		
Function 7: Personnel assigned responsibilities for cargo and/or mail acceptance		
Function 8: Personnel assigned responsibilities for cargo or mail handling, ULD build-up and/or storage		
Note 1: Function numbers correspond to those used in the IATA DGR, Subsection 1.5, Table 1.5.A.		
Training Subject Areas		
Dangerous goods training subject areas are applicable to personnel in functional groups as shown below.		
(i)	General philosophy	Functions 6, 7, 8
(ii)	Limitations	Functions 6, 7
(iii)	General requirements for shippers	Function 6
(iv)	Classification	Function 6
(v)	List of dangerous goods	Function 6
(vi)	General packing requirements	Function 6
(vii)	Packing instructions	Function 6
(viii)	Labelling and marking	Functions 6, 7, 8
(ix)	Shippers declaration and other relevant documentation	Functions 6, 7
(x)	Acceptance procedures	Function 6
(xi)	Recognition of undeclared dangerous goods	Functions 6, 7, 8
(xii)	Storage and loading procedures	Functions 6, 8
(xiii)	Pilots' notification	Functions 6, 8
(xiv)	Provisions for passengers and crew	Functions 6, 7, 8
(xv)	Emergency procedures	Functions 6, 7, 8

Table 1.16–Specific SMS Training Specifications
Training for personnel with assigned duties in the safety management system (typically within the Safety Office) shall address the following subject areas, as applicable to assigned function(s): (i) Safety Risk Assessment: (a) management of safety reports; (b) hazard identification; (c) hazard analysis; (d) safety risk assessment; (e) safety mitigation and risk management; (f) Development of safety action plans. (ii) Safety Assurance: (a) Development of safety performance indicators; (b) Safety performance monitoring and measurement; (c) Safety auditing methodologies and techniques.

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Section 1 – Organization and Management (ORM-HS)

Applicability

Section 1 addresses the organization and management of a ground services provider (hereinafter the "Provider"), and provides specifications for the systems, policies, programs, procedures and manuals necessary to ensure control of ground operations throughout the organization (including all stations).

This section (ORM-HS) is utilized when a headquarters and station are audited together as a combined entity.

Sub-section 7 Ground Support Equipment (GSE) Management shall be assessed when provider utilize GSE at any station.

Sub-section 8 Unit Load Device (ULD) Management shall be assessed when the provider handles ULDs at any station.

The Auditor will determine individual provisions not applicable to a specific Provider.

General Guidance

Definitions of technical terms used in this section, as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

1. Management and Control

1.1 Organization and Accountability

ORM-HS 1.1.1 The Provider shall have a management system that ensures:

(i) Policies, systems, programs, processes, procedures and/or plans of the Provider are administered and/or implemented throughout the organization;

(ii) Ground operations are supervised and controlled;

(iii) Operations are conducted in accordance with applicable regulations and requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed management system structure.

Crosschecked association and conformity of the management system throughout the organization.

Evaluated status of conformity of management system throughout the organization with other management system GOSARPs.

Identified/Assessed assignment and deployment of supervision responsibilities.

Evaluated status of conformity of operations with applicable regulations and customer requirements.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Provider.

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

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

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

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

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

The management system ensures compliance with internal standards and the applicable regulations of all states where operations are conducted.

ORM-HS 1.1.2 The Provider shall identify one senior management official as the Accountable Executive who is accountable for performance of the management system as specified in ORM-HS 1.1.1 and:

(i) Irrespective of other functions, has ultimate responsibility and accountability on behalf of the Provider for the implementation and maintenance of the Safety Management System (SMS) throughout the organization;

(ii) Has the authority to ensure the allocation of resources necessary to manage safety risks to ground operations;

(iii) Has overall responsibility and is accountable for ensuring operations are conducted in accordance with applicable regulations and standards of the Provider. **[SMS] (GM)**

Auditor Actions

Confirmed job description of designated individual includes assigned accountability and responsibilities and reporting lines (especially between 'safety systems manager') in accordance with the standard.

Identified/Interviewed individual designated.

Evaluated examples of individual's actions taken that demonstrate the appropriate accountability and responsibility.

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Accountability, Accountable Executive (AE), Authority, Aircraft Operations, Responsibility, Safety Risk Management and Senior Management.

Guidance related to accountability for SMS may be found in AHM 610. Similar requirement is in IOSA ORG 1.1.3 applicable to the Operator.

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

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

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

In an SMS, the AE would typically have:

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

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

To ensure that the provider continues to meet applicable requirements, the AE might designate a manager with the responsibility for monitoring compliance. The role of such a manager would be to ensure that the activities of the provider are monitored for compliance with the applicable regulatory requirements, as well as any additional requirements as established by the provider, and that these activities are being carried out properly under the supervision of the relevant head of functional area.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 1.1.3 The Provider shall ensure the management system:

(i) Defines lines of accountability for operational safety and security throughout the organization, including direct accountability on the part of senior management;

(ii) Assigns responsibilities for ensuring ground operations are provided with the necessary resources and conducted in accordance with standards of the Provider, applicable regulations and requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified nominated officials responsible for the provision and conduct of operations.

Examined management system structure and organizational lines of accountability.

Examined job descriptions of all nominated officials throughout the organization (focus: accountabilities/ responsibilities are as specified in the standard).

Interviewed accountable executive and/or designated management representative(s).

Other Actions (Specify).

Guidance

There is no universal model for the designation of management accountability. Some organizations, perhaps based on regional or other business considerations, may have a management system whereby overall accountability for operational safety and security is shared among multiple corporate management officials.

Ideally, a provider would designate only one corporate management official to be accountable for system-wide operational safety and security. However, assignment of overall operational accountability to one corporate official is a recommended model, not a requirement.

When a provider designates more than one senior corporate official to share operational accountability, defined processes are in place to ensure operations are standardized and conducted within a functioning system, and not among separate stand-alone organizations (i.e. “silo effect”). In these cases an emphasis should be placed on clearly defining the delineation of authority and the communication mechanisms in place to ensure there is no confusion, contradiction or overlap of direction or decision-making by the many designated senior corporate officials.

With the designation of accountability, there is also a clear identification of authority and financial control within the management system for making policy decisions, providing adequate resources, resolving safety and security issues and ensuring necessary system components are in place and functioning properly.

Acceptable means of documenting accountability include, but are not limited to, organization charts (organograms), job descriptions, corporate by-laws and any other descriptive written material that defines and clearly indicates the lines of operational accountability from the corporate level(s) of management to the station level.

ORM-HS 1.1.4 The Provider shall designate an individual with the authority and the responsibility for:

(i) Implementation of a station management system;

(ii) Ensuring safety and security in station operations. **(GM)**

Auditor Actions

Identified designated responsible individual.

Examined station management system structure and organizational lines of accountability.

Examined job description of designated individual (focus: accountabilities/responsibilities are as specified in the standard).

Interviewed station manager and/or designated individual.

Other Actions (Specify).

Guidance

Such individual is typically referred to as the station manager.

1.2 Management Commitment

ORM-HS 1.2.1 The Provider shall have a policy that commits the organization to:

(i) A culture with safety and security as fundamental operational priorities;

(ii) Continuous improvement of the management system, as well as the levels of operational safety and security. **(GM)**

Auditor Actions

Identified/Assessed corporate safety and security policies (focus: organizational commitment to provision of necessary resources).

Identified/Assessed corporate continual improvement policy.

Examined examples of corporate communication.

Verified communication of policies in all operational areas.

Other Actions (Specify).

Guidance

The policy of a provider reflects the commitment of senior management to a strong culture of operational safety and security, and to ensure measuring and evaluating on a continuing basis, and making changes that improve the management system and the culture. Such policy (or policies) is (are) expressed in the organizational documents, and carried out through operational manuals and other controlled documents that are accessible to and used by personnel at all stations. To enhance effectiveness in creating the desired culture, the policy is communicated and made visible throughout the organization, to include stations, by disseminating communiqués, posters, banners and other forms of information in a form and language which can be easily

understood. To ensure continuing relevance, the corporate risk management policy is normally reviewed for possible update at a minimum of every two years.

Ideas for (continuous) improvement may come from internal and/or external sources; therefore, the organization would be constantly monitoring all sources and willing to make changes as necessary to keep the management system of the organization refreshed and strongly focused on improving the levels of operational safety and security.

1.3 (Intentionally Open)

1.4 Communication

ORM-HS 1.4.1 The Provider shall have a communication system that:

(i) Enables and ensures an exchange of information that is relevant to the conduct of ground operations;

(ii) Ensures changes that affect operational responsibilities or performance are communicated as soon as feasible to applicable management and front line personnel. **(GM)**

Auditor Actions

Identified/Assessed corporate communication system (focus: organizational capability for communicating information relevant to operations to all personnel).

Verified implementation of communication system in all operational areas.

Observed examples of information communication.

Interviewed selected management system and front line personnel.

Other Actions (Specify).

Guidance

An effective communication system ensures an exchange of relevant operational information among senior managers, operational managers and front line personnel. To be totally effective, the communication system would also include customer airlines, as well as external organizations that work alongside the provider or conduct outsourced operational functions for the provider.

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

Specific means of communication between management and operational ground handling personnel may include:

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

Where applicable, an effective system would ensure any non-verbal communication of operationally critical information or data requires an acknowledgement of receipt (e.g., changes to regulatory requirements, procedural changes from customer airlines).

1.5 Management Review

ORM-HS 1.5.1 The Provider shall have a process to review the management system at intervals not exceeding one year to ensure its continuing suitability, adequacy and effectiveness in the management and control of ground operations. A review shall include assessing opportunities for improvement and the need for changes to the system, including, but not limited to, organizational structure, reporting lines, authorities, responsibilities, policies, processes, procedures and the allocation of resources. **(GM)**

Auditor Actions

Identified/Assessed corporate management review process (focus: process identifies organizational opportunities for changes/improvement to management system).

Interviewed accountable executive and/or designated management representative(s).

Examined records of management reviews and review meetings.

Examined selected examples of output from management review process (focus: changes implemented to improve organizational performance).

Other Actions (Specify).

Guidance

Management review is a necessary element of a well-managed company and provides a process through which organizational control and continuous improvement can be delivered. To be effective, a formal management review takes place on a regular basis, but typically not less than a minimum of once per year.

An appropriate method to satisfy this requirement is a periodic formal meeting of senior executives. The agenda of the meeting includes a general assessment of the management system to ensure all defined elements are functioning effectively. The review also includes an assessment of operational performance to ensure the management system is producing the desired operational safety, security and quality outcomes.

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

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

- Risk management issues;
- Safety and security issues;
- Quality assurance issues;
- Provision of resources;
- Operational feedback;
- Incident and near-miss reports;
- Changes in regulatory policy or civil aviation legislation;
- Changes in company and/or customer airline policies or requirements;
- Process performance and organizational conformity;
- Status of corrective and preventative actions;
- Follow-up actions from previous management reviews;
- Feedback and recommendations for management system improvement;
- Regulatory violations.

To ensure the scope of a management review is systemic, the process would normally include input from stations.

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

- Improvement of the effectiveness of processes throughout the management system;
- Improvement of the management of risks;
- Ensuring the provision of resources necessary to satisfy operational safety, security and quality requirements.

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

1.6 Provision of Resources

ORM-HS 1.6.1 (Intentionally open)

ORM-HS 1.6.2 The Provider shall have a policy that ensures:

(i) Positions within the organization that affect operational safety and security are filled by personnel that possess the knowledge, skills, training, and experience appropriate for the position; and

(ii) Personnel who perform operationally critical functions are required to maintain competence on the basis of continuing education and training. **(GM)**

Auditor Actions

Identified/Assessed standards/processes for hiring/selection of management/non-management personnel (focus: safety/security positions relevant to aircraft operations are filled by personnel with qualifications appropriate for position).

Identified/Assessed standards/processes for maintaining competency of personnel in functions relevant to safety/security of aircraft operations (focus: standards specify continuing education/training, meeting technical requirements).

Interviewed accountable executive or designated management representative(s).

Interviewed selected personnel that perform safety/security functions relevant to aircraft operations.

Verified adequacy of physical resources/services and implementation of personnel selection standards/processes in all operational areas.

Other Actions (Specify).

Guidance

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

For example, the position of station manager would typically have special prerequisite criteria an individual would have to meet in order to be considered for assignment to that position. Similarly, special prerequisite criteria are typically required for other positions throughout the management system that affect safety and security (e.g. safety manager, quality assurance manager, security manager).

Positions that require the implementation of security functions typically require completion of a background and criminal history check.

A corporate personnel selection policy that applies to all operational areas of the company serves to satisfy this requirement.

Positions or functions within the organization of a provider considered “operationally critical” are those that have the potential to affect operational safety or security. In general, most front line operational functions in load control, passenger handling, baggage handling, aircraft handling and loading, aircraft movement, and cargo handling would typically be considered operationally critical, as well as functions that involve the training of operational personnel. Positions not directly associated with operations (e.g., administrative or clerical positions) may not be deemed as operationally critical.

ORM-HS 1.6.3–1.6.4 (Intentionally open)

ORM-HS 1.6.5 The Provider shall have a policy that addresses the use of psychoactive substances by operational personnel, and ensures:

(i) The exercise of duties while under the influence of psychoactive substances is prohibited;

(ii) Consequences for such behavior are defined. **(GM)**

Auditor Actions

Identified/Assessed use of psychoactive substances policy.

Interviewed accountable executive or designated management representative(s).

Verified policy is implemented in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Psychoactive Substances.

2. Documentation and Records

2.1 Documentation System

ORM-HS 2.1.1 The Provider shall have a system for the management and control of the internal and external documentation and/or data used directly in the conduct or support of operations. Such system shall comprise the elements specified in Table 1.1 and shall include documentation provided to external entities, if applicable. **(GM)**

Auditor Actions

Identified/Assessed system(s) for management/control of operational documentation/data (focus: system addresses applicable documentation types/elements as specified in Table 1.1).

Interviewed persons involved in the documentation management/control process.

Examined selected examples of documentation/data used in operations.

Verified implementation of documentation management/control system in all operational areas.

Other Actions (Specify).

Guidance

External suppliers and companies that are outsourced to deliver ground operations services and products to the audited Provider are considered under the term “external entities”.

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

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

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

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

Document control might include:

- Retention of a master copy;
- Examination and approval prior to issue;
- Review and update, to include an approval process;
- Version control (electronic documents);
- Identification of revision status;
- Identification and retention of revisions as history;
- Identification and retention of background or source references as history;
- Distribution to ensure appropriate availability at points of use;
- Checking of documents to verify they remain legible and readily identifiable;
- As required, identification, update, distribution and retention of documents of external origin;
- As applicable, identification and retention of obsolete documents;
- As applicable, disposal of documents.

Additionally, control of operational manuals might include:

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

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

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

- A distribution list;
- Identification of responsibility for authorizing the document.

ORM-HS 2.1.2 If the Provider utilizes an electronic system for the management and control of any documentation and/or data used directly in the conduct of operations, and/or for the management and control of records, the Provider shall ensure the system provides for a scheduled generation of backup files for such documentation and/or data. **(GM)**

Auditor Actions

Identified/Assessed process for schedule back-up of electronic documentation, data and or electronic operational records (focus: system defines schedule for periodic file backup).

Interviewed responsible management representative(s).

Verified satisfactory functionality of back-up system(s), including recovery of data.

Verified applicable back-up process is implemented in all operational areas.

Other Actions (Specify).

Guidance

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

The retention period for electronic documents and records is typically in accordance with requirements defined by applicable regulations and/or legislation and the provider.

To ensure retrieval of archived documents and records, applicable hardware and/or software is normally retained after it has been replaced.

2.2 Operational Manuals

ORM-HS 2.2.1 The Provider shall have a Policies and Procedures Manual (PPM) that contains the operational policies, procedures, instructions and other guidance or information necessary for ground handling personnel to perform their duties and be in compliance with applicable regulations, laws, rules, requirements and standards, and such a manual shall be accessible to all operational personnel in a usable format at all stations. **(GM)**

Auditor Actions

Identified/Assessed PPM for content in conformity with this standard (focus: document management and control).

Interviewed responsible management representative(s) and station operational personnel.

Verified PPM accessible in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Policy and Procedure Manual.

Policies and Procedures Manual (PPM) is a generic name; an equivalent manual with a different name is an acceptable alternative (e.g. Ground Operations Manual, Ramp Handling Manual, Passenger Handling Manual, as applicable to the operations).

The PPM contains generic guidance that addresses all functions within the scope of ground operations, and also contains information that is function-specific. Because the scope of ground operations is broad, rather than publishing one large manual, a Provider may choose to issue the Manual in separate parts that are specific to the various ground handling functions conducted by the provider (e.g., Passenger Handling Manual, Baggage Handling Manual, Cargo Handling Manual). Each individual part would contain generic guidance that is applicable to all ground handling functions (e.g., organizational policies, general definitions), as well as guidance that is specific to the particular function (e.g., process descriptions, standard operating procedures). To ensure standardization, a control process would be in place to ensure use of either the PPM and/or the Operations Manual (OM) of the customer airline(s) such that all applicable operational safety, security and quality requirements are fulfilled.

ORM-HS 2.2.2 The Provider *should* utilize as a minimum processes and procedures as outlined in the IATA Ground Operations Manual (IGOM) as applicable to the Provider's scope of operations at the station. **(GM)**

Auditor Actions

Identified/Assessed implementation of IGOM processes and procedures.

Interviewed responsible management representative(s).

Verified, where utilized, implementation of IGOM processes and procedures in all operational areas.

Other Actions (Specify).

Guidance

As a best practice, a provider would typically conduct a gap analysis of its GOM processes and procedures to identify the level of compliance with those in the IGOM.

Processes/procedures in the IGOM have been developed based on industry-accepted practices that generally provide an acceptable level of safety risk in the conduct of ground handling operations.

It is recommended that providers utilize all “shall” processes and procedures contained in the IGOM as a minimum standard in their GOM.

ORM-HS 2.2.3 The Provider *should* have a process to ensure conformance with the specific operational requirements of each customer airline(s). **(GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed process defining the Operator documentation Gap Analysis and development of Provider's specific procedures.

Identified/Assessed process to implement updated Operator-specific procedures to all operational personnel as applicable.

Interviewed responsible manager(s) as identified by related process.

Examined a sample of gap analyses related to maintaining Provider procedures for Operator-specific operations within the scope of ISAGO.

Other Actions (Specify).

Guidance

It is a Provider's obligation to conduct its ground operations in accordance with the operational requirements of the customer airline. The Provider should therefore define how the Operator-specific procedures can be identified and incorporated in the ground operations procedures. The Provider should normally conduct a gap analysis of the Operator's documentation (usually referred to as GOM) against its own processes and procedures.

The Provider should then adopt Operator-specific procedures for any deviation identified. Details of any amendment and implementation of a new procedure should be communicated to all operational personnel and, where necessary, training conducted.

This process could be completed either entirely at headquarter level or at or in collaboration with each station.

This process can be significantly simplified when both, the Operator and Provider accept IGOM requirements.

ORM-HS 2.2.4 The Provider shall have processes to ensure the required operational documentation is accessible in a usable format in all station locations where operations are conducted. Such required documentation shall include:

(i) The current version of applicable operational manual(s) of all customer airline(s);

(ii) The current IATA Dangerous Goods Regulations (DGR) and Addenda, if applicable, or equivalent documentation;

(iii) The current emergency response plan (ERP) of local airport authority and of the customer airline(s), as applicable;

(iv) The current Live Animal Regulations (LAR), Perishable Cargo Regulations (PCR) and ULD Regulations (ULDR), as applicable. **(GM)**

Auditor Actions

Identified/Assessed processes for provision of operational documentation.

Verified operational documentation as required by this standard in all operational areas.

Other Actions (Specify).

Guidance

A provider may be required to maintain only part of the manual for certain customer airlines.

Based on customer airline requirements and the types of ground operations conducted at a specific location, only relevant parts of applicable manuals may be necessary.

Availability of only the provider's manual may be sufficient when such manual is accepted by the customer airline(s) or when a customer airline does not provide a manual.

A current edition of the DGR would include any Addenda that are applicable.

Equivalent documentation would contain information derived from the DGR that is relevant only to the specific ground handling functions conducted at any particular location. Also, the ICAO Technical Instructions for the Transport of Dangerous Goods would be considered equivalent documentation.

The Live Animal Regulations (LAR), Perishable Cargo Regulations (PCR) and ULD Regulations (ULDR) are manuals that are required only at stations where cargo operations are conducted.

Applicability of dangerous goods requirements to ground operational functions is defined in DGR Section 1, Table 1.5.A.

Guidance with respect to ERP requirements may be found in AHM 620.

ORM-HS 2.2.5 If the Provider outsources ground operations and/or associated functions to an external ground service provider, the Provider shall have a process to ensure each applicable external provider is supplied with operational manuals relevant to the type(s) of outsourced ground operations conducted, including all applicable manuals from customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed process to ensure each applicable external provider is supplied with operational manuals.

Verifiedin a selected number, forwarding of proprietary and customer airlines(s) operational manuals to external ground service provider(s).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Outsourcing.

2.3 Records System

ORM-HS 2.3.1 The Provider shall have a system for the management and control of operational records to ensure the content and retention of such records is in accordance with applicable regulations and requirements of the customer airline(s), and to ensure operational records are subjected to standardized processes for:

(i) Identification;

(ii) Legibility;

(iii) Maintenance;

(iv) Retrieval;

(v) Protection and security;

(vi) Disposal, deletion (electronic records) and archiving. **(GM)**

Auditor Actions

Identified/Assessed system for management/control of operational records (focus: system includes standardized processes as specified in standard).

Interviewed responsible management representative(s).

Examined selected examples of operational records.

Verified implementation of records management/control processes in all operational areas.

Other Actions (Specify).

Guidance

Such process would typically address all records associated with ground operations at each station, including personnel training records and any other records that document the fulfillment of operational requirements (e.g. GSE maintenance, weigh bridge calibration).

3. Safety and Quality Management System

3.1 SMS–Safety Policy and Objectives

ORM-HS 3.1.1 The Provider *should* have an SMS that is implemented and integrated throughout the organization to ensure management of the safety risks associated with ground operations. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard. Conformity with ORM-HS 3.1.1 is possible only when the Provider is in conformity with all standards and recommended practices that are identified by the* ***[SMS]*** *symbol.*

Auditor Actions

Identified/Assessed SMS structure (focus: implementation of safety risk management processes).

Interviewed accountable executive and/or designated management representative(s).

Assessed status of conformity with all ORM SMS GOSARPs.

Verified SMS implemented and integrated in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Safety Management System (SMS) and State Safety Program (SSP).

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.1.10 applicable to the Operator.

ISAGO specifications for a Provider's SMS are derived from the SMS Framework, which is published in Annex 19 to the Convention on International Civil Aviation (ICAO Annex 19). The SMS Framework specifies the four major components and 12 elements that make up the basic structure of an SMS.

Where applicable, a SMS is designed and implemented in accordance with the State Safety Program (SSP). The manner in which the elements of SMS are implemented typically reflects the size and complexity of the provider's organization.

In general, an SMS is designed and implemented to:

- Identify safety hazards in operations;
- Ensure remedial action is implemented to control safety risks;
- Provide for ongoing monitoring and assessment of safety performance;
- Make continual improvement to the level of safety in operations.

Expanded guidance may be found in the ICAO Safety Management Manual (ICAO SMM), Document 9859.

ORM-HS 3.1.2 The Provider *should* appoint a manager(s) who is responsible for:

(i) The implementation, maintenance and the day-to-day administration and operation of the SMS at the corporate level and throughout the organization;

(ii) The day-to-day administration and operation of the SMS at the station level. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified appointed safety manager for implementation, maintenance and day-to-day administration of the SMS (representation in the organization chart and reporting lines, especially between “safety manager” and chief executive and other personnel within the organization).

Examined job description of SMS manager (focus: assigned SMS responsibilities).

Interviewed SMS manager and/or designated representative.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.1.12 applicable to the Operator.

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

“Corporate Safety Manager”

The individual assigned responsibility for organizational implementation of an SMS is ideally a management official that reports to the AE. Also, depending on the size, structure and scope of a provider's organization, such individual may be assigned functions in addition to those associated with the SMS manager position. The SMS responsibilities of the appointed manager are to be documented and reporting lines are to be clearly defined, especially between the appointed manager and the AE. The reporting lines are generally defined on an organization chart and may be defined within the Job Description.

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

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

Personnel responsible for SMS at each individual station

The provision of a manager that focuses on the day-to-day administration of the SMS reflects the usual need for an individual that has a degree of authority when coordinating and addressing safety matters at the station and in cooperation with corporate office and provider's SMS. This person liaises with operational managers, who retain the responsibility for safety in their respective areas of operations. The operational managers may also be the experts needed to be involved when safety risk management tasks are performed.

Station management positions critical to operational safety may require enhanced job descriptions or terms of reference that reflect specialized requirements inherent in certain key positions and, where applicable, compliance with regulatory requirements, as well as internal policies and procedures.

For a Provider that operates at one single location, functions as described in ORM-HS 3.1.2 (i) and (ii) should be combined, and duties could be carried by single individual.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.1.3 The Provider *should* define the safety responsibilities of management and non-management personnel throughout the organization and specify the levels of management with the authority to make decisions that affect the safety of ground operations. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed defined safety accountabilities/authorities/responsibilities for management/non-management personnel (focus: definitions apply to personnel throughout the organization

Interviewed accountable executive and/or designated management representative(s).

Verified defined accountabilities/authorities/responsibilities in all operational areas (SMS organization chart and identification of key personnel involved in SMS).

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.3.1 applicable to the Operator.

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

In the context of an SMS, accountability means being responsible for taking corrective actions, either to address hazards and/or errors identified through reporting or from other sources, or in response to events, such as accidents and incidents.

An effective management system has lines of authority and responsibility that flow from corporate senior management into all operational areas of the organization.

Delegation of authority and assignment of responsibility is described and communicated such that it is understood throughout the organization. As a minimum, organization charts or organograms, are acceptable means for documenting the structure of a management system.

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.1.4 The Provider shall have a corporate safety policy that:

(i) Reflects the organizational commitment regarding safety;

(ii) Includes a statement about the provision of the necessary resources for the implementation of the safety policy;

(iii) Includes safety reporting procedures as specified in ORM-HS 3.2.2;

(iv) Indicates which types of behaviors are unacceptable and includes the circumstances under which disciplinary action would not apply as specified in ORM-HS 3.1.5;

(v) Is signed by the Accountable Executive of the organization;

(vi) Is communicated, with visible endorsement, throughout the organization;

(vii) Is periodically reviewed to ensure it remains relevant and appropriate to the Provider. **[SMS] (GM)**

Auditor Actions

Identified/Assessed corporate safety policy that is signed by the Accountable Executive of the organization and periodically reviewed (focus: organizational commitment to safety/commitment to continual improvement/provision of necessary resources).

Interviewed accountable executive, SMS manager and/or designated management representative.

Examined examples of corporate communication (focus: safety policy communicated throughout organization.

Verified communication of safety policy throughout the organization.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.2.1 applicable to the Operator.

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

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

- Compliance with applicable regulations and standards of the Provider;
- Ensuring the management of safety risks to operations;
- The promotion of safety awareness;
- Continual improvement of operational performance.

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

Such policy might be documented in the operations manual or other controlled document, and, to enhance effectiveness, is communicated and made visible throughout the organization through dissemination of communiqués, posters, banners and other forms of information in a form and language which can be easily understood. To ensure continuing relevance, the corporate policy is normally reviewed for possible update a minimum of every two years.

Consistent with the structure and complexity of the provider's organization, the corporate safety policy may be issued as a stand-alone policy or combined with others.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.1.5 The Provider shall have a corporate safety reporting policy that encourages personnel to report hazards to ground operations and, in addition, defines the Provider's policy regarding disciplinary action, to include:

(i) Types of operational behaviors that are unacceptable;

(ii) Conditions under which disciplinary action would not be taken by the Provider. **[SMS] (GM)**

Auditor Actions

Identified/Assessed corporate safety reporting policy and procedures (focus: personnel urged to report operational hazards; definition of disciplinary policy/potential disciplinary actions; data protection).

Interviewed accountable executive and/or designated management representative(s).

Verified implementation of safety reporting in all operational areas.

Examined examples of safety reports.

Other Actions (Specify).

Guidance

Similar requirement is in IOSA ORG 1.2.3 applicable to the Operator.

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

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

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

Consistent with the structure and complexity of the provider's organization, the safety reporting policy may be issued as a stand-alone policy or combined with others.

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.1.6 The Provider *should* have a corporate emergency response plan (ERP) that includes provisions for:

(i) The central management and coordination of all the Provider's activities should it be involved in or it is necessary to respond or react to an aircraft accident or other type of adverse event that could result in fatalities, serious injuries, considerable damage and/or a significant disruption to operations;

(ii) The appropriate coordination or be compatible with the ERPs of other applicable organizations relevant to the event. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed corporate emergency response plan (ERP) (focus: plan suitable for organizational response to major accident/other adverse event).

Interviewed designated ERP manager.

Verified implementation of ERP in all operational areas.

Identified/Assessed ERP transition processes (focus: plan includes transition from normal-emergency/and emergency-normal operations; coordination with relevant external organizations).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Emergency Response Plan (ERP).

Guidance may be found in AHM 620. Similar requirement is in IOSA ORG 4.1.1 and 4.1.4 applicable to the Operator.

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

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

An ERP typically defines:

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

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

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.1.7 The Provider *should* have SMS documentation that includes a description of:

(i) The safety policy and objectives, SMS requirements, SMS processes and procedures, the accountabilities, authorities and responsibilities for processes and procedures, and the SMS outputs;

(ii) Its approach to the management of safety, which is contained in a manual as a means of communication throughout the organization. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed SMS documentation (focus: description of overall organizational management of safety).

Interviewed SMS manager and/or designated management representative(s).

Examined selected parts of SMS documentation (focus: content includes safety policy; describes/defines accountabilities/responsibilities for safety processes/procedures in all areas of operations).

Coordinated to verify SMS documentation in all operational areas.

Other Actions (Specify)

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 2.1.5, applicable to the Operator.

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

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

SMS documentation typically addresses:

- Scope of the SMS;
- Regulatory and legislative SMS requirements including Airport Regulations (if applicable);
- Safety policy and objectives;
- Safety accountabilities;
- Key safety personnel;
- Document and record control procedures;
- Coordination of emergency response planning;
- Hazard reporting system;
- Incident reporting and investigation procedures;
- Hazard identification and risk management schemes;
- Safety assurance including continuous improvement, auditing and management of change;
- Safety performance indicators and safety performance monitoring;
- Safety auditing (safety and quality auditing may be combined);
- Management of change;
- Safety promotion including training and communication;
- Outsourced services.

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

SMS documentation supports the management of operations and would be subject to management and control as specified in ORM-HS 2.1.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.1.8 The Provider shall have an SMS implementation plan, formally endorsed by the organization that defines the Provider's approach to the management of safety in a manner that meets the organization's safety objectives. **[SMS] (GM)**

Auditor Actions

Identified/Assessed implementation plan (focus: includes all SMS provisions).

Interviewed responsible management representative(s).

Examined progress records (focus: adherence to plan).

Other Actions (Specify).

Guidance

Additional guidance may be found in AHM 610.

For a provider that is in the process of working toward full SMS implementation, documentation would typically include an SMS implementation plan that details the way the provider will structure its organization, resources and processes to effectively manage safety in operations. It contains a realistic strategy for implementation of SMS with a realistic timeline of activities. In addition, documentation would describe those SMS elements that have been implemented and, as feasible, elements that are in the process of being implemented.

A phased approach to the implementation of SMS was commonly practiced in other areas of aviation operations. It was seen as an effective and efficient way of managing the development and implementation of the various functions, processes and procedures involved. It allows Providers to establish budgets for resources and assign roles, work plans and responsibilities accordingly. An implementation plan, based on the existing and future amendments of the SMS provisions, would show the organization's intentions and commitment to the management of safety.

The implementation plan must cover all SMS provisions that are not already in place – as determined probably by a gap analysis. And it must also cover all areas of the organization, including all stations.

The SMS implementation plan may be a stand-alone document or it can be a distinct SMS section or chapter within an existing organizational document that is approved by the Authority (if applicable). Where details of the organization's SMS processes are already addressed in existing documents, appropriate cross referencing to such documents is sufficient.

The SMS implementation plan is kept up to date by the provider. When significant amendments are made, acceptance by the Authority might be required.

The steps in the table below provide a guideline to implementing an SMS and could be part of the implementation plan.

Develop a 'Management Plan' Senior management should develop an SMS management/strategic plan which could include safety-related goals, objectives, and performance measures. This will assist in determining the priorities of the organization for the implementation of an SMS.
Develop an Implementation Plan An implementation plan does not have to be a large document; it can be developed by extracting the list of outstanding tasks from the gap analysis, ordering them in terms of the priority of implementation, and listing the resources and the individuals responsible for completing them. Timeframes for each of the tasks will assist in keeping the implementation actions on track.
Assign accountability and responsibility It is essential that the roles and responsibilities of staff in the implementation of an SMS are defined, clearly communicated and then tracked. Recommended individual responsibilities of executives, managers, and individual staff should be covered.

Develop policies, procedures and other documentation This step can be the most time consuming, but is essential in ensuring that there is a standardized, well-understood and well-communicated SMS. A policy statement from the executive staff outlining their commitment to safety is needed. Consider a procedures manual which outlines the processes, actions and work flows that are involved.
Establish the SMS 'toolkit' A 'toolkit' contains the actions, processes, and supporting tools that are the heart of an SMS. It can include any or all of the following: • internal safety reporting processes (including a database that an organization may use to capture reports); • internal safety investigation procedures; • an internal auditing system; • safety communication processes, such as a safety committee meeting, and how safety-related information is escalated, and disseminated to those in the company and the relevant external entities; and • training and education packages.
Implement an SMS training and education program Once the plans, policies, procedures and toolkit are in place the rationale for implementing an SMS should be communicated to all staff. This can be done through a structured training and education program which may include a presentation to all staff, a web-based package or a series of informative newsletters or emails. Consider the level of education required by those with safety responsibilities; e.g. the executives, the safety manager.
Monitor and review Once the components of a safety management system have been implemented, it is important to gain assurance that they are actually working. The performance measures originally outlined in the management plan can be used to track the success of the SMS. The way to track them could be through a safety committee meeting, or through an annual review of the SMS.

3.2 SMS–Safety Risk Management

ORM-HS 3.2.1 The Provider *should* have a hazard identification program that is implemented and integrated throughout the organization to include:

(i) A combination of reactive and proactive methods for safety data collection;

(ii) Processes for safety data analyses that identify existing hazards and predict future hazards to operations. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed organizational safety hazard identification program (focus: program identifies hazards to operations; describes/defines method(s) of safety data collection/analysis).

Interviewed SMS manager and/or designated management representative(s).

Examined records/documents that illustrate organizational integration (focus: coordinated involvement of all operational areas in hazard identification process).

Examined selected examples of hazards identified through data collection/analysis.

Other Actions (Specify)

Guidance

Guidance may be found in AHM 621. Similar requirement is in IOSA ORG 3.1.1 applicable to the Operator.

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

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

To be effective, reactive and proactive processes are used to acquire information and data, which are then analyzed to identify existing or predict future (i.e. potential) hazards to operations. Examples of processes that typically yield information or data for hazard identification include:

- Confidential or other reporting by personnel;
- Investigation of accidents, incidents, irregularities and other non-normal events;
- Observation of personnel during operations and training;
- Quality assurance and/or safety auditing;
- Safety information gathering or exchange (external sources).

Processes would be designed to identify hazards that might be associated with organizational business changes, the introduction of significant outsourcing of operational functions etc.

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.2.2 The Provider *should* have a non-punitive operational safety reporting system that is implemented throughout the organization in a manner that:

(i) Encourages personnel to report any incident or hazard to ground operations, identify safety hazards, expose safety deficiencies or raise safety concerns;

(ii) Complies with applicable mandatory reporting regulations and requirements;

(iii) Includes analysis and management action as necessary to address safety issues identified through the reporting system;

(iv) Specifies the measures to protect safety data from being used for any purpose other than the improvement of safety and SMS. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed corporate safety reporting policy and procedures (focus: personnel urged to report operational hazards; definition of disciplinary policy/potential disciplinary actions; data protection).

Interviewed accountable executive and/or designated management representative(s).

Verified implementation of safety reporting in all operational areas.

Examined examples of safety reports.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 621 and AHM 650. Similar requirement is in IOSA ORG 3.1.3 applicable to the Operator.

Operational reporting is considered a proactive hazard identification activity in an SMS.

Frontline personnel, such as ground crew, gate and check in staff, warehouse staff and GSE operators, are exposed to hazards and face challenging situations as part of their everyday activities. An operational reporting system provides such personnel with a means to report these hazards or any other safety concerns so they may be brought to the attention of relevant managers.

Such systems are considered “non-punitive” because they afford a level of protection (excluding willful misconduct) to reporters. While the nature and extent of the Providers’ non-punitive policies may vary, the intent is to promote an effective reporting culture and proactive identification of potential safety deficiencies to support continuous improvement. Policies that distinguish willful acts of misconduct from inadvertent errors, providing for an appropriate punitive or non-punitive response, are essential to assure the effective reporting of systemic safety deficiencies. A culture that fails to distinguish unintentional errors/mistakes from acts of willful misconduct will inhibit the reporting process. If personnel avoid reporting for fear of punishment, management will not gain important safety information.

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

feedback on the outcome of the action taken also builds a positive reporting culture and a sense of ownership and inclusion of the reporter.

An effective system provides for a review and analysis of each report to determine whether a real safety issue exists, and if so, ensure development and implementation of appropriate action by responsible management to correct the situation. Any risks identified and corrections/changes made as a result of the operational safety reporting, review and analysis must be disseminated throughout the organization to the relevant staff.

While the Provider may not be required by regulation to report directly to the Authority, the provider will need to know the mandatory reporting of the Authority within the scope of their activities. The Provider may not report these to the authorities but will be required to report these to the Operator/Customer who then must fulfil their regulatory obligation and report them to the Authority. The Provider needs to know and support the Operators/regulatory requirements.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.2.3 The Provider *should* have a safety risk assessment and mitigation program that includes processes implemented and integrated throughout the organization to ensure:

(i) Hazards are analyzed to determine corresponding safety risks to ground operations;

(ii) Safety risks are assessed to determine the requirement for risk mitigation action(s);

(iii) When required, risk mitigation actions are developed and implemented in operations. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed organizational safety risk assessment/mitigation program (focus: hazards analyzed to identify/define risk; risk assessed to determine appropriate action; action implemented/monitored to mitigate risk).

Identified/Assessed process for risk assessment/mitigation (focus: all operational disciplines participate in process).

Interviewed SMS manager and/or designated management representative(s).

Examined records/documents that illustrate organizational integration (focus: coordinated involvement of all operational disciplines in risk assessment/mitigation program).

Examined selected examples of risk assessment/risk mitigation action(s).

Coordinated to verify implementation of safety risk assessment/mitigation in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Risk.

Guidance may be found in AHM 610 and AHM 621. Similar requirement is in IOSA ORG 3.1.2 applicable to the Operator.

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

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

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

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

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

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.2.4 The Provider *should* have a process:

(i) To conduct and/or participate in an investigation of an incident/accident where its services were involved, to include reporting of events, in accordance with requirements of the costumer airline(s), the Airport Authority, and/or State, as applicable;

(ii) For identifying and investigating irregularities and other non-routine operational occurrences that might be precursors to an accident or incident. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed accident investigation procedures (focus: formal procedures developed for the triggers to commence an investigation, processes for gathering evidence and conducting the analysis, processes for developing recommendations, and for distributing the report - process includes compliance with applicable requirements).

Interviewed responsible manager(s).

Examined selected reports on accidents and incidents (focus: correct involvement; investigation identifies operational safety hazards, produces recommendations to prevent recurrence/mitigate risk).

Other Actions (Specify).

Guidance

Guidance may be found in AHM 652 and AHM 653. Similar requirement is in IOSA ORG 3.3.10 and 3.3.11 applicable to the Operator.

Incident/accident investigation is considered a reactive hazard identification activity in an SMS.

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

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

An effective investigation process typically includes:

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

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

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

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

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

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

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.2.5–3.2.9 (Intentionally open)

ORM-HS 3.2.10 The Provider *should* have a process to ensure aircraft ground damages are reported, if not prohibited by the customer airline(s), to IATA for inclusion in the Ground Damage Database (GDDB). Such reports *should* be submitted in accordance with the formal IATA ground damage reporting structure. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed process for reporting aircraft ground damage to IATA GDDB.

Examined a sample of reports for completeness.

Crosschecked aircraft ground damages events notification to IATA

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of IATA Ground Damage Database (GDDB).

The IATA GDDB has been established as a quality source of defensible data that will support a performance-based approach to the management of ground operations. Data submitted to IATA for the GDDB is assembled and integrated in a manner that permits, through statistical analysis, the identification of trends and contributing factors associated with aircraft ground damages.

Participants that submit data for the GDDB benefit from having access to the analytical results. Additionally, such results are used by IATA and the various working groups and task forces associated with the ISAGO program as the basis for the development of damage prevention strategies and success measurement metrics.

The assurance of data quality and overall database integrity requires that data is submitted by participants in a uniform and consistent manner. Therefore, the GDDB includes strict reporting protocols, as well as associated definitions and assumptions. GDDB together with ISAGO and IGOM/AHM is part of IATA Integrated Solution for Ground Operations. Reporting guidelines and other information can be found online at the IATA Global Safety Information Center (GSIC) (http://www.iata.org).

3.3 SMS–Safety Assurance

ORM-HS 3.3.1 The Provider *should* have a safety assurance program, including a detailed audit planning process and sufficient resources that provides for the auditing and evaluation of the effectiveness of the management system and ground operations at all stations to ensure the Provider is:

(i) Complying with applicable safety regulations and requirements of the customer airline(s);

(ii) Identifying hazards to operations;

(iii) Monitoring effectiveness of safety risk controls;

(iv) Verifying safety performance in reference to the safety performance indicators and safety performance targets. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed safety assurance program (focus: role/purpose within organization/SMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management system/operational areas).

Interviewed SMS manager and/or designated management representative(s).

Interviewed Safety assurance program manager.

Interviewed selected operational managers (focus: interface with quality assurance program).

Examined selected safety audit reports (focus: audit scope/process/organizational interface.

Coordinated to verify implementation of safety assurance audit program in all operational areas.

Other Actions (Specify).

Guidance

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

Similar requirement is in IOSA ORG 3.4.1 applicable to the Operator.

A Safety Assurance program focuses on and is a means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls.

While there as similarities between Quality Assurance (QA) and Safety Assurance (SA); the objective of QA within a QMS is to provide systemic assurance that the processes and procedures used by the organization will result in the provision of products or services that meet a predetermined standard and hence customers' expectations. It does this by ensuring adequacy of and compliance to approved procedures. SA within a SMS differs from QMS in that SMS focuses on human factors and organizational factors, and integrates into these, quality management techniques and processes, to contribute to the achievement of safety satisfaction. The objective of SMS is to identify the safety hazards the organization must confront and in some cases generates during delivery of services, and to bring the safety risks or the consequences of these hazards under organizational control. As the SMS and QMS share many techniques, processes and commonalities, there may

be a tendency to assume that an organization that has established and operates a QMS does not need, or already has, a SMS.

Due to the commonalities between QA and SA, or more broadly QMS and SMS, there is the possibility to integrate the activities, this create efficiency and leverages off common resources. This integration is scalable to the size and complexity of the organization, and be of particular advantage for a small, non-complex organization. For example, by using the same techniques i.e. auditing, a Provider may add the scope of quality auditing with the scope of safety auditing and conduct the audit of a line station as one event. Similarly, integration can occur with a combine Safety and Quality Policy, as with many other areas of the QMS and SMS. There are also similarities with Workplace or Occupational Health and Safety in which integration may occur.

The SA program is applied throughout the organization and includes auditing, with the following detail:

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

The process normally includes means whereby the auditor and the audited area have a comprehensive discussion and reach agreement on the findings and corresponding corrective or preventive actions. Clear procedures are typically established to resolve any disagreement between the auditor and audited area, and action items are followed up to ensure closeout within an appropriate time frame.

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

In addition to auditing, the evaluation of effectiveness may be performed in other ways, through safety inspections, safety surveys and other similar tools. A similar approach to auditing is taken in terms of planning, determining findings, reporting, follow-up and close-out activities.

ORM-HS 3.3.2 The Provider *should* have processes for setting performance objectives and measures as a means to monitor the operational safety performance of the organization and to validate the effectiveness of safety risk controls. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed processes for setting performance measures (focus: program defines/requires development/application of performance measures; measures used to track/monitor operational safety performance/validate safety risk controls).

Interviewed SMS manager and/or designated management representative(s).

Examined selected performance measures currently being tracked (focus: performance measures are set/tracked in all operational disciplines).

Examined records/documents that identify tracking of performance measures (focus: tracking used to assess/monitor operational safety performance, assess/validate risk control effectiveness).

Verified implementation of performance measures in all operational areas.

Identified/Assessed procedures for internal reviews of SMS performance.

Interviewed selected operational managers (focus: interface with safety assurance program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Performance Measures.

Guidance may be found in AHM 621. Similar requirement is in IOSA ORG 3.2.1 applicable to the Operator.

Setting measurable safety objectives is an element of the Safety Assurance component of the SMS framework.

By setting performance measures, a Provider is able to track and compare its operational performance against a target (i.e. the performance objective, typically expressed as a rate or number reduction) over a period of time (e.g. one year). Achievement of the target (or objective) would represent an improvement in the operational performance. The use of performance measures is an effective method to determine if desired safety outcomes are being achieved, and to focus attention on the performance of the organization in managing operational risks and maintaining compliance with relevant regulatory, legislative, airport and customer requirements (where applicable).

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

In addressing compliance, meaningful measures, as a minimum, would focus on compliance with significant regulatory requirements in all operational areas, and on conformity with customer airline(s)' requirements.

Ideally, performance measures are designed to be challenging, which, in turn, enhances the effectiveness of the risk management system.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

The following examples illustrate the relationship between safety performance indicators and safety performance targets.

Safety Performance Indicator	Safety Performance Target	Proactive/reactive/ Interactive indicator
Number of major/critical findings per external audit.	No more than one major or critical finding per external audit, with no repeat findings.	Reactive
Average number of days to close safety investigation finding.	Within one year, the average number of days to close an internal safety investigation finding reduces to 60 days or less.	Proactive
Percentage of employees who have completed risk management training.	In 2 years, the 100% of employees will have completed risk management training (appropriate to their role).	Proactive
Hazard reporting rate.	Increase in the rate of hazard reporting (per flight hour) by 10% in 6 months, with a corresponding average reduction in the risk level of each report.	Reactive
Percentage of employee surveys completed.	At least 60% completed employee survey reports at next survey.	Interactive
Percentage of completed employee surveys which identifies procedure deviations.	Less than 10% at next survey.	Interactive
Percentage of internal occurrence investigations which have supervision as a primary cause.	Less than 25%, calculated for one year period.	Proactive

ORM-HS 3.3.3 The Provider *should* have a process to identify changes within or external to the organization that have the potential to affect the level of safety risk of ground operations, identify, and to manage the safety risks that may arise from such changes. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed organizational change management process (focus: process identifies/assesses internal/external changes to determine operational safety risk).

Interviewed SMS manager and/or designated management representative(s).

Examined selected records/documents that show processing of internal/external changes (focus: assessment of changes to determine safety risk; actions taken to implement/revise new/existing risk controls).

Coordinated to verify implementation of change management process in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Change Management.

Guidance may be found in AHM 621. Similar requirement is in IOSA ORG 3.2.2 applicable to the Operator.

Change management is an element of the Safety Assurance component of the SMS framework.

Change management is considered a proactive hazard identification activity in an SMS.

Change may affect the appropriateness or effectiveness of existing safety risk mitigation strategies. In addition, new hazards and related safety risks may be inadvertently introduced into an operation whenever change occurs.

A change management process is designed to ensure risk management is applied to any internal or external changes that have the potential to affect established operational processes, procedures, products and services.

Internal changes typically include organizational expansion, contraction or consolidation, new initiatives, business decisions, as well as the introduction of new or the modification of existing systems, equipment, programs, products or services.

External changes could include new regulatory requirements or changes to the operating environment (e.g. new security regulations, amendments to the dangerous goods regulations).

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.3.4 The Provider *should* have processes to review and ensure continual improvement of the SMS throughout the organization to include:

(i) Identification of the cause(s) of substandard performance of the SMS;

(ii) Determination of the implications of substandard performance of the SMS in operations;

(iii) Elimination or mitigation of such cause(s) of substandard performance. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed SMS review process (focus: process identifies organizational opportunities for changes/improvement to SMS).

Interviewed accountable executive and/or designated management representative(s).

Examined selected examples of output from SMS review process (focus: changes implemented to improve organizational safety performance).

Other Actions (Specify).

Guidance

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

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.5.2 applicable to the Operator.

Continual improvement of the SMS is an element of the Safety Assurance component of the SMS framework.

Continual improvement would normally be overseen by a strategic committee of senior management officials that are familiar with the workings and objectives of the SMS. Such committee is typically referred to as a Safety Review Board (SRB), which is a very high level, strategic committee chaired by the AE and composed of senior managers, including senior line managers responsible for functional areas in operations.

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

In a situation where a Provider has SMS only partially implemented, the provider would demonstrate that the processes specified in this provision are being applied to ensure continual improvement of those SMS elements that have been implemented and, as feasible, elements that are in the process of being implemented.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.3.5 The Provider *should* have a process for management consideration of and decision-making to ensure significant issues arising from:

(i) The safety risk assessment and mitigation program, and;

(ii) The safety assurance program are subject to management review in accordance with ORM-HS 3.3.4 and ORM-HS 1.5.1, as applicable. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed process for management review of safety assurance program recommendations (focus: continual improvement of Provider's processes and procedures).

Interviewed safety manager and/or designated management representative(s).

Examined records/documents of management review of safety assurance program recommendations

Other Actions (Specify).

Guidance

Guidance may be found in AHM 621.

Similar requirement is in IOSA ORG 3.4.4 and 3.3.3 applicable to the Operator.

Management review of significant safety assurance issues and decision-making process on risk management and hazard identification issues supports the continual improvement of safety performance, which is an element of the Safety Assurance component of the SMS framework.

Such review permits senior management to consider significant issues of non-conformance in areas of the organization that impact operational safety and security, and to:

- Continually monitor and assess operational safety and security outcomes;
- Ensure appropriate corrective or preventive actions that address the relevant conformance issues have been implemented and are being monitored for effectiveness;
- Ensure continual improvement of operational safety performance.

3.4 Quality Assurance and Control Program(s)

ORM-HS 3.4.1 The Provider shall have a quality assurance program, including a detailed audit planning process and sufficient resources that provides for the auditing and evaluation of the management system and ground operations at all stations to ensure the Provider is:

(i) Complying with applicable regulations and requirements of the customer airline(s);

(ii) Satisfying stated operational needs;

(iii) Identifying undesirable conditions and areas requiring improvement. **(GM)**

Auditor Actions

Identified/Assessed quality assurance program (focus: role/purpose within organization; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management system/operational areas).

Interviewed quality manager and/or designated management representative(s).

Interviewed selected operational managers (focus: interface with quality assurance program).

Examined selected audit reports (focus: audit scope/process/organizational interface.

Verified implementation of quality assurance audit program in all operational areas.

Other Actions (Specify).

Guidance

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

The quality assurance program comprises two complementary functions:

- To monitor a provider's compliance with relevant regulations and standards, as well as to evaluate and continually improve operational performance;
- In some organizations the quality assurance program may have a different name (e.g. internal audit program, internal evaluation program).

The quality assurance program is applied throughout the organization and is typically structured to define:

- Audit frequency;
- Audit initiation, including scope and objectives;
- Planning and preparation, including audit plan and checklist development;

- Observation and gathering of evidence;
- Analysis, findings, actions;
- Reporting and audit summary;
- Follow-up and close out.

The process normally includes means whereby the auditor and the audited area have a comprehensive discussion and reach agreement on the findings and corresponding corrective or preventive actions. Clear procedures are typically established to resolve any disagreement between the auditor and audited area, and action items are followed up to ensure closeout within an appropriate time frame.

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

ORM-HS 3.4.2 The Provider shall have a station quality control program that provides for scheduled and unscheduled inspections and/or evaluations of ground operations at the station for the purpose of ensuring compliance with standards of the Provider, quality assurance program as specified in ORM-HS 3.4.1, applicable regulations, and requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed station quality control program (focus: role/purpose within organization; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management system/operational areas).

Interviewed quality manager and/or designated management representative(s).

Interviewed selected operational managers (focus: interface with quality assurance program).

Examined selected audit reports (focus: audit scope/process/organizational interface.

Verified implementation of quality assurance audit program in all operational areas.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 060.

For a Provider that operates at one single location, function as described in ORM-HS 3.4.2 could be identical to the one as described in ORM-HS 3.4.1.

ORM-HS 3.4.3 The Provider shall have a process for addressing findings that result from audits conducted under the quality assurance program and station quality control program, as specified in ORM-HS 3.4.1 and ORM-HS 3.4.2, which ensures:

(i) A determination of root cause(s);

(ii) Development of corrective action as appropriate to address findings;

(iii) Implementation of corrective action in appropriate operational area(s);

(iv) Monitoring and evaluation of corrective action to determine effectiveness.

Auditor Actions

Identified/Assessed process for determining audit type.

Interviewed quality manager.

Examined selected audit reports/records, meeting minutes

Other Actions (Specify).

ORM-HS 3.4.4 The Provider shall have a process to ensure significant issues arising from the quality assurance and station quality control program are subject to management review in accordance with ORM-HS 1.5.1. **(GM)**

Auditor Actions

Identified/Assessed process for management review of quality assurance program recommendations (focus: continual improvement of Provider's processes and procedures).

Interviewed quality manager and/or designated management representative(s).

Examined records/documents of management review of quality assurance program recommendations

Other Actions (Specify).

Guidance

Management review permits senior management to consider significant issues of non-compliance in areas of the organization that impact operational safety and security, and to:

- Continually monitor and assess operational safety and security outcomes;
- Ensure appropriate corrective or preventive actions that address the relevant compliance issues have been implemented and are being monitored for effectiveness;
- Ensure continual improvement of operational safety performance.

ORM-HS 3.4.5 The Provider shall have a means for disseminating information from the quality assurance program and station quality control program, as specified in ORM-HS 3.4.1 and ORM-HS 3.4.2, to management and non-management operational personnel as appropriate to ensure an organizational awareness of compliance with applicable regulatory and other requirements. **(GM)**

Auditor Actions

Identified/Assessed means used for dissemination of quality assurance program information.

Interviewed quality manager.

Interviewed non-management operational personnel (focus: awareness of quality assurance program issues).

Examined examples of information disseminated to management/non-management personnel

Verified dissemination of quality assurance information in all operational areas.

Other Actions (Specify).

Guidance

An effective quality assurance program includes a process for disseminating information for the purpose of maintaining an ongoing awareness of compliance issues that might impact operational safety or security. As an example, such information might include an up-to-date status of operational performance against stated performance measures. The process ensures a method of dissemination commensurate with the size of the organization. Acceptable means of conformance include a magazine, newsletter or bulletin issued periodically. Electronic media in various forms are also effective in the timely dissemination of information.

ORM-HS 3.4.6 The Provider shall ensure the quality assurance program utilizes auditors that:

(i) Have been trained and are qualified;

(ii) Are impartial and functionally independent from operational areas to be audited. **(GM)**

Auditor Actions

Identified/Assessed quality assurance auditor administration program (focus: definition of selection/qualification criteria for quality assurance program auditors.

Interviewed quality assurance program manager.

Examined selected individual auditor records (focus: application of selection/qualification criteria).

Crosschecked selected audit reports (focus: appropriately qualified auditors independent from the activity audited.

Interviewed selected quality assurance auditors (focus: verification of individual qualifications.

Other Actions (Specify).

Guidance

A quality assurance program is typically independent in a manner that permits the scheduling and conduct of audits, as deemed appropriate for the size and scope of operations. Operational independence ensures auditors are not put in a position where their objectivity may be subject to bias due to conflicting responsibilities. Quality audit principles forbid auditors from auditing their own work area. In small organizations, to ensure objectivity, it may be appropriate for the auditing function to be outsourced to external auditors.

To be effective, auditors receive an appropriate level of formal training that develops competency in quality auditing skills and techniques.

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

- To act in a strictly trustworthy and unbiased manner in relation to both the organization to which they are employed, contracted or otherwise formally engaged and any other organization involved in an audit performed by them or by personnel under their direct control;
- To disclose to their employer any relationship they may have with the organization to be audited before undertaking any audit function in respect of that organization;
- Not to accept any gift, commission, discount or any other profit from the organization audited, from their representatives, or from any other interested person nor knowingly allow personnel for whom they are responsible to do so;
- Not to disclose the findings, or any part of them, nor to disclose any other information gained in the course of the audit to any third party, unless authorized in writing by both the auditee and the audit organization, if applicable;
- Not to act in any way prejudicial to the reputation or interest of the audit organization; and
- In the event of any alleged breach of this code, to cooperate fully in any formal enquiry procedure.

3.5 Safety Promotion

ORM-HS 3.5.1 The Provider *should* have processes for the communication of safety information throughout the organization to ensure personnel maintain an awareness of the SMS and current operational safety issues. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed safety information communication system (focus: organizational capability for communicating safety information to personnel; information stresses SMS awareness/operational safety issues).

Interviewed accountable executive and/or designated management representative(s).

Interviewed selected management system personnel.

Observed examples of safety information communication.

Verified communication of safety information in all operational areas.

Other Actions (Specify).

Guidance

Similar requirement is in IOSA ORG 1.4.2 applicable to the Operator. Safety communication is an element of the Safety Promotion component of the SMS framework.

The general intent of safety communication is to foster a positive safety culture in which all employees receive ongoing information on safety issues, safety metrics, specific hazards existing in the workplace, and initiatives to

address known safety issues. Such communication typically conveys safety-critical information, and explains why particular safety actions are taken and why safety procedures are introduced or changed.

Examples of safety communication can be safety newsletters, regular emails, safety committee meetings etc.

Also targeted safety promotion activities, not only within one's own organization but with other key staff and companies can be good examples of communications.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-HS 3.5.2 The Provider *should* have a means for disseminating information from:

(i) The safety risk assessment and mitigation program, and;

(ii) The safety assurance program to management and non-management operational personnel as appropriate to ensure an organizational awareness of compliance with applicable regulatory and other safety requirements. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed means used for dissemination of safety assurance program information.
Interviewed safety assurance program manager.
Interviewed non-management operational personnel (focus: awareness of safety assurance program issues).
Examined examples of information disseminated to management/non-management personnel
Coordinated to verify dissemination of safety assurance information in all operational areas.
Other Actions (Specify).

Guidance

Similar requirement is in IOSA ORG 3.4.5 and 3.3.4 applicable to the Operator.

Promulgation of safety information is an element of the Safety Promotion component of the SMS framework.

An effective safety assurance and safety risk assessment and mitigation programs include a process for disseminating information for the purpose of maintaining an ongoing awareness of compliance issues that might impact operational safety or security. As an example, such information might include an up-to-date status of operational safety performance against stated safety performance measures. The process ensures a method of dissemination commensurate with the size of the organization. Acceptable means include a magazine, newsletter or bulletin issued periodically. Electronic media in various forms are also effective in the timely dissemination of information.

Note: *SMS Training and Education is part of ORM-HS Sub-section 5 Training and Qualification.*

3.6 Outsourcing Quality Control Program

ORM-HS 3.6.1 If the Provider outsources ground operations and/or associated functions to external ground service providers, the Provider shall have a program that ensures a contract or agreement is executed with such external providers. The contract or agreement shall identify measurable specifications that can be monitored by the Provider to ensure requirements that affect operational safety and/or security are being fulfilled by the external provider. **(GM)**

Auditor Actions

Identified/Assessed processes for contract/agreement production/execution with external service providers that conduct outsourced operations functions.

Interviewed responsible manager(s).

Examined selected outsourcing contracts/agreements (focus: inclusion of measurable specifications applicable to service providers).

Verified implementation of service provider contract/agreement processes in applicable operational areas.

Other Actions (Specify).

Guidance

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

Guidance and examples of a standard ground handling agreement and a service level agreement may be found in AHM Chapter 6.

A Provider always retains responsibility for services that have been voluntarily transferred to an external service provider.

Maintenance of GSE would be considered a function associated with operational safety.

A contract or agreement is necessary to ensure the outsourced services and/or functions are formally documented. Inclusion of measurable specifications, usually in the form of a service level agreement, would provide the basis for a monitoring process.

ORM-HS 3.6.2 If the Provider outsources ground operations and/or associated functions to external ground service providers, the Provider shall have processes for monitoring such external providers to ensure requirements that affect operational safety and security are being fulfilled by the external provider. **(GM)**

Auditor Actions

Identified/Assessed processes for monitoring external service providers that conduct outsourced operations functions.

Interviewed responsible manager(s).

Examined selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures provider is fulfilling applicable safety/security requirements).

Verified implementation of service provider monitoring in applicable operational areas.

Other Actions (Specify).

Guidance

The specifications of this provision are applicable to any outsourced services or functions that affect operational safety and/or security.

A Provider has a responsibility to monitor outsourced services or functions to ensure they are conducted in a manner that meets its own operational safety and security requirements, as well as those of the customer airline(s).

ORM-HS 3.6.3–3.6.4 (Intentionally open)

ORM-HS 3.6.5 If the Provider outsources dangerous goods handling functions to external ground service providers at any station, the Provider shall have a process to ensure such external providers have a dangerous goods training program in accordance with requirements of the Provider's dangerous goods training program.

Auditor Actions

Identified/Assessed process to ensure conformity of external provider's dangerous goods training program.

Interviewed responsible manager(s).

Examined selected records/reports resulting from monitoring of external service provider's training program

Other Actions (Specify).

4. (Intentionally Open)

5. Training and Qualification

5.1 Load Control Training Program

ORM-HS 5.1.1 If the Provider delivers load control services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in operational load control functions complete initial and recurrent training in:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned load control function(s) as specified in Table 1.4;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.5 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Load Control, Loading Instruction/Report (LIR), NOTOC (Notification to Captain), Operational Flight Plan (OFP) and Unit Load Device (ULD).

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance may be found in AHM 590, 591 and DGR 1.5.

Guidance for Load Control Training may be found in AHM 590, 591 and DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.2 Passenger Handling Training Program

ORM-HS 5.2.1 If the Provider delivers passenger handling services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in operational passenger handling functions complete initial and recurrent training in passenger handling operations, which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned passenger handling function(s) as specified in Table 1.6;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.7 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training for all staff as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vii) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions;

(viii) Aircraft access door training program in accordance with requirements of the customer airline(s) for personnel with duties that include the operation of aircraft access doors applicable to each type of access door operated at the station;

(ix) Passenger boarding bridge training for personnel with duties that include the operation of passenger boarding bridge as specified in Table 1.12.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Refer to the IRM for the definition of Passenger Boarding Bridge.

Guidance for DG training may be found in DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.3 Baggage Handling Training Program

ORM-HS 5.3.1 If the Provider delivers baggage handling services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in operational baggage handling functions complete initial and recurrent training in baggage handling operations, which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned baggage handling function(s) as specified in Table 1.8;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.9 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training for all staff as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vii) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational function.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance for DG training may be found in DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

5.4 Aircraft Handling and Loading Training Program

ORM-HS 5.4.1 If the Provider delivers aircraft handling and loading services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in aircraft handling and loading functions complete initial and recurrent training in aircraft handling and loading operations, which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned aircraft handling and/or loading function(s) as specified in Table 1.10;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.11 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training for all staff as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vii) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions;

(viii) Load control training program for personnel with duties that include the supervision of aircraft loading as specified in Table 1.13;

(ix) Aircraft access door training program in accordance with requirements of the customer airline(s) for personnel with duties that include the operation of aircraft access doors applicable to each type of access door operated at the station;

(x) Passenger boarding bridge training for personnel with duties that include the operation of passenger boarding bridge as specified in Table 1.12.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Refer to the IRM for the definition of Passenger Boarding Bridge.

Guidance may be found in AHM 630.

Guidance for DG training may be found in DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Supervision of Aircraft Loading may be found in AHM 590 and 591.

Aircraft loading supervision is an element of the load control process.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.5 Aircraft Ground Movement Training Program

ORM-HS 5.5.1 If the Provider delivers aircraft ground movement services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in aircraft ground movement functions complete initial and recurrent training in aircraft ground movement operations, as applicable to assigned aircraft ground movement function(s), which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned aircraft handling as specified in Table 1.14;

(iii) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(iv) Safety training for all staff as specified in Table 1.2;

(v) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vi) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions;

(vii) Aircraft access door training program in accordance with requirements of the customer airline(s) for personnel with duties that include the operation of aircraft access doors applicable to each type of access door operated at the station.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance may be found in AHM 631.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.6 Cargo and Mail Handling Training Program

ORM-HS 5.6.1 If the Provider delivers cargo and mail handling services at any station, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in cargo and mail handling functions complete initial and recurrent training. Such training shall provide the knowledge necessary for cargo handling personnel to perform duties, execute procedures and operate equipment associated with specific cargo handling functions, and include:

(i) General and function-specific training prior to being assigned to perform operational duties;

(ii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.15 including a recurrent training within 24-month period since the previous DG training including evaluation/testing by written means;

(iii) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(iv) Safety training for all staff as specified in Table 1.2;

(v) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vi) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

5.7 Safety and Security Training Programs

ORM-HS 5.7.1 The Provider shall have a security training program that is in accordance with the Security Program of the customer airline(s), requirements of the civil aviation security authority of states where ground operations are conducted, and requirements of the airport authority at stations where ground operations are conducted. Such training program shall include initial and recurrent training, and have a balanced curriculum of theoretical and practical training to ensure:

(i) If personnel employed by the Provider implement security controls, such personnel have the competence to perform their duties;

(ii) Appropriate operational personnel, through security awareness training, are acquainted with preventative measures and techniques in relation to passengers, baggage, cargo, mail, equipment, stores and supplies intended for transport on aircraft, as applicable, so they may contribute to the prevention of acts of sabotage and other forms of unauthorized interference. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Security (Aviation), Security Program, Unlawful Interference and Unauthorized Interference.

Intensive training for personnel who are employed within the security organization of a provider will enable them to develop the expertise required to advise management on all aspects of the security program. There are two classifications of aviation security training for a provider:

Personnel Training

This might be subdivided into training for managers/supervisors, ramp personnel, cargo handling personnel, passenger and baggage handling personnel, and other categories of personnel who are directly involved in the implementation of security measures and thereby require an awareness of the obligations associated with aviation security.

General Security Awareness

Such training applies to the protection of assets from internal and external interference and the necessity of ensuring all ground handling personnel have a positive attitude to security. The focus of training to achieve such awareness will vary by region or company and may be influenced by cultural, religious and other circumstances. Such training is tailored to be effective in the environment in which it is to apply.

The completion of security training would normally be recorded and retained in the records system for proof of compliance with applicable security standards or regulations.

ORM-HS 5.7.2 The Provider *should* have a program that ensures personnel throughout the organization are trained and competent to perform SMS duties. The scope of such training should be appropriate to each individual's involvement in the SMS as detailed:

(i) In Table 1.2 for all personnel for those elements identified with the **[SMS]** symbol, and

(ii) In Table 1.16 for personnel with specific assigned duties in the safety management system. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed program for personnel to be trained/competent to perform SMS duties.

Interviewed safety manager and/or designated management representative(s).

Examined selected initial/recurrent training curricula for personnel to be trained/competent to perform SMS duties

Examined selected management/non-management personnel training records (focus: completion of SMS training).

Verified SMS training is implemented in all applicable areas.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.6.5 applicable to the Operator.

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

Training on the SMS, including safety reporting, provided to operational personnel may be included in the Safety Training (as specified in Table 1.2). An overview of the SMS, its purpose, scope and functionality should, however, be provided for all personnel.

An SMS specifies initial and recurrent safety training standards for operational personnel within the organization, to include managers and supervisors, senior managers and the AE. The content of such training is appropriate to the individual's responsibilities and involvement in the SMS.

Personnel with specific SMS duties would include those that, as part of the safety office, perform safety risk assessments and activities associated with safety assurance.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

5.8 Dangerous Goods Training Program

ORM-HS 5.8.1 The Provider shall ensure the instructors who deliver dangerous goods training have:

(i) The adequate instructional skills and, prior to delivering instruction, completed a dangerous goods training program that provides the knowledge in subject areas consistent with the level of instruction to be delivered;

(ii) Conducted a minimum of one dangerous goods training course within every 24 months or attended recurrent dangerous goods training; and

(iii) Received updates to the Regulations and training material on an annual basis. **(GM)**

Auditor Actions

Assessed training and competence plan for dangerous goods instructors.

Interviewed responsible manager(s).

Examined selected instructor training records and reports (focus: conformity with training plan).

Other Actions (Specify).

Guidance

Guidance may be found in DGR 1.5.7.

5.9 Training Program (General)

ORM-HS 5.9.1 The Provider shall ensure each training program as specified in ORM-HS 5.1–5.6 includes processes that require instructors (trainers) and evaluators who conduct training and evaluation for ground handling personnel to demonstrate they are competent, qualified and, where required, certified to conduct such training activities.

Auditor Actions

Identified/Assessed method of ensuring qualification/certification of trainers.

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

ORM-HS 5.9.2 The Provider shall ensure each training program as specified in ORM-HS 5.1–5.6 includes processes for the completion of all required training and evaluation by operational ground handling personnel, instructors (trainers) and evaluators to be documented in records, and such records retained in accordance with ORM-HS 2.3.1 for a period as specified by applicable regulations and/or the customer airline(s).

Auditor Actions

Identified/Assessed training record management system.

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

ORM-HS 5.9.3 The Provider shall ensure each training program as specified in ORM-HS 5.1–5.6 includes processes for all aspects of the training program to be periodically reviewed and updated to remain operationally relevant and in accordance with requirements of the customer airline(s).

Auditor Actions

Identified/Assessed method of reviewing training programs.

Examined selected reports of reviews and action taken.

Other Actions (Specify).

6. Security Management

6.1 Security Program

ORM-HS 6.1.1 The Provider shall have procedures in accordance with requirements of customer airline(s) and the civil aviation security program of states, where operations are conducted, that in case of security related incidents:

(i) Customer airline(s) and relevant authorities are notified;

(ii) The Provider liaises on behalf of the customer airline(s), when so authorized by such customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures for notification of security incidents and/or authorized liaison with relevant authorities.

Examined selected security incident records and reports.

Other Actions (Specify).

Guidance

Security related incidents include, but are not limited to:

- Threats;
- Unlawful interference.

7. Ground Support Equipment (GSE) Management

7.1 GSE Maintenance

ORM-HS 7.1.1 The Provider shall have a program that ensures that GSE, at all applicable stations:

(i) Is maintained in accordance with instructions and/or guidance from the GSE manufacturer;

(ii) Is serviceable and in good condition prior to being used in ground operations;

(iii) When found to be defective, is reported and evaluated for removal from service;

(iv) Tagged as “Out of Service” and not utilized in airside operations if found in unserviceable condition;

(v) Removed from operations for repair or maintenance if unserviceable;

(vi) Maintenance is documented in records, and such records are retained for a period as specified by the Provider, applicable regulations and/or the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures for maintenance and serviceability of GSE.

Interviewed responsible manager(s).

Examined selected maintenance records and reports to reflect a program in conformity with instructions and/or guidance from the GSE manufacturer.

Examined selected maintenance records and reports to reflect operational condition (tagging and removal from operations).

Verified maintenance records and reports are retained for a period as specified by the Provider, applicable regulations and/or the customer airline(s).

Other Actions (Specify).

Guidance

Refer to IRM for the definition of Ground Support Equipment (GSE).

Maintenance programs would typically be designed to be in accordance with recommendations of the equipment manufacturer. If the GSE maintenance is outsourced, the GSE standards and recommended practice are still applicable and shall be assessed.

7.2 GSE Technical Requirements

ORM-HS 7.2.1 The Provider *should* ensure that all aircraft GSE is equipped with a device that senses the proximity of an aircraft and provides a visual and audible indication to the operator of the aircraft GSE to reduce the risk of impact with the aircraft.

Auditor Actions

GSE are fitted with serviceable aircraft proximity warning devices.

Examined selected inspection records and reports.

Examined retrofit plans.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 900.

In addition to the safety aspects, significant costs and disruption is caused by aircraft damaged by GSE. Even with the slightest of touch, the damage caused may not always be easily visible or detectable. Apart from coverings or pneumatic devices that absorb impact it is commonplace on modern automobiles for devices to be installed that detect the proximity of another object and can provide either automatic braking and/or collision avoidance and/or an audible/visible alert to the operator. Where practicable and economically feasible, the GSE should be designed or equipped to eliminate the probability of aircraft damage.

All GSE manufactured and purchased after 1 July 2018 shall comply with the aircraft damage prevention requirements of AHM Chapter 9 and with specific focus on the following in order to reduce the risk of damage to aircraft:

- Positively controlled, non–jerking, slow speeds are required for the approach and final positioning of GSE at the aircraft;
- Bumpers shall be fitted to all leading edges and any part of the GSE that may contact the aircraft–including guard rails, access steps etc. Material used for bumpers shall be soft and compressible such that it does not damage the aircraft. Refer to SAE 1558 for more details on bumper materials and correct installation;

  Note: *Traditional D rubber material is not acceptable as it hardens over time and in cold weather offering little protection to the aircraft.*
- All self-propelled GSE interfacing with the aircraft shall be fitted with bumpers equipped with a means of automatically bringing the equipment to an immediate stop if actual contact with the aircraft is detected;
- All leading edges shall be fitted with an automatic cut out in the event that any part of the GSE contacts the aircraft. In the case of bumpers the cut out must initiate if the bumpers are compressed by more than 30% of their thickness;
- All self-propelled GSE interfacing with the aircraft shall have a tortoise speed mode that restricts the speed of the vehicle to a maximum of 6 km/h (3.5 mph) (ref ISO 6966). The turtle speed is to be engaged by the operator before entering the Equipment Restraint Area;
- For compliance/supervision purposes. the engagement of the tortoise speed mode shall be visible by means of an external indicator on the GSE;
- All self-propelled GSE interfacing with the aircraft shall have a snail speed mode that restricts the speed of the vehicle to a maximum of 0.8 km/h (0.5mph) (ref ISO 6966);
- All self-propelled GSE interfacing with the aircraft shall have a fail-safe sensing facility to automatically put the GSE in snail speed mode at any time the equipment is within 6 feet (2 meters) of the aircraft interface point;
- For compliance/supervision purposes, a recording mechanism is to be fitted to record the occasions when the GSE automatically engages the snail mode;
- All guard rails shall be designed to provide fall from height protection but must also be designed so that it is not possible to drive the GSE towards or away from the aircraft unless the guard rails are retracted;
- Where possible the GSE should be designed to stop at a safe distance from the aircraft, with final positioning of the interface equipment (such as a platform or end of a belt loader) to be done using a more precise mechanism.
- If final positioning to the aircraft interface point is provided by, for example, a telescopic platform, the telescoping speed shall not exceed 0.1 m/s (4 in/s):
- For self-propelled GSE interfacing with the aircraft, the snail speed shall offer precision throttle controls such as a move from a foot throttle to precision hand throttle or remote control.

8. Unit Load Device (ULD) Management

8.1 ULD Airworthiness and Serviceability

ORM-HS 8.1.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs are inspected to identify damage, and to determine airworthiness and serviceability:

(i) When received or accepted;

(ii) Prior to being released for loading into an aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedures for inspection of ULDs.

Examined selected inspection records and reports.

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Component Maintenance Manual (CMM) and Unit Load Device (ULD).

Guidance may be found in the applicable section(s) of the IATA ULD Regulations (ULDR).

Damaged or unserviceable ULDs have the potential to affect flight safety.

Inspection procedures are typically applied to ULDs whether loaded or unloaded.

Upon accepting a ULD from another party, the Provider shall be responsible to the ULD owner for ensuring the continued airworthiness of the ULDs. (ULDR Sections 2–2.6 and 9–9.7.1).

Differences in damage limitations can occur between ULDs of the same manufacturer, as well as ULDs of different manufacturers. The maximum allowable damage for each specific ULD is typically stated in the applicable Component Maintenance Manual (CMM) issued by the manufacturer.

The ULD Operational Damage Limits Notice (ODLN) should be attached to the ULD to ensure easy access to the appropriate damage limit information and facilitate inspection in the field. (ULDR Section 7 Standard Specification 40/3 and 40/4).

Some airlines impose limits that are more stringent than those contained in the CMM.

ULDs, to include containers and pallets, as well as nets and straps, that do not comply with relevant regulations may not be transported on a commercial flight. An exception may be made for damaged ULDs that require transport to a repair facility, but only after it has been determined through evaluation by appropriately qualified personnel that such ULDs pose no risk of damage to the aircraft.

8.2 ULD Loading

ORM-HS 8.2.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure that ULDs, whether received or loaded by the Provider, are in compliance with applicable requirements pertaining to ULD loading and load securing. **(GM)**

Auditor Actions

Identified/Assessed procedures for ULD loading and load securing.

Observed ULD loading and securing procedures.

Other Actions (Specify).

Guidance

Guidance may be found in the applicable section(s) of the ULDR.

Safety requirements address the loading of containers and pallets including nets and straps. Build-up of ULDs shall be in compliance with limitations stated in ULDR Section 2 and the Operating Specifications stated in ULDR Section 6. Each state may have additional or varying regulations and specifications.

ORM-HS 8.2.2 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs are identified by exterior tags that display information relevant to the ULD and its contents prior to being released for loading into the aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedures for ULD tagging.

Observed ULD tagging procedures and conformity of content information.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 420.

Such tags typically indicate the origin and destination of the ULD, weight of the ULD and its contents, type of contents (e.g., cargo, baggage, dangerous goods) and location in the aircraft.

8.3 ULD Handling and Storage

ORM-HS 8.3.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs are handled and stored in a manner that minimizes or eliminates the possibility of damage or loss. **(GM)**

Auditor Actions

Identified/Assessed procedures for ULD handling and storage.

Observed ULD handling and storage procedures.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 420 and 421.

The installation of ULD on board an aircraft is governed by the aircraft Weight and Balance Manual (WBM). Only ULD that complies with the requirements of the WBM shall be loaded onto an aircraft. The IATA ULDR is based on typical WBM requirements which will assist Providers to carry out ULD operations to comply with applicable requirements such as WBM.

Procedures typically specify proper ULD handling equipment, adequate facilities and space (as available by location), and methods of ULD storage that ensures:

- Identification;
- Inventory is tracked;
- Accessibility is maintained;
- Separation by customer airline.

ORM-HS 8.3.2 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs that have been identified as being damaged or not airworthy are tagged and stored in a designated location that prevents usage for the transport of cargo, mail or baggage.

Auditor Actions

Identified/Assessed procedures for damaged or not airworthy ULD.

Observed damaged or not airworthy ULD procedures.

Other Actions (Specify).

8.4 Facilities and Equipment

ORM-HS 8.4.1 The Provider shall ensure the availability of adequate and sufficient infrastructure for proper storing, transporting, moving, transferring, build-up and breakdown of ULDs. **(GM)**

Auditor Actions

Observed ULD storage, handling and transportation procedures.

Other Actions (Specify).

Guidance

Guidance may be found in ULDR Section 9.

The Ground Support Equipment (GSE) for ULD handling should meet the requirements stipulated in AHM 911 (ULDR Appendix 'C') and maintained correctly.

9. Station Airside Supervision and Safety

9.1 Supervision

ORM-HS 9.1.1 The Provider shall have a process to ensure all station operational activities, including, if applicable, those outsourced to external ground service providers, are conducted under the direct oversight of supervisory personnel.

Auditor Actions

Identified/Assessed supervisory process.

Examined job description of responsible individual(s) (focus: supervisory responsibilities are as specified in the standard).

Interviewed responsible individual(s).

Other Actions (Specify).

ORM-HS 9.1.2 The Provider shall have processes to ensure station personnel that provide oversight of operational activities as specified in ORM-HS 9.1.1, including, if applicable, personnel of external ground service providers that conduct outsourced ground operations for the Provider, complete training and are qualified to supervise ground operations.

Auditor Actions

Identified/Assessed supervisory training processes.

Examined training records of responsible individual(s).

Interviewed responsible individual(s).

Other Actions (Specify).

9.2 (Intentionally Open)

9.3 Airside Fire Safety

ORM-HS 9.3.1 The Provider shall have procedures for fire protection and prevention in ground operations conducted in station airside areas, which address:

(i) Identification and elimination of conditions that could lead to a fire;

(ii) Availability, access and use of fire fighting equipment;

(iii) Emergency procedures, including alerting personnel on board the aircraft;

(iv) Procedures for controlling and reporting fires. **(GM)**

Auditor Actions

Identified/Assessed procedures for airside fire safety.

Verified availability and access to fire fighting equipment.

Interviewed personnel responsible for airside fire safety, (focus: checking procedures for alerting personnel onboard the aircraft and reporting fires.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 630 and ACI 2.16.0.

9.4 Airside Cleanliness

ORM-HS 9.4.1 The Provider shall have procedures to address the spillage of fluids and other materials in station airside areas of operations. **(GM)**

Auditor Actions

Identified/Assessed procedures for airside cleanliness.

Interviewed responsible management representative(s) and station operational personnel.

Examined incident reports of fluid spillage.

Other Actions (Specify).

Guidance

Procedures would typically focus on the avoidance of and response to fluid spillage in station airside operations, to include containment, reporting and cleanup, in accordance with the requirements of relevant authorities.

Other procedures might address spillage of:

- Toilet waste;
- Water (particularly in freezing conditions) and ice cubes;
- Oil and hydraulic fluid;
- Hazardous materials and other chemicals.

ORM-HS 9.4.2 The Provider shall have a FOD prevention program for implementation in station airside areas where the Provider conducts aircraft handling or aircraft ground movement operations for customer airlines. **(GM)**

Auditor Actions
Identified/Assessed FOD prevention program.
Observed cleanliness of airside areas.
Other Actions (Specify).

Guidance

Refer to the IRM for the definition of FOD (Foreign Object Damage).

Guidance may be found in AHM 635.

The objective of a FOD prevention program is the elimination of conditions that could cause damage to an aircraft.

9.5 Airside Severe Weather Plan

ORM-HS 9.5.1 The Provider shall have a station severe weather operations plan that provides for the protection for aircraft, passengers, operational personnel, baggage, cargo and equipment when severe weather conditions are a threat to operations. **(GM)**

Auditor Actions
Identified/Assessed severe weather operations plan.
Interviewed responsible management representative(s) and station operational personnel.
Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Severe Weather Operations Plan.

Guidance may be found in AHM 630.

A typical plan includes practices for preparation and encountering severe weather conditions in operations, and would address, as appropriate to the climatic conditions of a station:

- High winds;
- Lightning;
- Low visibility;
- Ground icing.

9.6 Passenger Safety

ORM-HS 9.6.1 If the Provider conducts ground operations at the station that utilize the ramp surface for passenger embarkation and disembarkation, the Provider shall have procedures or other measures that provide for the protection of passengers moving between the aircraft and a terminal building or ground transportation vehicle. **(GM)**

Auditor Actions
Identified/Assessed procedures for the protection of passengers on the ramp.
Observed the control of passengers between the aircraft and the passenger terminal.
Other Actions (Specify).

Guidance

Guidance may be found in AHM 630.

To preclude injuries, passenger movement on the ramp between the aircraft and the terminal building or ground transport vehicle is always closely supervised.

The route used for such passenger movement is typically clearly designated and visible, equipment and vehicles are clear, and the surface is free of any contamination. Such route is designed so passengers are protected or clear from:

- Aircraft protrusions;
- GSE;
- Fueling zones;
- Jet blast or prop wash.

9.7 Personnel Safety

ORM-HS 9.7.1 The Provider shall have a requirement and procedures that ensure station ground handling personnel wear appropriate protective clothing or personal protective equipment (PPE) when performing functions in airside operations. **(GM)**

Auditor Actions

Identified/Assessed PPE requirement and procedures.

Observed use of correct clothing and PPE by personnel employed in airside operations.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Personal Protective Equipment (PPE).

Guidance may be found in AHM 630.

Protective clothing and PPE provides a defense against operational hazards that could threaten the personal safety or health of ground handling personnel. Applicable clothing or PPE is typically defined through risk assessment and/or required by regulation. Some examples of such protection would include high visibility vests, hearing protection, gloves, safety shoes, safety glasses and respirators.

Tables

Table 1.1–Documentation System Specifications			
ORM-HS 2.1.1 The Provider shall have a system for the management and control of the internal and external documentation and/or data used directly in the conduct or support of operations. Such system shall comprise the elements specified below and shall include documentation provided to external entities, if applicable. **Note: Refer to the IRM for the definition of Documentation and Electronic Documentation.**			
Elements	**Documentation Types**		
	Type 1	**Type 2**	**Type 3**
(i) Identification of the version and effective date of relevant documents and/or data.	**Recommended**	**Recommended**	**Required** Note
(ii) Identification of the title and, if applicable, sub-titles of relevant documents and/or data.	**Recommended**	**Recommended**	**Required** Note
(iii) Distribution and/or dissemination that ensures all users are provided relevant documents and/or data on or before the effective date: (a) Throughout appropriate areas of the organization, including all applicable stations; (b) To external service providers that conduct outsourced operational functions.	**Required** Note	**Required** Note	**Required** Note
(iv) Definition of the specific media type(s) designated for presentation or display of the controlled version of relevant documents and/or data.	**Required** Note	**Required** Note	**Required** Note
(v) Definition of documentation and/or data that is considered to be reproduced and/or obsolete.	**Required** Note	**Required** Note	**Required** Note
(vi) Review and revision to maintain the currency of relevant documents and/or data.	**Required** Note	**Required** Note	**Required** Note
(vii) Retention that ensures access to the content of relevant documents and/or data for a minimum period as defined by the Provider.	**Required** Note	**Required** Note	**Required** Note
(viii) Provision for a scheduled back up by copying and archiving relevant documents and/or data, to include validation of the documents or data being backed up.	**Required** Note	**Required** Note	**Required** Note

Table 1.1–Documentation System Specifications				
(ix)	Identification and allocation of documentation access/user and modification rights.	**Required** Note	**Required** Note	**Required** Note
(x)	Dissemination and/or accessibility of documentation received from external sources such as regulatory authorities and original equipment manufacturers.	**Required** Note	**Required** Note	**Required** Note
Note: Required for conformity with ORM-HS 2.1.1				

Table 1.2–Safety Training Specifications		
Functional Groups		
For the purpose of determining the applicability of airside safety training subject areas, ground handling personnel are grouped according to operational function as follows. Note 1		
Function 1:	Personnel whose duties require access to airside areas.	
Function 2:	Personnel whose duties require operation of basic GSE (e.g., tractors, belt loaders).	
Function 3:	Personnel whose duties require: (1) operation of specialised equipment (e.g., aircraft movement units, container/pallet loaders, de-icing vehicles, catering vehicles), (2) exercise of control during aircraft movement operations, or (3) performance of lead responsibility over other personnel.	
Function 4:	Personnel in first level management, to include supervisors having responsibility for: (1) directing staff and/or equipment resources, or (2) controlling an operational activity.	
Function 5:	Personnel in station management having responsibility for resource issues, health and safety, incident management and budgetary control.	
Function 6:	Personnel with duties in ticketing, check-in and boarding activities.	
Function 7:	Personnel operating within Cargo warehouse.	
Note 1: Functional definitions may be varied as determined by local requirements or considerations.		
Training Subject Areas		
Safety training shall address, according to assigned operational function(s).		
1.1.1 Safety Philosophy		
(a)	Company safety policy and programme **[SMS]**	All Functions
(b)	Employer/employee responsibilities **[SMS]**	All Functions
1.1.2 Safety Regulations		
(a)	International aviation regulations **[SMS]**	All Functions
(b)	State aviation regulations **[SMS]**	All Functions
(c)	Airport airside regulations **[SMS]**	All Functions
(d)	Safe working and operating practices **[SMS]**	All Functions
1.1.3 Hazards Note 2		
(a)	Vehicle movements	All Functions
(b)	Pedestrian movements	All Functions
(c)	Aircraft movements	All Functions
(d)	Jet engines	All Functions
(e)	Propeller-driven aircraft and helicopters	All Functions
(f)	Aircraft antennae and other protrusions	All Functions
(g)	GSE	Functions 2–5
(h)	Aircraft fuelling and fuel spills	All Functions
(i)	Adverse and seasonal weather conditions	All Functions
(j)	Night operations	All Functions
(k)	Working at height	All Functions
(l)	Slips, trips and falls	All Functions
(m)	Noise	All Functions

Table 1.2–Safety Training Specifications		
(n)	Manual handling	All Functions
(o)	Confined Spaces	All Functions
(p)	Office Equipment	All Functions
(q)	Display Screen Equipment (DSE)	All Functions
(r)	Violence (physical & verbal attack and public disorder)	All Functions
(s)	Lone working	All Functions
Note 2: Subject areas (a) through (s) are applicable to personnel as appropriate to specific function and types of operations conducted.		
1.1.4 Human Factors		
(a)	Motivation and attitude	All Functions
(b)	Human behaviour	Functions 4, 5
(c)	Communication skills	All Functions
(d)	Stress	All Functions
(e)	Ergonomics	All Functions
(f)	Effects of psychoactive substances (drugs and alcohol)	All Functions
(g)	Fatigue	All Functions
(h)	Time pressure	All Functions
(i)	Peer management pressure	All Functions
(j)	Situational awareness	All Functions
(k)	Teamwork	All Functions
1.1.5 Airside Markings and Signage		Functions 1 to 5
1.1.6 Emergency Situations [Note 3]		
(a)	Reporting **[SMS]**	All Functions
(b)	Injuries	All Functions
(c)	Security threats	All Functions
(d)	Spillage	Functions 1 to 5
(e)	Alarms and emergency stops	Functions 1 to 5
(f)	Fuel shut-offs	Functions 1 to 5
(g)	Ground-to-flight deck emergency hand signals	Functions 1 to 5
(h)	Fire	All Functions
(i)	Severe weather	Functions 1 to 5
(j)	Aircraft stand emergency procedures	Functions 1 to 5
Note 3: Subject areas (a) through (j) are applicable to personnel as appropriate to specific function and types of operations conducted.		

Table 1.2–Safety Training Specifications		
1.1.7 FOD prevention		Functions 1 to 5
1.1.8 Personal protection [Note 4]		
(a)	Personal protective equipment	All Functions
(b)	Occupational health and safety	All Functions
(c)	Musculoskeletal injury prevention	All Functions
(d)	Weather exposure	Functions 1 to 5
Note 4: Subject areas (a) through (d) are applicable to personnel as appropriate to specific function and types of operations conducted.		
1.1.9 Accidents, Incidents, Near Misses [Note 5]		
(a)	Personnel injuries **[SMS]**	All Functions
(b)	Damage to aircraft, GSE, facilities	Functions 1 to 5
(c)	Reporting **[SMS]**	All Functions
(d)	Investigation	Functions 4, 5
(e)	Prevention **[SMS]**	All Functions
(f)	Cost of accidents, incidents **[SMS]**	All Functions
(g)	Risk assessment	All Functions
Note 5: Subject areas (a) through (g) are applicable to personnel as appropriate to specific function and types of operations conducted.		
1.1.10 Airside Safety Supervision		
(a)	Creating an open reporting culture **[SMS]**	Functions 4, 5
(b)	Performance monitoring	Functions 4, 5
(c)	Coordination of airside activities	Functions 4, 5
(d)	Workload management	Functions 4, 5
(e)	Decision making	Functions 4, 5
(f)	Planning	Functions 4, 5

Table 1.3–Airside Driver Training Specifications
Airside driver training for ground handling personnel shall address, as a minimum: 1.2.1 General (a) Role and responsibilities of vehicle Operators (b) Vehicle equipment standards (c) Hazards of airside driving (d) Reduced visibility procedures (e) Accident and incident reporting procedures 1.2.2 Ramps (aprons), stands and airside roads (a) Familiarization with ramp layout, operational stands, vehicle corridors, airside roads, aircraft taxi lanes (b) Airport rules, regulations and/or procedures pertaining to airside vehicle operations (c) Procedures for crossing aircraft movement areas (d) Pedestrian crosswalk rules 1.2.3 Manoeuvering area [Note 1] (a) Identification of obstacle free areas, limited access areas (b) Airport regulations and requirements (c) Air Traffic Control (d) Airport layout (e) Maneuvering area driving (f) Radio communication requirements and procedures (g) Aircraft familiarisation **Note 1:** Applicable to vehicle Operators that require operational access to manoeuvering areas. 1.2.4 Evaluation

Table 1.4–Load Control Functional Training Specifications
Training for personnel with duties and/or responsibilities in operational load control functions shall address the following operational subject areas, as applicable to assigned function(s): (i) General weight and balance proficiency and awareness: (a) terminology, definitions of terms, operational codes, abbreviations; (b) aircraft balance principles, consequences of improper aircraft loading. (ii) Aircraft structural load limitations: (a) linear (running load) limitation, area limitation (spreader floors); (b) limitation per compartment/section/ULD position; (c) monocoque (combined) limitation, cumulative limitation; (d) missing restraints limitation. (iii) Unit load devices (ULD): (a) IATA identification codes; (b) gross weight limitations, hold restraint requirements; (c) container/pallets build-up and tie-down limitations/rules; (d) tagging. (iv) Bulk hold loading: (a) load spreading rules; (b) load restraint rules: nets, tie-down, volume restraint. (v) Load Sheet: (a) computation, issuance, checking (electronic and manual modes); (b) last minute change procedures. (vi) Balance tables/charts: (a) computation, issuance, checking (all conventional methods). (vii) Loading Instruction/Report (LIR): (a) designation and numbering of aircraft holds; (b) issuance and checking (electronic and manual modes). (viii) Loading messages: (a) reading and sending standard loading messages. (ix) Airline Specific Procedures (as applicable)

Table 1.5–Load Control Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in operational load control functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations (loading restrictions, compatibility rules) (iii) List of dangerous goods (iv) Labelling and marking (ULDs and parcels) (v) Recognition of undeclared dangerous goods (vi) Storage and loading procedures (vii) Pilot-in-command notification (NOTOC) (viii) Provisions for passengers and crew (ix) Emergency procedures (x) Airline Specific Procedures (as applicable)

Table 1.6–Passenger Handling Functional Training Specifications
Training for personnel with duties and/or responsibilities in operational passenger handling functions shall address the following subject areas, as applicable operational function(s): (i) Passenger check-in policies and procedures (ii) Baggage check-in policies and procedures (iii) Manual check-in procedures (iv) Cabin seating considerations, to include exit row, special passengers (v) Passenger boarding policies and procedures (vi) Cabin access door operation, if applicable, in accordance with provisions in HDL 1.2 (vii) Boarding bridge operation, if applicable, in accordance with provisions in HDL 1.4 (viii) Dangerous goods regulations, considerations and procedures (ix) Security regulations, considerations and procedures (x) Load control consequences, coordination and procedures (xi) Handling and boarding of weapons and authorised persons carrying weapons (xii) Passengers requiring special handling (xiii) Communication procedures (customer airlines, load control, authorities, others) (xiv) Data protection and security (xv) Document protection and security (xvi) Abnormal and emergency procedures (fire, dangerous goods, security, other) (xvii) Health and safety (xviii) Emergency response procedures (xix) Airline Specific Procedures (as applicable)

Table 1.7–Passenger Handling Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in passenger handling functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations and procedures (iii) Labelling and marking (iv) Recognition of undeclared dangerous goods (v) Provisions for passengers and crew (vi) Emergency procedures (vii) Airline Specific Procedures (as applicable)

Table 1.8–Baggage Handling Functional Training Specifications
Training for personnel with duties and/or responsibilities in operational baggage handling functions shall address the following subject areas, as applicable operational function(s): (i) Baggage handling procedures (identification, sorting, loading in ULDs) (ii) Manual baggage handling procedures (iii) ULDs (designation codes, inspecting, loading, tagging, removal from service) (iv) Dangerous goods (regulations, considerations, procedures) (v) Security (regulations, considerations, procedures) (vi) Load control (consequences, coordination, procedures) (vii) Communication procedures (customer airlines, load control, authorities, others) (viii) Data protection and security (ix) Document protection and security (x) Abnormal and emergency procedures (fire, dangerous goods, security, other) (xi) Health and Safety (xii) Emergency response procedures (xiii) Airline Specific Procedures (as applicable)

Table 1.9–Baggage Handling Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in baggage handling functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations (iii) Labelling and marking (iv) Recognition of undeclared dangerous goods (v) Storage and loading procedures (vi) Pilot-in-command notification (vii) Provisions for passengers and crew (viii) Emergency procedures (ix) Airline Specific Procedures (as applicable)

Table 1.10–Aircraft Handling and Loading Functional Training Specifications
Training for personnel with aircraft handling duties and/or responsibilities shall address the following subject areas, as appropriate to assigned operational function(s): (i) Irregularity/incident/accident reporting procedures (ii) Manual handling of load (iii) Safety during aircraft fuelling (iv) Principles of aircraft loading (v) Handling of loads that require special attention (vi) Loading incompatibilities (vii) Handling of ULDs (viii) Operation of aircraft loading systems/securing of ULDs (ix) Identification/consequences of malfunctions of in-plane loading systems (x) Consequences of load damage and spillage (xi) Positioning and operation of loading and servicing equipment (xii) Load notification to pilot-in-command (xiii) Passenger embarkation/disembarkation procedures (xiv) Standards of aircraft cleaning, lavatory and potable water servicing (xv) Aircraft movement operations (xvi) Airline Specific Procedures (as applicable)

Table 1.11–Aircraft Handling and Loading Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in operational aircraft loading functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations (iii) Labelling and marking (iv) Recognition of undeclared dangerous goods (v) Storage and loading procedures (vi) Pilot-in-command notification (vii) Provisions for passengers and crew (viii) Emergency procedures (ix) Airline Specific Procedures (as applicable)

Table 1.12–Passenger Boarding Bridge Training Specifications
Passenger boarding bridge training for ground handling personnel shall address, as a minimum: (i) Standard operating procedures (ii) Bridge control system, including emergency switches, cut-offs and buttons (iii) Out-of-limits procedures (for returning bridge to normal working limits) (iv) Back-off procedures and application (v) Manual wind-off procedures (vi) Accident and incident response procedures (vii) Accident and incident reporting procedures (airport, provider) (viii) Fire procedures (bridge or aircraft) (ix) Airline Specific Procedures (as applicable)

Table 1.13–Aircraft Loading Supervisor Training Specifications
Training for personnel assigned to supervise aircraft loading operations for the Provider should address the following subject areas: (i) General weight and balance proficiency and awareness: (a) terminology, operational codes, abbreviations; (b) aircraft balance principles, consequences of improper aircraft loading. (ii) Aircraft structural load limitations: (a) basic knowledge of containerised holds resistance (relationship between missing or damaged restraints and ULD gross weight limitations); (b) area limitation (spreader floors); (c) limitation per compartment/section/ULD position; (d) monocoque (combined) limitation; (e) cumulative limitation; (f) missing restraints limitation. (iii) Unit load devices (ULDs): (a) tie-down limitations and rules; (b) rejection criteria for damaged ULD and tie-down accessories; (c) tagging. (iv) Bulk hold loading: (a) physical loading rules concerning baggage, cargo and mail; (b) tie-down and spreader floor procedures; (c) utilisation of nets. (v) Loading Instructions/Report (LIR): (a) designation and numbering of aircraft holds; (b) utilisation of the LIR document. (vi) Loading messages: (a) reading standard loading messages for off-loading of holds. (vii) Dangerous goods: (a) cargo IMP codes; (b) ULD and parcels labelling and marking; (c) loading compatibilities; (d) onboard accessibility; (e) rejection criteria; (f) emergency procedures. (viii) Other special loads (e.g., perishables, EAT AVI WET OBX, LHO): (a) cargo IMP codes; (b) marking and labelling; (c) loading compatibilities.

Table 1.13–Aircraft Loading Supervisor Training Specifications
(ix) Positioning and operations of loading equipment:
(a) areas of aircraft susceptible to damage by ground support equipment;
(b) recording and reporting of damage to aircraft caused by ground support equipment.
(x) Operation of aircraft loading systems:
(a) opening and closing of aircraft hold doors;
(b) In-plane loading systems;
(c) ULD automated and hand-operated restraints;
(d) Operator's hold configurations and layouts.
(xi) Airline Specific Procedures (as applicable)

Table 1.14–Aircraft Ground Movement Functional Training Specifications
Training for personnel with assigned duties and/or responsibilities in aircraft ground movement operations shall address the following subject areas, as applicable to assigned operational function(s): (i) Aircraft ground movement operations: (a) scope of operations; (b) principles, responsibilities; (c) practices, procedures; (d) hazards, risk assessment; (e) safety precautions. (ii) Operation of equipment: (a) nose gear towbar tractor(s); (b) nose gear Towbarless tractor(s); (c) main gear tractor(s), if applicable; (d) towbars. (iii) Equipment-aircraft connect and disconnect procedures. (iv) Aircraft ground movement standard verbal communications (ground-flight deck): (a) nose gear controlled pushback and towing operations; (b) main gear controlled pushback operations, if applicable; (c) powerback operations, if applicable. (v) Aircraft ground movement standard hand signals (ground-flight deck, ground-ground): (a) nose gear controlled pushback, towing operations; (b) main gear controlled pushback operations, if applicable; (c) powerback operations, if applicable; (d) power-in and power-out operations, as applicable. (vi) Aircraft marshalling: (a) scope of operations, principles, responsibilities; (b) practices, procedures; (c) standard hand signals; (d) use of aircraft parking guidance system(s). (vii) Aircraft ground movement assistance: (a) scope of activities, principles, responsibilities; (b) practices, procedures; (c) standard hand signals. (viii) Airline Specific Procedures (as applicable)

Table 1.15–Cargo and Mail Handling Dangerous Goods Training Specifications		
Functional Groups		
Subject areas to be addressed in dangerous goods training for cargo handling personnel is determined on the basis of operational functions as defined below. Note 1		
Function 6: Personnel assigned responsibilities for dangerous goods acceptance		
Function 7: Personnel assigned responsibilities for cargo and/or mail acceptance		
Function 8: Personnel assigned responsibilities for cargo or mail handling, ULD build-up and/or storage		
Note 1: Function numbers correspond to those used in the IATA DGR, Subsection 1.5, Table 1.5.A.		
Training Subject Areas		
Dangerous goods training subject areas are applicable to personnel in functional groups as shown below.		
(i)	General philosophy	Functions 6, 7, 8
(ii)	Limitations	Functions 6, 7
(iii)	General requirements for shippers	Function 6
(iv)	Classification	Function 6
(v)	List of dangerous goods	Function 6
(vi)	General packing requirements	Function 6
(vii)	Packing instructions	Function 6
(viii)	Labelling and marking	Functions 6, 7, 8
(ix)	Shippers declaration and other relevant documentation	Functions 6, 7
(x)	Acceptance procedures	Function 6
(xi)	Recognition of undeclared dangerous goods	Functions 6, 7, 8
(xii)	Storage and loading procedures	Functions 6, 8
(xiii)	Pilots' notification	Functions 6, 8
(xiv)	Provisions for passengers and crew	Functions 6, 7, 8
(xv)	Emergency procedures	Functions 6, 7, 8

Table 1.16–Specific SMS Training Specifications
Training for personnel with assigned duties in the safety management system (typically within the Safety Office) shall address the following subject areas, as applicable to assigned function(s): (i) Safety Risk Assessment: (a) management of safety reports; (b) hazard identification; (c) hazard analysis; (d) safety risk assessment; (e) safety mitigation and risk management; (f) Development of safety action plans. (ii) Safety Assurance: (a) Development of safety performance indicators; (b) Safety performance monitoring and measurement; (c) Safety auditing methodologies and techniques.

Section 1 – Organization and Management (ORM-S)

Applicability

Section 1 addresses the organization and management of a ground services provider (hereinafter the "Provider"), and provides specifications for the systems, policies, programs, procedures and manuals necessary to ensure control of ground operations at a station.

This section (ORM-S) is utilized when only a station is audited.

Sub-section 7 Ground Support Equipment (GSE) Management shall be assessed when provider utilize GSE at a station.

Sub-section 8 Unit Load Device (ULD) Management shall be assessed when the provider handles ULDs at a station.

The Auditor will determine individual provisions not applicable to a specific Provider.

General Guidance

Definitions of technical terms used in this section, as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

1. Management and Control

1.1 Organization and Accountability

ORM-S 1.1.1 The Provider shall have a management system that ensures:

(i) Policies, systems, programs, processes, procedures and/or plans of the Provider are administered and/or implemented throughout the organization;

(ii) Ground operations are supervised and controlled;

(iii) Operations are conducted in accordance with applicable regulations and requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed management system structure.

Crosschecked association and conformity of the management system throughout the organization.

Evaluated status of conformity of management system throughout the organization with other management system GOSARPs.

Identified/Assessed assignment and deployment of supervision responsibilities.

Evaluated status of conformity of operations with applicable regulations and customer requirements.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Provider.

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

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

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

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

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

The management system ensures compliance with internal standards and the applicable regulations of all states where operations are conducted.

ORM-S 1.1.2 (Intentionally open)

ORM-S 1.1.3 The Provider shall designate an individual with the authority and the responsibility for:

(i) Implementation of a station management system;

(ii) Ensuring safety and security in station operations. **(GM)**

Auditor Actions

Identified designated responsible individual.

Examined station management system structure and organizational lines of accountability.

Examined job description of designated individual (focus: accountabilities/responsibilities are as specified in the standard).

Interviewed station manager and/or designated individual.

Other Actions (Specify).

Guidance

Such individual is typically referred to as the station manager.

1.2 Management Commitment

ORM-S 1.2.1 The Provider shall have a policy that commits the organization to:

(i) A culture with safety and security as fundamental operational priorities;

(ii) Continuous improvement of the management system, as well as the levels of operational safety and security. **(GM)**

Auditor Actions

Identified/Assessed corporate safety and security policies (focus: organizational commitment to provision of necessary resources).

Identified/Assessed corporate continual improvement policy.

Examined examples of corporate communication.

Verified communication of policies in all operational areas.

Other Actions (Specify).

Guidance

The policy of a provider reflects the commitment of senior management to a strong culture of operational safety and security, and to ensure measuring and evaluating on a continuing basis, and making changes that improve the management system and the culture. Such policy (or policies) is (are) expressed in the organizational documents, and carried out through operational manuals and other controlled documents that are accessible to and used by personnel at the station. To enhance effectiveness in creating the desired culture, the policy is communicated and made visible throughout the organization, to include stations, by disseminating communiqués, posters, banners and other forms of information in a form and language which can be easily understood. To ensure continuing relevance, the corporate risk management policy is normally reviewed for possible update at a minimum of every two years.

Ideas for (continuous) improvement may come from internal and/or external sources; therefore, the organization would be constantly monitoring all sources and willing to make changes as necessary to keep the management system of the organization refreshed and strongly focused on improving the levels of operational safety and security.

1.3 (Intentionally Open)

1.4 Communication

ORM-S 1.4.1 The Provider shall have a communication system that:

(i) Enables and ensures an exchange of information that is relevant to the conduct of ground operations;

(ii) Ensures changes that affect operational responsibilities or performance are communicated as soon as feasible to applicable management and front line personnel. **(GM)**

Auditor Actions

Identified/Assessed corporate communication system (focus: organizational capability for communicating information relevant to operations to all personnel).

Verified implementation of communication system in all operational areas.

Observed examples of information communication.

Interviewed selected management system and front line personnel.

Other Actions (Specify).

Guidance

An effective communication system ensures an exchange of relevant operational information among senior managers, operational managers and front line personnel. To be totally effective, the communication system would also include customer airlines, as well as external organizations that work alongside the provider or conduct outsourced operational functions for the provider.

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

Specific means of communication between management and operational ground handling personnel may include:

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

Where applicable, an effective system would ensure any non-verbal communication of operationally critical information or data requires an acknowledgement of receipt (e.g., changes to regulatory requirements, procedural changes from customer airlines).

1.5 Management Review

ORM-S 1.5.1 The Provider shall have a process to review the management system at intervals not exceeding one year to ensure its continuing suitability, adequacy and effectiveness in the management and control of ground operations. A review shall include assessing opportunities for improvement and the need for changes to the system, including, but not limited to, organizational structure, reporting lines, authorities, responsibilities, policies, processes, procedures and the allocation of resources. **(GM)**

Auditor Actions

Identified/Assessed management review process (focus: process identifies organizational opportunities for changes/improvement to management system).

Interviewed accountable executive and/or designated management representative(s).

Examined records of management reviews and review meetings.

Examined selected examples of output from management review process (focus: changes implemented to improve organizational performance).

Other Actions (Specify).

Guidance

Management review is a necessary element of a well-managed company and provides a process through which organizational control and continuous improvement can be delivered. To be effective, a formal management review takes place on a regular basis, but typically not less than a minimum of once per year.

An appropriate method to satisfy this requirement is a periodic formal meeting of senior executives. The agenda of the meeting includes a general assessment of the management system to ensure all defined elements are functioning effectively. The review also includes an assessment of operational performance to ensure the management system is producing the desired operational safety, security and quality outcomes.

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

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

- Risk management issues;
- Safety and security issues;
- Quality assurance issues;
- Provision of resources;
- Operational feedback;
- Incident and near-miss reports;
- Changes in regulatory policy or civil aviation legislation;
- Changes in company and/or customer airline policies or requirements;
- Process performance and organizational conformity;

- Status of corrective and preventative actions;
- Follow-up actions from previous management reviews;
- Feedback and recommendations for management system improvement;
- Regulatory violations.

To ensure the scope of a management review is systemic, the process would normally include input from station.

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

- Improvement of the effectiveness of processes throughout the management system;
- Improvement of the management of risks;
- Ensuring the provision of resources necessary to satisfy operational safety, security and quality requirements.

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

1.6 Provision of Resources

ORM-S 1.6.1 (Intentionally open)

ORM-S 1.6.2 The Provider shall have a policy that ensures:

(i) Station positions within the organization that affect operational safety and security are filled by personnel that possess the knowledge, skills, training, and experience appropriate for the position; and

(ii) Personnel who perform operationally critical functions are required to maintain competence on the basis of continuing education and training. **(GM)**

Auditor Actions

Identified/Assessed standards/processes for hiring/selection of management/non-management personnel (focus: safety/security positions relevant to aircraft operations are filled by personnel with qualifications appropriate for position).

Identified/Assessed standards/processes for maintaining competency of personnel in functions relevant to safety/security of aircraft operations (focus: standards specify continuing education/training, meeting technical requirements).

Interviewed accountable executive or designated management representative(s).

Interviewed selected personnel that perform safety/security functions relevant to aircraft operations.

Verified adequacy of physical resources/services and implementation of personnel selection standards/processes in all operational areas.

Other Actions (Specify).

Guidance

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

For example, the position of station manager would typically have special prerequisite criteria an individual would have to meet in order to be considered for assignment to that position. Similarly, special prerequisite criteria are typically required for other positions throughout the management system that affect safety and security (e.g. safety manager, quality assurance manager, security manager).

Positions that require the implementation of security functions typically require completion of a background and criminal history check.

A corporate personnel selection policy that applies to all operational areas of the company serves to satisfy this requirement.

Positions or functions within the organization of a provider considered “operationally critical” are those that have the potential to affect operational safety or security. In general, most front line operational functions in load control, passenger handling, baggage handling, aircraft handling and loading, aircraft movement, and cargo handling would typically be considered operationally critical, as well as functions that involve the training of operational personnel. Positions not directly associated with operations (e.g., administrative or clerical positions) may not be deemed as operationally critical.

ORM-S 1.6.3–1.6.4 (Intentionally open)

ORM-S 1.6.5 The Provider shall have a policy that addresses the use of psychoactive substances by operational personnel, and ensures:

(i) The exercise of duties while under the influence of psychoactive substances is prohibited;

(ii) Consequences for such behavior are defined. **(GM)**

Auditor Actions

Identified/Assessed use of psychoactive substances policy.

Interviewed accountable executive or designated management representative(s).

Verified policy is implemented in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Psychoactive Substances.

2. Documentation and Records

2.1 Documentation System

ORM-S 2.1.1 The Provider shall have a system for the management and control of the internal and external documentation and/or data used directly in the conduct or support of operations. Such system shall comprise the elements specified in Table 1.1 and shall include documentation provided to external entities, if applicable. **(GM)**

Auditor Actions

Identified/Assessed system(s) for management/control of operational documentation/data (focus: system addresses applicable documentation types/elements as specified in Table 1.1).

Interviewed persons involved in the documentation management/control process.

Examined selected examples of documentation/data used in operations.

Verified implementation of documentation management/control system in all operational areas.

Other Actions (Specify).

Guidance

External suppliers and companies that are outsourced to deliver ground operations services and products to the audited Provider are considered under the term “external entities”.

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

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

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

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

Document control might include:

- Retention of a master copy;
- Examination and approval prior to issue;
- Review and update, to include an approval process;
- Version control (electronic documents);
- Identification of revision status;
- Identification and retention of revisions as history;
- Identification and retention of background or source references as history;
- Distribution to ensure appropriate availability at points of use;
- Checking of documents to verify they remain legible and readily identifiable;
- As required, identification, update, distribution and retention of documents of external origin;
- As applicable, identification and retention of obsolete documents;
- As applicable, disposal of documents.

Additionally, control of operational manuals might include:

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

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

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

ORM-S 2.1.2 If the Provider utilizes an electronic system for the management and control of any documentation and/or data used directly in the conduct of operations, and/or for the management and control of records, the Provider shall ensure the system provides for a scheduled generation of backup files for such documentation and/or data. **(GM)**

Auditor Actions

Identified/Assessed process for schedule back-up of electronic documentation, data and or electronic operational records (focus: system defines schedule for periodic file backup).

Interviewed responsible management representative(s).

Verified satisfactory functionality of back-up system(s), including recovery of data.

Verified applicable back-up process is implemented in all operational areas.

Other Actions (Specify).

Guidance

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

The retention period for electronic documents and records is typically in accordance with requirements defined by applicable regulations and/or legislation and the provider.

To ensure retrieval of archived documents and records, applicable hardware and/or software is normally retained after it has been replaced.

2.2 Operational Manuals

ORM-S 2.2.1 The Provider shall have a Policies and Procedures Manual (PPM) that contains the operational policies, procedures, instructions and other guidance or information necessary for ground handling personnel to perform their duties and be in compliance with applicable regulations, laws, rules, requirements and standards, and such a manual shall be accessible to all operational personnel in a usable format. **(GM)**

Auditor Actions

Identified/Assessed PPM for content in conformity with this standard (focus: document management and control).

Interviewed responsible management representative(s) and station operational personnel.

Verified PPM accessible in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Policy and Procedure Manual.

Policies and Procedures Manual (PPM) is a generic name; an equivalent manual with a different name is an acceptable alternative (e.g. Ground Operations Manual, Ramp Handling Manual, Passenger Handling Manual, as applicable to the operations).

The PPM contains generic guidance that addresses all functions within the scope of ground operations, and also contains information that is function-specific. Because the scope of ground operations is broad, rather than publishing one large manual, a Provider may choose to issue the Manual in separate parts that are specific to the various ground handling functions conducted by the provider (e.g., Passenger Handling Manual, Baggage Handling Manual, Cargo Handling Manual). Each individual part would contain generic guidance that is applicable to all ground handling functions (e.g., organizational policies, general definitions), as well as guidance that is specific to the particular function (e.g., process descriptions, standard operating procedures). To ensure standardization, a control process would be in place to ensure use of either the PPM and/or the Operations Manual (OM) of the customer airline(s) such that all applicable operational safety, security and quality requirements are fulfilled.

ORM-S 2.2.2 The Provider *should* utilize as a minimum processes and procedures as outlined in the IATA Ground Operations Manual (IGOM) as applicable to the Provider's scope of operations at the station. **(GM)**

Auditor Actions

Identified/Assessed implementation of IGOM processes and procedures.

Interviewed responsible management representative(s).

Verified, where utilized, implementation of IGOM processes and procedures in all operational areas.

Other Actions (Specify).

Guidance

As a best practice, a provider would typically conduct a gap analysis of its GOM processes and procedures to identify the level of compliance with those in the IGOM.

Processes/procedures in the IGOM have been developed based on industry-accepted practices that generally provide an acceptable level of safety risk in the conduct of ground handling operations.

It is recommended that providers utilize all “shall” processes and procedures contained in the IGOM as a minimum standard in their GOM.

ORM-S 2.2.3 The Provider *should* have a process to ensure conformance with the specific operational requirements of each customer airline(s). **(GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed process defining the Operator documentation Gap Analysis and development of Provider's specific procedures.

Identified/Assessed process to implement updated Operator-specific procedures to all operational personnel as applicable.

Interviewed responsible manager(s) as identified by related process.

Examined a sample of gap analyses related to maintaining Provider procedures for Operator-specific operations within the scope of ISAGO.

Other Actions (Specify).

Guidance

It is a Provider's obligation to conduct its ground operations in accordance with the operational requirements of the customer airline. The Provider should therefore define how the Operator-specific procedures can be identified and incorporated in the ground operations procedures. The Provider should normally conduct a gap analysis of the Operator's documentation (usually referred to as GOM) against its own processes and procedures.

The Provider should then adopt Operator-specific procedures for any deviation identified. Details of any amendment and implementation of a new procedure should be communicated to all operational personnel and, where necessary, training conducted.

This process could be completed either entirely at headquarter level or at or in collaboration with each station.

This process can be significantly simplified when both, the Operator and Provider accept IGOM requirements.

ORM-S 2.2.4 The Provider shall have processes to ensure the required operational documentation is accessible in a usable format in all station locations where operations are conducted. Such required documentation shall include:

(i) The current version of applicable operational manual(s) of all customer airline(s);

(ii) The current IATA Dangerous Goods Regulations (DGR) and Addenda, if applicable, or equivalent documentation;

(iii) The current emergency response plan (ERP) of local airport authority and of the customer airline(s), as applicable;

(iv) The current Live Animal Regulations (LAR), Perishable Cargo Regulations (PCR) and ULD Regulations (ULDR), as applicable. **(GM)**

Auditor Actions

Identified/Assessed processes for provision of operational documentation.

Verified in a selected number, forwarding of proprietary and customer airlines(s) operational manuals to external ground service provider(s).

Other Actions (Specify).

Guidance

A provider may be required to maintain only part of the manual for certain customer airlines.

Based on customer airline requirements and the types of ground operations conducted at a specific location, only relevant parts of applicable manuals may be necessary.

Availability of only the provider's manual may be sufficient when such manual is accepted by the customer airline(s) or when a customer airline does not provide a manual.

A current edition of the DGR would include any Addenda that are applicable.

Equivalent documentation would contain information derived from the DGR that is relevant only to the specific ground handling functions conducted at any particular location. Also, the ICAO Technical Instructions for the Transport of Dangerous Goods would be considered equivalent documentation.

The Live Animal Regulations (LAR), Perishable Cargo Regulations (PCR) and ULD Regulations (ULDR) are manuals that are required only at stations where cargo operations are conducted.

Applicability of dangerous goods requirements to ground operational functions is defined in DGR Section 1, Table 1.5.A.

Guidance with respect to ERP requirements may be found in AHM 620.

ORM-S 2.2.5 If the Provider outsources ground operations and/or associated functions to an external ground service provider, the Provider shall have a process to ensure each applicable external provider is supplied with operational manuals relevant to the type(s) of outsourced ground operations conducted, including all applicable manuals from customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed process to ensure each applicable external provider is supplied with operational manuals.

Verify existence of relevant operational manuals in a selected number of external providers.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Outsourcing.

2.3 Records System

ORM-S 2.3.1 The Provider shall have a system for the management and control of operational records to ensure the content and retention of such records is in accordance with applicable regulations and requirements of the customer airline(s), and to ensure operational records are subjected to standardized processes for:

(i) Identification;

(ii) Legibility;

(iii) Maintenance;

(iv) Retrieval;

(v) Protection and security;

(vi) Disposal, deletion (electronic records) and archiving. **(GM)**

Auditor Actions

Identified/Assessed system for management/control of operational records (focus: system includes standardized processes as specified in standard).

Interviewed responsible management representative(s).

Examined selected examples of operational records.

Verified implementation of records management/control processes in all operational areas.

Other Actions (Specify).

Guidance

Such process would typically address all records associated with ground operations at each station, including personnel training records and any other records that document the fulfillment of operational requirements (e.g. GSE maintenance, weigh bridge calibration).

3. Safety and Quality Management System

3.1 SMS–Safety Policy and Objectives

ORM-S 3.1.1 The Provider *should* have an SMS that is implemented and integrated throughout the organization to ensure management of the safety risks associated with ground operations. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard. Conformity with ORM-S 3.1.1 is possible only when the Provider is in conformity with all standards and recommended practices that are identified by the **[SMS]** symbol.*

Auditor Actions

Identified/Assessed SMS structure (focus: implementation of safety risk management processes).

Interviewed accountable executive and/or designated management representative(s).

Assessed status of conformity with all ORM SMS GOSARPs.

Verified SMS implemented and integrated in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Safety Management System (SMS) and State Safety Program (SSP).

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.1.10 applicable to the Operator.

ISAGO specifications for a Provider's SMS are derived from the SMS Framework, which is published in Annex 19 to the Convention on International Civil Aviation (ICAO Annex 19). The SMS Framework specifies the four major components and 12 elements that make up the basic structure of an SMS.

Where applicable, a SMS is designed and implemented in accordance with the State Safety Program (SSP). The manner in which the elements of SMS are implemented typically reflects the size and complexity of the provider's organization.

In general, an SMS is designed and implemented to:

- Identify safety hazards in operations;
- Ensure remedial action is implemented to control safety risks;
- Provide for ongoing monitoring and assessment of safety performance;
- Make continual improvement to the level of safety in operations.

Expanded guidance may be found in the ICAO Safety Management Manual (ICAO SMM), Document 9859.

ORM-S 3.1.2 The Provider *should* appoint a manager who is responsible for the day-to-day administration and operation of the SMS at the station level. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified appointed safety manager for implementation, maintenance and day-to-day administration of the SMS (representation in the organization chart and reporting lines, especially between “safety manager” and other personnel within the organization).

Examined job description of SMS manager (focus: assigned SMS responsibilities).

Interviewed SMS manager and/or designated representative.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.1.12 applicable to the Operator.

The requirement for a manager responsible for the day-to-day administration and operation of the SMS is an element of the Safety Policy and Objectives component of the SMS framework.

The provision of a manager that focuses on the day-to-day administration of the SMS reflects the usual need for an individual that has a degree of authority when coordinating and addressing safety matters at the station and in cooperation with corporate office and provider's SMS. This person liaises with operational managers, who retain the responsibility for safety in their respective areas of operations. The operational managers may also be the experts needed to be involved when safety risk management tasks are performed.

Station management positions critical to operational safety may require enhanced job descriptions or terms of reference that reflect specialized requirements inherent in certain key positions and, where applicable, compliance with regulatory requirements, as well as internal policies and procedures.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.1.3 The Provider *should* define the safety responsibilities of management and non-management personnel throughout the organization and specify the levels of management with the authority to make decisions that affect the safety of ground operations. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed defined safety accountabilities/authorities/responsibilities for management/non-management personnel (focus: definitions apply to personnel throughout the organization

Interviewed accountable executive and/or designated management representative(s).

Verified defined accountabilities/authorities/responsibilities in all operational areas (SMS organization chart and identification of key personnel involved in SMS).

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.3.1 applicable to the Operator.

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

In the context of an SMS, accountability means being responsible for taking corrective actions, either to address hazards and/or errors identified through reporting or from other sources, or in response to events, such as accidents and incidents.

An effective management system has lines of authority and responsibility that flow from corporate senior management into all operational areas of the organization.

Delegation of authority and assignment of responsibility is described and communicated such that it is understood throughout the organization. As a minimum, organization charts or organograms, are acceptable means for documenting the structure of a management system.

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.1.4 The Provider shall have a corporate safety policy that:

(i) Reflects the organizational commitment regarding safety;

(ii) Includes a statement about the provision of the necessary resources for the implementation of the safety policy;

(iii) Includes safety reporting procedures as specified in ORM-S 3.2.2;

(iv) Indicates which types of behaviors are unacceptable and includes the circumstances under which disciplinary action would not apply as specified in ORM-S 3.1.5;

(v) Is signed by the Accountable Executive of the organization;

(vi) Is communicated, with visible endorsement, throughout the organization;

(vii) Is periodically reviewed to ensure it remains relevant and appropriate to the Provider. **[SMS] (GM)**

Auditor Actions

Identified/Assessed corporate safety policy that is signed by the Accountable Executive of the organization and periodically reviewed (focus: organizational commitment to safety/commitment to continual improvement/provision of necessary resources).

Interviewed accountable executive, SMS manager and/or designated management representative.

Examined examples of corporate communication (focus: safety policy communicated throughout organization.

Verified communication of safety policy throughout the organization.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.2.1 applicable to the Operator.

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

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

- Compliance with applicable regulations and standards of the Provider;
- Ensuring the management of safety risks to operations;
- The promotion of safety awareness;
- Continual improvement of operational performance.

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

Such policy might be documented in the operations manual or other controlled document, and, to enhance effectiveness, is communicated and made visible throughout the organization through dissemination of communiqués, posters, banners and other forms of information in a form and language which can be easily understood. To ensure continuing relevance, the corporate policy is normally reviewed for possible update a minimum of every two years.

Consistent with the structure and complexity of the provider's organization, the corporate safety policy may be issued as a stand-alone policy or combined with others.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.1.5 The Provider shall have a corporate safety reporting policy that encourages personnel to report hazards to ground operations and, in addition, defines the Provider's policy regarding disciplinary action, to include:

(i) Types of operational behaviors that are unacceptable;

(ii) Conditions under which disciplinary action would not be taken by the Provider. **[SMS] (GM)**

Auditor Actions

Identified/Assessed corporate safety reporting policy and procedures (focus: personnel urged to report operational hazards; definition of disciplinary policy/potential disciplinary actions; data protection).

Interviewed accountable executive and/or designated management representative(s).

Verified implementation of safety reporting in all operational areas.

Examined examples of safety reports.

Other Actions (Specify).

Guidance

Similar requirement is in IOSA ORG 1.2.3 applicable to the Operator.

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

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

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

Consistent with the structure and complexity of the provider's organization, the safety reporting policy may be issued as a stand-alone policy or combined with others.

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.1.6 The Provider *should* have a corporate emergency response plan (ERP) that includes provisions for:

(i) The central management and coordination of all the Provider's activities should it be involved in or it is necessary to respond or react to an aircraft accident or other type of adverse event that could result in fatalities, serious injuries, considerable damage and/or a significant disruption to operations;

(ii) The appropriate coordination or be compatible with the ERPs of other applicable organizations relevant to the event. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed corporate emergency response plan (ERP) (focus: plan suitable for organizational response to major accident/other adverse event).

Interviewed designated ERP manager.

Verified implementation of ERP in all operational areas.

Identified/Assessed ERP transition processes (focus: plan includes transition from normal-emergency/and emergency-normal operations; coordination with relevant external organizations).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Emergency Response Plan (ERP).

Guidance may be found in AHM 620. Similar requirement is in IOSA ORG 4.1.1 and 4.1.4 applicable to the Operator.

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

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

An ERP typically defines:

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

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

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.1.7 The Provider *should* have SMS documentation that includes a description of:

(i) The safety policy and objectives, SMS requirements, SMS processes and procedures, the accountabilities, authorities and responsibilities for processes and procedures, and the SMS outputs;

(ii) Its approach to the management of safety, which is contained in a manual as a means of communication throughout the organization. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed SMS documentation (focus: description of overall organizational management of safety).

Interviewed SMS manager and/or designated management representative(s).

Examined selected parts of SMS documentation (focus: content includes safety policy; describes/defines accountabilities/responsibilities for safety processes/procedures in all areas of operations).

Coordinated to verify SMS documentation in all operational areas.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 2.1.5, applicable to the Operator.

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

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

SMS documentation typically addresses:

- Scope of the SMS;
- Regulatory and legislative SMS requirements including Airport Regulations (if applicable);
- Safety policy and objectives;
- Safety accountabilities;
- Key safety personnel;
- Document and record control procedures;
- Coordination of emergency response planning;
- Hazard reporting system;
- Incident reporting and investigation procedures;
- Hazard identification and risk management schemes;
- Safety assurance including continuous improvement, auditing and management of change;
- Safety performance indicators and safety performance monitoring;
- Safety auditing (safety and quality auditing may be combined);
- Management of change;
- Safety promotion including training and communication;
- Outsourced services.

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

SMS documentation supports the management of operations and would be subject to management and control as specified in ORM-S 2.1.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.1.8 The Provider shall have an SMS implementation plan, formally endorsed by the organization, that defines the Provider's approach to the management of safety in a manner that meets the organization's safety objectives. **[SMS] (GM)**

Auditor Actions

Identified/Assessed implementation plan (focus: includes all SMS provisions).

Interviewed responsible management representative(s).

Examined progress records (focus: adherence to plan).

Other Actions (Specify).

Guidance

Additional guidance may be found in AHM 610.

For a provider that is in the process of working toward full SMS implementation, documentation would typically include an SMS implementation plan that details the way the provider will structure its organization, resources and processes to effectively manage safety in operations. It contains a realistic strategy for implementation of SMS with a realistic timeline of activities. In addition, documentation would describe those SMS elements that have been implemented and, as feasible, elements that are in the process of being implemented.

A phased approach to the implementation of SMS was commonly practiced in other areas of aviation operations. It was seen as an effective and efficient way of managing the development and implementation of the various functions, processes and procedures involved. It allows Providers to establish budgets for resources and assign roles, work plans and responsibilities accordingly. An implementation plan, based on the existing and future amendments of the SMS provisions, would show the organization's intentions and commitment to the management of safety.

The implementation plan must cover all SMS provisions that are not already in place – as determined probably by a gap analysis. And it must also cover all areas of the organization.

The SMS implementation plan may be a stand-alone document or it can be a distinct SMS section or chapter within an existing organizational document that is approved by the Authority (if applicable). Where details of the organization's SMS processes are already addressed in existing documents, appropriate cross referencing to such documents is sufficient.

The SMS implementation plan is kept up to date by the provider. When significant amendments are made, acceptance by the Authority might be required.

The steps in the table below provide a guideline to implementing an SMS and could be part of the implementation plan.

Develop a 'Management Plan' Senior management should develop an SMS management/strategic plan which could include safety-related goals, objectives, and performance measures. This will assist in determining the priorities of the organization for the implementation of an SMS.
Develop an Implementation Plan An implementation plan does not have to be a large document; it can be developed by extracting the list of outstanding tasks from the gap analysis, ordering them in terms of the priority of implementation, and listing the resources and the individuals responsible for completing them. Timeframes for each of the tasks will assist in keeping the implementation actions on track.
Assign accountability and responsibility It is essential that the roles and responsibilities of staff in the implementation of an SMS are defined, clearly communicated and then tracked. Recommended individual responsibilities of executives, managers, and individual staff should be covered.
Develop policies, procedures and other documentation This step can be the most time consuming, but is essential in ensuring that there is a standardized, well-understood and well-communicated SMS. A policy statement from the executive staff outlining their commitment to safety is needed. Consider a procedures manual which outlines the processes, actions and work flows that are involved.

Establish the SMS 'toolkit' A 'toolkit' contains the actions, processes, and supporting tools that are the heart of an SMS. It can include any or all of the following: • internal safety reporting processes (including a database that an organization may use to capture reports); • internal safety investigation procedures; • an internal auditing system; • safety communication processes, such as a safety committee meeting, and how safety-related information is escalated, and disseminated to those in the company and the relevant external entities; and • training and education packages.
Implement an SMS training and education program Once the plans, policies, procedures and toolkit are in place the rationale for implementing an SMS should be communicated to all staff. This can be done through a structured training and education program which may include a presentation to all staff, a web-based package or a series of informative newsletters or emails. Consider the level of education required by those with safety responsibilities; e.g. the executives, the safety manager.
Monitor and review Once the components of a safety management system have been implemented, it is important to gain assurance that they are actually working. The performance measures originally outlined in the management plan can be used to track the success of the SMS. The way to track them could be through a safety committee meeting, or through an annual review of the SMS.

3.2 SMS–Safety Risk Management

ORM-S 3.2.1 The Provider *should* have a hazard identification program that is implemented and integrated throughout the organization to include:

(i) A combination of reactive and proactive methods for safety data collection;

(ii) Processes for safety data analyses that identify existing hazards and predict future hazards to operations. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed organizational safety hazard identification program (focus: program identifies hazards to operations; describes/defines method(s) of safety data collection/analysis).

Identified/Assessed process for safety hazard identification (focus: all operational disciplines participate in process).

Interviewed SMS manager and/or designated management representative(s).

Examined records/documents that illustrate organizational integration (focus: coordinated involvement of all operational disciplines in hazard identification process).

Examined selected examples of hazards identified through data collection/analysis.

Coordinated to verify implementation of safety hazard identification program in all operational areas.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 621. Similar requirement is in IOSA ORG 3.1.1 applicable to the Operator.

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

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

To be effective, reactive and proactive processes are used to acquire information and data, which are then analyzed to identify existing or predict future (i.e. potential) hazards to operations. Examples of processes that typically yield information or data for hazard identification include:

- Confidential or other reporting by personnel;
- Investigation of accidents, incidents, irregularities and other non-normal events;
- Observation of personnel during operations and training;
- Quality assurance and/or safety auditing;
- Safety information gathering or exchange (external sources).

Processes would be designed to identify hazards that might be associated with organizational business changes, the introduction of significant outsourcing of operational functions etc.

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.2.2 The Provider *should* have a non-punitive operational safety reporting system that is implemented throughout the organization in a manner that:

(i) Encourages personnel to report any incident or hazard to ground operations, identify safety hazards, expose safety deficiencies or raise safety concerns;

(ii) Complies with applicable mandatory reporting regulations and requirements;

(iii) Includes analysis and management action as necessary to address safety issues identified through the reporting system;

(iv) Specifies the measures to protect safety data from being used for any purpose other than the improvement of safety and SMS. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed corporate safety reporting policy and procedures (focus: personnel urged to report operational hazards; definition of disciplinary policy/potential disciplinary actions; data protection).

Interviewed accountable executive and/or designated management representative(s).

Verified implementation of safety reporting in all operational areas.

Examined examples of safety reports.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 621 and AHM 650. Similar requirement is in IOSA ORG 3.1.3 applicable to the Operator.

Operational reporting is considered a proactive hazard identification activity in an SMS.

Frontline personnel, such as ground crew, gate and check in staff, warehouse staff and GSE operators, are exposed to hazards and face challenging situations as part of their everyday activities. An operational reporting system provides such personnel with a means to report these hazards or any other safety concerns so they may be brought to the attention of relevant managers.

Such systems are considered “non-punitive” because they afford a level of protection (excluding willful misconduct) to reporters. While the nature and extent of the Providers’ non-punitive policies may vary, the intent is to promote an effective reporting culture and proactive identification of potential safety deficiencies to support continuous improvement. Policies that distinguish willful acts of misconduct from inadvertent errors, providing for an appropriate punitive or non-punitive response, are essential to assure the effective reporting of systemic safety deficiencies. A culture that fails to distinguish unintentional errors/mistakes from acts of willful misconduct will inhibit the reporting process. If personnel avoid reporting for fear of punishment, management will not gain important safety information.

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

feedback on the outcome of the action taken also builds a positive reporting culture and a sense of ownership and inclusion of the reporter.

An effective system provides for a review and analysis of each report to determine whether a real safety issue exists, and if so, ensure development and implementation of appropriate action by responsible management to correct the situation. Any risks identified and corrections/changes made as a result of the operational safety reporting, review and analysis must be disseminated throughout the organization to the relevant staff.

While the Provider may not be required by regulation to report directly to the Authority, the provider will need to know the mandatory reporting of the Authority within the scope of their activities. The Provider may not report these to the authorities but will be required to report these to the Operator/Customer who then must fulfil their regulatory obligation and report them to the Authority. The Provider needs to know and support the Operators/regulatory requirements.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.2.3 The Provider *should* have a safety risk assessment and mitigation program that includes processes implemented and integrated throughout the organization to ensure:

(i) Hazards are analyzed to determine corresponding safety risks to ground operations;

(ii) Safety risks are assessed to determine the requirement for risk mitigation action(s);

(iii) When required, risk mitigation actions are developed and implemented in operations. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed organizational safety risk assessment/mitigation program (focus: hazards analyzed to identify/define risk; risk assessed to determine appropriate action; action implemented/monitored to mitigate risk).

Identified/Assessed process for risk assessment/mitigation (focus: all operational disciplines participate in process).

Interviewed SMS manager and/or designated management representative(s).

Examined records/documents that illustrate organizational integration (focus: coordinated involvement of all operational disciplines in risk assessment/mitigation program).

Examined selected examples of risk assessment/risk mitigation action(s).

Coordinated to verify implementation of safety risk assessment/mitigation in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Risk.

Guidance may be found in AHM 610 and AHM 621. Similar requirement is in IOSA ORG 3.1.2 applicable to the Operator.

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

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

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

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

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

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.2.4 The Provider *should* have a process:

(i) To conduct and/or participate in an investigation of an incident/accident where its services were involved, to include reporting of events, in accordance with requirements of the costumer airline(s), the Airport Authority, and/or State, as applicable;

(ii) For identifying and investigating irregularities and other non-routine operational occurrences that might be precursors to an accident or incident. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed accident investigation procedures (focus: formal procedures developed for the triggers to commence an investigation, processes for gathering evidence and conducting the analysis, processes for developing recommendations, and for distributing the report - process includes compliance with applicable requirements).

Interviewed responsible manager(s).

Examined selected reports on accidents and incidents (focus: correct involvement; investigation identifies operational safety hazards, produces recommendations to prevent recurrence/mitigate risk).

Other Actions (Specify).

Guidance

Guidance may be found in AHM 652 and AHM 653. Similar requirement is in IOSA ORG 3.3.10 and 3.3.11 applicable to the Operator.

Incident/accident investigation is considered a reactive hazard identification activity in an SMS.

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

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

An effective investigation process typically includes:

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

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

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

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

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

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

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

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

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.2.5–3.2.9 (Intentionally open)

ORM-S 3.2.10 The Provider *should* have a process to ensure aircraft ground damages are reported, if not prohibited by the customer airline(s), to IATA for inclusion in the Ground Damage Database (GDDB). Such reports *should* be submitted in accordance with the formal IATA ground damage reporting structure. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed process for reporting aircraft ground damage to IATA GDDB.

Examined a sample of reports for completeness.

Crosschecked aircraft ground damages events notification to IATA

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of IATA Ground Damage Database (GDDB).

The IATA GDDB has been established as a quality source of defensible data that will support a performance-based approach to the management of ground operations. Data submitted to IATA for the GDDB is assembled and integrated in a manner that permits, through statistical analysis, the identification of trends and contributing factors associated with aircraft ground damages.

Participants that submit data for the GDDB benefit from having access to the analytical results. Additionally, such results are used by IATA and the various working groups and task forces associated with the ISAGO program as the basis for the development of damage prevention strategies and success measurement metrics.

The assurance of data quality and overall database integrity requires that data is submitted by participants in a uniform and consistent manner. Therefore, the GDDB includes strict reporting protocols, as well as associated definitions and assumptions. GDDB together with ISAGO and IGOM/AHM is part of IATA Integrated Solution for Ground Operations. Reporting guidelines and other information can be found online at the IATA Global Safety Information Center (GSIC) (http://www.iata.org).

3.3 SMS–Safety Assurance

ORM-S 3.3.1 The Provider *should* have a safety assurance program, including a detailed audit planning process and sufficient resources that provides for the auditing and evaluation of the effectiveness of the management system and ground operations at the station to ensure the Provider is:

(i) Complying with applicable safety regulations and requirements of the customer airline(s);

(ii) Identifying hazards to operations;

(iii) Monitoring effectiveness of safety risk controls;

(iv) Verifying safety performance in reference to the safety performance indicators and safety performance targets. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed safety assurance program (focus: role/purpose within organization/SMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management system/operational areas).

Interviewed SMS manager and/or designated management representative(s).

Interviewed Safety assurance program manager.

Interviewed selected operational managers (focus: interface with quality assurance program).

Examined selected safety audit reports (focus: audit scope/process/organizational interface.

Coordinated to verify implementation of safety assurance audit program in all operational areas.

Other Actions (Specify).

Guidance

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

Similar requirement is in IOSA ORG 3.4.1 applicable to the Operator.

A Safety Assurance program focuses on and is a means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls.

While there as similarities between Quality Assurance (QA) and Safety Assurance (SA); the objective of QA within a QMS is to provide systemic assurance that the processes and procedures used by the organization will result in the provision of products or services that meet a predetermined standard and hence customers' expectations. It does this by ensuring adequacy of and compliance to approved procedures. SA within a SMS differs from QMS in that SMS focuses on human factors and organizational factors, and integrates into these, quality management techniques and processes, to contribute to the achievement of safety satisfaction. The objective of SMS is to identify the safety hazards the organization must confront and in some cases generates during delivery of services, and to bring the safety risks or the consequences of these hazards under organizational control. As the SMS and QMS share many techniques, processes and commonalities, there may

be a tendency to assume that an organization that has established and operates a QMS does not need, or already has, a SMS.

Due to the commonalities between QA and SA, or more broadly QMS and SMS, there is the possibility to integrate the activities, this create efficiency and leverages off common resources. This integration is scalable to the size and complexity of the organization, and be of particular advantage for a small, non-complex organization. For example, by using the same techniques i.e. auditing, a Provider may add the scope of quality auditing with the scope of safety auditing and conduct the audit of a line station as one event. Similarly, integration can occur with a combine Safety and Quality Policy, as with many other areas of the QMS and SMS. There are also similarities with Workplace or Occupational Health and Safety in which integration may occur.

The SA program is applied throughout the organization and includes auditing, with the following detail:

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

The process normally includes means whereby the auditor and the audited area have a comprehensive discussion and reach agreement on the findings and corresponding corrective or preventive actions. Clear procedures are typically established to resolve any disagreement between the auditor and audited area, and action items are followed up to ensure closeout within an appropriate time frame.

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

In addition to auditing, the evaluation of effectiveness may be performed in other ways, through safety inspections, safety surveys and other similar tools. A similar approach to auditing is taken in terms of planning, determining findings, reporting, follow-up and close-out activities.

ORM-S 3.3.2 The Provider *should* have processes for setting performance objectives and measures as a means to monitor the operational safety performance of the organization and to validate the effectiveness of safety risk controls. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed processes for setting performance measures (focus: program defines/requires development/application of performance measures; measures used to track/monitor operational safety performance/validate safety risk controls).

Interviewed SMS manager and/or designated management representative(s).

Examined selected performance measures currently being tracked (focus: performance measures are set/tracked in all operational disciplines).

Examined records/documents that identify tracking of performance measures (focus: tracking used to assess/monitor operational safety performance, assess/validate risk control effectiveness).

Verified implementation of performance measures in all operational areas.

Identified/Assessed procedures for internal reviews of SMS performance.

Interviewed selected operational managers (focus: interface with safety assurance program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Performance Measures.

Guidance may be found in AHM 621. Similar requirement is in IOSA ORG 3.2.1 applicable to the Operator.

Setting measurable safety objectives is an element of the Safety Assurance component of the SMS framework.

By setting performance measures, a Provider is able to track and compare its operational performance against a target (i.e. the performance objective, typically expressed as a rate or number reduction) over a period of time (e.g. one year). Achievement of the target (or objective) would represent an improvement in the operational performance. The use of performance measures is an effective method to determine if desired safety outcomes are being achieved, and to focus attention on the performance of the organization in managing operational risks and maintaining compliance with relevant regulatory, legislative, airport and customer requirements (where applicable).

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

In addressing compliance, meaningful measures, as a minimum, would focus on compliance with significant regulatory requirements in all operational areas, and on conformity with customer airline(s)' requirements.

Ideally, performance measures are designed to be challenging, which, in turn, enhances the effectiveness of the risk management system.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

The following examples illustrate the relationship between safety performance indicators and safety performance targets.

Safety Performance Indicator	Safety Performance Target	Proactive/reactive/ Interactive indicator
Number of major/critical findings per external audit.	No more than one major or critical finding per external audit, with no repeat findings.	Reactive
Average number of days to close safety investigation finding.	Within one year, the average number of days to close an internal safety investigation finding reduces to 60 days or less.	Proactive
Percentage of employees who have completed risk management training.	In 2 years, the 100% of employees will have completed risk management training (appropriate to their role).	Proactive
Hazard reporting rate.	Increase in the rate of hazard reporting (per flight hour) by 10% in 6 months, with a corresponding average reduction in the risk level of each report.	Reactive
Percentage of employee surveys completed.	At least 60% completed employee survey reports at next survey.	Interactive
Percentage of completed employee surveys which identifies procedure deviations.	Less than 10% at next survey.	Interactive
Percentage of internal occurrence investigations which have supervision as a primary cause.	Less than 25%, calculated for one year period.	Proactive

ORM-S 3.3.3 The Provider *should* have a process to identify changes within or external to the organization that have the potential to affect the level of safety risk of ground operations, and to manage the safety risks that may arise from or affected by such changes. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed organizational change management process (focus: process identifies/assesses internal/external changes to determine operational safety risk).

Interviewed SMS manager and/or designated management representative(s).

Examined selected records/documents that show processing of internal/external changes (focus: assessment of changes to determine safety risk; actions taken to implement/revise new/existing risk controls).

Coordinated to verify implementation of change management process in all operational areas.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Change Management.

Guidance may be found in AHM 621. Similar requirement is in IOSA ORG 3.2.2 applicable to the Operator.

Change management is an element of the Safety Assurance component of the SMS framework.

Change management is considered a proactive hazard identification activity in an SMS.

Change may affect the appropriateness or effectiveness of existing safety risk mitigation strategies. In addition, new hazards and related safety risks may be inadvertently introduced into an operation whenever change occurs.

A change management process is designed to ensure risk management is applied to any internal or external changes that have the potential to affect established operational processes, procedures, products and services.

Internal changes typically include organizational expansion, contraction or consolidation, new initiatives, business decisions, as well as the introduction of new or the modification of existing systems, equipment, programs, products or services.

External changes could include new regulatory requirements or changes to the operating environment (e.g. new security regulations, amendments to the dangerous goods regulations).

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.3.4 The Provider *should* have processes to review and ensure continual improvement of the SMS throughout the organization to include:

(i) Identification of the cause(s) of substandard performance of the SMS;

(ii) Determination of the implications of substandard performance of the SMS in operations;

(iii) Elimination or mitigation of such cause(s) of substandard performance. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed SMS review process (focus: process identifies organizational opportunities for changes/improvement to SMS).

Interviewed accountable executive and/or designated management representative(s).

Examined selected examples of output from SMS review process (focus: changes implemented to improve organizational safety performance).

Other Actions (Specify).

Guidance

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

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.5.2 applicable to the Operator.

Continual improvement of the SMS is an element of the Safety Assurance component of the SMS framework.

Continual improvement would normally be overseen by a strategic committee of senior management officials that are familiar with the workings and objectives of the SMS. Such committee is typically referred to as a Safety Review Board (SRB), which is a very high level, strategic committee chaired by the AE and composed of senior managers, including senior line managers responsible for functional areas in operations.

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

In a situation where a Provider has SMS only partially implemented, the provider would demonstrate that the processes specified in this provision are being applied to ensure continual improvement of those SMS elements that have been implemented and, as feasible, elements that are in the process of being implemented.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.3.5 The Provider *should* have a process for management consideration of and decision-making to ensure significant issues arising from:

(i) The safety risk assessment and mitigation program, and

(ii) The safety assurance program

are subject to management review in accordance with ORM-H/HS/S 3.3.4 and ORM-H/HS/S 1.5.1, as applicable. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed process for management review of safety assurance program recommendations (focus: continual improvement of Provider's processes and procedures).

Interviewed quality manager and/or designated management representative(s).

Examined records/documents of management review of safety assurance program recommendations

Other Actions (Specify).

Guidance

Guidance may be found in AHM 621.

Similar requirement is in IOSA ORG 3.4.4 and 3.3.3 applicable to the Operator.

Management review of significant safety assurance issues and decision-making process on risk management and hazard identification issues supports the continual improvement of safety performance, which is an element of the Safety Assurance component of the SMS framework.

Such review permits senior management to consider significant issues of non-conformance in areas of the organization that impact operational safety and security, and to:

- Continually monitor and assess operational safety and security outcomes;
- Ensure appropriate corrective or preventive actions that address the relevant conformance issues have been implemented and are being monitored for effectiveness;
- Ensure continual improvement of operational safety performance.

3.4 Quality Control Program

ORM-S 3.4.1 The Provider shall have a station quality control program that provides for scheduled and unscheduled inspections and/or evaluations of ground operations at the station for the purpose of ensuring compliance with standards of the Provider, quality assurance program as specified in ORM-H/HS 3.4.1, applicable regulations, and requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed station quality control program (focus: role/purpose within organization; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management system/operational areas).

Interviewed quality manager and/or designated management representative(s).

Interviewed selected operational managers (focus: interface with quality assurance program).

Examined selected audit reports (focus: audit scope/process/organizational interface.

Verified implementation of quality assurance audit program in all operational areas.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 060.

ORM-S 3.4.3 The Provider shall have a process for addressing findings that result from audits, inspections and/or evaluations conducted under the station quality control program as specified in ORM-S 3.4.1, which ensures:

(i) A determination of root cause(s);

(ii) Development of corrective action as appropriate to address findings;

(iii) Implementation of corrective action in appropriate operational area(s);

(iv) Monitoring and evaluation of corrective action to determine effectiveness. **(GM)**

Auditor Actions

Identified/Assessed process for determining audit type.

Interviewed quality manager and/or designated management representative(s)..

Examined selected audit reports/records, meeting minutes

Other Actions (Specify).

Guidance

Guidance may be found in AHM 060.

ORM-S 3.4.4 The Provider shall have a process to ensure significant issues arising from the station quality control program are subject to management review in accordance with ORM-S 1.5.1. **(GM)**

Auditor Actions

Identified/Assessed process for management review of quality assurance program recommendations (focus: continual improvement of Provider's processes and procedures).

Interviewed quality manager and/or designated management representative(s).

Examined records/documents of management review of quality assurance program recommendations

Other Actions (Specify).

Guidance

Guidance may be found in AHM 060.

ORM-S 3.4.5 The Provider shall have a means for disseminating information from the station quality control program as specified in ORM-S 3.4.1 to management and non-management operational personnel as appropriate to ensure an organizational awareness of compliance with applicable regulatory and other requirements. **(GM)**

Auditor Actions

Identified/Assessed means used for dissemination of quality assurance program information.

Interviewed quality manager and/or designated management representative(s)..

Interviewed non-management operational personnel (focus: awareness of quality assurance program issues).

Examined examples of information disseminated to management/non-management personnel

Verified dissemination of quality assurance information in all operational areas.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 060.

3.5 Safety Promotion

ORM-S 3.5.1 The Provider *should* have processes for the communication of safety information throughout the organization to ensure personnel maintain an awareness of the SMS and current operational safety issues. **[SMS] (GM)**

Note: *Effective 1 January 2017, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed safety information communication system (focus: organizational capability for communicating safety information to personnel; information stresses SMS awareness/operational safety issues).

Interviewed accountable executive and/or designated management representative(s).

Interviewed selected management system personnel.

Observed examples of safety information communication.

Verified communication of safety information in all operational areas.

Other Actions (Specify).

Guidance

Similar requirement is in IOSA ORG 1.4.2 applicable to the Operator. Safety communication is an element of the Safety Promotion component of the SMS framework.

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

Examples of safety communication can be safety newsletters, regular emails, safety committee meetings etc.

Also targeted safety promotion activities, not only within one's own organization but with other key staff and companies can be good examples of communications.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

ORM-S 3.5.2 The Provider *should* have a means for disseminating information from:

(i) The safety risk assessment and mitigation program, and

(ii) The safety assurance program to management and non-management operational personnel as appropriate to ensure an organizational awareness of compliance with applicable regulatory and other safety requirements. **[SMS] (GM)**

Note: *Effective 1 January 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed means used for dissemination of safety assurance program information.

Interviewed safety assurance program manager.

Interviewed non-management operational personnel (focus: awareness of safety assurance program issues).

Examined examples of information disseminated to management/non-management personnel

Coordinated to verify dissemination of safety assurance information in all operational areas.

Other Actions (Specify).

Guidance

Similar requirement is in IOSA ORG 3.4.5 and 3.3.4 applicable to the Operator.

Promulgation of safety information is an element of the Safety Promotion component of the SMS framework.

An effective safety assurance and safety risk assessment and mitigation programs include a process for disseminating information for the purpose of maintaining an ongoing awareness of compliance issues that might impact operational safety or security. As an example, such information might include an up-to-date status of operational safety performance against stated safety performance measures. The process ensures a method of dissemination commensurate with the size of the organization. Acceptable means include a magazine, newsletter or bulletin issued periodically. Electronic media in various forms are also effective in the timely dissemination of information.

Note: *SMS Training and Education is part of ORM-S Sub-section 5 Training and Qualification.*

3.6 Outsourcing Quality Control Program

ORM-S 3.6.1 If the Provider outsources ground operations and/or associated functions to external ground service providers, the Provider shall have a program that ensures a contract or agreement is executed with such external providers. The contract or agreement shall identify measurable specifications that can be monitored by the Provider to ensure requirements that affect operational safety and/or security are being fulfilled by the external provider. **(GM)**

Auditor Actions

Identified/Assessed processes for contract/agreement production/execution with external service providers that conduct outsourced operations functions.

Interviewed responsible manager(s).

Examined selected outsourcing contracts/agreements (focus: inclusion of measurable specifications applicable to service providers).

Verified implementation of service provider contract/agreement processes in applicable operational areas.

Other Actions (Specify).

Guidance

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

Guidance and examples of a standard ground handling agreement and a service level agreement may be found in AHM Chapter 6.

A Provider always retains responsibility for services that have been voluntarily transferred to an external service provider.

Maintenance of GSE would be considered a function associated with operational safety.

A contract or agreement is necessary to ensure the outsourced services and/or functions are formally documented. Inclusion of measurable specifications, usually in the form of a service level agreement, would provide the basis for a monitoring process.

ORM-S 3.6.2 If the Provider outsources ground operations and/or associated functions to external ground service providers, the Provider shall have processes for monitoring such external providers to ensure requirements that affect operational safety and security are being fulfilled by the external provider. **(GM)**

Auditor Actions

Identified/Assessed processes for monitoring external service providers that conduct outsourced operations functions.

Interviewed responsible manager(s).

Examined selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures provider is fulfilling applicable safety/security requirements).

Verified implementation of service provider monitoring in applicable operational areas.

Other Actions (Specify).

Guidance

The specifications of this provision are applicable to any outsourced services or functions that affect operational safety and/or security.

A Provider has a responsibility to monitor outsourced services or functions to ensure they are conducted in a manner that meets its own operational safety and security requirements, as well as those of the customer airline(s).

ORM-S 3.6.3 (Intentionally open)

ORM-S 3.6.4 If the Provider outsources ground operations and/or associated functions to external ground service providers, the Provider shall have a process to ensure such external providers have a security training program, to include:

(i) If personnel of the external ground service providers employed by the Provider implement security controls, such personnel have the competence to perform their duties;

(ii) Ground handling personnel of the external ground service provider are familiar and know how to comply with all relevant security requirements;

(iii) Ground handling personnel of the external ground service provider are able to prevent to the extent possible acts of unlawful interference and to act in the most appropriate manner to minimize the consequences of acts of unlawful interference, unauthorized interference, and/or disruptive passenger behavior;

(iv) Appropriate operational personnel of the external ground service provider, through security awareness training, are acquainted with preventative measures and techniques in relation to passengers, baggage, cargo, mail, equipment, stores and supplies intended for transport on aircraft, as applicable, so they may contribute to the prevention of acts of sabotage and other forms of unauthorized interference.

Auditor Actions

Identified/Assessed process for security training of external service providers that conduct outsourced operations/maintenance/security functions.

Interviewed responsible manager(s).

Examined security training program competence requirements for personnel that implement security controls

Examined security training program competence requirements for Ground handling personnel with regards to security requirements

Examined security training program competence requirements for Ground handling personnel with regards to unlawful/unauthorized interference and/or disruptive passenger behavior

Examined security training program competence requirements for appropriate operational personnel with regards to prevention of acts of sabotage

Other Actions (Specify).

ORM-S 3.6.5 If the Provider outsources dangerous goods handling functions to external ground service providers, the Provider shall have a process to ensure such external providers have a dangerous goods training program in accordance with requirements of the Provider's dangerous goods training program.

Auditor Actions

Identified/Assessed process to ensure conformity of external provider's dangerous goods training program.

Interviewed responsible manager(s).

Examined selected records/reports resulting from monitoring of external service provider's training program

Other Actions (Specify).

4. (Intentionally Open)

5. Training and Qualification

5.1 Load Control Training Program

ORM-S 5.1.1 If the Provider delivers load control services, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in operational load control functions complete initial and recurrent training in:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned load control function(s) as specified in Table 1.4;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.5 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Load Control, Loading Instruction/Report (LIR), NOTOC (Notification to Captain), Operational Flight Plan (OFP) and Unit Load Device (ULD).

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance may be found in AHM 590, 591 and DGR 1.5.

Guidance for Load Control Training may be found in AHM 590, 591 and DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.2 Passenger Handling Training Program

ORM-S 5.2.1 If the Provider delivers passenger handling services, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in operational passenger handling functions complete initial and recurrent training in passenger handling operations, which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned passenger handling function(s) as specified in Table 1.6;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.7 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training for all staff as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vii) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions;

(viii) Aircraft access door training program in accordance with requirements of the customer airline(s) for personnel with duties that include the operation of aircraft access doors applicable to each type of access door operated at the station;

(ix) Passenger boarding bridge training for personnel with duties that include the operation of passenger boarding bridge as specified in Table 1.12.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Refer to the IRM for the definition of Passenger Boarding Bridge.

Guidance for DG training may be found in DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.3 Baggage Handling Training Program

ORM-S 5.3.1 If the Provider delivers baggage handling services, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in operational baggage handling functions complete initial and recurrent training in baggage handling operations, which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned baggage handling function(s) as specified in Table 1.8;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.9 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training for all staff as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vii) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational function.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance for DG training may be found in DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

5.4 Aircraft Handling and Loading Training Program

ORM-S 5.4.1 If the Provider delivers aircraft handling and loading services, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in aircraft handling and loading functions complete initial and recurrent training in aircraft handling and loading operations, which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned aircraft handling and/or loading function(s) as specified in Table 1.10;

(iii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.11 including a recurrent training within 24-month period since the previous DG training;

(iv) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(v) Safety training for all staff as specified in Table 1.2;

(vi) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vii) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions;

(viii) Load control training program for personnel with duties that include the supervision of aircraft loading as specified in Table 1.13;

(ix) Aircraft access door training program in accordance with requirements of the customer airline(s) for personnel with duties that include the operation of aircraft access doors applicable to each type of access door operated at the station;

(x) Passenger boarding bridge training for personnel with duties that include the operation of passenger boarding bridge as specified in Table 1.12.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Refer to the IRM for the definition of Passenger Boarding Bridge.

Guidance may be found in AHM 630.

Guidance for DG training may be found in DGR 1.5.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Supervision of Aircraft Loading may be found in AHM 590 and 591.

Aircraft loading supervision is an element of the load control process.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.5 Aircraft Ground Movement Training Program

ORM-S 5.5.1 If the Provider delivers aircraft ground movement services, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in aircraft ground movement functions complete initial and recurrent training in aircraft ground movement operations, as applicable to assigned aircraft ground movement function(s), which addresses:

(i) General training prior to being assigned to perform operational duties;

(ii) Operational subject areas as applicable to assigned aircraft handling as specified in Table 1.14;

(iii) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(iv) Safety training for all staff as specified in Table 1.2;

(v) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vi) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions;

(vii) Aircraft access door training program in accordance with requirements of the customer airline(s) for personnel with duties that include the operation of aircraft access doors applicable to each type of access door operated at the station.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance may be found in AHM 631.

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

Guidance for Aircraft Access Door Training may be found in AHM 430.

Guidance may be found in AHM 634 and ACI 2.4.0.

5.6 Cargo and Mail Handling Training Program

ORM-S 5.6.1 If the Provider delivers cargo and mail handling services, the Provider shall have a program that ensures all personnel with duties and/or responsibilities in cargo and mail handling functions complete initial and recurrent training. Such training shall provide the knowledge necessary for cargo handling personnel to perform duties, execute procedures and operate equipment associated with specific cargo handling functions, and include:

(i) General and function-specific training prior to being assigned to perform operational duties;

(ii) Dangerous goods appropriate to assigned operational functions or duties as specified in Table 1.15 including a recurrent training within 24-month period since the previous DG training including evaluation/testing by written means;

(iii) Security training program in order to be familiar and know how to comply with all relevant security requirements and be able to prevent acts of unlawful interference;

(iv) Safety training for all staff as specified in Table 1.2;

(v) Airside driver training for all staff with duties that require the operation of vehicles and/or equipment in airside areas including operating license in accordance with requirements of relevant authority as specified in Table 1.3;

(vi) GSE operations program for staff with duties that require the operation of GSE as applicable to their assigned operational functions.

Initial and recurrent training shall include evaluation or testing by written, oral or practical means. Recurrent training shall be completed on a specified frequency to ensure all personnel remain qualified to perform operational duties, according to the applicable regulations, but not less than once during every 36-month period. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Ground Support Equipment (GSE).

Guidance for Airside Safety Training is found in AHM 611 and 640.

Guidance for Airside Driver Training may be found in AHM 611.

Guidance for GSE Operations Training may be found in AHM 630.

5.7 Safety and Security Training Programs

ORM-S 5.7.1 The Provider shall have a security training program that is in accordance with the Security Program of the customer airline(s), requirements of the civil aviation security authority of states where ground operations are conducted, and requirements of the airport authority at stations where ground operations are conducted. Such training program shall include initial and recurrent training, and have a balanced curriculum of theoretical and practical training to ensure:

(i) If personnel employed by the Provider implement security controls, such personnel have the competence to perform their duties;

(ii) Appropriate operational personnel, through security awareness training, are acquainted with preventative measures and techniques in relation to passengers, baggage, cargo, mail, equipment, stores and supplies intended for transport on aircraft, as applicable, so they may contribute to the prevention of acts of sabotage and other forms of unauthorized interference. **(GM)**

Auditor Actions

Identified/Assessed training program (focus: Training syllabi/content, adequate training plans for duties to be performed and operational environment, including local regulations and operating procedures).

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Security (Aviation), Security Program, Unlawful Interference and Unauthorized Interference.

Intensive training for personnel who are employed within the security organization of a provider will enable them to develop the expertise required to advise management on all aspects of the security program. There are two classifications of aviation security training for a provider:

Personnel Training

This might be subdivided into training for managers/supervisors, ramp personnel, cargo handling personnel, passenger and baggage handling personnel, and other categories of personnel who are directly involved in the implementation of security measures and thereby require an awareness of the obligations associated with aviation security.

General Security Awareness

Such training applies to the protection of assets from internal and external interference and the necessity of ensuring all ground handling personnel have a positive attitude to security. The focus of training to achieve such awareness will vary by region or company and may be influenced by cultural, religious and other circumstances. Such training is tailored to be effective in the environment in which it is to apply.

The completion of security training would normally be recorded and retained in the records system for proof of compliance with applicable security standards or regulations.

ORM-S 5.7.2 The Provider *should* have a program that ensures personnel throughout the organization are trained and competent to perform SMS duties. The scope of such training should be appropriate to each individual's involvement in the SMS as detailed:

(i) In Table 1.2 for all personnel for those elements identified with the **[SMS]** symbol, and

(ii) In Table 1.16 for personnel with specific assigned duties in the safety management system. **[SMS] (GM)**

Note: *Effective 1 January 2018, this recommended practice will be upgraded to a standard.*

Auditor Actions

Identified/Assessed program for personnel to be trained/competent to perform SMS duties.

Interviewed safety manager and/or designated management representative(s).

Examined selected initial/recurrent training curricula for personnel to be trained/competent to perform SMS duties

Examined selected management/non-management personnel training records (focus: completion of SMS training).

Verified SMS training is implemented in all applicable areas.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 610. Similar requirement is in IOSA ORG 1.6.5 applicable to the Operator.

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

Training on the SMS, including safety reporting, provided to operational personnel may be included in the Safety Training (as specified in Table 1.2). An overview of the SMS, its purpose, scope and functionality should, however, be provided for all personnel.

An SMS specifies initial and recurrent safety training standards for operational personnel within the organization, to include managers and supervisors, senior managers and the AE. The content of such training is appropriate to the individual's responsibilities and involvement in the SMS.

Personnel with specific SMS duties would include those that, as part of the safety office, perform safety risk assessments and activities associated with safety assurance.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859.

5.8 Dangerous Goods Training Program

ORM-S 5.8.1 The Provider shall ensure the instructors who deliver dangerous goods training have:

(i) The adequate instructional skills and, prior to delivering instruction, completed a dangerous goods training program that provides the knowledge in subject areas consistent with the level of instruction to be delivered;

(ii) Conducted a minimum of one dangerous goods training course within every 24 months or attended recurrent dangerous goods training; and

(iii) Received updates to the Regulations and training material on an annual basis. **(GM)**

Auditor Actions

Assessed training and competence plan for dangerous goods instructors.

Interviewed responsible manager(s).

Examined selected instructor training records and reports (focus: conformity with training plan).

Other Actions (Specify).

Guidance

Guidance may be found in DGR 1.5.6.

5.9 Training Program (General)

ORM-S 5.9.1 The Provider shall ensure each training program as specified in ORM-S 5.1-5.6 includes processes that require instructors (trainers) and evaluators who conduct training and evaluation for ground handling personnel to demonstrate they are competent, qualified and, where required, certified to conduct such training activities.

Auditor Actions

Identified/Assessed method of ensuring qualification/certification of trainers.

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

ORM-S 5.9.2 The Provider shall ensure each training program as specified in ORM-S 5.1-5.6 includes processes for the completion of all required training and evaluation by operational ground handling personnel, instructors (trainers) and evaluators to be documented in records, and such records retained in accordance with ORM-S 2.3.1 for a period as specified by applicable regulations and/or the customer airline(s).

Auditor Actions

Identified/Assessed training record management system.

Interviewed responsible manager(s).

Examined selected training records and reports (focus: conformity with training program).

Other Actions (Specify).

ORM-S 5.9.3 The Provider shall ensure each training program as specified in ORM-S 5.1-5.6 includes processes for all aspects of the training program to be periodically reviewed and updated to remain operationally relevant and in accordance with requirements of the customer airline(s).

Auditor Actions

Identified/Assessed method of reviewing training programs.

Examined selected reports of reviews and action taken.

Other Actions (Specify).

6. Security Management

6.1 Security Program

ORM-S 6.1.1 The Provider shall have procedures in accordance with requirements of customer airline(s) and the civil aviation security program of states that in case of security related incidents:

(i) Customer airline(s) and relevant authorities are notified;

(ii) The Provider liaises on behalf of the customer airline(s), when so authorized by such customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures for notification of security incidents and/or authorized liaison with relevant authorities.

Examined selected security incident records and reports.

Other Actions (Specify).

Guidance

Security related incidents include, but are not limited to:

- Threats;
- Unlawful interference.

7. Ground Support Equipment (GSE) Management

7.1 GSE Maintenance

ORM-S 7.1.1 The Provider shall have a program that ensures that GSE:

(i) Is maintained in accordance with instructions and/or guidance from the GSE manufacturer;

(ii) Is serviceable and in good condition prior to being used in ground operations;

(iii) When found to be defective, is reported and evaluated for removal from service;

(iv) Tagged as “Out of Service” and not utilized in airside operations if found in unserviceable condition;

(v) Removed from operations for repair or maintenance if unserviceable;

(vi) Maintenance is documented in records, and such records are retained for a period as specified by the Provider, applicable regulations and/or the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures for maintenance and serviceability of GSE.

Interviewed responsible manager(s).

Examined selected maintenance records and reports to reflect a program in conformity with instructions and/or guidance from the GSE manufacturer.

Examined selected maintenance records and reports to reflect operational condition (tagging and removal from operations).

Verified maintenance records and reports are retained for a period as specified by the Provider, applicable regulations and/or the customer airline(s).

Other Actions (Specify).

Guidance

Refer to IRM for the definition of Ground Support Equipment (GSE).

Maintenance programs would typically be designed to be in accordance with recommendations of the equipment manufacturer. If the GSE maintenance is outsourced, the GSE standards and recommended practice are still applicable and shall be assessed.

7.2 GSE Technical Requirements

ORM-S 7.2.1 The Provider *should* ensure that all aircraft GSE is equipped with a device that senses the proximity of an aircraft and provides a visual and audible indication to the operator of the aircraft GSE to reduce the risk of impact with the aircraft.

Auditor Actions

GSE are fitted with serviceable aircraft proximity warning devices.

Interviewed responsible manager(s).

Examined selected maintenance records and reports to reflect a program in conformity with instructions and/or guidance from the GSE manufacturer.

Examined selected maintenance records and reports to reflect operational condition (tagging and removal from operations)

Verified maintenance records and reports are retained for a period as specified by the Provider, applicable regulations and/or the customer airline(s).

Other Actions (Specify).

Guidance

Guidance may be found in AHM 900.

In addition to the safety aspects, significant costs and disruption is caused by aircraft damaged by GSE. Even with the slightest of touch, the damage caused may not always be easily visible or detectable. Apart from coverings or pneumatic devices that absorb impact it is commonplace on modern automobiles for devices to be installed that detect the proximity of another object and can provide either automatic braking and/or collision avoidance and/or an audible/visible alert to the operator. Where practicable and economically feasible, the GSE should be designed or equipped to eliminate the probability of aircraft damage.

All GSE manufactured and purchased after 1 July 2018 shall comply with the aircraft damage prevention requirements of AHM Chapter 9 and with specific focus on the following in order to reduce the risk of damage to aircraft:

- Positively controlled, non–jerking, slow speeds are required for the approach and final positioning of GSE at the aircraft;
- Bumpers shall be fitted to all leading edges and any part of the GSE that may contact the aircraft – including guard rails, access steps etc. Material used for bumpers shall be soft and compressible such that it does not damage the aircraft. Refer to SAE 1558 for more details on bumper materials and correct installation;

  Note: *Traditional D rubber material is not acceptable as it hardens over time and in cold weather offering little protection to the aircraft.*
- All self-propelled GSE interfacing with the aircraft shall be fitted with bumpers equipped with a means of automatically bringing the equipment to an immediate stop if actual contact with the aircraft is detected;
- All leading edges shall be fitted with an automatic cut out in the event that any part of the GSE contacts the aircraft. In the case of bumpers the cut out must initiate if the bumpers are compressed by more than 30% of their thickness;
- All self-propelled GSE interfacing with the aircraft shall have a tortoise speed mode that restricts the speed of the vehicle to a maximum of 6 km/h (3.5 mph) (ref ISO 6966). The turtle speed is to be engaged by the operator before entering the Equipment Restraint Area;
- For compliance/supervision purposes; the engagement of the tortoise speed mode shall be visible by means of an external indicator on the GSE;
- All self-propelled GSE interfacing with the aircraft shall have a snail speed mode that restricts the speed of the vehicle to a maximum of 0.8 km/h (0.5mph) (ref ISO 6966);
- All self-propelled GSE interfacing with the aircraft shall have a fail-safe sensing facility to automatically put the GSE in snail speed mode at any time the equipment is within 6 feet (2 meters) of the aircraft interface point;
- For compliance/supervision purposes, a recording mechanism is to be fitted to record the occasions when the GSE automatically engages the snail mode;
- All guard rails shall be designed to provide fall from height protection but must also be designed so that it is not possible to drive the GSE towards or away from the aircraft unless the guard rails are retracted;

- Where possible the GSE should be designed to stop at a safe distance from the aircraft, with final positioning of the interface equipment (such as a platform or end of a belt loader) to be done using a more precise mechanism.
- If final positioning to the aircraft interface point is provided by, for example, a telescopic platform, the telescoping speed shall not exceed 0.1 m/s (4 in/s):
- For self-propelled GSE interfacing with the aircraft, the snail speed shall offer precision throttle controls such as a move from a foot throttle to precision hand throttle or remote control.

8. Unit Load Device (ULD) Management

8.1 ULD Airworthiness and Serviceability

ORM-S 8.1.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs are inspected to identify damage, and to determine airworthiness and serviceability:

(i) When received or accepted;

(ii) Prior to being released for loading into an aircraft. **(GM)**

Auditor Actions
Identified/Assessed procedures for inspection of ULDs.
Examined selected inspection records and reports.
Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Component Maintenance Manual (CMM) and Unit Load Device (ULD).

Guidance may be found in the applicable section(s) of the IATA ULD Regulations (ULDR).

Damaged or unserviceable ULDs have the potential to affect flight safety.

Inspection procedures are typically applied to ULDs whether loaded or unloaded.

Upon accepting a ULD from another party, the Provider shall be responsible to the ULD owner for ensuring the continued airworthiness of the ULDs. (ULDR Sections 2–2.6 and 9–9.7.1).

Differences in damage limitations can occur between ULDs of the same manufacturer, as well as ULDs of different manufacturers. The maximum allowable damage for each specific ULD is typically stated in the applicable Component Maintenance Manual (CMM) issued by the manufacturer.

The ULD Operational Damage Limits Notice (ODLN) should be attached to the ULD to ensure easy access to the appropriate damage limit information and facilitate inspection in the field. (ULDR Section 7 Standard Specification 40/3 and 40/4).

Some airlines impose limits that are more stringent than those contained in the CMM.

ULDs, to include containers and pallets, as well as nets and straps, that do not comply with relevant regulations may not be transported on a commercial flight. An exception may be made for damaged ULDs that require transport to a repair facility, but only after it has been determined through evaluation by appropriately qualified personnel that such ULDs pose no risk of damage to the aircraft.

8.2 ULD Loading

ORM-S 8.2.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure that ULDs, whether received or loaded by the Provider, are in compliance with applicable requirements pertaining to ULD loading and load securing. **(GM)**

Auditor Actions

Identified/Assessed procedures for ULD loading and load securing.

Observed ULD loading and securing procedures.

Other Actions (Specify).

Guidance

Guidance may be found in the applicable section(s) of the ULDR.

Safety requirements address the loading of containers and pallets including nets and straps. Build-up of ULDs shall be in compliance with limitations stated in ULDR Section 2 and the Operating Specifications stated in ULDR Section 6. Each state may have additional or varying regulations and specifications.

ORM-S 8.2.2 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs are identified by exterior tags that display information relevant to the ULD and its contents prior to being released for loading into the aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedures for ULD tagging.

Observed ULD tagging procedures and conformity of content information.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 420.

Such tags typically indicate the origin and destination of the ULD, weight of the ULD and its contents, type of contents (e.g., cargo, baggage, dangerous goods) and location in the aircraft.

8.3 ULD Handling and Storage

ORM-S 8.3.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs are handled and stored in a manner that minimizes or eliminates the possibility of damage or loss. **(GM)**

Auditor Actions

Identified/Assessed procedures for ULD handling and storage.

Observed ULD handling and storage procedures.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 420 and 421.

The installation of ULD on board an aircraft is governed by the aircraft Weight and Balance Manual (WBM). Only ULD that complies with the requirements of the WBM shall be loaded onto an aircraft. The IATA ULDR is based on typical WBM requirements which will assist Providers to carry out ULD operations to comply with applicable requirements such as WBM.

Procedures typically specify proper ULD handling equipment, adequate facilities and space (as available by location), and methods of ULD storage that ensures:

- Identification;
- Inventory is tracked;
- Accessibility is maintained;
- Separation by customer airline.

ORM-S 8.3.2 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure ULDs that have been identified as being damaged or not airworthy are tagged and stored in a designated location that prevents usage for the transport of cargo, mail or baggage.

Auditor Actions

Identified/Assessed procedures for damaged or not airworthy ULD.

Observed damaged or not airworthy ULD procedures.

Other Actions (Specify).

8.4 Facilities and Equipment

ORM-S 8.4.1 The Provider shall ensure the availability of adequate and sufficient infrastructure for proper storing, transporting, moving, transferring, build-up and breakdown of ULDs. **(GM)**

Auditor Actions

Observed ULD storage, handling and transportation procedures.

Other Actions (Specify).

Guidance

Guidance may be found in ULDR Section 9.

The Ground Support Equipment (GSE) for ULD handling should meet the requirements stipulated in AHM 911 (ULDR Appendix 'C') and maintained correctly.

9. Station Airside Supervision and Safety

9.1 Supervision

ORM-S 9.1.1 The Provider shall have a process to ensure all station operational activities, including, if applicable, those outsourced to external ground service providers, are conducted under the direct oversight of supervisory personnel.

Auditor Actions

Identified/Assessed supervisory process.

Examined job description of responsible individual(s) (focus: supervisory responsibilities are as specified in the standard).

Interviewed responsible individual(s).

Other Actions (Specify).

ORM-S 9.1.2 The Provider shall have processes to ensure station personnel that provide oversight of operational activities as specified in ORM-S 9.1.1, including, if applicable, personnel of external ground service providers that conduct outsourced ground operations for the Provider, complete training and are qualified to supervise ground operations.

Auditor Actions

Identified/Assessed supervisory training processes.

Examined training records of responsible individual(s).

Interviewed responsible individual(s).

Other Actions (Specify).

9.2 (Intentionally Open)

9.3 Airside Fire Safety

ORM-S 9.3.1 The Provider shall have procedures for fire protection and prevention in ground operations conducted in station airside areas, which address:

(i) Identification and elimination of conditions that could lead to a fire;

(ii) Availability, access and use of fire fighting equipment;

(iii) Emergency procedures, including alerting personnel on board the aircraft;

(iv) Procedures for controlling and reporting fires. **(GM)**

Auditor Actions

Identified/Assessed procedures for airside fire safety.

Verified availability and access to fire fighting equipment.

Interviewed personnel responsible for airside fire safety, (focus: checking procedures for alerting personnel onboard the aircraft and reporting fires.

Other Actions (Specify).

Guidance

Guidance may be found in AHM 630 and ACI 2.16.0.

9.4 Airside Cleanliness

ORM-S 9.4.1 The Provider shall have procedures to address the spillage of fluids and other materials in station airside areas of operations. **(GM)**

Auditor Actions

Identified/Assessed procedures for airside cleanliness.

Interviewed responsible management representative(s) and station operational personnel.

Examined incident reports of fluid spillage.

Other Actions (Specify).

Guidance

Procedures would typically focus on the avoidance of and response to fluid spillage in station airside operations, to include containment, reporting and cleanup, in accordance with the requirements of relevant authorities.

Other procedures might address spillage of:

- Toilet waste;
- Water (particularly in freezing conditions) and ice cubes;
- Oil and hydraulic fluid;
- Hazardous materials and other chemicals.

ORM-S 9.4.2 The Provider shall have a FOD prevention program for implementation in station airside areas where the Provider conducts aircraft handling or aircraft ground movement operations for customer airlines. **(GM)**

Auditor Actions
Identified/Assessed FOD prevention program.
Observed cleanliness of airside areas.
Other Actions (Specify).

Guidance

Refer to the IRM for the definition of FOD (Foreign Object Damage).

Guidance may be found in AHM 635.

The objective of a FOD prevention program is the elimination of conditions that could cause damage to an aircraft.

9.5 Airside Severe Weather Plan

ORM-S 9.5.1 The Provider shall have a station severe weather operations plan that provides for the protection for aircraft, passengers, operational personnel, baggage, cargo and equipment when severe weather conditions are a threat to operations. **(GM)**

Auditor Actions
Identified/Assessed severe weather operations plan.
Interviewed responsible management representative(s) and station operational personnel.
Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Severe Weather Operations Plan.

Guidance may be found in AHM 630.

A typical plan includes practices for preparation and encountering severe weather conditions in operations, and would address, as appropriate to the climatic conditions of a station:

- High winds;
- Lightning;
- Low visibility;
- Ground icing.

9.6 Passenger Safety

ORM-S 9.6.1 If the Provider conducts ground operations at the station that utilize the ramp surface for passenger embarkation and disembarkation, the Provider shall have procedures or other measures that provide for the protection of passengers moving between the aircraft and a terminal building or ground transportation vehicle. **(GM)**

Auditor Actions
Identified/Assessed procedures for the protection of passengers on the ramp.
Observed the control of passengers between the aircraft and the passenger terminal.
Other Actions (Specify).

Guidance

Guidance may be found in AHM 630.

To preclude injuries, passenger movement on the ramp between the aircraft and the terminal building or ground transport vehicle is always closely supervised.

The route used for such passenger movement is typically clearly designated and visible, equipment and vehicles are clear, and the surface is free of any contamination. Such route is designed so passengers are protected or clear from:

- Aircraft protrusions;
- GSE;
- Fueling zones;
- Jet blast or prop wash.

9.7 Personnel Safety

ORM-S 9.7.1 The Provider shall have a requirement and procedures that ensure station ground handling personnel wear appropriate protective clothing or personal protective equipment (PPE) when performing functions in airside operations. **(GM)**

Auditor Actions

Identified/Assessed PPE requirement and procedures.

Observed use of correct clothing and PPE by personnel employed in airside operations.

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Personal Protective Equipment (PPE).

Guidance may be found in AHM 630.

Protective clothing and PPE provides a defense against operational hazards that could threaten the personal safety or health of ground handling personnel. Applicable clothing or PPE is typically defined through risk assessment and/or required by regulation. Some examples of such protection would include high visibility vests, hearing protection, gloves, safety shoes, safety glasses and respirators.

Tables

Table 1.1–Documentation System Specifications			
ORM-S 2.1.1 The Provider shall have a system for the management and control of the internal and external documentation and/or data used directly in the conduct or support of operations. Such system shall comprise the elements specified below and shall include documentation provided to external entities, if applicable. **Note:** Refer to the IRM for the definition of Documentation and Electronic Documentation.			
Elements	**Documentation Types**		
	Type 1	**Type 2**	**Type 3**
(i) Identification of the version and effective date of relevant documents and/or data.	**Recommended**	**Recommended**	**Required** Note
(ii) Identification of the title and, if applicable, sub-titles of relevant documents and/or data.	**Recommended**	**Recommended**	**Required** Note
(iii) Distribution and/or dissemination that ensures all users are provided relevant documents and/or data on or before the effective date: (a) Throughout appropriate areas of the organization, including all applicable stations; (b) To external service providers that conduct outsourced operational functions.	**Required** Note	**Required** Note	**Required** Note
(iv) Definition of the specific media type(s) designated for presentation or display of the controlled version of relevant documents and/or data.	**Required** Note	**Required** Note	**Required** Note
(v) Definition of documentation and/or data that is considered to be reproduced and/or obsolete.	**Required** Note	**Required** Note	**Required** Note
(vi) Review and revision to maintain the currency of relevant documents and/or data.	**Required** Note	**Required** Note	**Required** Note
(vii) Retention that ensures access to the content of relevant documents and/or data for a minimum period as defined by the Provider.	**Required** Note	**Required** Note	**Required** Note
(viii) Provision for a scheduled back up by copying and archiving relevant documents and/or data, to include validation of the documents or data being backed up.	**Required** Note	**Required** Note	**Required** Note

Table 1.1–Documentation System Specifications				
(ix)	Identification and allocation of documentation access/user and modification rights.	**Required** Note	**Required** Note	**Required** Note
(x)	Dissemination and/or accessibility of documentation received from external sources such as regulatory authorities and original equipment manufacturers.	**Required** Note	**Required** Note	**Required** Note
Note: Required for conformity with ORM-S 2.1.1				

Table 1.2–Safety Training Specifications

Functional Groups

For the purpose of determining the applicability of airside safety training subject areas, ground handling personnel are grouped according to operational function as follows. [Note 1]

Function 1:	Personnel whose duties require access to airside areas.
Function 2:	Personnel whose duties require operation of basic GSE (e.g., tractors, belt loaders).
Function 3:	Personnel whose duties require: (1) operation of specialized equipment (e.g., aircraft movement units, container/pallet loaders, de-icing vehicles, catering vehicles), (2) exercise of control during aircraft movement operations, or (3) performance of lead responsibility over other personnel.
Function 4:	Personnel in first level management, to include supervisors having responsibility for: (1) directing staff and/or equipment resources, or (2) controlling an operational activity.
Function 5:	Personnel in station management having responsibility for resource issues, health and safety, incident management and budgetary control.
Function 6:	Personnel with duties in ticketing, check-in and boarding activities.
Function 7:	Personnel operating within Cargo warehouse.

Note 1: Functional definitions may be varied as determined by local requirements or considerations

Training Subject Areas

Safety training shall address, according to assigned operational function(s).

1.1.1 Safety Philosophy			
	(a)	Company safety policy and program **[SMS]**	All Functions
	(b)	Employer/employee responsibilities **[SMS]**	All Functions
1.1.2 Safety Regulations			
	(a)	International aviation regulations **[SMS]**	All Functions
	(b)	State aviation regulations **[SMS]**	All Functions
	(c)	Airport airside regulations **[SMS]**	All Functions
	(d)	Safe working and operating practices **[SMS]**	All Functions
1.1.3 Hazards [Note 2]			
	(a)	Vehicle movements	All Functions
	(b)	Pedestrian movements	All Functions
	(c)	Aircraft movements	All Functions
	(d)	Jet engines	All Functions
	(e)	Propeller-driven aircraft and helicopters	All Functions
	(f)	Aircraft antennae and other protrusions	All Functions
	(g)	GSE	Functions 2-5
	(h)	Aircraft fueling and fuel spills	All Functions
	(i)	Adverse and seasonal weather conditions	All Functions
	(j)	Night operations	All Functions
	(k)	Working at height	All Functions
	(l)	Slips, trips and falls	All Functions
	(m)	Noise	All Functions

Table 1.2–Safety Training Specifications			
	(n)	Manual handling	All Functions
	(o)	Confined Spaces	All Functions
	(p)	Office Equipment	All Functions
	(q)	Display Screen Equipment (DSE)	All Functions
	(r)	Violence (physical & verbal attack and public disorder)	All Functions
	(s)	Lone working	All Functions
Note 2: Subject areas (a) through (s) are applicable to personnel as appropriate to specific function and types of operations conducted.			
1.1.4 Human Factors			
	(a)	Motivation and attitude	All Functions
	(b)	Human behavior	Functions 4, 5
	(c)	Communication skills	All Functions
	(d)	Stress	All Functions
	(e)	Ergonomics	All Functions
	(f)	Effects of psychoactive substances (drugs and alcohol)	All Functions
	(g)	Fatigue	All Functions
	(h)	Time pressure	All Functions
	(i)	Peer management pressure	All Functions
	(j)	Situational awareness	All Functions
	(k)	Teamwork	All Functions
1.1.5 Airside Markings and Signage			Functions 1 to 5
1.1.6 Emergency Situations [Note 3]			
	(a)	Reporting **[SMS]**	All Functions
	(b)	Injuries	All Functions
	(c)	Security threats	All Functions
	(d)	Spillage	Functions 1 to 5
	(e)	Alarms and emergency stops	Functions 1 to 5
	(f)	Fuel shut-offs	Functions 1 to 5
	(g)	Ground-to-flight deck emergency hand signals	Functions 1 to 5
	(h)	Fire	All Functions
	(i)	Severe weather	Functions 1 to 5
	(j)	Aircraft stand emergency procedures	Functions 1 to 5
Note 3: Subject areas (a) through (j) are applicable to personnel as appropriate to specific function and types of operations conducted.			

Table 1.2–Safety Training Specifications		
1.1.7 FOD prevention		Functions 1 to 5
1.1.8 Personal protection [Note 4]		
(a)	Personal protective equipment	All Functions
(b)	Occupational health and safety	All Functions
(c)	Musculoskeletal injury prevention	All Functions
(d)	Weather exposure	Functions 1 to 5
Note 4: Subject areas (a) through (d) are applicable to personnel as appropriate to specific function and types of operations conducted.		
1.1.9 Accidents, Incidents, Near Misses [Note 5]		
(a)	Personnel injuries **[SMS]**	All Functions
(b)	Damage to aircraft, GSE, facilities	Functions 1 to 5
(c)	Reporting **[SMS]**	All Functions
(d)	Investigation	Functions 4, 5
(e)	Prevention **[SMS]**	All Functions
(f)	Cost of accidents, incidents **[SMS]**	All Functions
(g)	Risk assessment	All Functions
Note 5: Subject areas (a) through (g) are applicable to personnel as appropriate to specific function and types of operations conducted.		
1.1.10 Airside Safety Supervision		
(a)	Creating an open reporting culture **[SMS]**	Functions 4, 5
(b)	Performance monitoring	Functions 4, 5
(c)	Coordination of airside activities	Functions 4, 5
(d)	Workload management	Functions 4, 5
(e)	Decision making	Functions 4, 5
(f)	Planning	Functions 4, 5

Table 1.3–Airside Driver Training Specifications
Airside driver training for ground handling personnel shall address, as a minimum: 1.2.1 General (a) Role and responsibilities of vehicle Operators (b) Vehicle equipment standards (c) Hazards of airside driving (d) Reduced visibility procedures (e) Accident and incident reporting procedures 1.2.2 Ramps (aprons), stands and airside roads (a) Familiarization with ramp layout, operational stands, vehicle corridors, airside roads, aircraft taxi lanes (b) Airport rules, regulations and/or procedures pertaining to airside vehicle operations (c) Procedures for crossing aircraft movement areas (d) Pedestrian crosswalk rules 1.2.3 Maneuvering area [Note 1] (a) Identification of obstacle free areas, limited access areas (b) Airport regulations and requirements (c) Air Traffic Control (d) Airport layout (e) Maneuvering area driving (f) Radio communication requirements and procedures (g) Aircraft familiarization **Note 1:** Applicable to vehicle Operators that require operational access to maneuvering areas. 1.2.4 Evaluation

Table 1.4–Load Control Functional Training Specifications
Training for personnel with duties and/or responsibilities in operational load control functions shall address the following operational subject areas, as applicable to assigned function(s): (i) General weight and balance proficiency and awareness: (a) terminology, definitions of terms, operational codes, abbreviations; (b) aircraft balance principles, consequences of improper aircraft loading. (ii) Aircraft structural load limitations: (a) linear (running load) limitation, area limitation (spreader floors); (b) limitation per compartment/section/ULD position; (c) monocoque (combined) limitation, cumulative limitation; (d) missing restraints limitation. (iii) Unit load devices (ULD): (a) IATA identification codes; (b) gross weight limitations, hold restraint requirements; (c) container/pallets build-up and tie-down limitations/rules; (d) tagging. (iv) Bulk hold loading: (a) load spreading rules; (b) load restraint rules: nets, tie-down, volume restraint. (v) Load Sheet: (a) computation, issuance, checking (electronic and manual modes); (b) last minute change procedures. (vi) Balance tables/charts: (a) computation, issuance, checking (all conventional methods). (vii) Loading Instruction/Report (LIR): (a) designation and numbering of aircraft holds; (b) issuance and checking (electronic and manual modes). (viii) Loading messages: (a) reading and sending standard loading messages. (ix) Airline Specific Procedures (as applicable)

Table 1.5–Load Control Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in operational load control functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations (loading restrictions, compatibility rules) (iii) List of dangerous goods (iv) Labelling and marking (ULDs and parcels) (v) Recognition of undeclared dangerous goods (vi) Storage and loading procedures (vii) Pilot-in-command notification (NOTOC) (viii) Provisions for passengers and crew (ix) Emergency procedures (x) Airline Specific Procedures (as applicable)

Table 1.6–Passenger Handling Functional Training Specifications
Training for personnel with duties and/or responsibilities in operational passenger handling functions shall address the following subject areas, as applicable operational function(s): (i) Passenger check-in policies and procedures (ii) Baggage check-in policies and procedures (iii) Manual check-in procedures (iv) Cabin seating considerations, to include exit row, special passengers (v) Passenger boarding policies and procedures (vi) Cabin access door operation, if applicable, in accordance with provisions in HDL 1.2 (vii) Boarding bridge operation, if applicable, in accordance with provisions in HDL 1.4 (viii) Dangerous goods regulations, considerations and procedures (ix) Security regulations, considerations and procedures (x) Load control consequences, coordination and procedures (xi) Handling and boarding of weapons and authorized persons carrying weapons (xii) Passengers requiring special handling (xiii) Communication procedures (customer airlines, load control, authorities, others) (xiv) Data protection and security (xv) Document protection and security (xvi) Abnormal and emergency procedures (fire, dangerous goods, security, other) (xvii) Health and safety (xviii) Emergency response procedures (xix) Airline Specific Procedures (as applicable)

Table 1.7–Passenger Handling Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in passenger handling functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations and procedures (iii) Labelling and marking (iv) Recognition of undeclared dangerous goods (v) Provisions for passengers and crew (vi) Emergency procedures (vii) Airline Specific Procedures (as applicable)

Table 1.8–Baggage Handling Functional Training Specifications
Training for personnel with duties and/or responsibilities in operational baggage handling functions shall address the following subject areas, as applicable operational function(s): (i) Baggage handling procedures (identification, sorting, loading in ULDs) (ii) Manual baggage handling procedures (iii) ULDs (designation codes, inspecting, loading, tagging, removal from service) (iv) Dangerous goods (regulations, considerations, procedures) (v) Security (regulations, considerations, procedures) (vi) Load control (consequences, coordination, procedures) (vii) Communication procedures (customer airlines, load control, authorities, others) (viii) Data protection and security (ix) Document protection and security (x) Abnormal and emergency procedures (fire, dangerous goods, security, other) (xi) Health and Safety (xii) Emergency response procedures (xiii) Airline Specific Procedures (as applicable)

Table 1.9–Baggage Handling Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in baggage handling functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations (iii) Labelling and marking (iv) Recognition of undeclared dangerous goods (v) Storage and loading procedures (vi) Pilot-in-command notification (vii) Provisions for passengers and crew (viii) Emergency procedures (ix) Airline Specific Procedures (as applicable)

Table 1.10–Aircraft Handling and Loading Functional Training Specifications
Training for personnel with aircraft handling duties and/or responsibilities shall address the following subject areas, as appropriate to assigned operational function(s): (i) Irregularity/incident/accident reporting procedures (ii) Manual handling of load (iii) Safety during aircraft fueling (iv) Principles of aircraft loading (v) Handling of loads that require special attention (vi) Loading incompatibilities (vii) Handling of ULDs (viii) Operation of aircraft loading systems/securing of ULDs (ix) Identification/consequences of malfunctions of in-plane loading systems (x) Consequences of load damage and spillage (xi) Positioning and operation of loading and servicing equipment (xii) Load notification to pilot-in-command (xiii) Passenger embarkation/disembarkation procedures (xiv) Standards of aircraft cleaning, lavatory and potable water servicing (xv) Aircraft movement operations (xvi) Airline Specific Procedures (as applicable)

Table 1.11–Aircraft Handling and Loading Dangerous Goods Training Specifications
Training for personnel with duties and/or responsibilities in operational aircraft loading functions shall address dangerous goods subjects, to include, as a minimum: (i) General philosophy (ii) Limitations (iii) Labelling and marking (iv) Recognition of undeclared dangerous goods (v) Storage and loading procedures (vi) Pilot-in-command notification (vii) Provisions for passengers and crew (viii) Emergency procedures (ix) Airline Specific Procedures (as applicable)

Table 1.12–Passenger Boarding Bridge Training Specifications
Passenger boarding bridge training for ground handling personnel shall address, as a minimum: (i) Standard operating procedures (ii) Bridge control system, including emergency switches, cut-offs and buttons (iii) Out-of-limits procedures (for returning bridge to normal working limits) (iv) Back-off procedures and application (v) Manual wind-off procedures (vi) Accident and incident response procedures (vii) Accident and incident reporting procedures (airport, provider) (viii) Fire procedures (bridge or aircraft) (ix) Airline Specific Procedures (as applicable)

Table 1.13–Aircraft Loading Supervisor Training Specifications
Training for personnel assigned to supervise aircraft loading operations for the Provider should address the following subject areas: (i) General weight and balance proficiency and awareness: (a) terminology, operational codes, abbreviations; (b) aircraft balance principles, consequences of improper aircraft loading. (ii) Aircraft structural load limitations: (a) basic knowledge of containerized holds resistance (relationship between missing or damaged restraints and ULD gross weight limitations); (b) area limitation (spreader floors); (c) limitation per compartment/section/ULD position; (d) monocoque (combined) limitation; (e) cumulative limitation; (f) missing restraints limitation. (iii) Unit load devices (ULDs): (a) tie-down limitations and rules; (b) rejection criteria for damaged ULD and tie-down accessories; (c) tagging. (iv) Bulk hold loading: (a) physical loading rules concerning baggage, cargo and mail; (b) tie-down and spreader floor procedures; (c) utilization of nets. (v) Loading Instructions/Report (LIR): (a) designation and numbering of aircraft holds; (b) utilization of the LIR document. (vi) Loading messages: (a) reading standard loading messages for off-loading of holds. (vii) Dangerous goods: (a) cargo IMP codes; (b) ULD and parcels labelling and marking; (c) loading compatibilities; (d) onboard accessibility; (e) rejection criteria; (f) emergency procedures. (viii) Other special loads (e.g., perishables, EAT AVI WET OBX, LHO): (a) cargo IMP codes; (b) marking and labelling; (c) loading compatibilities.

Table 1.13–Aircraft Loading Supervisor Training Specifications
(ix) Positioning and operations of loading equipment:
(a) areas of aircraft susceptible to damage by ground support equipment;
(b) recording and reporting of damage to aircraft caused by ground support equipment.
(x) Operation of aircraft loading systems:
(a) opening and closing of aircraft hold doors;
(b) In-plane loading systems;
(c) ULD automated and hand-operated restraints;
(d) Operator's hold configurations and layouts.
(xi) Airline Specific Procedures (as applicable)

Table 1.14–Aircraft Ground Movement Functional Training Specifications
Training for personnel with assigned duties and/or responsibilities in aircraft ground movement operations shall address the following subject areas, as applicable to assigned operational function(s): (i) Aircraft ground movement operations: (a) scope of operations; (b) principles, responsibilities; (c) practices, procedures; (d) hazards, risk assessment; (e) safety precautions. (ii) Operation of equipment: (a) nose gear towbar tractor(s); (b) nose gear Towbarless tractor(s); (c) main gear tractor(s), if applicable; (d) towbars. (iii) Equipment-aircraft connect and disconnect procedures. (iv) Aircraft ground movement standard verbal communications (ground-flight deck): (a) nose gear controlled pushback and towing operations; (b) main gear controlled pushback operations, if applicable; (c) powerback operations, if applicable. (v) Aircraft ground movement standard hand signals (ground-flight deck, ground-ground): (a) nose gear controlled pushback, towing operations. (b) main gear controlled pushback operations, if applicable. (c) powerback operations, if applicable; (d) power-in and power-out operations, as applicable. (vi) Aircraft marshalling: (a) scope of operations, principles, responsibilities; (b) practices, procedures; (c) standard hand signals; (d) use of aircraft parking guidance system(s). (vii) Aircraft ground movement assistance: (a) scope of activities, principles, responsibilities; (b) practices, procedures; (c) standard hand signals. (viii) Airline Specific Procedures (as applicable)

Table 1.15–Cargo and Mail Handling Dangerous Goods Training Specifications		
Functional Groups		
Subject areas to be addressed in dangerous goods training for cargo handling personnel is determined on the basis of operational functions as defined below. Note 1		
Function 6: Personnel assigned responsibilities for dangerous goods acceptance		
Function 7: Personnel assigned responsibilities for cargo and/or mail acceptance		
Function 8: Personnel assigned responsibilities for cargo or mail handling, ULD build-up and/or storage		
Note 1: Function numbers correspond to those used in the IATA DGR, Subsection 1.5, Table 1.5.A.		
Training Subject Areas		
Dangerous goods training subject areas are applicable to personnel in functional groups as shown below.		
(i)	General philosophy	Functions 6, 7, 8
(ii)	Limitations	Functions 6, 7
(iii)	General requirements for shippers	Function 6
(iv)	Classification	Function 6
(v)	List of dangerous goods	Function 6
(vi)	General packing requirements	Function 6
(vii)	Packing instructions	Function 6
(viii)	Labelling and marking	Functions 6, 7, 8
(ix)	Shippers declaration and other relevant documentation	Functions 6, 7
(x)	Acceptance procedures	Function 6
(xi)	Recognition of undeclared dangerous goods	Functions 6, 7, 8
(xii)	Storage and loading procedures	Functions 6, 8
(xiii)	Pilots' notification	Functions 6, 8
(xiv)	Provisions for passengers and crew	Functions 6, 7, 8
(xv)	Emergency procedures	Functions 6, 7, 8

Table 1.16–Specific SMS Training Specifications
Training for personnel with assigned duties in the safety management system (typically within the Safety Office) shall address the following subject areas, as applicable to assigned function(s): (i) Safety Risk Assessment: (a) management of safety reports; (b) hazard identification; (c) hazard analysis; (d) safety risk assessment; (e) safety mitigation and risk management; (f) Development of safety action plans. (ii) Safety Assurance: (a) Development of safety performance indicators; (b) Safety performance monitoring and measurement; (c) Safety auditing methodologies and techniques.

Section 2 – Load Control (LOD)

Changes to GOSM Section 2 (LOD)		
Area Changed	**Description of GOSARP change**	**Description of GM Change**
LOD 1.1.1		Changed reference in GM
LOD 1.1.2	Reduced scope of sub-provision i) as not applicable to GSPs	Changed reference in GM
LOD 1.1.3		Changed reference in GM
LOD 1.1.4		Expanded and changed reference in GM.
LOD 1.1.5		Introduced explicatory notes in GM.
LOD 1.3.1		Changed reference in GM
LOD 1.3.2		Changed reference in GM
LOD 1.3.3		Changed reference in GM
LOD 1.3.4		Changed reference in GM
LOD 1.3.5		Changed reference in GM
LOD 1.3.6	Modified sub provision iii) adding “cabin” word to better identify non normal load items.	Introduced explicatory notes in GM to better identify non normal load items.
LOD 1.3.7		Changed reference in GM
LOD 1.4.1		Changed reference in GM
LOD 1.4.2		Changed reference in GM
LOD 1.5.1		Changed reference in GM
LOD 1.6.1		Changed reference in GM
LOD 1.6.2		Changed reference in GM
LOD 1.8.1		Changed reference in GM

Applicability

Section 2 addresses the load control process, which includes:

- Load planning;
- Weight and balance calculation;
- Aircraft loading supervision;
- Checking and finalization of the Loadsheet and other loading documents.

This section (LOD) is utilized for the audit of a station where load control operations are conducted. The LOD section shall be also utilized for the audits of Centralized Load Control (CLC) functions.

The Auditor will determine individual provisions that may not be applicable to a specific Provider.

General Guidance

Definitions of technical terms used in this section, as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

1. Load Control Process

1.1 General

LOD 1.1.1 The Provider shall have procedures in accordance with the customer airline(s) to ensure any verbal exchange of load information or data that could affect aircraft weight and balance calculations is:

(i) Manually or electronically documented;

(ii) Communicated to the person responsible for final calculation of weight and balance prior to flight departure. **(GM)**

Auditor Actions

Identified/Assessed procedure to document and communicate any verbal exchange of load information or data

Interviewed manager(s), staff of load control

Observed verbal exchange being documented and/or reviewed previous examples

Observed communication to the person responsible for the final weight and balance calculation

Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 5.4, 5.5 and AHM 590.

Documenting such information or data is necessary in order to provide a subsequent audit trail, and may be accomplished in writing or by electronic means.

LOD 1.1.2 The Provider shall have procedures in accordance with the customer airline(s) to ensure, in the event of a potential discrepancy associated with the accuracy of weight and balance figures for a flight:

(i) Relevant or requested information is provided to the pilot-in-command (PIC) without delay;

(ii) The discrepancy is reported to the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedure to ensure a discrepancy is reported to the PIC and customer airline

Interviewed manager(s), staff of load control

Reviewed example(s) of a discrepancy being reported to PIC and customer airline

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 5.5 and 5.7.4.

If the GSP is unable to contact the PIC directly in a timely manner, it shall have additional procedures to ensure notification is provided prior to take off (i.g. via use of Tower).

LOD 1.1.3 The Provider shall have a process to ensure load files & weight and balance records are:

(i) Filed for each flight in accordance with requirements of the customer airline;

(ii) Retained for a period in accordance with applicable regulations and the requirements of the customer airline(s), but no less than a period of three months. **(GM)**

Auditor Actions

Identified/Assessed procedure to file and retain files and weight and balance records

Interviewed manager(s), staff of load control

Observed random sampling of flight files and records (minimum 4 from different carriers if possible) and reviewed contents

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 5.3.3.

LOD 1.1.4 The Provider shall have procedures to utilize coding schemes in accordance with requirements of customer airline(s) for presenting load information in documents, records and messages. **(GM)**

Auditor Actions

Identified/Assessed procedure to utilize coding schemes for presenting load information

Interviewed manager(s), staff of load control

Reviewed at least 4 examples of reports, messages and documents showing coding scheme

Other Actions (Specify)

Guidance

Guidance may be found in AHM 510.

Load information codes are included in various documents (i.e. Loadsheet, Loading instruction), reports and messages. For every flight, those codes identify load categories and provide information in connection with load handling.

LOD 1.1.5 The Provider shall have procedures in accordance with the customer airline(s) to identify, address and communicate loads that exceed standard aircraft load limitations. **(GM)**

Auditor Actions

Identified/Assessed procedure to identify, address and communicate loads that exceed standard aircraft load limitations

Interviewed manager(s), staff of load control

Reviewed example(s) of previous communications of load limitations

Observed example(s) of identifying and addressing loads that exceed load limitations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 5.6, 5.7 and AHM 513, 514 and 515.

Loads that exceed standard aircraft load limitations are those special loads that exceed compartment, area, contact linear combined or cumulative limits and usually need spreader(s) to expand contact area or distribute loads in more sections/compartments to respect aircraft limitations.

Any such loads need to be properly identified, communicated and accounted for.

1.2 Load Planning

LOD 1.2.1 The Provider shall have a procedure, in accordance with the customer airline(s), for load planning that produces instructions to ensure aircraft are loaded in accordance with all applicable requirements. **(GM)**

Auditor Actions

Identified/Assessed procedure to produce a load plan to ensure aircraft are loaded in accordance with applicable requirements

Interviewed manager(s), staff of load control

Observed load plans being created to include all noted elements

Reviewed example(s) of previous load plans

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 5.6 and AHM 536 and 590.

The load planning procedure typically takes into consideration, as applicable for each flight:

- Aircraft preparation for service;
- Fuel load and distribution;
- Aircraft equipment, crew, catering;
- Equipment in compartment (EIC) shipments;
- Planned deadload;
- Expected passenger load;
- Aircraft limitations;
- Specific requirements of the customer airline(s) (e.g. productivity, fuel efficiency);
- Special load requirements.

LOD 1.2.2 The Provider shall ensure the load control process includes incorporating flight information in accordance with requirements of customer airline(s) that could have a direct impact on the aircraft loading. **(GM)**

Auditor Actions

Identified/Assessed procedure to ensure the load control process incorporates flight information that could have a direct impact on aircraft loading

Interviewed manager(s), staff of load control

Observed load plans being created with flight information that had a direct impact

Reviewed example(s) where flight information was considered in the load control process

Other Actions (Specify)

Guidance

Typical Information that could affect aircraft loading are A/C Deferred Defects such as:

- Hold Inoperative
- Heat system Inoperative
- Ventilation System Inoperative

There are also other types of information that can have a direct impact on the aircraft loading as “Flight Information” related to operational limitation such as runway conditions/limitation at a destination and/or departure. Those are usually communicated by the costumer airline(s) through Flight Dispatch to the GSP.

1.3 Weight and Balance Calculation

LOD 1.3.1 The Provider shall have procedures for calculating the aircraft weight and balance in accordance with requirements of the customer airline(s) to ensure, for each flight, production of:

(i) When applicable, a weight and balance pre-calculation;

(ii) A weight calculation that does not exceed the structural limits of the aircraft type;

(iii) An accurate balance calculation that results in a centre of gravity within fore and aft balance limits for the aircraft type. **(GM)**

Auditor Actions

Identified/Assessed procedure to produce a pre-calculation that does not exceed structural limits and results in a centre of gravity within limits

Interviewed manager(s), staff of load control

Observed weight calculations that were accurate and within limits

Reviewed example(s) of pre-calculation

Other Actions (Specify)

Guidance

Guidance may be found in AHM 513 and 590.

A weight and balance pre-calculation is normally produced when a manual loadsheet is issued or when the aircraft weight and/or balance condition is expected to be close the operational limits.

Exceeding maximum structural limits, which includes the structural limits associated with sections, total compartments and a combination of different compartments for each aircraft type, could result in permanent damage to the aircraft.

Aircraft trim is determined from the balance calculation, which may be accomplished manually or electronically. If applicable to aircraft operated at the station, procedures would also address the use of an aircraft centre-of-gravity (CG) targeting system.

The weight and balance calculation procedures typically result in the Loadsheet and other loading documents (e.g. NOTOC, LIR) that are presented to the PIC prior to flight departure.

LOD 1.3.2 The Provider shall have a process to ensure weight and balance calculations are:

(i) Based on current aircraft weight and balance data supplied by the customer airline(s);

(ii) Take into account actual load on the aircraft, in accordance with requirements of customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedure to ensure weight and balance data is current and that the calculations include the actual load

Interviewed manager(s), staff of load control

Observed example(s) of weight and balance calculations

Reviewed example(s) of a periodic check to confirm data is current

Other Actions (Specify)

Guidance

Guidance may be found in AHM 590.

The actual load of the aircraft shall include but not be limited to passenger and fuel, payload, non-revenue load, EIC etc. Aircraft weight and balance data is typically supplied by the customer airline(s) or aircraft manufacturer. Because such data could be subject to change, a process is necessary to periodically verify that data used for calculations is current and correct.

LOD 1.3.3 The Provider shall have procedures to ensure the load control process utilizes passenger and baggage weights for weight and balance calculations that are in accordance with requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedure to ensure passenger and baggage weights are in accordance with customer requirements

Interviewed manager(s), staff of load control

Reviewed example(s) of customers using standard and actual weights

Other Actions (Specify)

Guidance

Guidance may be found in AHM 530.

Weight and balance calculations are typically based on:

- Standard passenger weights, unless otherwise authorized by the customer airline(s);
- Actual or standard baggage weights as specified by the customer airline.

LOD 1.3.4 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure aircraft weight and balance calculations for each flight account for persons traveling on crew seats that are supernumeraries. **(GM)**

Auditor Actions
Identified/Assessed procedure to ensure supernumeraries are accounted for
Interviewed manager(s), staff of load control
Reviewed example(s) records of supernumeraries
Other Actions (Specify)

Guidance

Guidance may be found in AHM 533.

Procedures would apply to weight and balance calculations performed for passenger and all-cargo aircraft.

LOD 1.3.5 The Provider shall have control procedures in accordance with requirements of the customer airline(s) to ensure aircraft weight and balance calculations for each flight are based on an accurate weight of the load, to include:

(i) All local loaded and transit payload as bulk load;

(ii) All payload in local loaded and transit ULDs;

(iii) All gate checked cabin items. (GM)

Auditor Actions
Identified/Assessed procedure to ensure weight and balance calculations are accurate
Interviewed manager(s), staff of load control
Reviewed transfer of final load information to load control
Observed gate checked items being accounted for
Other Actions (Specify)

Guidance

Guidance may be found in AHM 534.

LOD 1.3.6 The Provider shall have procedures in accordance with the requirements of the customer airline(s) to ensure all weight and balance calculations account for the individual or cumulative weights of:

(i) Hold baggage that exceeds normal allowances;

(ii) Gate delivery items that exceed normal allowances;

(iii) Other non-normal cabin load items. **(GM)**

Auditor Actions

Identified/Assessed procedure to ensure weight and balance calculations include all items that exceed normal allowances

Interviewed manager(s), staff of load control, passenger services

Reviewed transfer of non-normal cabin load information to load control

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 5.10.

The identification and communication to load of such information is usually performed by passenger services, however, it must be included in the weight and balance calculations for each flight.

Other non-normal items can be musical instrument, medical equipments, service animals etc.

Refer also to PAB 1.1.2.

LOD 1.3.7 The Provider shall have procedures in accordance with requirements of the customer airline(s) for the application and use of ballast when necessary to bring the aircraft centre of gravity within operational limits. **(GM)**

Auditor Actions

Identified/Assessed procedure to ensure the use of ballast when necessary

Interviewed manager(s), staff of load control

Reviewed example(s) of when ballast was used

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 5.7.1 and AHM 537.

1.4 Loading Instruction/Report

LOD 1.4.1 The Provider shall have a procedure in accordance with requirements of the customer airline(s) to produce and issue a Loading Instruction/Report (LIR), which includes:

(i) Loading instructions;

(ii) Transit load, off-load, re-load and onload instructions;

(iii) Loading report, with space to record deviations from instructions;

(iv) Loading certification;

(v) Signed by the person responsible for loading;

(vi) Loading positions for specific holds. **(GM)**

Auditor Actions

Identified/Assessed procedure to produce and issue an LIR

Interviewed manager(s), staff of load control

Reviewed example(s) of LIRs to include the items noted

Observed certification and signature process

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 5.6.2 and AHM 514, 515.

The instruction/report may be produced in electronic or manual form.

The loading report and certification would typically be completed by the loading supervisor (see HDL 2.1.5 and HDL 2.1.6).

LOD 1.4.2 The Provider shall have a procedure in accordance with requirements of the customer airline(s) to produce and issue an Off-loading Instruction/Report when required for transit flights, which includes:

(i) Instructions for transit load and off-load;

(ii) Off-loading report, to include space to record items in transit or for off-load;

(iii) Off-loading certification;

(iv) A representation of all loading positions for that specific hold version. **(GM)**

Auditor Actions

Identified/Assessed procedure to produce and issue an offload report

Interviewed manager(s), staff of load control

Reviewed example(s) of offload reports

Observed certification and signature process

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 5.6.3 and AHM 514 and 515.

The instruction/report may be produced in electronic or manual form.

The off-loading report and certification would typically be completed by the off-loading supervisor. Certification would normally consist of the supervisor's signature.

1.5 Notification to the Captain (NOTOC)

LOD 1.5.1 The Provider shall have a process to provide the PIC, as soon as practicable prior to departure of the aircraft, with a notification that contains accurate and legible written or printed information concerning dangerous goods carried as cargo onboard the aircraft. Such notification shall include dangerous goods that have been loaded on the aircraft at a previous departure point and that are to be carried on a subsequent flight. **(GM)**

Auditor Actions

Identified/Assessed procedure to provide the PIC with a NOTOC

Interviewed manager(s), staff of load control

Reviewed example(s) of NOTOC

Observed NOTOC samples are accurate, legible, and include information on loads from a previous departure point

Other Actions (Specify)

Guidance

Refer to the IRM for the definition of NOTOC.

The requirements for the content of the NOTOC may be found in DGR Section 9.5.1.1.

Guidance may be found in IGOM 5.6.4, AHM 381 and DGR 9.5.

Such notification is normally referred to as the NOTOC (notification to the captain), and includes information about all dangerous goods in cargo loaded on the aircraft. The NOTOC also contains information:

- For use in emergency response to an accident or incident involving dangerous goods onboard;
- To provide to air traffic services in the event of an in-flight emergency.

In the event the NOTOC is of such a size as to make in-flight radiotelephony transmission impracticable in an emergency situation, a summary of the information is typically provided to the PIC (NOTOC Summary), which contains at least the quantities, and class or division of dangerous goods in each cargo compartment.

LOD 1.5.2 The Provider shall have a process to ensure the dangerous goods information provided to the PIC, in accordance with the requirement of the customer airline(s) that:

(i) Is readily accessible to the airports of last departure (if applicable) and is transmitted to the next scheduled port of arrival, before the flight has arrived at the destination airport;

(ii) Is communicated to the customer airline(s) flight dispatch/operations control center.

Auditor Actions

Identified/Assessed procedure to ensure that the DG information is accessible to the last departure airport, the next scheduled arrival airport, and the airline Operations control centre

Interviewed manager(s), staff of load control

Reviewed example(s) of NOTOC accessibility

Observed/reviewed NOTOC communication to customer airline

Other Actions (Specify)

1.6 Loadsheet

LOD 1.6.1 If the Provider produces and issues a manually or electronically generated Loadsheet, then the Provider shall have procedures in accordance with requirements of the customer airline(s), to ensure that the Loadsheet generated and issued to the PIC:

(i) Presents accurate weight and balance data and distribution of the load within the aircraft which does not exceed the operational limitations for the appropriate aircraft registration;

(ii) Presents accurate number of passengers on board which does not exceed maximum allowed number for the appropriate aircraft seating version;

(iii) Shows the identification of person responsible for the accuracy of the data on the Loadsheet and of the Captain;

(iv) Has been crosschecked against the LIR and other information relative to the actual aircraft load. **(GM)**

Auditor Actions

Identified/Assessed procedure to provide the PIC with a loadsheet that is accurate, has been crosschecked, and does not exceed limits or seating versions.

Interviewed manager(s), staff of load control

Reviewed example(s) of loadsheets issued

Observed loadsheet samples are accurate and include information on the person responsible for the accuracy of the data on the Loadsheet and of the Captain

Other Actions (Specify)

Guidance

Refer to the IRM for the definition of Loadsheet.

Guidance may be found in IGOM 5.7 and AHM 514, 515, 516, 517, 518 and 590.

The Loadsheet would typically be produced in a preliminary version, and then in a final version that would contain all corrections and represent the actual load on the aircraft.

LOD 1.6.2 The Provider shall have a procedure to adjust the Loadsheet to account for last minute changes (LMC) to the weight or distribution of the load on the aircraft, in accordance with requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedure to adjust the load sheet to allow for last minute changes

Interviewed manager(s), staff of load control

Observed/reviewed last minute changes to loadsheet that account for weight tolerances

Observed/reviewed production of a new loadsheet where LMCs were outside the tolerances.

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 5.7.3 and AHM 551.

Last minute changes (LMC) could be presented to the pilot-in-command in the form of a final Loadsheet, or communicated in the form of corrections to a preliminary Loadsheet.

The LMC procedure and weight tolerances of the customer airline(s) must be taken into account.

LOD 1.6.3 If the Provider conducts final weight & balance calculations remotely and electronically transmits to the PIC via ACARS or other methods, the provider shall have documented and implemented processes & procedures that account for a loss of, or failure of the primary communication method, these procedures shall ensure the delivery of data to the PIC.

Auditor Actions

Identified/Assessed procedure to account for a loss of or failure of the communication method to transmit weight and balance calculations

Interviewed manager(s), staff of load control

Reviewed example(s) of the delivery of data following a failure of the primary communication method

Other Actions (Specify)

1.7 Departure Control System (DCS)

LOD 1.7.1 If the Provider utilized for the weight & balance calculation process an automated Departure Control System (DCS) other than the customer airline(s) own DCS, the Provider shall have a process to ensure such a DCS is approved by the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedure to ensure the DCS is approved by the customer airline

Interviewed appropriate manager(s)

Reviewed example(s) of approval process by customer airline

Other Actions (Specify)

Guidance

Refer to the IRM for the definition of Departure Control System (DCS).

Guidance may be found in AHM 560 and 565.

LOD 1.7.2 If an automated DCS is utilized for weight & balance calculations according to LOD 1.7.1, the Provider shall have a process to coordinate and exchange information with customer airline(s) to ensure the DCS is current, maintained and updated as per the requirements of the customer airline. **(GM)**

Auditor Actions

Identified/Assessed procedure to coordinate and exchange information to ensure the DCS is current, maintained and updated

Interviewed appropriate manager(s)

Reviewed example(s) of approval verification or exchange process with customer airline

Other Actions (Specify)

Guidance

Guidance may be found in AHM 560 and 565.

1.8 Reports and Messages

LOD 1.8.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) for the production and transmission of the following messages in a standard format:

(i) Aircraft Load Message (LDM);

(ii) Container/pallet distribution message (CPM);

(iii) ULD control Message (UCM);

(iv) Aircraft Movement Message (MVT), if applicable;

(v) Aircraft Diversion Message (DIV), if applicable. **(GM)**

Auditor Actions

Identified/Assessed procedure to produce and transmit required messages

Interviewed manager(s), staff of load control

Reviewed example(s) of each type of message

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 5.8 and AHM 422, 423, 424, 583, 587, 780, 781.

An LDM would normally be produced for departing flights with a transit stop to provide the transit station with advance information about the part of a load that will continue beyond that station on the same aircraft. However, customer airline(s) might also require production of an LDM for flights without transit stops.

A load message would not be required for a departing point-to-point flight or the last segment of a multi-segment flight, except for a wide-body all-cargo aircraft flight.

Movement Message and Diversion Message are applicable as per requirements of customers Airlines.

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Section 3 – Passenger and Baggage Handling (PAB)

Changes to GOSM Section 3 (PAB)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
1 General	Changed title from “General” into “Load Control Communications”.	
PAB 1.1.1		Changed reference in GM
PAB 1.1.2	Modified subprovision iii) adding “cabin” word to better identify non normal load items.	Introduced explicatory notes in GM to better identify non normal load items.
PAB 1.2.1		Changed reference in GM
PAB 1.2.2		Changed reference in GM
PAB 1.2.3		Changed reference in GM
PAB 1.2.4		Changed reference in GM
PAB 1.2.5		Introduced explicatory notes and changed reference in GM
PAB 1.2.6		Changed reference in GM
PAB 1.2.9		Changed reference in GM
PAB 1.3.2		Changed reference in GM
PAB 1.4.1	Removed GOSARP as not applicable for GSPs (not within GSP control) Now GOSARP is Intentionally Open.	

Changes to GOSM Section 3 (PAB)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
PAB 1.4.3		Changed reference in GM
PAB 1.4.5		Changed reference in GM
PAB 1.5.1		Introduced GM with reference to IGOM
PAB 1.6.2		Changed reference in GM

Applicability

Section 3 addresses passenger and baggage handling operations, which includes:

- Passenger and baggage check-in;
- Aircraft boarding of passengers, baggage and other associated items;
- Baggage handling operations, including originating and expedited baggage;
- Application of dangerous goods regulations;
- Application of security regulations;
- Baggage identification.

Note: *The following operational processes are addressed in Section 5 (HDL):*

Aircraft hold baggage transportation, loading/off-loading, including ULD handling and loading;

Operation of passenger boarding equipment, if applicable to passenger handling operations; and

Aircraft door operation, if applicable to passenger handling operations.

This section (PAB) is utilized for the audit of a station where the Provider conducts passenger and baggage handling operations.

The Auditor will determine individual provisions that may not be applicable to a specific Provider.

General Guidance

Definitions of technical terms used in this section, as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

1. Passenger and Baggage Handling Operations

1.1 Load Control Communication

PAB 1.1.1 The Provider shall have procedures for the transfer of information and data to the load control office to ensure passengers and all baggage loaded onto the aircraft are accounted for in the load control process. **(GM)**

Auditor Actions

Identified/Assessed communication procedures to transfer information and data to load control

Interviewed manager(s) of load control, passenger services

Observed gate activity where duty free or additional hold baggage is taken from passengers and the method to inform load control

Observed procedure at closure of flight for the transfer of information

Other Actions (Specify)

Guidance

Guidance maybe found in IGOM 1.1.7, 2.2.3 and 2.1.2.3

Procedures would typically address the types and methods of communication necessary to ensure effective coordination between passenger/baggage handling personnel and the load control office in the transfer of information associated with:

- Checked in passengers and cabin baggage;
- Transfer passengers and cabin baggage, as applicable;
- Baggage loaded in the aircraft hold;
- Boarded passengers and cabin baggage;
- Hold-loaded duty-free items;

PAB 1.1.2 The Provider shall have procedures in accordance with the requirements of the customer airline(s) to identify & communicate to load control, information and data of the individual or cumulative weights of:

(i) Hold baggage that exceeds normal allowances;

(ii) Gate delivery items that exceed normal allowances;

(iii) Other non-normal cabin load items. **(GM)**

Auditor Actions

Identified/Assessed procedures to identify and communicate information and data

Interviewed manager(s) of load control, passenger services, regarding how to identify and communicate non standard loads (i.e. sports groups, mobility aids)

Observed gate activity where items such as mobility aids or oversized baggage is taken from passengers and the method to inform load control

Observed methods to communicate the information and data

Other Actions (Specify)

Guidance

Guidance maybe found in IGOM 2.1.2.3 and 2.3.

Procedures would typically address the types and methods of communication necessary to ensure effective coordination between passenger/baggage handling personnel and the load control office in the transfer of information.

Other non-normal items may be musical instruments, medical equipment, service animals etc.

Refer also to LOD 1.3.6.

1.2 Check-in Procedures

PAB 1.2.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure a boarding pass containing the passengers name is issued to each seated passenger during the check-in process. **(GM)**

Auditor Actions
Identified/Assessed procedure for the issuance of boarding passes
Interviewed manager(s), staff of passenger services
Observed check in activity and boarding pass issued
Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.1.3.1.

PAB 1.2.2 The Provider shall have procedures to ensure, when receiving baggage during passenger check-in operations, including any items being accepted as checked baggage:

(i) All baggage has a passenger identity tag or label;

(ii) Baggage is tagged to the final destination as indicated on the ticket;

(iii) Old baggage tags and/or labels are removed or obliterated, as applicable;

(iv) Baggage not suitable for secure carriage is refused. **(GM)**

Auditor Actions
Identified/Assessed procedure for tagging and accepting checked baggage
Interviewed manager(s), staff of passenger services
Observed baggage tagging and identification
Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.2.1.1, 2.2.4 and 2.2.5.

Bag identification tags are typically made available at the point of passenger check-in.

Removal of old checked baggage tags or obliterating old labels would eliminate a potential factor that could lead to confusion as to the destination of the bag.

PAB 1.2.3 The Provider shall have procedures in accordance with requirements of the customer airline(s) for the check-in of heavy or overweight baggage and to ensure such baggage is communicated to load control. **(GM)**

Auditor Actions

Identified/Assessed procedure for the check in of heavy and overweight baggage

Interviewed manager(s) of load control, passenger services

Observed application and use of heavy tags

Reviewed methods of communication for the transfer of information

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.3.1 and 5.4.

Heavy or overweight baggage would have to be defined in accordance with requirements of the customer airline(s). Typically, baggage weighing more than 23 kg might be considered heavy, while baggage weighing more than 32 kg is considered as exceeding the maximum weight limit (i.e., overweight). However, weight restrictions may vary with each customer airline.

PAB 1.2.4 The Provider shall have procedures to ensure cabin baggage is in compliance with size, weight and quantity limits as specified in applicable regulations and/or by the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedure for the acceptance of carry on baggage at check in and at the gate

Interviewed manager(s), staff of passenger services

Observed application and use of approval tags and/or sizing devices

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.1.2.

Size and weight limits will vary with each customer airline and/or local regulation.

Oversized or overweight baggage is typically identified through the use of sizing or weighing devices at each passenger check-in point, with a secondary verification at the boarding gate.

PAB 1.2.5 If the Provider utilizes scales to determine the weight of baggage during the handling process, the Provider shall have a process to ensure such scales are periodically checked and calibrated, and such action is recorded and records retained in accordance with applicable regulations and/or requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedure for the checking and calibration of scales

Interviewed manager(s) responsible for checks

Reviewed record keeping of the calibration and checks

Other Actions (Specify)

Guidance

Guidance may be found in AHM 534.

The accuracy of baggage weight is a critical safety factor and is monitored by many states. The results of the checking and calibration of baggage scales are typically recorded and retained, and where required, are made available for review by relevant authorities.

A provider's process ensures scales are checked and calibrated periodically. The actual checking and calibration activity might be accomplished by an entity other than the provider (e.g. customer airline, airport authority) but the provider shall be able to demonstrate oversight of the scales controls and calibrations.

PAB 1.2.6 The Provider shall have procedures in accordance with applicable regulations and requirements of the customer airline(s) for the handling of special baggage items, to include, as applicable:

(i) Items that have been removed from the possession of a passenger by security personnel that are conditionally acceptable for carriage in the aircraft hold;

(ii) Duty-free goods that require loading into the aircraft hold;

(iii) Other items removed from a passenger after the check-in process that require loading into the aircraft hold;

(iv) Other non normal load items.

The procedure shall ensure that all special baggage items have a baggage tag and/or label that indicates the final destination and that they are accounted for in the load control process as checked baggage. **(GM)**

Auditor Actions

Identified/Assessed procedure for the handling of special baggage items, including items removed by security personnel, duty free goods for hold loading, items removed after check in and other non normal load items

Interviewed manager(s)/staff of load control, passenger services

Observed handling on non-normal load items, including tagging and identification

Reviewed the method of the transfer of information to load control

Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 2.5.4, 2.1.2.2, AHM 140 and 141.

Bulky or heavy items (i.e. bags or packages that are too large or too heavy to be stowed in the overhead cabin bin or under the passenger seat) are typically taken from a passenger and loaded into the aircraft hold. Smaller items carried as cabin baggage (e.g. liquor, tobacco or perfume in small amounts), would be addressed in the load control process as part of the normal passenger weight.

PAB 1.2.7 The Provider shall have procedures in accordance with applicable regulations and requirements of the customer airline(s) for the handling and reporting of undeclared weapons discovered in checked baggage.

Auditor Actions

Identified/Assessed procedure for the handling and reporting of undeclared weapons discovered in checked baggage

Interviewed manager(s)/staff of passenger services

Observed handling of undeclared weapons

Reviewed reports made from previous events

Other Actions (Specify)

PAB 1.2.8 (Intentionally open)

PAB 1.2.9 The Provider shall have a procedure in accordance with requirements of the customer airline(s) to address, prior to flight departure, passengers that are suspected of having a communicable disease. **(GM)**

Auditor Actions

Identified/Assessed procedure for the addressing of passengers that are suspected of having a communicable disease, including when a known outbreak is in progress

Interviewed manager(s)/staff of passenger services

Observed handling of passengers with communicable disease

Reviewed reports made from previous events

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.2.2, 1.4.5 and AHM 181.

In most circumstances it may not be obvious that a passenger might have a communicable disease. However, procedures are typically in place to permit passenger handling personnel to address situations when one or more passengers do exhibit symptoms of a particular disease, especially when a known outbreak is in progress.

1.3 Dangerous Goods

PAB 1.3.1 (Intentionally open)

PAB 1.3.2 The Provider shall have procedures in accordance with applicable regulations, and requirements of the customer airline(s) to:

(i) Detect and identify dangerous goods that are not permitted to be carried on board the aircraft by passengers or in passenger baggage; and

(ii) Ensure a report is made to the appropriate authority, including the state of occurrence and the customer airline when such dangerous goods are discovered. **(GM)**

Auditor Actions
Identified/Assessed procedure for the detection and identification of dangerous goods not permitted
Interviewed manager(s)/staff of passenger services
Observed detection and identification techniques at check in and gate
Observed mandatory signage if required
Reviewed reports made from previous events
Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 2.5.7, DGR 2.3, 9.5, 9.6 and AHM 170.

PAB 1.3.3 The Provider shall have procedures in accordance with requirements of the customer airline(s) for the acceptance and handling of battery-operated mobility aids for transport as checked baggage to ensure such devices are:

(i) Subjected to applicable dangerous goods handling and loading requirements;

(ii) Accounted for in the load control process. **(GM)**

Auditor Actions

Identified/Assessed procedure for the acceptance and handling of battery-operated mobility aids

Interviewed manager(s)/staff of passenger services and load control

Observed handling of battery-operated mobility aids and loading requirements

Reviewed the transfer of information to load control

Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 2.3.6 and AHM 345.

Wheelchairs and electric scooters are considered to be mobility aids. Certain batteries used in such devices could pose a hazard to flight safety and/or cause damage to the aircraft.

1.4 Security

PAB 1.4.1 (Intentionally open)

PAB 1.4.2 The Provider shall have procedures in accordance with requirements of the customer airline(s) to ensure the security of boarding passes, transit cards and baggage tags. **(GM)**

Auditor Actions

Identified/Assessed procedure for securing boarding passes, transit cards, and baggage tags

Interviewed manager(s)/staff of passenger services

Observed handling of boarding passes, transit cards and baggage tags

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.2.1.

PAB 1.4.3 The Provider shall have procedures in accordance with applicable regulations and requirements of the customer airline(s) and/or regulatory/airport authorities for the handling of passengers and their cabin baggage in the event of:

(i) A bomb threat condition;

(ii) An increased security threat condition. **(GM)**

Auditor Actions

Identified/Assessed procedure for the handling of passengers and their cabin baggage in the event of a bomb threat or increased security threat condition.

Interviewed manager(s)/staff of passenger services

Reviewed references to regulatory/airport authorities

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.2.3 and AHM 051.

PAB 1.4.4 The Provider shall have procedures in accordance with applicable regulations and requirements of the customer airline(s) to address security threats, to include, as appropriate to the threat received:

(i) The handling of passengers and their baggage;

(ii) Required notifications. **(GM)**

Auditor Actions

Identified/Assessed procedure to address security threats to include the handling of passengers and their baggage and required notifications.

Interviewed manager(s)/staff of passenger services

Reviewed references to regulatory/airport authorities

Reviewed reports/notifications from previous events

Other Actions (Specify)

Guidance

Guidance may be found in AHM 051.

PAB 1.4.5 The Provider shall have procedures to ensure baggage is protected from unauthorized interference from the point at which it is accepted or screened, whichever is earlier, until either:

(i) The departure of the aircraft on which the baggage has been loaded; or

(ii) The point at which the baggage is transferred to and accepted by another entity for further handling. **(GM)**

Auditor Actions

Identified/Assessed procedure to ensure baggage is protected from unauthorized interference once accepted or screened until the departure of the aircraft or acceptance by another entity.

Interviewed appropriate manager(s)/staff

Observed baggage in make up area and/or during transport to the aircraft and loaded

Observed lighting/access/supervision of the areas where baggage is processed

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.5.1.

Procedures would address the security of all secure baggage that is transported to the aircraft, to another provider, or over any part of the airport.

Where possible, baggage would be loaded into containers at the makeup area and then transported to the aircraft for immediate loading. When this cannot be achieved, the baggage would be retained in the makeup area and not moved to planeside any earlier than necessary.

In areas where baggage is handled, measures to prevent unauthorized interference typically include, among others:

- Supervision;
- Controlled access;
- Adequate illumination;
- Video monitoring.

Adequate lighting in baggage handling areas would be at a brightness level that would permit effective visual or video surveillance.

PAB 1.4.6 The Provider shall have a process in accordance with applicable regulations and/or requirements of the customer airline(s) to ensure originating hold baggage, prior to release for loading into the aircraft, has been:

(i) Individually identified using a baggage tag and/or label as accompanied or unaccompanied baggage;

(ii) Subjected to appropriate security controls. **(GM)**

Auditor Actions

Identified/Assessed procedure to ensure hold baggage has been individually identified and subjected to security controls

Interviewed appropriate manager(s)/staff

Observed baggage being appropriately identified

Observed baggage being subjected to appropriate security controls

Reviewed unaccompanied baggage labelling and handling

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.5.2.

PAB 1.4.7 If required by applicable regulations or requirements of the customer airline(s), the Provider shall have a procedure in accordance with requirements of the customer airline(s) to provide a record of hold baggage that has been subjected to and satisfied the specifications contained in PAB 1.4.6. **(GM)**

Auditor Actions

Identified/Assessed procedure to provide a record of hold baggage that has been identified and subject to security controls

Interviewed appropriate manager(s)/staff

Observed baggage being appropriately identified and records provided

Other Actions (Specify)

Guidance

Provision of records in accordance with this provision would only be required if specified by a customer airline or regulatory authority.

1.5 Carriage of Weapons

PAB 1.5.1 If the Provider, in accordance with requirements of the customer airline(s), handles passengers that are law enforcement officers or other persons authorized to carry weapons onboard the aircraft in the performance of their duties, the Provider shall have procedures in accordance with applicable laws and/or requirements of the customer airline(s) for the check-in, handling and boarding of such passengers carrying weapons. **(GM)**

Auditor Actions

Identified/Assessed procedure to check in, handle and board passengers authorized to carry weapons

Interviewed manager(s)/staff of passenger services

Reviewed reports/notifications from previous events

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.5.3.

PAB 1.5.2 If the Provider handles passengers carrying weapons as specified in PAB 1.5.1, the Provider shall have procedures in accordance with applicable laws and requirements of the customer airline(s) to ensure the pilot-in-command is notified as soon as feasible prior to flight departure, and, if permitted by applicable laws involved, such notification shall include the number and seat locations of the authorized armed persons onboard the aircraft.

Auditor Actions

Identified/Assessed procedure to notify the PIC of authorized armed persons onboard

Interviewed manager(s)/staff of passenger services

Reviewed reports/notifications from previous events

Other Actions (Specify)

PAB 1.5.3 If the Provider, in accordance with requirements of the customer airline(s), handles weapons that are transported on the aircraft with, but are not in the possession of, passengers that are law enforcement officers or other authorized persons in the performance of their duties, the Provider shall have procedures in accordance with applicable laws and requirements of the customer airline(s) for the check-in, handling and boarding of such weapons, to ensure, as a minimum:

(i) An authorized and duly qualified person has determined any weapon to be boarded is not loaded;

(ii) The weapon is stowed in a place that is inaccessible to any unauthorized person during flight. **(GM)**

Auditor Actions

Identified/Assessed procedure for the check in, handling and boarding of weapons on the aircraft, not in the possession of law enforcement officers

Interviewed appropriate manager(s)/staff and/or qualified person

Reviewed qualifications/authorization of persons determining if weapons are not loaded

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.5.3.

Ammunition is typically treated as a weapon.

1.6 Special Category Passengers

PAB 1.6.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) for the notification to the pilot-in-command, prior to flight departure, of passengers onboard that are persons required to travel because they have been the subject of judicial or administrative proceedings. **(GM)**

Auditor Actions

Identified/Assessed procedure for the notification to the PIC of passengers subject to judicial or administrative proceedings on board

Interviewed appropriate manager(s)/staff and/or qualified person

Observed notification to pilot-in-command, prior to flight departure of passengers subject of judicial or administrative proceedings

Reviewed records of prior notifications

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.4.10.

This is an ICAO requirement found in Annex 17.

PAB 1.6.2 The Provider shall have procedures in accordance with requirements of the customer airline(s) for the handling of potentially disruptive passengers, and for ensuring such passengers:

(i) Pose no danger or security risk to the flight;

(ii) Are reported to the customer airline. **(GM)**

Auditor Actions

Identified/Assessed procedure for the handling of potentially disruptive passengers

Interviewed appropriate manager(s)/staff of passenger services

Observed handling of potentially disruptive passengers

Reviewed records of prior reports to customer airlines

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.4.11.

Potentially disruptive passengers could pose a safety hazard to other passengers, crew members or the overall safety of a flight. Such passengers typically include:

- Persons that display indications of being intoxicated or demonstrate abnormally abusive or aggressive behavior (physical or verbal);
- Persons required to travel because they have been the subject of judicial or administrative proceedings (e.g. deportees, illegal immigrants), as well as inadmissible passengers.

PAB 1.6.3 The Provider shall have procedures in accordance with requirements of the customer airline(s) for the handling of unaccompanied minors (children). **(GM)**

Auditor Actions

Identified/Assessed procedure for the handling of unaccompanied minors

Interviewed appropriate manager(s)/staff of passenger services

Observed handling of an unaccompanied minor

Reviewed records and paperwork from prior handling

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.4.1.

PAB 1.6.4 (Intentionally open)

PAB 1.6.5 The Provider shall have procedures in accordance with applicable regulations and requirements of the customer airline(s) for accepting and handling incapacitated passengers and persons with reduced mobility (PRM). **(GM)**

Auditor Actions

Identified/Assessed procedure for the handling of incapacitated passengers and PRM

Interviewed appropriate manager(s)/staff of passenger services

Reviewed records of prior notifications to downline stations

Observed handling of PRM passengers

Other Actions (Specify)

Guidance

Refer to the IRM for the definition of Incapacitated Passenger.

Guidance may be found in IGOM 1.4.4 and AHM 176 and 176A.

Incapacitated passengers require special care or services that would not normally be extended to other passengers.

Persons with reduced mobility (PRMs) require special care, may require physical assistance and, in order to meet the person's needs, adaptation of the services normally made available to other passengers.

Procedures for handling such passengers would typically include the transmission of handling information to downline stations.

PAB 1.6.6 The Provider shall have procedures in accordance with applicable regulations and requirements of the customer airline(s) to deny boarding to persons that appear to be intoxicated, or demonstrate by manner or physical indications that they are under the influence of drugs or alcohol. **(GM)**

Auditor Actions

Identified/Assessed procedure for denying boarding to intoxicated persons or those under the influence of drugs

Interviewed appropriate manager(s)/staff of passenger services

Reviewed records of prior denials

Observed denial of a passenger under these circumstances

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.4.11.

Such procedures would not apply to medical patients under proper care.

1.7 Hold Baggage Handling and Unit Load Devices (ULDs)*

*** Refer to Section 1 of this manual (ORM-HS or ORM-S), Subsection 8, for provisions that are applicable to the management of ULDs in station baggage handling operations. Aircraft hold baggage transportation; loading/off-loading including ULD handling is part of the HDL section. If the provider is involved in the hold baggage loading, transportation and ULD handling, applicable standards from HDL shall be assessed.**

1.8 Aircraft Access*

*** If passenger handling personnel operate aircraft access doors, refer to Section 5 of this manual (HDL) for provisions that are applicable to the operation of such doors.**

1.9 Passenger Boarding Bridge and Stairs*

*** If passenger handling personnel operate the passenger boarding bridge and/or passenger stairs refer to Section 5 of this manual (HDL), Subsection 1.4, for provisions that are applicable to the operation of such equipment.**

Section 4 – (Intentionally Open)

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Section 5 – Aircraft Handling and Loading (HDL)

Changes to GOSM Section 5 (HDL)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
HDL 1.2.1		Changed reference in GM
HDL 1.2.3		Changed reference in GM. Removed GM additional text as redundant with referenced document.
HDL 1.2.4		Changed reference in GM
HDL 1.2.5		Changed reference in GM
HDL 1.2.6	Changed sub provision iii) to include elements of HDL 1.2.7. Revised Note text.	Changed reference in GM
HDL 1.2.7	Standard removed as redundant with revised HDL 1.2.6 iii)	
HDL 1.3.1		Changed reference in GM
HDL 1.3.3	Standard aligned with AGM 1.1.3.	Changed reference in GM. Added reference to AGM 1.1.3 (same content) duplicated as per GSP operations.
HDL 1.3.4		Introduced Guidance
HDL 1.3.5		Introduced Guidance
HDL 1.3.6		Introduced Guidance
HDL 1.3.11		Changed reference in GM
HDL 1.3.14		Changed reference in GM
HDL 1.4.1		Changed reference in GM

Changes to GOSM Section 5 (HDL)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
HDL 1.4.7	As some boarding bridges are not fitted with devices required in the GOSARP this has been reworded to make it conditional.	Changed reference in GM
HDL 1.5.1		Changed reference in GM
HDL 1.5.5		Changed reference in GM
HDL 2.1.1		Changed reference in GM
HDL 2.1.2		Changed reference in GM
HDL 2.1.3		Changed reference in GM
HDL 2.1.4		Changed reference in GM
HDL 2.1.8	Added new standard as derived from former CGM 1.3.9	
HDL 2.1.9	Former HDL 2.1.8 renumbered	
HDL 2.3.1		Changed reference in GM
HDL 2.3.5		Introduced Guidance
HDL 2.4 (all)	Added new section for “Other special Loading”	
HDL 2.4.1	Added new RP to address Live Animals transportation and Loading	Introduced Guidance
HDL 2.4.2	Added new RP to address Perishable and temperature sensitive healthcare transportation and Loading	Introduced Guidance
HDL 2.5 (all)	Former HDL 2.4 renumbered 2.5	
HDL 2.5.2		Changed reference in GM
HDL 2.6 (all)	Former HDL 2.5 renumbered 2.6	
HDL 2.6.1		Changed reference in GM
HDL 2.6.2		Changed reference in GM

Changes to GOSM Section 5 (HDL)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
HDL 2.6.3		Changed reference in GM
Section 3	Modified sub section paragraph naming for consistency within GOSM structure.	

Applicability

Section 5 addresses aircraft servicing and loading operations (hereinafter "aircraft handling operations"), which includes the following functions:

- Operation of aircraft access doors and other access points;
- Operation of ground support equipment associated with aircraft handling and loading;
- Operation of passenger boarding equipment;
- Baggage sorting, transfer baggage and consignments shipped as baggage by courier;
- Loading and unloading of baggage, cargo, mail, stores and other items;
- Transportation of cargo and baggage to/from the warehouse or terminal;
- Coordination of aircraft loading documentation;
- Exterior servicing of an aircraft, to include catering, cleaning, lavatory and water.

This section (HDL) is utilized for the audit of a station where aircraft handling and loading operations are conducted.

The Auditor will determine individual provisions that may not be applicable to a specific Provider.

General Guidance

Definitions of technical terms used in this section, as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

1. Aircraft Handling and Servicing Operations

1.1 (Intentionally Open)

1.2 Aircraft Access*

*** The following provisions under Subsection 1.2 are typically applicable to a Provider that operates aircraft access doors during aircraft handling operations. Nevertheless, some of the sub-requirements might still be applicable when the Provider is engaged in certain aspects of ramp operations and shall therefore be assessed accordingly. Individual applicability shall be determined and verified by the Auditor.**

General

HDL 1.2.1 The Provider shall have a process that ensures the operation of aircraft access doors, applicable to each type of aircraft, is in accordance to the procedures and training requirements of the customer airline(s) at the station. **(GM)**

Auditor Actions

Identified/Assessed procedures to open cabin access doors, cargo doors and lower compartment doors, to be in accordance with applicable instructions and training requirements of customer airlines

Observed opening of cabin door operations

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Refer to the IRM for the definition of Aircraft Access Door.

Guidance may be found in IGOM 4.10 and AHM 430.

Procedures typically address the operation of cabin access doors, cargo doors and lower compartment doors, and ensure such doors are operated in accordance with applicable instructions.

Cabin Access Doors

HDL 1.2.2 The Provider shall ensure all GSE is positioned to the cabin access door in a manner that:

(i) Minimizes or eliminates gaps in the walking surfaces between the aircraft and equipment;

(ii) If equipped with side railings, they extend to the fuselage

(iii) Prevents any gaps ensuring the safety of staff and passengers from accidental falls. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) of GSE positioning to cabin access doors

Interviewed manager(s), staff of ground handling operations

Observed GSE positioning operations (focus: minimize/eliminate gaps in walking surfaces between aircraft and equipment; side railings if used must extend to the fuselage; gaps must be eliminated)

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.1.3.4, 4.10.1.3 and AHM 630.

Positioning of the equipment normally takes into account the fore and aft contour of the aircraft fuselage. With certain types of platforms or stairs, a perfect match will not be possible; however, gaps would typically be minimized to a safe level.

Side railings deployment that interface with cabin door is typically applicable only to specific GSE such as passenger stairs, catering truck or other elevating equipment.

HDL 1.2.3 The Provider shall have procedures for opening aircraft cabin access doors, applicable to each type of door operated, to ensure:

(i) Cabin doors are operated in accordance with the procedures as outlined by the customer airline(s);

(ii) When a door is opened from inside the aircraft by airline crew, ground personnel must confirm to them by communicating via non-verbal signals that GSE is in position and that it is clear to open the door;

(iii) Ground personnel must retreat to a safe position before the door is opened. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) applicable to each type of door operated

Identified/Assessed procedure(s indicating that GSE is positioned and it is safe to open the door manually. To also include any customer airline requirements

Interviewed manager(s), staff of ground handling operations

Observed GSE positioning operations (focus: minimize/eliminate gaps in walking surfaces between aircraft and equipment; side railings if used must extend to the fuselage; gaps must be eliminated)

Other Actions (Specify)

Guidance

Refer to the IRM for the definitions of Ground Service Equipment (GSE), Integral Airstairs.

Guidance may be found in IGOM 4.10.1.2.

HDL 1.2.4 The Provider shall have procedures for closing an aircraft cabin access door, applicable to each type of door operated, to ensure ground handling personnel:

(i) Operate cabin doors in accordance with the procedures as outlined by the customer airline(s);

(ii) Conduct an exterior inspection for obstructions that could hinder door closure before the door is closed;

(iii) Assist the cabin crew member, as necessary, in initiating the door closing movement;

(iv) Observe the door after closure to confirm it is fully closed. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) for closing aircraft cabin access doors, applicable to each type of door operated, this to include any customer airline specific requirements

Interviewed manager(s), staff of ground handling operations

Observed closing of cabin door operations (focus: exterior inspection for obstructions; assist cabin crew if required during door(s) closure; observed that door(s) are fully closed)

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.10.2.7 and AHM 430 and 630.

Ground handling personnel would provide a timely communication of the existence of any obstructions to personnel onboard the aircraft to prevent damage to the door.

Assisting to initiate the door closing movement could prevent possible injuries to the cabin crew member.

To determine a door is fully enclosed, ground handling personnel would observe the door seated in the fuselage recess and the exterior door handle in the stowed position.

HDL 1.2.5 The Provider shall have procedures for re-opening an aircraft cabin access door after it has been closed. The procedures shall be applicable to each type of door operated and they must ensure ground handling personnel do not commence the process to re-open a door unless specifically authorized by the pilot-in-command (PIC) of the aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) for re-opening of aircraft cabin access doors to be in conformity with these standard requirements

Interviewed manager(s), staff of ground handling operations

Observed re-opening of aircraft cabin door (as applicable)

Other Actions (Specify)

Guidance

Refer to the IRM for the definition of Pilot-in-Command (PIC).

Guidance may be found in IGOM 4.10.1.8 and AHM 430 and 630.

Either the flight crew or ground handling personnel may find it necessary to re-open a cabin access door. Under such circumstances, effective coordination between onboard and exterior personnel would be necessary, and procedures would be implemented to prevent injury to personnel and damage to the aircraft and/or ground support equipment.

Should the cabin crew require a door to be re-opened, typically the flight crew would contact the appropriate ground handling personnel to coordinate and authorize such action. In the event the ground handling personnel

require a door to be re-opened, appropriate communication with the flight crew would be necessary to gain authorization.

HDL 1.2.6 The Provider shall have procedures in accordance with requirements of the customer airline to ensure, prior to the operation of any cabin access door, GSE or a passenger boarding bridge:

(i) Is positioned at a cabin access door prior to door opening;

(ii) Remains positioned at a cabin access door at all times when such door is open unless an appropriate fall prevention device is placed across the open door;

(iii) Is removed from a cabin access door immediately after such door is closed by an authorized person. **(GM)**

Note: *Specifications of this provision do not apply to cabin access doors that have integral airstairs when such doors are open and the integral airstairs are deployed.*

Auditor Actions

Identified/Assessed procedure(s) for GSE positioning in relation cabin access door opening as per standard requirements

Interviewed manager(s), staff of ground handling operations

Observed GSE positioning in relation cabin access door opening as per standard requirements

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.10.2.1 and AHM 430.

No cabin door shall be opened, closed, or left open without ground equipment in place. To ensure safe operations, avoid damage and prevent falls, only trained personnel may operate cabin doors. A single strap is unsafe and does not meet these criteria.

There is a risk of falling while operating cabin doors.

Slide deployments can be fatal. If an armed door begins to open, do not attempt to hold the door, as you risk being seriously injured or killed.

If a cabin access door is found open without a boarding device positioned at the door you must immediately notify a supervisor or the airline representative.

Do not attempt to close the cabin access door unless trained and qualified.

Guard the cabin access door until a qualified person is present to close it.

Some aircraft types with certain galley configurations require the cabin door to be opened in order to service the trash bins. For these aircraft, it is allowable to “crack” the cabin door open (i.e. partially open the door) in order to

provide sufficient space to allow the servicing of the trash bin. However, the cabin door is not fully swung open. Once the trash bin service is completed, the cabin door should then be immediately closed and secured.

GSE or a passenger boarding bridge should not to be removed from a position at an aircraft cabin access door until either:

- The door has been closed and secured by an authorized person, or
- An appropriate fall prevention device has been placed across an open door.

If an aircraft cabin access door is fitted with integral airstairs, and such airstairs are deployed and in use, then this provision is not applicable. However, if a cabin access door is equipped with retractable integral airstairs (e.g. B737), and such airstairs remain retracted when the door is open, then this provision is applicable.

An appropriate fall prevention device consists of equipment or material, or a combination of both, that is designed to arrest or prevent the fall of a person from an open door. Examples include an industrial safety net, catch platform or safety harness system (other than a travel restraint system). The door strap installed in most aircraft cabin doors is not considered an appropriate fall prevention device.

Should it be discovered that ground equipment has been incorrectly removed from the aircraft with the cabin access door still open, procedures would ensure personnel are designated to guard the area to prevent persons from falling. No attempt would be made to close the door until appropriate GSE has been moved into position at the door. Such incident would be reported in accordance with procedures of the customer airline.

For all-cargo aircraft, where the GSE must be removed to allow the aircraft access door to be opened or closed, procedures would be in place to permit door operation in a manner that ensures the safety of personnel involved.

1.3 Ground Support Equipment (GSE)*

*** The following provisions under Subsection 1.3 are applicable to a Provider that operates GSE during aircraft handling operations. Nevertheless, some of the sub-requirements might still be applicable when the Provider is engaged in certain aspects of ramp operations and shall therefore be assessed accordingly. Individual applicability shall be determined and verified by the Auditor.**

GSE Movement

HDL 1.3.1 The Provider shall have procedures that ensure that GSE is subjected to a pre-movement inspection prior to being utilized in operations. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) for inspection of all GSE prior to be utilized during operations, with records filed accordingly

Interviewed manager(s), staff of ground handling operations

Observed inspection process of GSE prior to utilization

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.1.3.2.

HDL 1.3.2 The Provider shall have procedures that ensure GSE:

(i) Is parked only in designated airside equipment parking areas when not in use;

(ii) Is parked in a manner that does not obstruct access to firefighting equipment;

(iii) Is parked in a manner that does not obstruct access to the fuel hydrant emergency stop switch. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that GSE is parked in designated areas, not obstructing access to emergency services (i.e. firefighting equipment) and does not obstruct access to fuel hydrant emergency stop switch

Interviewed manager(s), staff of ground handling operations

Observed parking procedures for GSE in designated areas, and avoiding obstructing firefighting equipment fuel hydrant emergency stop switch areas.

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.1.3.2 and IGOM 4.4.

HDL 1.3.3 The Provider shall have procedures to ensure that, for each aircraft arrival the following conditions are met:

Upon aircraft stopping:

(i) Wheel chocks are placed at nose landing gear wheels (if applicable);

(ii) Ground power unit is connected (if applicable);

As engines are spooling down and after anti-collision lights have been switched off:

(iii) Chocks are positioned to main landing gear and confirmation is given to flight deck crew (if applicable);

(iv) Cabin door area is inspected for existing damage before positioning boarding devices;

(v) Cones are positioned as per aircraft type;

(vi) Walk around inspection as specified in AGM 1.1.5 is performed prior to giving clearance for GSE to position at aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that all GSE including passenger boarding bridge, is not moved toward the aircraft unless the specified actions are taken

Interviewed manager(s), staff of ground handling operations

Observed GSE movement towards aircraft covering the identified actions, including any possible exceptions as identified by customer airlines and airport regulation.

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.9.2.2, 4.6 and 4.7.

At some airports local regulations do not allow for the standard arrival procedure tasks (i) and (ii) to be performed until engines are spooling down and anti-collision lights have been switched off.

HDL 1.3.3 is reported verbatim in AGM 1.1.3. As per GSP operational profile one of the two might apply. If such operations are performed make sure anyone of the two GOSARPs is reported as N/A with reference to the other (i.e. AGM 1.1.3 N/A as verified under HDL 1.3.3).

HDL 1.3.4 The Provider shall have a procedure that prohibits GSE from being moved or driven across the path of:

(i) Taxiing aircraft;

(ii) Embarking or disembarking passengers on the ramp. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that all GSE movement is prohibited from being driven in the path of a taxiing aircraft, or embarking, disembarking passengers on the ramp

Interviewed manager(s), staff of ground handling operations

Observed GSE movement towards around aircraft handling during taxiing of aircraft and embarking, disembarking passengers on the ramp (if applicable)

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.1.

HDL 1.3.5 The Provider shall have a procedure that prohibits GSE from being driven with elevating equipment in the elevated position, except during final positioning of the equipment to the aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that all GSE being driven is not elevated with the exception of final positioning towards the aircraft

Interviewed manager(s), staff of ground handling operations

Observed GSE positioning and elevating including final positioning

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.2.

HDL 1.3.6 The Provider shall have procedures that ensure all loaded dollies or transporters secure the load from movement by the use of locks, stops, rails, or straps at all times, except when the load is being transferred onto or off the equipment. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that all loaded dollies or transporters have loads secured from movement; this could be accomplished with the use of locks, stops or straps, with the exception of when the load is being transferred on/off GSE.

Interviewed manager(s), staff of ground handling operations

Observed dollies and transporter movement

Other Actions (specify)

Guidance

Guidance may be found in IGOM 3.7.2, 4.11.2.1.

HDL 1.3.7 The Provider shall have procedures in accordance with requirements of customer airlines for the positioning of marker cones around specific parts of an aircraft for the purpose of preventing damage from the movement of vehicles or GSE. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) in accordance with requirements of customer airlines for positioning of cones around the aircraft

Interviewed manager(s), staff of ground handling operations

Observed positioning of marker cones

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.6.

Properly placed marker cones create a safety buffer for preventing aircraft ground damage.

HDL 1.3.8 The Provider shall have procedures to ensure the movement of GSE operated in close proximity to the aircraft, when the vision of the GSE Operator is or might be restricted, is directed by one or more guide persons and:

(i) Hand signals are utilized by the guide person(s);

(ii) The guide person(s) is(are) positioned so that clearance from the aircraft, other equipment, vehicles or facilities can be accurately judged, and signals can be visually communicated to the GSE Operator;

(iii) If visual contact with the guide person(s) is lost, the GSE Operator stops movement of the GSE immediately. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) movement of GSE operated in proximity to the aircraft is directed by one or more guide person when the GSE operator is or might have their vision restricted.

Interviewed manager(s), staff of ground handling operations

Observed GSE positioning

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.7.

Procedures would be applicable to all GSE movement operations in close proximity to the aircraft, including movement up to and away from the aircraft fuselage.

GSE includes tractors utilized for aircraft ground movement, the operation of which is addressed in Section 7 (CGM) of this manual.

Guide persons, who would have to be clearly visible and, to the extent possible, distinguishable from other ground personnel, are responsible for directing the equipment Operator to ensure clearance from the aircraft, other equipment, vehicles and facilities.

The equipment is stopped when visual contact with the guide person is lost; operation would resume when visual contact has been re-established.

HDL 1.3.9 The Provider shall have procedures to ensure the Operator of motorized GSE:

(i) Drives no faster than walking speed inside the ERA (equipment restraint area);

(ii) Makes a minimum of one complete stop prior to entering the ERA; Makes a full stop as brake check while approaching the aircraft at a distance no less than 5 m/15 ft from the aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) for driving at walking speed inside the ERA

Identified/Assessed procedure(s) for one complete stop prior to entering the ERA. The brake check outside the ERA needs to be performed each time an operator operates any motorized GSE for the first time and for each subsequent use of the same GSE.

Interviewed manager(s), staff of ground handling operations

Observed GSE brake check(s)

Other Actions (specify)

Guidance

Refer to the IRM for the definition of ERA.

Guidance may be found in IGOM 4.1.3.7.

The brake check outside the ERA needs to be performed each time an Operator operates any motorized GSE for the first time and for each subsequent use of the same GSE.

Procedures would also address the direction of GSE movement around an aircraft.

HDL 1.3.10 The Provider shall have procedures to ensure GSE that is being towed to a position at or near the aircraft, where possible:

(i) Is driven along a path that does not require sharp turns;

(ii) Approaches the aircraft on a path parallel to the side of the aircraft fuselage;

(iii) Is parked in a parallel position to the aircraft. **(GM)**

Auditor Actions

Identified/Assessed that the equipment utilized for each aircraft handling operation is suitable for that specific operation to be conducted taking into account aircraft size, weather conditions as well as surface conditions

Interviewed manager(s), staff of ground handling operations

Observed GSE towing in conformity with standard

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.1.3.

Trains of carts or dollies tend to “drift in” or reduce the turn radius during cornering. Therefore, to prevent damage to the aircraft, vehicles, other equipment, or injury to personnel, procedures would ensure the driver does not make a sharp turn around an obstacle immediately after passing it.

GSE Positioning

HDL 1.3.11 The Provider shall have procedures to ensure unattended vehicles or motorized GSE, when positioned at or near the aircraft, except as specified in HDL 1.3.12, have the parking brake applied with the gear selector in park or neutral, and, if equipped, wheel chocks installed. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) as per standard to ensure: parking brake set, gear selector in neutral and wheel chocks installed (if equipped)

Interviewed manager(s), staff of ground handling operations

Observed GSE positioning

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.2 and AHM 630.

A vehicle is considered unattended when the driver is not in the driving position.

HDL 1.3.12 The Provider shall have procedures to ensure the Operator of electrical or motorized GSE that is positioned at the aircraft, and is being utilized in the operating mode:

(i) Remains in a position within easy reach of the emergency controls;

(ii) If the equipment is not fitted with external emergency controls, remains in the operating position and in control of the equipment;

(iii) Are not left unattended with engine running. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) as per standard to ensure operator: remains within easy reach of emergency controls or, if not fitted remains in operating position

Interviewed manager(s), staff of ground handling operations

Observed GSE positioning and handling

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3 and AHM 630.

HDL 1.3.13 The Provider shall have procedures to ensure GSE, when positioned at the aircraft:

(i) If fitted with stabilizers, has the stabilizers deployed;

(ii) If fitted with an auto-leveling system, has auto-leveling engaged;

(iii) Has handrails deployed in the raised position or fall protection is utilized in accordance with local requirements;

(iv) GSE attachment fittings, transfer bridges or platforms are correctly deployed when the equipment is in position at the aircraft access door;

(v) Is not positioned at the aircraft with the protective rubber bumpers compressed against the fuselage. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that when GSE is positioned at the aircraft stabilizers are deployed

Identified/Assessed procedure(s) to ensure that when GSE is positioned at the aircraft auto-leveling is engaged

Identified/Assessed procedure(s) to ensure that when GSE is positioned at the aircraft handrails are deployed in the raised position (or equivalent)

Identified/Assessed procedure(s) to ensure that when GSE is positioned at the aircraft GSE attachment fittings, transfer bridges or platforms are correctly deployed

Identified/Assessed procedure(s) to ensure that when GSE is positioned at the aircraft the protective rubber bumpers is not compressed

Interviewed manager(s), staff of ground handling operations

Observed GSE positioning as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.2, 4.1.3.4, 4.1.3.5, 4.1.3.6 and AHM 630.

If stairs are positioned at the aircraft for the purpose of passenger boarding or deplaning, cabin access doors would not be opened until the stairway stabilizers are deployed.

Stabilizers would remain deployed until the aircraft access door is closed.

In situations where handrails are not deployed in the raised position in accordance with sub-specification HDL 1.3.13 (iii), the use of fall protection in accordance with local requirements would be acceptable as an alternate means of conformity.

Handrails would be retracted during GSE movement and positioning, and then extended once the GSE is in position at the aircraft.

HDL 1.3.14 The Provider shall have procedures to ensure GSE, when positioned at the aircraft, does not:

(i) Obstruct the evacuation of persons from the aircraft in an emergency;

(ii) Prevent or obstruct the movement of a fuelling vehicle away from the aircraft;

(iii) Unnecessarily impede the accomplishment of other aircraft handling operations in progress. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that when GSE is positioned at the aircraft does not obstruct the evacuation

Identified/Assessed Assessed procedure(s) to ensure that when GSE is positioned at the aircraft does not prevent or obstruct the movement of a fuelling vehicle

Identified/Assessed procedure(s) to ensure that when GSE is positioned at the aircraft does not impede the accomplishment of other aircraft handling operations

Interviewed manager(s), staff of ground handling operations

Observed GSE positioning as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.7 and AHM 630.

HDL 1.3.15 The Provider shall have procedures in accordance with applicable regulations and requirements of the customer airline(s) to ensure, when passengers are onboard, or embarking or disembarking from an aircraft being fuelled, the area beneath such exits is kept clear of GSE and/or other obstructions. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that as per local and customer airlines requirements, when fueling with passengers on board/boarding/deplaning, the areas beneath exits are kept clear

Interviewed manager(s), staff of ground handling operations

Observed GSE positioning as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.4.3 and AHM 175 and 630.

1.4 Passenger Boarding Bridge and Stairs*

*** The following provisions under Subsection 1.4 are applicable to a Provider that operates passenger boarding bridge and/or stairs during aircraft handling operations. Nevertheless, some of the sub-requirements might still be applicable when the Provider is engaged in certain aspects of ramp operations and shall therefore be assessed accordingly. Individual applicability shall be determined and verified by the Auditor.**

HDL 1.4.1 The Provider shall have procedures to ensure the walking surfaces of passenger boarding bridges and/or stairs are inspected and free from conditions that could cause injury to passengers or ground handling personnel. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that walking surfaces of passenger boarding bridges and/or stairs are inspected and free from conditions that could cause injury before operation begins

Interviewed manager(s), staff of ground handling operations

Observed bridge/stair as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.4, 4.1.3.5 and AHM 634.

Ensuring passenger-walking surfaces are clean of undesired substances will prevent conditions that could lead to slipping, tripping or falling, and the resulting injuries. Substances that could typically contribute to unsafe walking conditions would include snow, ice, standing water, catering trash, oil, hydraulic fluid or de-icing fluid.

Passenger Boarding Bridge

HDL 1.4.2 The Provider shall have procedures to ensure the passenger boarding bridge is parked in the fully retracted position:

(i) Prior to aircraft arrival;

(ii) Prior to aircraft departure movement. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that prior to aircraft arrival and departure movement, the boarding bridge is retracted in its designated positon

Interviewed manager(s), staff of ground handling operations

Observed GSE positioning as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.4, AHM 634 and in the ACI 2.4.0.

HDL 1.4.3 The Provider shall have procedures to ensure personnel, equipment and vehicles are clear of the bridge movement path prior to movement of the bridge. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that no impediments to the boarding bridge exist prior to movement

Interviewed manager(s), staff of ground handling operations

Observed bridge/stair positioning as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.4 and AHM 630.

HDL 1.4.4 The Provider shall have procedures to ensure, during the positioning of the passenger boarding bridge:

(i) Only the bridge Operator is in the bridgehead;

(ii) A guide person is used when vision is restricted and is in a position to accurately judge clearances and communicate signals to the driver/Operator, or a video monitoring system is in place. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure during the operation and movement of the jet bridge, only the jet bridge operator is located at the bridgehead

Identified/Assessed procedure(s) to ensure during the operation and movement of the jet bridge guide person(s) is/are used when vision is restricted, and they are positioned to accurately judge clearances and communicate signals to the operator

Interviewed manager(s), staff of ground handling operations

Observed bridge/stair positioning as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.4 and AHM 630.

HDL 1.4.5 The Provider shall have procedures to ensure the passenger boarding bridge is moved slowly to the aircraft cabin access doorsill:

(i) Until the bridge safety bar just touches the aircraft;

(ii) In a manner that prevents damage to aircraft components protruding from the fuselage. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that the boarding bridge is moved slowly at all times towards the cabin access door, until the bridge safety bar just touches the aircraft

Identified/Assessed procedure(s) to ensure that movement prevents damage to the aircraft components protruding from the fuselage (i.e. all antennas, radars etc. must be visualized and bridge handled to ensure that these are not damaged)

Interviewed manager(s), staff of ground handling operations

Observed bridge/stair positioning as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.4, AHM 634 and ACI 2.4.0.

Protrusions would include various antennae, sensors and probes located near the access door.

HDL 1.4.6 The Provider shall have procedures to ensure, once the passenger boarding bridge is in position at the cabin access door, the bridge auto leveling safety system is engaged. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that the bridge auto level mechanism is immediately engaged once the bridge is in position at the access door

Interviewed manager(s), staff of ground handling operations

Observed bridge/stair positioning as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.4, AHM 634 and ACI 2.4.0.

HDL 1.4.7 If the boarding bridge is fitted with devices that prevent operations by unauthorized persons when an Operator is not at the controls, the Provider shall have procedures to ensure such controls are secured. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that if bridge is so equipped, when it is not in operation the mechanism that impedes unauthorized use is properly engaged (note: if keys are used to deactivate the bridge mechanism, the removal of the keys must be followed)

Interviewed manager(s), staff of ground handling operations

Observed bridge/stair secured

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.4, AHM 634.

Where the boarding bridge requires keys for operation, removing the keys prevents operation of the boarding bridge by unauthorized personnel.

HDL 1.4.8 The Provider shall have procedures to ensure a safety device is placed across the forward opening of the passenger boarding bridge platform when the bridge is removed from the cabin access door (where equipped). **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to ensure that in order to prevent personnel from falling off the bridge, a safety device is placed across the forward opening of the bridge platform when the bridge is removed from the cabin access door.

Interviewed manager(s), staff of ground handling operations

Observed bridge/stair safety devices positioning as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.4 and AHM 630.

An effective safety device prevents personnel from inadvertently falling from the boarding bridge opening (e.g. roll-down door).

HDL 1.4.9 The Provider shall have procedures to ensure passenger boarding bridge malfunctions are reported to the appropriate authority. **(GM)**

Auditor Actions

Interviewed manager(s), staff of ground handling operations

Observed/reviewed records of bridge malfunction reporting

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.4, AHM 634 and ACI 2.4.0.

1.5 Aircraft Servicing*

*** The following provisions under Subsection 1.5 are applicable to a Provider that conducts Aircraft Servicing functions. Nevertheless, some of the sub-requirements might still be applicable when the Provider is engaged in certain aspects of ramp operations and shall therefore be assessed accordingly. Individual applicability shall be determined and verified by the Auditor.**

Fuelling

HDL 1.5.1 The Provider shall ensure procedures are in place and followed by ground handling personnel during aircraft fuelling operations, which address:

(i) Aircraft protection;

(ii) Fuel safety zone;

(iii) Fuel hose safety;

(iv) Fuel spillage;

(v) Ground support equipment;

(vi) Notification of persons onboard the aircraft;

(vii) Aircraft evacuation. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) during fuelling operations addressing: Aircraft protection, fuel safety zone, fuel hose safety, fuel spillage, GSE; notification of persons onboard the aircraft and aircraft evacuation

Interviewed manager(s), staff of ground handling operations

Observed aircraft fuelling operations as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.4.

Practices and procedures implemented when aircraft fuelling is in progress would be designed to provide for the safety of the aircraft, persons onboard the aircraft and ground handling personnel working on the ramp.

Toilet Servicing

HDL 1.5.2 If the Provider conducts aircraft toilet servicing operations, the Provider shall have procedures for such operations that address:

(i) Operation of aircraft access panels or doors;

(ii) Operation of aircraft servicing controls;

(iii) Equipment-to-aircraft interface;

(iv) Clean-up and leakage check. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) during toilet servicing addressing operation of: aircraft access panels or doors, aircraft servicing controls, equipment-to-aircraft interface, clean-up and leakage check

Interviewed manager(s), staff of ground handling operations

Observed toilet servicing as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.3 and AHM 441.

Potable Water Servicing

HDL 1.5.3 If the Provider conducts aircraft potable water servicing operations, the Provider shall have procedures for such operations that address:

(i) Operation of aircraft access panels or doors;

(ii) Operation of aircraft servicing controls;

(iii) Equipment-to-aircraft interface;

(iv) Clean-up and leakage check. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) during toilet servicing addressing operation of: aircraft access panels or doors, aircraft servicing controls, equipment-to-aircraft interface, clean-up and leakage check

Interviewed manager(s), staff of ground handling operations

Observed potable water servicing as outlined in standard

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.2 and AHM 440.

Water service shall always be performed before toilet service. Typically the following is checked prior servicing begins:

Vehicle grade plates and water servicing ports designation are checked as necessary, to ensure drinking water will be delivered. Unrolled hoses are checked during servicing for leaks, abrasion, cuts, blisters and kinks. Hoses shall be kept under observation during the servicing operation. Should a weakness, leak or defect be observed, delivery through the defective hose must be stopped and the hose replaced.

HDL 1.5.4 If the Provider conducts aircraft potable water servicing operations, the Provider shall have procedures for the application of water quality standards in the preparation, handling and inspection of aircraft potable water to ensure no contamination when loaded into the aircraft in accordance to local health authorities and those of the customer airlines at the station. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) for the application of water quality standards as described in the GOSARP in accordance with local health authorities and those of customer airlines at the station

Interviewed manager(s), staff of ground handling operations

Observed records of water quality standards checks as outlined above

Other Actions (specify)

Guidance

Guidance may be found in AHM 440.

Potable water systems are susceptible to contamination by bacteria and other micro-organisms that have the potential to cause illness to crew members and passengers.

HDL 1.5.5 If the Provider conducts aircraft potable water servicing operations, the Provider shall have procedures for the operation of aircraft potable water servicing equipment to ensure such equipment is operated and positioned in a manner that will prevent contamination of potable water to be loaded into the aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) to prevent the contamination of potable water to be loaded into the aircraft during servicing operations

Interviewed manager(s), staff of ground handling operations

Observed potable water servicing operations to be conducted as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.2.2 and AHM 440.

1.6 Unit Load Devices (ULDs)*

*** Refer to Section 1 of this manual (ORM-HS or ORM-S), Subsection 8, for provisions that are applicable to the management of ULDs in station aircraft handling and loading operations.**

2. Aircraft Loading Operations*

*** The following provisions under Section 2 are applicable to a Provider that conducts Aircraft Loading Operations. Nevertheless, some of the sub-requirements might still be applicable when the Provider is engaged in certain aspects of ramp operations and shall therefore be assessed accordingly. Individual applicability shall be determined and verified by the Auditor.**

2.1 Loading Management

HDL 2.1.1 The Provider shall have procedures to ensure aircraft are loaded:

(i) In accordance with written loading instructions;

(ii) In a manner that prevents movement or spillage during flight. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure aircraft are loaded In accordance with written loading instructions and in a manner that prevents movement or spillage during flight

Identified/Assessed procedures to ensure they indicate precautions taken by ground personnel to prevent aircraft damage and injuries to personnel

Interviewed manager(s), staff of ground handling operations

Observed loading operations as outlined above

Other Actions (specify)

Guidance

Refer to the IRM for the definition of Loading Instruction/Report (LIR).

Guidance may be found in IGOM 4.11.1.1, 4.11.4, AHM 590, 630, and DGR 9.3.

Effective procedures ensure precautions are taken during the loading process to prevent aircraft damage and injuries to personnel that could result from, among other things:

- Failure to employ safe operating practices;
- Failure to wear personal protection;
- Exceeding aircraft floor load limitations;
- Inadequate tie-down and failure to fasten separation nets and door nets;
- Loading cargo on seats in the passenger cabin;
- Incorrect opening or closing of aircraft cargo doors;
- Operation of cargo doors during strong or gusty winds;
- Failure to use a tail strut or nose wheel weight, if provided;
- Mishandling of equipment.

HDL 2.1.2 The Provider shall have procedures to ensure a qualified person is designated as loading supervisor for all aircraft loading and off-loading operations with the responsibility for ensuring the aircraft is loaded or off-loaded in accordance with applicable loading procedures and instructions. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure that a qualified person is designated as a loading supervisor for all aircraft loading/unloading operations, being responsible for all applicable loading procedures and instructions

Interviewed manager(s), staff of ground handling operations

Observed aircraft loading/offloading supervision as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.11.1, AHM 590 and 630.

A loading supervisor is required for all aircraft loading operations. However, whereas a provider would typically provide a qualified supervisor, in certain circumstances the loading supervisor could be provided by the customer airline operating the aircraft (e.g. flying loadmaster).

Aircraft loading supervision is an element of the load control process. To qualify as a loading supervisor, personnel of a provider that would act in such capacity typically complete part or all of the load control training curriculum.

HDL 2.1.3 The Provider shall have procedures to ensure, prior to being loaded into an aircraft, ULDs and other items are inspected for damage, and if found damaged, are not loaded into the aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure that before loading commences ULDs and other items are inspected for damage and if damage is found they are not permitted to be loaded.

Interviewed manager(s), staff of ground handling operations

Observed loading operations

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.11.9 and 4.11.14.

HDL 2.1.4 The Provider shall have procedures to ensure ULDs to be loaded into an aircraft are crosschecked by unit number, commodity, weight (if applicable), number of pieces (if applicable) and destination with the Loading Instructions in accordance with requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure ULDs that are loaded into the aircraft are crosschecked by unit number, commodity, weight, pieces, destination and that it follows the LIR according to requirements of the customer airline(s).

Interviewed manager(s), staff of ground handling operations

Observed loading ULD operations as outlined above

Other Actions (specify)

Guidance

Guidance may be found in AHM 420 and 630.

HDL 2.1.5 The Provider shall have a process that ensures the aircraft loading information and data is accurate, documented and such data is transferred to the individual responsible for the calculation of the final weight & balance in accordance with requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure that aircraft loading information and data is transferred to the individual responsible for the calculation of weight & balance in accordance with customer(s) airline requirements

Interviewed manager(s), staff of ground handling operations

Observed transfer of loading information and data operations as outlined above

Other Actions (specify)

Guidance

Guidance may be found in IGOM 5.5, 5.6, 5.7, 5.8, 5.9.

Effective procedures for the transfer of information and data are critical to ensuring an effective load control process. Procedures typically address all types and methods of communication necessary to ensure effective coordination between aircraft loading personnel, particularly the loading supervisor, and the load control office.

HDL 2.1.6 The Provider shall have procedures for ensuring, once an aircraft has been loaded, a Load Instruction Report is:

(i) Completed and certified by the supervisor responsible for aircraft loading;

(ii) Communicated to Load Control;

(iii) Retained as per customer airline requirements. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure once aircraft is loaded a LIR is Completed and certified by the supervisor, communicated to Load Control and document is retained as per customer airline requirements

Interviewed manager(s), staff of ground handling operations

Observed loading instruction report records and actual completion and communication

Other Actions (specify)

Guidance

Guidance may be found in IGOM 5.5, 5.6, 5.7, 5.8 and AHM 514 and 590.

The LIR and certification is completed and signed by the person responsible for loading.

HDL 2.1.7 If the Provider conducts aircraft handling operations for a passenger airline that does not accept cargo, mail or stores for consumption for transport, the Provider shall have a process to ensure such items are prevented from being loaded into any aircraft operated by that customer airline. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure that if the airline does not accept cargo, mail or stores for consumption for transport, that these are identified and prevented from being loaded

Interviewed manager(s), staff of ground handling operations

Observed loading operations

Other Actions (specify)

Guidance

Refer to the IRM for the definitions of COMAT and Stores (Supplies), which includes a definition of Stores for Consumption.

Guidance may be found in AHM 514 and 590.

Stores for consumption include company material (COMAT).

HDL 2.1.8 The Provider shall have a process to ensure that Cargo Mail and baggage transported and transferred in accordance with the requirements of the customer airline(s) when the Cargo Mail and baggage have to move between ground facilities and aircrafts or between aircrafts. **(GM)**

Auditor Actions

Identified/Assessed process for cargo transportation

Interview manager(s), staff of ground handling operations

Observed example(s) of cargo transportation

Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 3.7.

HDL 2.1.9 The Provider shall have procedures to ensure hold baggage, ULD's and/or equipment, prior to release for loading into the aircraft, are inspected for signs of substance leakage, and, if leakage of dangerous goods is found, such baggage and/or equipment is prevented from release for loading into the aircraft in accordance with requirements of the customer airline(s) and:

(i) An evaluation is conducted to identify and prevent from transport any other baggage or equipment that has become contaminated by such leakage;

(ii) A notification is made to the applicable authority and customer airline. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure baggage, ULDs and or equipment are inspected, and an evaluation is conducted to identify and prevent the transport of any contamination by leakage by dangerous goods. If found a notification must be created to the applicable authority and customer airline

Interviewed manager(s), staff of ground handling operations

Observe loading instruction report completion

Other Actions (specify)

Guidance

Guidance may be found in IGOM 2.5.7, 4.11.4 and DGR 9.3 and 9.6.

Equipment would include ULDs, among other items.

2.2 Load Positioning

HDL 2.2.1 The Provider shall have procedures to ensure the ground stability of an aircraft (where applicable) during loading and unloading operations. **(GM)**

Auditor Actions

Identified/Assessed ground stability procedure during loading and unloading operations

Interviewed manager(s), staff of ground handling operations

Ovserved tipping prevention procedures

Other Actions (specify)

Guidance

Aircraft ground stability during loading and unloading requires the center of gravity to remain in a range that does not permit the aircraft from tilting aft and resting on the underside of the aft fuselage (known as “tail tipping”).

2.3 Dangerous Goods

HDL 2.3.1 The Provider shall have procedures for aircraft loading in accordance with requirements of the customer airline(s), to ensure dangerous goods are handled and secured or stowed in a manner that:

(i) Prevents damage to packages and containers during aircraft loading and unloading;

(ii) Provides for separation and segregation of packages on the aircraft to prevent interaction in the event of leakage;

(iii) Prevents movement that could change the orientation of packages on the aircraft;

(iv) Is in accordance with the information provided on the NOTOC. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure DGR are loaded as per customer airline, to include prevention of damage, separation, segregation to prevent leakage, prevents movement, and it is loaded in accordance with the NOTOC

Interviewed manager(s), staff of ground handling operations

Observed loading of dangerous goods

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.11.3 and DGR 9.3 and 9.5.

HDL 2.3.2 The Provider shall have procedures that address a dangerous goods package or shipment that appears to be damaged or leaking in accordance with requirements of the customer airline(s), which ensure:

(i) Such package or shipment is prevented from being loaded into an aircraft;

(ii) If already loaded, the package or shipment is removed from an aircraft;

(iii) In the case of leakage, the conduct of an evaluation to identify and prevent from transport any other cargo, baggage or transport devices that have become contaminated by the leakage of dangerous goods;

(iv) Immediate notification of the customer airline and relevant authority. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure any damaged DGR are not permitted to be loaded, if loaded is removed immediately and that a notification is sent to the customer airline and appropriate authority

Interviewed manager(s), staff of ground handling operations

Observed loading of dangerous goods, reviewed notification reports

Other Actions (specify)

Guidance

Guidance may be found in DGR 9.2, 9.3, 9.4 and AHM 630.

When a poorly packaged shipment is observed, ground handling personnel would use caution in handling the shipment to prevent the contents from spilling.

HDL 2.3.3 The Provider shall have procedures to address the contamination of an aircraft caused by a shipment of damaged or leaking dangerous goods, in accordance with requirements of the customer airline(s) which ensure:

(i) The removal of hazardous contamination from the aircraft without delay;

(ii) Immediate notification of the customer airline and relevant authority. **(GM)**

Auditor Actions

Identified/Assessed procedures to address the contamination of an aircraft should dangerous goods be damaged or leak

Interviewed manager(s), staff of ground handling operations

Observed loading of dangerous goods, reviewed notification reports

Other Actions (specify)

Guidance

Guidance may be found in AHM 322, 630 and DGR 9.4.

HDL 2.3.4 The Provider shall have procedures to ensure shipments labeled *Cargo Aircraft Only* are not loaded into a passenger aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure shipments labeled Cargo Aircraft Only are not loaded into a passenger aircraft

Interviewed manager(s), staff of ground handling operations

Observed loading of dangerous goods

Other Actions (specify)

Guidance

Guidance may be found in DGR 7.2 and 9.3.

A shipment that is restricted from being transported on a passenger aircraft will normally bear a Cargo Aircraft Only label. Procedures (e.g. checking labels prior to loading) would be in place to ensure such shipments are not inadvertently loaded onto a passenger aircraft.

HDL 2.3.5 The Provider shall have procedures that require the person responsible for loading the aircraft to sign a NOTOC to confirm, or otherwise, that there was no evidence of leakage from the package(s) or any leakage from the ULDs loaded on the aircraft. The NOTOC is retained and the information on the NOTOC is distributed in accordance with requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure the person responsible for loading the aircraft signs a NOTOC confirming no evidence of damage to dangerous goods or packages

Interviewed manager(s), staff of ground handling operations

Observed loading of dangerous goods

Other Actions (specify)

Guidance

Guidance may be found in IGOM 5.6.4.

HDL 2.3.6 The Provider shall have procedures in accordance with requirements of the customer airline(s), to ensure dangerous goods are not loaded onto an aircraft for transport on the flight deck or in the cabin occupied by passengers, except in accordance with limited restrictions specified by the Authority or in the IATA DGR. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure dangerous goods are not loaded on the flight deck or cabin occupied by passengers, except in accordance with limitations specified by the Authority or in the IATA DGR according.

Interviewed manager(s), staff of ground handling operations

Other Actions (specify)

Guidance

Guidance may be found in DGR 2.3, 2.5 and 9.3.

2.4 Other Special Loading

HDL 2.4.1 The Provider should have procedures for Live Animals transportation and loading which ensure that they are:

(i) loaded and secured into suitable aircraft compartments as identified by LIR;

(ii) separated from foodstuff (if not hermetically sealed);

(iii) handled in a manner to minimize the waiting period;

(iv) not exposed to adverse environmental conditions, during transportation, loading and unloading. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure Live Animals transportation and loading as required

Interviewed manager(s), staff of ground handling operations

Observed Live Animals transportation and loading

Other Actions (specify)

Guidance

Guidance may be found in IGOM 2.3.7.3 and LAR 10.3.

HDL 2.4.2 The Provider should have procedures for Perishable and temperature sensitive healthcare transportation and loading which ensure that:

(i) handled in a manner to minimize the waiting period;

(ii) not exposed to adverse environmental conditions, during transportation, loading and unloading. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure Perishable and temperature sensitive healthcare transportation and loading as required

Interviewed manager(s), staff of ground handling operations

Observed Perishable and temperature sensitive healthcare transportation and loading

Other Actions (specify)

Guidance

Guidance may be found in PCR 12.3 and 7.3 (perishable) and PCR 17 (Temperature sensitive)

2.5 Loading Equipment

HDL 2.5.1 The Provider shall have procedures to ensure ground loading equipment is positioned at the aircraft with adequate clearance between the aircraft and the equipment to allow for vertical movement of the aircraft during loading or unloading operations. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure loading equipment is positioned at the aircraft with the required clearance and permits vertical movement during loading/unloading

Interviewed manager(s), staff of ground handling operations

Observed equipment positioning

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.2 and AHM 630.

HDL 2.5.2 The Provider shall have procedures to ensure, once aircraft loading operations have been completed, ground loading equipment is removed & parked outside the ERA. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure that once loading is completed that GSE is removed and parked outside the ERA

Interviewed manager(s), staff of ground handling operations

Observed loading operations

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.7 and AHM 630.

HDL 2.5.3 The Provider shall have procedures to ensure the guides and safety rails on ground loading equipment are properly deployed for loading and unloading operations. **(GM)**

Auditor Actions

Identified/Assessed procedures the guides and safety rails on ground loading equipment are properly deployed for loading and unloading operations

Interviewed manager(s), staff of ground handling operations

Observed correct use of guides and safety rails

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.1.3.6 and AHM 630.

2.6 In-Plane Loading

HDL 2.6.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) for operation of the in-plane loading system(s) that any personnel assigned to the operation of such systems are trained in accordance with requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures that personnel operating in-plane systems must be trained in accordance with requirements of the customer airline(s)

Interviewed manager(s), staff of ground handling operations

Observed in-plane loading operations, reviewed training records

Other Actions (specify)

Guidance

Guidance may be found in IGOM Chapter 4.11.5.5, ORM-H/HS/S 5.4.1 and respective Tables.

Operation of the in-plane loading system is typically addressed in the agreement between a provider and the customer airline.

HDL 2.6.2 The Provider shall have procedures to ensure ULDs, when loaded into an aircraft:

(i) Are guided into position by side rails and/or stops, locks or guides;

(ii) Have an unobstructed path into the desired position;

(iii) Are prevented from high-speed impact with locks or stops;

(iv) Are of a type approved for the specific aircraft type and there are no protrusions or overhangs that will damage the aircraft cargo door opening or the interior of the aircraft cargo hold;

(v) Are secured by aircraft floor locks. **(GM)**

Auditor Actions

Identified/Assessed ULD loading procedures

Interviewed manager(s), staff of ground handling operations

Observed loading operations

Other Actions (specify)

Guidance

Guidance may be found in IGOM Chapter 4.11.9.

When large or heavy items are maneuvered inside an aircraft that has no mechanized loading system, a moveable roller track system is typically used in order to minimize the potential for aircraft damage. A crowbar or similar type of implement would not be used.

Guidance for ULD contours may be found in ULDR Section 2–2.3 and standard ULD contours in ULDR Section 5 SS 50/0 Attachments ‘D’ and ‘E’.

High-speed impact with mechanical locks or stops will cause damage to the aircraft.

HDL 2.6.3 The Provider shall have a procedure to ensure any components of the in-plane loading system found to be missing or unserviceable (e.g. container/pallet locks, nets) are immediately reported to the customer airline prior to loading/unloading and are taken into consideration in the aircraft loading & weight & balance process if ULD's are to be loaded with any missing locks or latches. **(GM)**

Auditor Actions

Identified/Assessed procedures to immediately report any discrepancies, defects of the in-plane loading system found to be missing or unserviceable, taking into consideration the weight and balance process

Interviewed manager(s), staff of ground handling operations

Observed in-plane loading operations

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.11.9 and AHM 630.

3. Security*

*** The following provisions under Subsection 3 are applicable to a Provider that conducts baggage operations requiring security oversight. Nevertheless, some of the sub-requirements might still be applicable when the Provider is engaged in certain aspects of ramp operations and shall therefore be assessed accordingly. Individual applicability shall be determined and verified by the Auditor.**

3.1 Hold Baggage

HDL 3.1.1 The Provider shall have a process in accordance with applicable regulations and/or requirements of the customer airline(s) to ensure transfer hold baggage, prior to release for loading into the aircraft, has been subjected to appropriate security controls. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure that proper security controls are present for the transfer baggage

Interviewed manager(s), staff of ground handling operations

Observed baggage operations

Other Actions (specify)

Guidance

Guidance may be found in IGOM 2.5.5.

In situations where baggage has been subjected to security controls (e.g. screened) at the point of origin, and such controls are in accordance with requirements of the State of the Operator, typically there would be no need to apply additional security controls (e.g. re-screening) at the point of transfer if the baggage has remained free from unauthorized access (usually meaning it has remained airside).

HDL 3.1.2 The Provider shall have a process in accordance with applicable regulations and/or requirements of the customer airline(s) to ensure, prior to release for loading into the aircraft, consignments checked in as baggage by courier services for air transport have been subjected to appropriate security screening.

Auditor Actions

Identified/Assessed procedures that prior to release for loading into the aircraft, consignments checked in as baggage by courier services for air transport have been subjected to appropriate security screening.

Interviewed manager(s), staff of ground handling operations

Observed baggage loading operations

Other Actions (specify)

HDL 3.1.3 The Provider shall have a process in accordance with applicable regulations and requirements of the customer airline(s) to ensure the reconciliation of hold baggage. **(GM)**

Auditor Actions

Identified/Assessed baggage reconciliation procedures.

Interviewed manager(s), staff of ground handling operations

Observe baggage loading operations

Other Actions (specify)

Guidance

Guidance may be found in IGOM 2.5.6.

Refer to the IRM for the definition of Baggage Reconciliation.

Requirements for baggage reconciliation could differ according to regulations of the relevant state(s) and/or requirements of each customer airline.

HDL 3.1.4 The Provider shall have procedures in accordance with applicable regulations and requirements of the customer airline(s) for the handling of hold baggage in the event of an increased security threat condition. **(GM)**

Auditor Actions

Identified/Assessed handling of hold baggage procedures in the event of an increased security threat.

Interviewed manager(s), staff of ground handling operations

Observed baggage loading operations

Other Actions (specify)

Guidance

Guidance may be found in AHM 051.

Section 6 – Aircraft Ground Movement (AGM)

Changes to GOSM Section 6 (AGM)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
AGM 1.1.3	Aligned GOSARP to IGOM reference procedure: i), ii) introduced if applicable iv) and v) inverted sequence (vi) introduced reference to AGM 1.1.5	Changed reference in GM. Added reference to HDL 1.3.3 (same content) duplicated as per GSP operations.
AGM 1.1.4	Improved wording.	Changed reference in GM. Removed additional wording in GM as not applicable.
AGM 1.1.5	Sub provisions revised to be aligned with IGOM	Changed reference in GM
AGM 2.1	Changed titling for consistency with GOSM structure.	
AGM 2.1.1		Changed reference in GM
AGM 2.1.2		Revised wording for consistency with AGM 2.1.1
AGM 3.1	Changed titling for consistency with GOSM structure.	
AGM 3.1.3	Revised wording: vi) (word “storage” changed with “place”) vii) introduced “and other equipment”	Changed reference in GM
AGM 3.1.5		Changed reference in GM
AGM 3.1.6	Improved wording	
AGM 3.1.7		Changed reference in GM
AGM 3.1.8		Changed reference in GM
AGM 3.3.1		Changed reference in GM

Changes to GOSM Section 6 (AGM)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
AGM 3.5.1		Changed reference in GM
AGM 3.5.3	Revised wording to address any case of coupling break (now consistent with IGOM)	
AGM 3.5.4		Changed reference in GM
AGM 4	Changed titling for consistency with GOSM structure.	
AGM 4.1.1		Changed reference in GM
AGM 4.2 (all)	Sub-section Aircraft Powerback Operations entirely removed to be aligned with IGOM	

Applicability

Section 6 addresses aircraft ground movement operations, which includes:

- Aircraft taxi-in arrival and taxi-out departure: forward movement of an aircraft to or from the parking position by use of the aircraft engines;
- Aircraft pushback: movement of an aircraft from a parking position to a taxi position by use of specialized ground support equipment;
- Aircraft towing: movement of an aircraft with or without a load onboard, other than pushback operations, by use of specialized ground support equipment;
- Aircraft powerback: rearward movement of an aircraft from a parking position to a taxi position by use of the aircraft engines;
- Marshalling conducted for the above operations;
- Provision of assistance during the above operations.

Note: *General standards for driving and using GSE are part of the HDL section. If the Provider operates GSE refer to Section 5 of this manual (HDL), Subsection 1.3 Ground Support Equipment (GSE) for provisions that are applicable to the operation of such equipment.*

This section (AGM) is utilized for the audit of a station where aircraft ground movement operations and associated functions are conducted.

The Auditor will determine individual provisions that may not be applicable to a specific Provider.

General Guidance

Definitions of technical terms used in this section, as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

1. Aircraft Arrival and Parking Taxi-in*

*** The following provisions in Subsection 1.1 are applicable to a Provider that performs aircraft arrival operations.**

AGM 1.1.1 The Provider shall have procedures to ensure that, prior to aircraft arrival; an inspection of the assigned parking stand is performed and addresses, as a minimum, the following:

(i) Ramp surface is clear of items that might cause aircraft foreign object damage (FOD);

(ii) Ramp surface condition is suitable for movement operations;

(iii) Passenger loading bridge (if applicable) is fully retracted into the designated area;

(iv) The ERA is clear of ground support equipment. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed inspection of assigned parking stand addressing FOD, ramp APRON is suitable for operations, and if applicable passenger bridge is fully retracted

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.9.1.

The Equipment Restraint Area (ERA) is defined as the area of the apron bordered by a red line known as the Equipment.

Restraint Line–or otherwise indicated–in which an aircraft is parked during ground operations.

AGM 1.1.2 The Provider shall have procedures to ensure that, prior to aircraft arrival; the following equipment is serviceable and available at the arrival stand:

(i) Chocks and Safety cones (as required by aircraft type);

(ii) Ground power;

(iii) Preconditioned air (if applicable);

(iv) Headset (if headset communication is required by customer airline);

(v) Parking guidance system (if applicable) or marshalling personnel is present. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that prior to arrival of aircraft the required equipment is serviceable and ready at the arrival stand: chocks/cones, GPU, preconditioned air (if applicable); headset, and guidance system

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.9.1.

AGM 1.1.3 The Provider shall have procedures to ensure that, for each aircraft arrival the following conditions are met:

Upon aircraft stopping:

(i) Wheel chocks are placed at nose landing gear wheels (if applicable);

(ii) Ground power unit is connected (if applicable);

As engines are spooling down and after anti-collision lights have been switched off:

(iii) Chocks are positioned to main landing gear and confirmation is given to flight deck crew (if applicable);

(iv) Cabin door area is inspected for existing damage before positioning boarding devices;

(v) Cones are positioned as per aircraft type;

(vi) Walk around inspection as specified in AGM 1.1.5 is performed prior to giving clearance for GSE to position at aircraft. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Interviewed manager(s), staff of ground handling operations

Observed GSE movement towards aircraft covering the identified actions, including any possible exceptions as defined by customer airlines and airport regulation.

Other Actions (specify)

Guidance

Guidance may be found in IGOM 4.9.2.2, 4.6 and 4.7.

At some airports local regulations do not allow for the standard arrival procedure tasks (i) and (ii) to be performed until engines are spooling down and anti-collision lights have been switched off.

AGM 1.1.3 is reported verbatim in HDL 1.3.3. As per GSP operational profile one of the two might apply. If such operations are performed make sure anyone of the two GOSARPs is reported as N/A with reference to the other (i.e. AGM 1.1.3 N/A as verified under HDL 1.3.3).

In this situation, for standard arrival procedure it is accepted that the provider perform tasks (i) and (ii) only after engines are spooling down and anti-collision lights have been switched off.

AGM 1.1.4 The Provider shall have procedures for aircraft chocking to ensure flight deck is notified when chocks have been placed. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed aircraft chocking and communication to the flight deck that chocks have been installed

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.7.1.

AGM 1.1.5 The provider shall have procedures, for each aircraft arrival, to ensure an inspection of the aircraft is performed, prior to giving clearance for GSE to position at aircraft. This inspection shall cover the following areas:

(i) all cargo doors;

(ii) all access panels and servicing access points;

(iii) aircraft fuselage;

(iv) aircraft engine cowlings;

(v) aircraft passenger doors.

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed Assessed aircraft inspection of each arrival prior to GSE being positioned. This to include the following areas: all cargo doors, all access panels and servicing access points, aircraft fuselage, aircraft engine cowlings and aircraft passenger doors.

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.9.2.2.

2. Aircraft Marshalling

2.1 General Marshalling Operations

AGM 2.1.1 The Provider shall have procedures for the conduct of aircraft marshalling operations, in accordance with requirements of the customer airline(s), to include (as applicable) marshalling operations during:

(i) Nose gear-controlled pushback and towing;

(ii) Main gear-controlled pushback;

(iii) Taxi-in;

(iv) Taxi-out. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed Assessed aircraft marshalling operations, to include customer requirement(s) and must follow: Nose gear-controlled pushback and towing; Main gear-controlled pushback; Powerback; Taxi-in; Taxi-out

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Refer to the IRM for the definitions of Aircraft Marshalling and each type of the aircraft ground movement operation.

Guidance may be found in IGOM 4.9.2.1, 4.12.9.3, and 4.12.9.4.

Marshalling is typically conducted for all aircraft ground movement operations.

AGM 2.1.2 The Provider shall ensure personnel that perform the marshalling or wing walking function during aircraft ground movement operations:

(i) Provide standard marshalling signals in a clear and precise manner;

(ii) If applicable, are approved to perform marshalling functions by the relevant authority;

(iii) Wear a fluorescent identification vest or jacket to permit positive identification by the flight crew;

(iv) Utilize high visibility wands, paddles or gloves during daytime conditions;

(v) Illuminated wands during low visibility or night conditions. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed marshalling signals are performed in a clear and precise manner

Identified/Assessed presence of functions approved by the relevant authority to perform marshalling

Identified/Assessed personnel wears a fluorescent identification vest or jacket to permit positive identification by the flight crew

Identified/Assessed personnel utilizes high visibility wands, paddles or gloves during daytime

Identified/Assessed personnel utilizes illuminated wands during low visibility or night conditions

Interview manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.8 and AHM 631 sub.9.

Internationally recognized aircraft marshalling signals may be found in ICAO Annex 2.

Marshalling is typically conducted for all aircraft ground movement operations.

Standard marshalling signals are used for aircraft ground movement to ensure a common understanding by all personnel involved in the operation.

3. Aircraft Pushback and Towing

3.1 Pushback and Towing Operations*

*** The following provisions in Subsection 3.1 are applicable to a Provider that performs aircraft pushback and towing operations.**

AGM 3.1.1 The Provider shall have procedures to ensure that, prior to aircraft departure, A pre-movement walk-around inspection of the aircraft is performed which address as a minimum:

(i) Power cables and passenger boarding devices are detached;

(ii) All aircraft servicing panels and/or hatches are closed and latched (except-external power and headset panels);

(iii) Cabin/cargo doors handles are flush with the fuselage;

(iv) Landing gear safety pins are removed;

(v) No obvious signs of unmarked dents or other skin panel damage are noticed. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed walk-around inspection checks power cables and passenger boarding devices are detached

Identified/Assessed walk-around inspection checks all aircraft servicing panels and/or hatches are closed and latched (except – external power and headset panels)

Identified/Assessed walk-around inspection checks cabin/cargo doors handles are flush with the fuselage

Identified/Assessed walk-around inspection checks Landing gear safety pins are removed

Identified/Assessed walk-around inspection checks no obvious signs of unmarked dents or other skin panel damage are noticed

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.5.1.

Assistance is typically required prior to, during or after aircraft pushback, towing, powerback and power-out operations.

AGM 3.1.2 The Provider shall have procedures to ensure that, prior removing chocks from aircraft wheels:

(i) The flight deck is notified;

(ii) Confirmation from the flight deck is acknowledged. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed prior chocks removal the flight deck is notified and flight deck acknowledgess

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.2.

AGM 3.1.3 The Provider shall have procedures to ensure that, prior to aircraft departure the following condition are met:

(i) The ramp surface is clear of items that might cause aircraft foreign object damage (FOD);

(ii) The ramp surface condition is adequate for movement operations;

(iii) Aircraft is clear of all obstacles along the intended movement path;

(iv) all persons not involved in the aircraft departure operation are clear of the departing aircraft, behind the ERA;

(v) additional ground staff such as Wing Walkers are present (if applicable/required);

(vi) chocks are removed from all wheels and positioned in a dedicated place;

(vii) GSE and other equipments are positioned outside the ERA. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed prior to the aircraft departure check that the ramp surface is clear of items that might cause aircraft foreign object damage (FOD)

Identified/Assessed prior to the aircraft departure check that the ramp surface condition is adequate for movement operations

Identified/Assessed prior to the aircraft departure check that the aircraft is clear of all obstacles along the intended movement path

Identified/Assessed prior to the aircraft departure check that all persons not involved in the aircraft departure operation are clear of the departing aircraft, behind the ERA

Identified/Assessed prior to the aircraft departure check that additional ground staff such as Wing Walkers are present (if applicable/required)

Identified/Assessed prior to the aircraft departure check that chocks are removed from all wheels and positioned in a dedicated storage area

Identified/Assessed prior to the aircraft departure check that GSE is positioned outside ERA

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.2 and 4.12.3.

Prior to any aircraft movement to or from parking, an inspection of the surface of the ramp would be made to determine if such operations can be conducted safely (e.g., snow, ice, slush, etc.).

In addition, a visual inspection would be made to ensure the adjacent apron surface is clear of items that might cause FOD.

The aircraft is inspected prior to departure from parking to ensure service doors and panels are closed and secured. Chocks are removed and GSE moved away behind the ERA and safely away from the path of the aircraft.

AGM 3.1.4 The Provider shall ensure personnel that perform assistance functions during aircraft ground movement operations:

(i) Utilize standard hand signals in a clear and precise manner;

(ii) Wear a fluorescent identification vest or jacket to permit positive identification by the flight crew. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed standard hand signals used in a clear and concise manner; wear required vest

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.8.5.

Hand signals used for aircraft ground movement are normally standardized to ensure a common understanding by all personnel involved in the operation.

AGM 3.1.5 The Provider shall have procedures for aircraft pushback or towing to ensure, prior to the commencement of movement, the tractor Operator has confirmation that the aircraft parking brake is released. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that prior to the commencement of movement, the tractor operator has confirmation that the aircraft parking brake is released

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Refer to the IRM for the definitions of Aircraft Pushback and Aircraft Towing.

Guidance may be found in IGOM 4.12.9.3 and 4.13.2.

Confirmation of brake release would be communicated from the flight deck.

AGM 3.1.6 The Provider shall ensure, for each aircraft departure, a person is assigned responsibility for the safe performance of the ground movement operation, and such responsibility includes ensuring:

(i) Personnel involved in the operation are briefed of their individual responsibilities;

(ii) Only persons required to perform operating functions are in the operating area;

(iii) Personnel involved in the operation are positioned well clear from hazard zones;

(iv) Personnel involved in the operation understand and are in agreement with how communication will be performed & how the aircraft will be maneuvered. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed assigned individual ensures personnel involved in the operation are briefed of their individual responsibilities

Identified/Assessed assigned individual ensures only persons required to perform operating functions are in the operating area

Identified/Assessed assigned individual ensures personnel involved in the operation are positioned well clear from hazard zones

Identified/Assessed assigned individual ensures personnel involved in the operation understand and are in agreement with how communication will be performed & how the aircraft will be maneuvered

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.3–4.12.4–4.12.8.1–4.12.9.3.

The person assigned responsibility for performance of an aircraft ground movement operation would be considered to be “in charge,” and in that role would be expected to provide supervisory oversight of the operation and the personnel involved.

The operational function of the person assigned as responsible (e.g. headset communicator, tug Operator, ramp supervisor or other) will typically vary according to the circumstances and location associated with the specific movement operation. What is most important is that such responsibility is assigned to one person, and all other personnel involved know and recognize the person in charge.

A distinctive vest or jacket is typically worn by supervisory personnel.

Hand signals used for aircraft ground movement are normally standardized to ensure a common understanding by all personnel involved in the operation.

Hand signals used for communication with the flight deck are normally in accordance with requirements of the customer airline that operates the aircraft.

AGM 3.1.7 The Provider shall have procedures to ensure the equipment utilized for aircraft ground movement is suitable for the specific operation to be conducted, and takes into account:

(i) Type and weight of the aircraft;

(ii) Weather conditions;

(iii) Surface conditions. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that the equipment utilized for each aircraft handling operation is suitable for that specific operation to be conducted taking into account aircraft size, weather conditions as well as surface conditions

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.4, 4.12.9.3 and 4.12.11.

AGM 3.1.8 The Provider shall have procedures for aircraft pushback or towing to ensure a tractor connected to the aircraft is not left unattended with the engine running, only exception is in Cold Weather Operations with the pushback vehicle chocked. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that a tractor is not left unattended with the engine running while it is connected to the aircraft (exceptions could be made under adverse weather with vehicle being chocked)

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.1.3.2 and AHM 631.

AGM 3.1.9 The Provider shall have procedures for aircraft pushback or towing to ensure, for aircraft fitted with a nose gear steering by-pass system, the by-pass pin:

(i) Is correctly installed prior to connecting the towbar or Towbarless tractor to the aircraft nose gear;

(ii) Is removed after the towbar or Towbarless tractor has been disconnected from the nose gear. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that by-pass pins are correctly installed prior to connecting the towbar to the aircraft nose gear; and is also removed after the towbar has been disconnected from the nose gear

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.9.3.

AGM 3.1.10 The Provider shall have procedures for aircraft pushback or towing to ensure, for aircraft not fitted with a nose gear steering by-pass system, the steering hydraulic system is depressurized or the nose gear steering torque links are disconnected, as applicable. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed procedures for aircraft pushback or towing to ensure, for aircraft not fitted with a nose gear steering by-pass system, the steering hydraulic system is depressurized or the nose gear steering torque links are disconnected, as applicable

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.4.

Coordination with personnel on the flight deck would be required to ensure a safe depressurization and re-pressurization of the aircraft hydraulic system.

AGM 3.1.11 The Provider shall have procedures to ensure, when aircraft pushback operations are conducted in poor surface or weather conditions, aircraft movement is limited to a slower speed than in normal conditions. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed during adverse weather conditions, limits to aircraft movement during pushbacks are slower than normal conditions

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.9.3, 4.12.11.

AGM 3.1.12 The Provider shall have procedures for aircraft pushback or towing to ensure the tractor Operator, when stopping or slowing aircraft movement during the operation, makes a gentle brake application. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that the tractor operator, during pushback or towing, makes a gentle brake application, this includes stopping or slowing aircraft movement

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.9.5.

AGM 3.1.13 The Provider shall have procedures for aircraft pushback or towing that are in accordance with requirements of the customer airline(s) for each type of aircraft, and such procedures shall ensure maximum nose gear turn limits are not exceeded. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that maximum nose gear turn limits where not exceeded

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.12.

AGM 3.1.14 The Provider shall have procedures to ensure, during aircraft pushback or towing operations, verbal communication between ground handling personnel and the flight deck is conducted in accordance with requirements of the customer airline(s) and has been reviewed in advance. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed verbal communication, during towing/pushbacks between ground handling personnel and the flight deck is conducted in accordance with requirements of the customer airline(s) and has been reviewed in advance

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.7.

Typically such verbal communication takes place between a member of the ground handling crew (e.g. tug driver) and the flight crew using a wired or wireless connection to the aircraft intercommunication system. The use of common phraseology, which would be in accordance with requirements of the customer airline that operates the aircraft, is important to ensure a common understanding by both parties.

AGM 3.1.15 The Provider shall have procedures to ensure, during aircraft pushback operations:

(i) The communication system is tested for functionality before starting operations;

(ii) Communication with the flight deck is conducted via interphone;

(iii) A backup method of communication between ground handling personnel and the flight deck is in place for implementation should the primary method fail;

(iv) The flight deck is notified immediately in the event any connection between the tractor and the aircraft is lost during the operation. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed during aircraft pushback that the communication system is tested for functionality before starting operations

Identified/Assessed during aircraft pushback that communication with the flight deck is conducted via interphone

Identified/Assessed during aircraft pushback that a backup method of communication between ground handling personnel and the flight deck is in place for implementation

Identified/Assessed during aircraft pushback that the flight deck is notified immediately in the event any connection between the tractor and the aircraft is lost during the operation

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.8–4.12.9.3.

Typically, procedures would ensure verbal communication from the tractor Operator to the flight deck is achieved using a flexible cord from the aircraft to the tractor Operator, or use of a cordless system.

If communication with the flight deck must be relayed by a third person, a flexible cord between aircraft and the headset would typically be used to permit the relay person to maintain a safe distance from both the aircraft and tractor.

If the primary verbal communication link becomes inoperative the use of standard hand signals is the typical back-up method of communication.

In the event of a disconnect between the tractor and the aircraft, the flight crew or other personnel on the flight deck would ensure a gentle brake application in stopping the rearward movement of the aircraft to prevent the fuselage from tipping aft due to braking forces.

AGM 3.1.16 The Provider shall have procedures for aircraft pushback to ensure, when movement has been stopped and prior to disconnecting the towbar or Towbarless tractor from the aircraft nose gear, the flight deck is instructed to set the aircraft parking brake and to hold the existing position until receipt of visual signals for final clearance to taxi. Procedures shall ensure confirmation is received by ground handling personnel that the parking brake is set. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed when movement has stopped or prior to disconnection of towbar that instructions are made by ground personnel to the flight deck to set the aircraft parking brake and hold existing position until the receipt of visual signals for final clearance to taxi

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.7.1–4.12.9.3.

AGM 3.1.17 The Provider shall have procedures for aircraft pushback to ensure, prior to the aircraft commencing taxi under its own power, ground handling personnel:

(i) Provide a final clearance signal to the flight deck;

(ii) If applicable, display the by-pass pin to the flight deck;

(iii) Receive acknowledgement from the flight deck. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed prior to the aircraft taxiing personnel provides a final clearance signal to the flight deck

Identified/Assessed prior to the aircraft taxiing personnel displays the by-pass pin to the flight deck

Identified/Assessed prior to the aircraft taxiing personnel receives acknowledgement from the flight deck

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.9.3.

3.2 Conventional Tractor and Towbar*

*** The following Subsection 3.2 is applicable to a provider that conducts aircraft pushback and towing operations using conventional tractor and towbar.**

AGM 3.2.1 The Provider shall have procedures for aircraft pushback or towing to ensure chocks are not removed from the aircraft main gear until the:

(i) Tractor and towbar are connected to the aircraft nose gear;

(ii) Parking brake of the tractor is engaged. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed procedures for aircraft pushback or towing to ensure chocks are not removed from the aircraft main gear until tractor and towbar are connected to the aircraft nose gear and parking brake of the tractor is engaged

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.2–4.12.8.

AGM 3.2.2 The Provider shall have procedures in accordance with requirements of the customer airline(s) that provide instructions for connecting and disconnecting the towbar to the aircraft nose gear and tractor. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed in accordance with requirements of the customer airline(s) for connecting and disconnecting the towbar to the aircraft nose gear and tractor

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.8.

Procedures are designed to minimize the possibility of injury to personnel or damage to the aircraft when connecting the towbar to the aircraft or tractor. Procedures typically specify that:

- When disconnecting a towbar from the aircraft nose gear assembly, the towbar is detached from the tractor first;
- When connecting a towbar to the tractor, personnel face the tractor and, if feasible, have both legs on the same side of the towbar (i.e. not straddling the towbar).

AGM 3.2.3 The Provider shall have procedures for aircraft pushback or towing to ensure, prior to the commencement of movement and prior to the end of pushback or tow, the tractor Operator verifies:

(i) The tractor is in line with the centerline of the aircraft, if feasible;

(ii) The wheels on the towbar are fully retracted. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that prior to the commencement of movement and prior to the end of pushback/tow the operator must verify that the tractor is in line with the centerline of the aircraft, and the wheels are on the towbar are fully retracted

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.9.5.

Under certain circumstances, it may be necessary to commence a pushback with initial aircraft movement not straight back. Procedures would normally address such exceptions in a manner that ensures no injury to personnel, or damage to aircraft or equipment.

AGM 3.2.4 The Provider shall have procedures for aircraft pushback operations to ensure, when the pushback movement has been stopped and prior to disconnecting the towbar from the aircraft nose gear, tension is released from the towbar. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that tension is released from the towbar when pushback movement has stopped and prior to disconnecting

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.9.5.

3.3 Towbarless Tractor*

*** The following Subsection 3.3 is applicable to a provider that conducts aircraft pushback and towing operations using Towbarless tractor.**

AGM 3.3.1 The Provider shall have procedures for aircraft pushback or towing operations to ensure, when a Towbarless tractor is connected to the aircraft nose gear, there is verification that the aircraft nose wheels are safely locked in with the tractor locking mechanism. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed the process of verification that the aircraft nose wheels are safely locked in with the tractor locking mechanism

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.8.2.

Some Towbarless tractors have lights to indicate the nose wheels are locked in the tractor. Such indicator lights would be an acceptable means of verification.

AGM 3.3.2 The Provider shall have procedures for aircraft pushback operations to ensure, prior to lifting the aircraft nose wheels with a Towbarless tractor:

(i) Ground support equipment, including the passenger boarding bridge, is removed from the aircraft;

(ii) The flight deck is notified. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that prior to lifting the aircraft nose wheels with a towbarless tractor that all GSE is removed from the aircraft, and flight deck is to be notified.

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.9.2, 4.12.7.1.

3.4 Main Gear Tractor (Power Push Unit)*

*** The following Subsection 3.4 is applicable to a provider that conducts aircraft pushback operations using main gear tractors (power push unit).**

AGM 3.4.1 The Provider shall have procedures for aircraft pushback to ensure, prior to connection of a tractor to the aircraft main gear, a check of the remote control system is made, at a normal operating distance, to verify the system is functional. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed the procedures of a check of the remote control system is made at normal operating system to verify functionality

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in AHM 631.

AGM 3.4.2 The Provider shall have procedures for aircraft pushback to ensure, while positioning a main gear tractor for connection to the aircraft, ground handling personnel verify the tractor unit is appropriately configured for the aircraft type. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed personnel to verify the tractor unit is appropriately configured for the aircraft type while positioning the main gear tractor for connection to the aircraft

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in AHM 631.

AGM 3.4.3 The Provider shall have procedures for aircraft pushback to ensure the main gear tractor Operator uses standard terminology to communicate instructions to the flight deck for steering the aircraft along the desired rearward pushback path. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed the use of standard terminology to communicate instructions to the flight deck for steering the aircraft along the desired rearward pushback path (see examples in Guidance material)

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in AHM 631.

The tractor Operator, who controls the main gear tractor remotely, provides steering instructions to the flight deck. The steering function is accomplished by the flight crew or other personnel on the flight deck using the aircraft nose wheel steering system. A mutual understanding of the meaning of all steering instructions by the tractor Operator and flight deck personnel would be necessary to ensure the aircraft remains on the desired rearward movement path.

Following are examples of standard terms and phrases that could be used as steering instructions to the flight deck:

- “Left, left”–Apply left steering;
- “Right, right”–Apply right steering;
- “Steady”–hold steering in current position;
- “Reduce turn”–reduce steering angle;
- “Neutral”–place steering in neutral position;
- “Rollers are open–standby for hand signals”.

AGM 3.4.4 The Provider shall have procedures for aircraft pushback to ensure the main gear tractor Operator observes the unit indicator lights to verify the tractor rollers are fully open before giving an all clear signal to the flight deck. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that the main gear tractor operator observes the unit indicator lights to verify the tractor rollers are fully open before giving an all clear signal to the flight deck

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in AHM 631.

AGM 3.4.5 The Provider shall have procedures for aircraft pushback to ensure, in the event an emergency passenger evacuation is required during the pushback operation, ground handling personnel remove the main gear tractor if it is in a position that interferes with the evacuation process. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed the process of removing the main gear tractor if it interferes with an evacuation process (i.e. passenger emergency evacuation)

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in AHM 631.

3.5 Specific Requirements for Towing Operation*

*** The following provisions in Section 3.5 are applicable to a Provider that performs aircraft towing operations.**

AGM 3.5.1 The Provider shall have procedures for aircraft towing to ensure, prior to commencement of a towing operation:

(i) Communication is established between the tractor Operator and the flight deck;

(ii) Aircraft hydraulic brake system pressure and/or the brake accumulator is within the required pressure range;

(iii) All gear safety pins/sleeves are installed;

(iv) Pre departure checks are completed. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that prior to towing operation communication is established between the tractor operator and the flight deck

Identified/Assessed that prior to towing operation aircraft hydraulic brake system pressure and/or the brake accumulator is within required pressure range

Identified/Assessed that prior to towing operation all gear safety pins/sleeves are installed

Identified/Assessed that prior to towing operation pre departure checks are complete

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.4 and 4.13.1–4.13.2.1.

Communication would normally utilize the aircraft inter-communication system. Back-up signals are established in the event the inter-communication system link becomes inoperative.

The “brake rider” is the person that would be required to stop the aircraft using the aircraft brake system in the event control of towing movement by the tractor was lost.

AGM 3.5.2 The Provider shall have procedures for aircraft towing to ensure during maneuvering, the following conditions are met:

(i) the authorization of the flight crew or brake Operator is given before moving the aircraft;

(ii) the towing speed limit is kept within the margins regulated by the towing equipment, aircraft and/or airport;

(iii) Relevant apron lines are followed as guidance during maneuvering to ensure safe obstacle clearance. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that during maneuvering of towing operation authorization of the flight crew or brake operator is given before moving the aircraft

Identified/Assessed that during maneuvering of towing, speed limit is kept within the margins regulated by the towing equipment, aircraft and/or airport

Identified/Assessed that during maneuvering of towing relevant apron lines are followed as guidance during maneuvering to ensure safe obstacle clearance

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.13.2.

AGM 3.5.3 The Provider shall have procedures to immediately notify the flight deck to stop aircraft movement using gentle brake applications, in case of a break in the coupling, during towing operations. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that in case of a break in the coupling, the tractor operator immediately notifies the flight deck immediately to stop movement using gentle brake application

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.13.3.

Notification normally would be made using the aircraft inter-communication system, but could include other signals (e.g., horn signal).

AGM 3.5.4 The Provider shall have procedures for aircraft towing to ensure, when towing on ice or snow, the tractor Operator:

(i) Maintains a reduced towing speed, particularly before entering a turn;

(ii) Avoids stopping movement in a turn, to the extent possible. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed that during adverse weather (ice, snow) the tractor operator maintains a reduced towing speed, particularly before entering a turn and avoids stopping movement in a turn, to the extent possible

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.11.1.

4. Taxi-Out

4.1 Taxi-Out Departure*

*** The following Subsection 4.1 is applicable to a Provider that conducts aircraft departure taxi-out operations.**

AGM 4.1.1 The Provider shall have procedures in accordance with requirements of the customer airline(s) for aircraft taxi-out from parking that address, as a minimum:

(i) The required Pre-Departure Servicing Checks are completed;

(ii) The GSE is outside the ERA;

(iii) Ground to flight deck communication is performed via interphone (if applicable) or marshalling and/or standard hand signals are used. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed for aircraft taxi-out from parking that the required Pre-Departure Servicing Checks are completed

Identified/Assessed for aircraft taxi-out from parking that the GSE is outside the ERA

Identified/Assessed for aircraft taxi-out from parking that ground to flight deck communication is performed via interphone (if applicable) or marshalling signals are used

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.10.

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Section 7 – Cargo and Mail Handling (CGM)

Changes to GOSM Section 7 (CGM)		
Area Changed	**Description of GOSARP Change**	**Description of GM Change**
CGM 1.3.1	Added sub provisions to facilitate auditor standard review (LAR)	Changed reference in GM. Removed text for consistency with included subprovisions.
CGM 1.3.2	Added sub provisions to facilitate auditor standard review (PCR)	Changed reference in GM. Removed text for consistency with included subprovisions.
CGM 1.3.3	Added sub provisions to facilitate auditor standard review (Human Remains)	Changed reference in GM.
CGM 1.3.4	Added sub provisions to facilitate auditor standard review (Valuable Cargo)	Changed reference in GM.
CGM 1.3.5		Changed reference in GM.
CGM 1.3.6	Added sub provisions to facilitate auditor standard review (Fragile Cargo)	Changed reference in GM.
CGM 1.3.7		Changed reference in GM.
CGM 1.3.8	Added standard to address temperature sensitive healthcare acceptance requirements.	Introduced GM
CGM 1.3.9	Former CGM 1.3.8 renumbered 1.3.9. Reworded to improve reference to Special Cargo	
Former CGM 1.3.9	Standard removed as pertaining to HDL. New section 2.4 added in HDL.	
CGM 1.3.10	Reworded to improve reference to Special Cargo	Revised for better consistency.

Changes to GOSM Section 7 (CGM)		
CGM 2.1.1	Revised wording to remove reference to Provider security program.	
CGM 2.2.2		Revised wording as incorrect.
CGM 2.2.5		Removed guidance as no longer applicable.
CGM 2.2.6		Removed reference to IGOM as no longer applicable.
CGM 2.2.7		Removed reference to IGOM as no longer applicable.

Applicability

Section 7 addresses cargo and mail handling functions conducted in cargo terminals or other designated cargo handling facilities (hereinafter "cargo handling operations"). Cargo and mail handling functions conducted in other airside areas of operations are addressed in Section 5, Aircraft Handling and Loading (HDL).

Functions within the scope of cargo handling operations include:

- Cargo and mail acceptance;
- Cargo and mail handling;
- Unit load device (ULD) loading/build-up/storage transport;
- Application of required security measures.

Unit Load Devices (ULDs) refer to Section 1 of this manual (ORM-HS or ORM-S), Subsection 8, for provisions that are applicable to the management of ULDs in station cargo and mail handling operations.

This section (CGM) is utilized for the audit of a station where cargo and mail handling operations are conducted.

The Auditor will determine individual provisions that may not be applicable to a specific Provider.

General Guidance

Definitions of technical terms used in this section, as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

1. Cargo/Mail Acceptance and Handling

1.1 General

CGM 1.1.1 The Provider shall have communication procedures for the transfer of information and data to the load control office to ensure all cargo, mail and stores (supplies) loaded onto the aircraft is accounted for in the load control process in accordance with requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed that effective communication procedures are in place for the transfer of information and data and it is accounted for in the load control process (must include requirements of customer airlines)

Interview manager(s), staff of ground handling operations

Reviewed documented example(s) of communication for the transfer of information and data to the load control office

Observed example(s) of communication for the transfer of information and data to the load control office

Other Actions (Specify)

Guidance

Refer to the IRM for the definition of Cargo.

Guidance may be found in IGOM 3.5.

Procedures typically address the types and methods of communication necessary to ensure effective coordination between cargo handling personnel and the load control office.

CGM 1.1.2 The Provider shall have procedures to ensure cargo and/or mail for air transport is accepted and handled in accordance with applicable regulations and requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures for the acceptance and handling of cargo/mail for air transport according to customer requirements and any applicable regulations

Interviewed manager(s), staff of ground handling operations

Observed example(s) of acceptance and handling of cargo and/or mail for air transport

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 3.1 and 3.3.

CGM 1.1.3 The Provider shall have procedures to address cargo and mail that is found to be damaged, as defined by the requirements of the customer airline(s), to ensure:

(i) An assessment of the damage is conducted to determine whether such cargo is fit to be transported on an aircraft;

(ii) If determined not fit for transport, such cargo is prevented from being transported, as applicable;

(iii) The customer airline is notified. **(GM)**

Auditor Actions

Identified/Assessed procedures to address damaged cargo as defined by and following customer airline requirements

Interviewed manager(s), staff of ground handling operations

Reviewed example(s) customer airline notification

Observed example(s) identification of damaged cargo and prevention of carriage

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 3.6 and IGOM 3.3.2.

CGM 1.1.4 The Provider shall have a process to ensure scales utilized to determine the weight of cargo intended for air transport are periodically checked and calibrated. The scale inspections shall be recorded and copies retained in a local file in accordance with applicable regulations and/or requirements of the customer airline(s), however the retention period shall not be less than 6 months. **(GM)**

Auditor Actions

Identified/Assessed process to have scales used to weigh cargo to be periodically checked and calibrated. These must be recorded and filed according to any applicable regulation and/or customer airline requirement(s)

Reviewed example(s) of scale calibration inspections

Interviewed manager(s), staff of ground handling operations

Other Actions (Specify)

Guidance

Guidance may be found in AHM 534 and AHM 941.

Such scales might be referred to as weigh bridges.

A provider's process ensures scales are checked and calibrated periodically. The actual checking and calibration activity might be accomplished by an entity other than the provider (e.g. customer airline, airport authority).

CGM 1.1.5 The Provider *should* ensure cargo handling facilities have specifically configured areas appropriate for the storage of special cargo. **(GM)**

Auditor Actions

Identified/Assessed areas in the cargo facilities specifically configured for storage of special cargo

Interviewed manager(s), staff of ground handling operations

Observed example(s) cargo handling facilities for the storage of special cargo

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 3.4.1.

Special cargo includes human remains, live animals, perishables, valuable cargo, fragile goods, diplomatic cargo and mail.

Such items could have separation requirements as specified in the appropriate IATA manual(s) and, additionally, might be governed by local rules or regulations. Information relative to storage of cargo is typically found in the OM of the customer airline(s).

1.2 Special Cargo Dangerous Goods

CGM 1.2.1 Where dangerous goods are accepted for air transport, the Provider shall have procedures in accordance with requirements of the customer airline(s), to:

(i) Include the use of a dangerous goods acceptance checklist, to verity dangerous goods shipments are accepted in accordance with all applicable requirements for transportation on an aircraft. The check shall ensure, as applicable to specific dangerous goods shipments, that:

(a) The quantity of dangerous goods per package is within applicable limits;

(b) The marking of packages, overpacks, freight containers or unit load devices (ULDs) is visible and in agreement with the accompanying Shipper's Declaration of Dangerous Goods;

(c) The packaging specification marking indicates a packing group that is appropriate for the dangerous goods contained within the package;

(d) Proper shipping names, UN numbers, ID numbers, hazard and handling labels on interior packages of an overpack are visible or reproduced on the outside of the overpack;

(e) Labeling and marking of packages, overpacks, freight containers and ULDs is in accordance with requirements for radioactive and non-radioactive material;

(f) The outer packaging of a package is of the type stated on the accompanying Shipper's Declaration of Dangerous Goods and is permitted by the applicable packing instruction;

(g) Packages or overpacks do not contain different dangerous goods that require segregation;

(h) Packages, overpacks, freight containers and/or ULDs are not leaking and there is no indication the integrity has been compromised;

(i) Overpacks do not contain packages bearing a “Cargo Aircraft Only” label unless in accordance with specified exceptions.

(ii) Ensure documentation associated with the acceptance and handling of dangerous goods is retained for a minimum period of 3 months after the flight on which the dangerous goods were transported;

(iii) Ensure English, in addition to the language required by the State of Origin, is used for markings and transport documents related to the shipment of dangerous goods;

(iv) Ensure ULDs containing dangerous goods have a dangerous goods ULD tag that is marked with the class or division number(s) of the dangerous goods contained therein, and, if the ULD contains packages bearing a “Cargo Aircraft Only” label, the tag indicates the ULD can only be loaded onto a cargo aircraft. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed use of a dangerous goods acceptance checklist according to regulations for aircraft type, and all applicable customer airline, state requirements

Identified/Assessed documentation associated with the acceptance/handling of dangerous goods is retained as described in the standard

Identified/Assessed Markings, transport documents related to DGR shipments are in English and in the language required by the State of Origin

Identified/Assessed DGR ULD tag were used, with the appropriate markings on all ULD containers utilized to transport DGR

Interviewed manager(s), staff of ground handling operations

Reviewed example(s) documentation retention, usage of the English language and ULD tag and labelling

Observed example(s) dangerous goods acceptance procedure

Other Actions (Specify)

Guidance

Refer to the IRM for the definitions of Freight Container (Radioactive Materials Only) and Shipper's Declaration of Dangerous Goods.

Refer to the IRM for the definition of State of Origin.

Refer to the IRM for the definition of Unit Load Device (ULD).

Guidance may be found in DGR Sections 2, 7, 8 and 9.

CGM 1.2.2 The Provider shall have procedures to ensure dangerous goods are separated from other cargo or incompatible materials in accordance with published category restrictions and in accordance with the requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures and an area(s) to ensure that DGR are separated in the cargo facility from other cargo or incompatible materials in accordance with restrictions and in accordance with the requirements of the customer airline

Interviewed manager(s), staff of ground handling operations

Observed example(s) of dangerous good separation

Other Actions (Specify)

Guidance

Loading requirements contained in DGR Section 9 primarily address dangerous goods compatibility restrictions on an aircraft. Similar separation requirements shall be implemented for stowage of these materials in a cargo facility, build up in a ULD and for transportation to the aircraft.

CGM 1.2.3 The Provider shall ensure notices providing information about the transportation of dangerous goods are prominently displayed at cargo acceptance locations. **(GM)**

Auditor Actions

Identified/Assessed whether notices providing information about the transportation of dangerous goods are prominently displayed throughout the facility

Interviewed manager(s), staff of ground handling operations

Observed example(s) of displaying of dangerous goods notices

Other Actions (Specify)

Guidance

Guidance may be found in DGR Section 9.

Such requirement would apply even at locations where only general cargo is accepted.

CGM 1.2.4 The Provider shall have procedures to ensure packages or overpacks containing dangerous goods and labeled “Cargo Aircraft Only” are loaded, in accordance to requirements of customer airline(s), only onto a cargo aircraft, and are loaded either:

(i) In a class C aircraft cargo compartment; or

(ii) In a ULD equipped with a fire detection/suppression system equivalent to that required by the certification requirements of a Class C aircraft cargo compartment as determined by the applicable authority; or

(iii) In such a manner that in the event of an emergency involving such packages or overpacks, a crew member or other authorized person can access those packages or overpacks, and can handle and, where size and weight permit, separate such packages from other cargo. **(GM)**

Auditor Actions

Identified/Assessed procedures ensuring that "Cargo Aircraft Only" packages or overpacks are loaded in accordance with customer(s) requirements, in cargo only aircraft in the specified manner

Interviewed manager(s), staff of ground handling operations

Observed example(s) of loading of Cargo Aircraft Only shipments

Other Actions (Specify)

Guidance

Refer to the IRM for the definition of Cargo Compartment Classifications.

Guidance may be found in DGR Section 9.

1.3 Other Special Cargo

CGM 1.3.1 Where live animals are accepted and handled, the Provider shall have a process to ensure such shipments are accepted and handled in accordance with the IATA Live Animal Regulations (LAR) and requirements of the customer airline(s) including the following elements:

(i) Documentation acceptance:

(a) Shipper's certification for live animals

(b) Air Waybill

(c) CITES (as applicable)

(d) Health certificates (as applicable)

(e) Export/Import permits (as applicable)

(ii) Container requirements (including labeling and marking);

(iii) Animal welfare (including feeding and watering);

(iv) Animal Shipment is handled by qualified staff;

(v) Storage facilities. **(GM)**

Auditor Actions

Identified/Assessed procedures ensuring that live animals are accepted and handled in accordance with IATA LAR and customer requirements

Review updated IATA LAR access

Reviewed Documentation acceptance, container requirements, animal welfare, staff qualification and storage facilities

Interviewed manager(s), staff of ground handling operations

Observed example(s) of live animals acceptance

Other Actions (Specify)

Guidance

Guidance may be found in the IATA LAR 2.2 and IGOM 3.2.3.

Live animal handling procedures and specific responsibilities of a provider with regard to required documentation, acceptance, containers, animal welfare, compliance with all regulations, storage and liability are addressed in the IATA LAR. Additional requirements may be mandated by the State of origin, the State of destination and/or the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES).

The IATA Live Animals Acceptance Checklist is recommended as an effective reference in assisting shippers, agents and Operators in preparing live animal shipments for air transportation.

CGM 1.3.2 Where perishable shipments are accepted, the Provider shall have a process to ensure the acceptance and handling of such shipments is in accordance with the IATA Perishable Cargo Regulations (PCR), as well as applicable regulations and requirements of the customer airline(s) including the following elements:

(i) Documentation acceptance (Air Waybill);

(ii) Packaging (categories);

(iii) Labeling and marking requirements;

(iv) Perishable are separate from incompatible load;

(v) Storage facilities. **(GM)**

Auditor Actions

Identified/Assessed procedures ensuring that perishable shipments are accepted and handled in accordance with IATA Perishable Cargo Regulations (PCR), as well as applicable regulations and requirements of the customer airline(s)

Reviewed Documentation acceptance, packaging, labeling and markings, separation and storage facilities

Reviewed updated IATA PCR access

Interviewed manager(s), staff of ground handling operations

Observed example(s) of acceptance and handling of time and temperature sensitive goods

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 3.2.5, PCR 10.

The procedures for handling perishable goods and specific responsibilities of a provider with regard to acceptance, documentation, packaging, storage and classification are addressed in the IATA Perishable Cargo Regulations (PCR). Time and temperature management of healthcare products is addressed specifically in Chapter 17 of the PCR.

Local authorities may mandate additional requirements.

CGM 1.3.3 Where Human Remains are accepted, the Provider shall have a process to ensure such shipments are accepted and handled in accordance with the requirements of the customer airline(s) including the following elements:

(i) If HR are transported cremated they must be protected from damage and spillage;

(ii) If HR are transported in coffins, they must be separated from incompatible load, hermetically sealed and protected from damage,

(iii) Storage facilities. **(GM)**

Auditor Actions

Identified/Assessed process for shipment acceptance and handling is in conformity with requirements of the customer airline(s)

Reviewed HR protection from damage/spillage, separation and storage facilities

Interviewed manager(s), staff of ground handling operations

Observed example(s) of HR acceptance records

Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 3.2.6.

CGM 1.3.4 Where Valuable Cargo is accepted, the Provider shall have a process to ensure such shipments are accepted and handled in accordance with the requirements of the customer airline(s) including the following elements:

(i) Requirements for security staff and vehicles are defined;

(ii) Packing and securing is done in a manner that prevents tampering and removal;

(iii) Communication is limited to staff directly involved in the shipment;

(iv) Shipment is not left unattended.

(v) Storage facilities. **(GM)**

Auditor Actions

Identified/Assessed process for Valuable Cargo acceptance and handling to be in conformity with requirements of the customer airline(s)

Reviewed security staff and vehicles, packing, communication control and storage facilities

Interviewed manager(s), staff of ground handling operations

Observed example(s) records of valuable cargo acceptance

Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 3.2.7.

CGM 1.3.5 Where Overhang and Heavy Cargo is accepted, the Provider shall have a process to ensure such shipments are accepted and handled in accordance with the requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed process for Overhang and Heavy Cargo acceptance and handling to be in conformity with requirements of the customer airline(s)

Interviewed manager(s), staff of ground handling operations

Observed example(s) records of Overhang and Heavy Cargo acceptance

Other Actions (Specify)

Guidance

Guidance for outsized cargo may be found in the IGOM 3.2.7, 3.4.3 and in the ULDR Section 6 OS 6/13. Some outsized and heavy cargo may be larger or heavier than can be accommodated in or on a ULD.

Standards for handling these items would typically be found in the OM of the customer airline(s), as well as in the Weight and Balance Manual for each aircraft type.

CGM 1.3.6 Where Fragile Cargo is accepted, the Provider shall have a process to ensure such shipments are accepted and handled in accordance with the requirements of the customer airline(s) including the following elements:

(i) Handling and build up procedures are followed;

(ii) All special instructions are clearly identified and repeated on the packaging.

(iii) Storage facilities. **(GM)**

Auditor Actions

Identified/Assessed process for Fragile Cargo acceptance and handling to be in conformity with requirements of the customer airline(s)

Reviewed handling and build up procedures, special instructions and storage facilities

Interviewed manager(s), staff of ground handling operations

Observed example(s) records of Fragile Cargo acceptance

Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 3.2.9.

CGM 1.3.7 Where Company Material (COMAT) is accepted, the Provider shall have a process to ensure such shipments are accepted and handled in accordance with the requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed process for COMAT acceptance and handling to be in conformity with requirements of the customer airline(s)

Interviewed manager(s), staff of ground handling operations

Observed example(s) records of COMAT acceptance

Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 3.2.10.

CGM 1.3.8 Where time and temperature sensitive goods are accepted, the Provider shall have a process to ensure the acceptance and handling of such shipments is in accordance with the Temperature Controlled regulations (TCR), as well as applicable regulations and requirements of the customer airline(s) including the following elements:

(i) The shipment is delivered with a temperature controlled means;

(ii) Documentation acceptance (Air Waybill)

(iii) Packaging requirements;

(iv) Temperature sensitive labeling;

(v) Goods are separated from incompatible products;

(vi) Storage facilities. **(GM)**

Auditor Actions

Identified/Assessed process for temperature sensitive goods acceptance and handling to be in conformity with requirements of TCR and the customer airline(s)

Reviewed temperature control means, acceptance documentation, packaging requirements, labeling, separation and storage facilities

Interviewed manager(s), staff of ground handling operations

Observed example(s) records of temperature sensitive acceptance

Other Actions (Specify)

Guidance

Guidance may be found in, PCR 17.

Time- and temperature-sensitive goods typically include goods from the health care sector.

Time and temperature sensitive goods must be accepted in accordance with the current edition of the PCR chapter 17 and the current edition of the Temperature Controlled regulations (TCR).

CGM 1.3.9 The Provider shall have processes to ensure any type of special cargo shipment is correctly prepared for the flight and build up in accordance with the requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed process for any type of special cargo accepted to be correctly prepared for the flight and build up in conformity with requirements of the customer airline(s)

Interviewed manager(s), staff of ground handling operations

Observed special cargo preparation records and build up (as applicable)

Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 3.4.2 and IGOM 3.4.3.

CGM 1.3.10 The Provider shall have a process to ensure any type of special cargo shipment is broken down, delivered or transferred to the consignee in accordance with the requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures for any type of special cargo to be broken down, delivered or transferred to the consignee in accordance with the requirements of the customer airline(s)

Interviewed manager(s), staff of ground handling operations

Observed example(s) of relevant records and actual operations (as applicable)

Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 3.8.

Specific handling requirements generally apply to all types of special cargo and would be incorporated into the OM of the customer airline(s), including those items as addressed in entire CGM 1.3 section, but also emergency medical supplies, live human organs and diplomatic shipments.

2. Cargo Security

2.1 Facilities

CGM 2.1.1 The Provider shall have a security program to ensure security controls are in place to prevent personnel and vehicles from unauthorized access into the Provider's facilities and any other areas where the Provider conducts cargo handling operations for customer airlines to ensure:

(i) Cargo and mail is protected from unauthorized interference from the point security controls are applied until it is transferred to the operation for loading;

(ii) Cargo and mail intended for transport on a commercial aircraft, and which is moved about or stored at the airport prior to being loaded into an aircraft, remains inaccessible from unauthorized interference and is retained in secure storage areas until the Provider has transferred it to the operation for loading. **(GM)**

Auditor Actions

Identified/Assessed provider's security program along with the associated security controls in place to prevent unauthorized use and access to facilities and interference with cargo facility; including cargo must be inaccessible by unauthorized persons

Interviewed manager(s), staff of ground handling operations

Observed example(s) of security of cargo and mail in place

Other Actions (Specify)

Guidance

A provider would normally conduct cargo handling operations for customer airlines only in facilities or areas where adequate security controls are in place, although in most cases the actual implementation of such controls is not accomplished by the provider. Security controls are typically implemented by an authority (e.g. government or airport authority), but under certain conditions it might be necessary for implementation to be accomplished by the provider or other entity deemed competent by the provider and/or customer airline.

A secure storage area is structured or configured to preclude any occurrence of unauthorized interference, and could be under surveillance utilizing various methods (e.g. guards, CCTV).

2.2 Operations

CGM 2.2.1 The Provider shall ensure security controls are applied to cargo and mail consignments accepted for transport on a commercial flight, and such controls are in accordance with the applicable State civil aviation security program and requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedures ensuring security controls are applied to cargo and mail consignments accepted for transport on a commercial flight, and such controls are in accordance with the applicable State civil aviation security program and requirements of the customer airline(s)

Interviewed manager(s), staff of ground handling operations

Observed example(s) of the application of security controls to cargo and mail

Other Actions (Specify)

Guidance

Refer to the IRM for the definitions of Regulated Agent and Known Shipper.

Guidance may be found in IGOM Chapter 3.1.2.

To maintain the secure status of cargo, it is critical for a provider to ensure cargo is not accessed and/or interfered with by any unauthorized personnel from the moment it has been declared secure until it is loaded into an aircraft and the hold door is closed prior to departure.

CGM 2.2.2 The Provider shall ensure cargo and mail consignments accepted for transport on an all-cargo flight are subjected to the security requirements of the applicable State(s) and/or controls commensurate with the security threat as determined by risk assessment. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure that all cargo and mail consignments accepted for transport on an all-cargo flight are subjected to the security requirements of the applicable State(s) and/or controls commensurate with the security threat as determined by risk assessment

Interviewed manager(s), staff of ground handling operations

Observed example(s) security controls applied according to State requirements and as defined by the current threat level

Other Actions (Specify)

Guidance

Refer to the IRM for the definition of Security Threat, which defines threat levels.

CGM 2.2.3 The Provider shall ensure cargo and mail intended for transport on a commercial aircraft, and which is moved about or stored at the airport prior to being transferred to the operation for loading onto an aircraft, remains inaccessible from unauthorized interference.

Auditor Actions

Identified/Assessed procedures that cargo and mail intended for transport is being transferred without interference

Interviewed manager(s), staff of ground handling operations

Observed example(s) of Cargo movement prior to being transferred to operations for loading

Other Actions (Specify)

CGM 2.2.4 If the Provider accepts and handles stores and supplies, to include catering supplies, intended for transport on commercial aircraft of customer airlines, the Provider shall have a process to ensure such stores and supplies are subjected to security controls in accordance with the applicable civil aviation security program, and thereafter protected until transferred to the operation for loading onto an aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure acceptance and handling of stores and supplies are subjected to security controls in accordance with the applicable civil aviation security program, and thereafter protected until transferred to the operation for loading onto an aircraft

Interviewed manager(s), staff of ground handling operations

Observed example(s) of stores and supplies being subject to security controls and protected

Other Actions (Specify)

Guidance

If stores and supplies are delivered to a provider by other entities (e.g., catering providers) for acceptance and handling on behalf of the customer airline(s), such items are protected from the point at which the appropriate security controls have been applied until loaded onto the aircraft.

CGM 2.2.5 The Provider shall have a process to ensure known cargo consignments presented for transport on a commercial aircraft are:

(i) Delivered for transport by an employee or nominated person of a regulated agent, known shipper/consignor, or customer airline;

(ii) Free from any signs of unauthorized tampering;

(iii) Presented with documents corresponding to the cargo being delivered;

(iv) Protected from unauthorized access;

(v) Subjected to additional security controls, as required by risk assessment.

Auditor Actions

Identified/Assessed procedures to ensure known cargo consignments presented for transport on a commercial aircraft are following items i) through iv) in the standard

Interviewed manager(s), staff of ground handling operations

Observed example(s) of the acceptance and handling requirements for known cargo consignments

Other Actions (Specify)

Regulated Agent and Known Shipper Programs

CGM 2.2.6 The Provider shall ensure, where a regulated agent or known shipper program exists, cargo or mail shipments are not accepted as known cargo for transport on a commercial flight unless either:

(i) The application of security controls has been accounted for by a Regulated Agent; or

(ii) Such shipments have been subjected to appropriate security controls through a known shipper program. **(GM)**

Auditor Actions

Identified/Assessed Assessed procedures to ensure where a regulated agent or known shipper program exists, cargo or mail shipments are not accepted as known cargo for transport on a commercial flight unless conditions as stated in sub-requirements (i) and (ii) are met

Interviewed manager(s), staff of ground handling operations

Observed example(s) of acceptance as required by Regulated Agents or Known Shipper programs

Other Actions (Specify)

Guidance

Refer to the IRM in this manual for the definitions of Known Shipper and Unknown Cargo.

States determine what constitutes “appropriate” security controls. Some may not permit acceptance of cargo or mail from other than Regulated Agents and/or known shippers.

Known cargo is no longer considered secure once transferred to an unknown or unregulated entity. Therefore, the provider would have to be, or utilize the services of, a Regulated Agent to ensure the security of cargo shipments accepted for customer airlines is in accordance with requirements of the applicable State(s). Customer airlines may apply additional controls.

As part of its security program, a Provider may consider a cargo consignment accepted from a Regulated Agent and/or known shipper as meeting required security provisions unless such consignment is identified as unknown cargo.

CGM 2.2.7 The Provider shall ensure, where a regulated agent or known shipper program exists, cargo and mail shipments accepted from other than regulated agents or known shippers (unknown cargo) for transport on a commercial flight are subjected to appropriate security controls, and are in compliance with requirements of the State(s) applicable to such cargo shipments, to include:

(i) Documentation as to the identity and details of the shipment;

(ii) Physical search or screening either electronically or by other means. **(GM)**

Auditor Actions

Identified/Assessed documented procedures as per standard

Identified/Assessed as per standard requirements documentation as to the identity and details of the shipment

Identified/Assessed as per standard requirements physical search or screening either electronically or by other means

Interviewed manager(s), staff of ground handling operations

Observed example(s) of acceptance and handling of shipments from other than regulated agents or known shippers

Other Actions (Specify)

Guidance

Cargo security controls applied by the provider shall be in compliance with local State requirements as well as the requirements of the State of the carrier transporting the cargo.

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