**KONTROLSARAKSTS**

**ATO PĀRVALDĪBAS ROKASGRĀMATAS (OMM) ATBILSTĪBA**

|  |  |
| --- | --- |
| **ATO pretendenta nosaukums:** |  |
| **ATO pretendenta numurs:**  | **LVA.ATO.XX.P** |
| **OMM revīzijas Nr.:** |  | **PEL atbildīgais inspektors:** |  |
| **OMM pārbaude uzsākta:** | *dd/mm/gggg* | **OMM pārbaude pabeigta:** | *dd/mm/gggg* |
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| --- | --- | --- | --- | --- | --- |
| **Item****#** | **Subject** | **Sub****Item****#** | **Description***Supplementary information* | **TO BE COMPLETED BY THE ATO BEFORE MANUAL SUBMISSION** | **CAA Check** |
| **Location**(Section/Chapter/Page/§) | **Applicable**(Yes/No) | **FOR A FIRST ISSUE:**Reason if not applicable **OR****FOR A REVISION:**Abstract of changes or reference to an appropriate document |

**Part 0 – Manual Administration**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 01 | Title page | 01.01 | Title of the manual |  |  |  |  |
| 01.02 | A unique reference of the manual |  |  |  |  |
| 01.03 | Date of revision |  |  |  |  |
| 01.04 | Revision number |  |  |  |  |
| *The first issue shall be notified as “Original” or 1.0. The following revision shall be notified as “2.0,3.0…”.* |
| 01.05 | Copy number |  |  |  |  |
| *There shall be at least one controlled hardcopy detained by the ATO management staff. A digital signed version (pdf) of this exemplar must be send to the CAA after approval.* |
| 02 | List of effective pages (LEP)orApproval page | 02.01 | The list of effective pages (LEP) gives for each page/part the revision number and date (and, in the case of a part, the number of pages).An approval page is used when the manual will be revised entirely for each revision.The LEP or approval page must be signed by the **Accountable Manager (AM)** and the **Compliance Monitoring Manager (CMM)**.The LEP or approval page can be signed by a CAA representative if requested. |  |  |  |  |
| 03 | Distribution list | 03.01 | Gives a cross reference of who is in possession of which copy number of the manual. |  |  |  |  |
| 04 | Record of revision | 04.01 | Gives all the revisions issued for this manual, their revision date and an abstract of the changes performed for each revision. |  |  |  |  |
| 05 | Revision Procedure | 05.01 | The procedure to follow to revise this manual. |  |  |  |  |
| 05.02 | By who and how amendment can be proposed. |  |  |  |  |
| 05.03 | Who is in charge to include the revision in the manual when it has been approved by the CAA. |  |  |  |  |
| 06 | Temporary revisions | 06.01 | What is the procedure to implement a temporary revision? |  |  |  |  |
| 06.02 | By who and how a temporary revision can be proposed. |  |  |  |  |
| 07 | Record of temporary revisions | 07.01 | Gives all the temporary revisions issued for this manual, their issue date and an abstract of the changes implemented by the temporary revision.This page must be signed by the compliance monitoring manager. |  |  |  |  |

**Part 1 – ATO General Information**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 08 | General Information.*ORA.GEN.105* | 08.01 | Name of the ATO. |  |  |  |  |
| 08.02 | Principle place of business (trading address):* Address;
* Phone;
* Fax;
* General email address.
 |  |  |  |  |
| 08.03 | Alternate place(s) of business:* Address;
* Phone;
* Fax;
* General email address;
* Name of the site manager.
 |  |  |  |  |
| *The CAA shall have access to any alternate place of business of the ATO.**If abroad, the travel expenses shall be covered to the ATO as defined in the CAA travel policy.* |
| 09 | Legal status of the organisation. | 09.01 | Name of the legal entity detaining the ATO certificate. |  |  |  |  |
| Legal status (SA/NV, SPRL/BVBA, ASBL/VZW,…). |  |  |  |  |
| BCE/KBO number. |  |  |  |  |
| Address of the legal entity. |  |  |  |  |
| 10 | Training courses offered.*ORA.GEN.125* | 10.01 | List all the training courses offered by the organisation (theoretical and practical). |  |  |  |  |
| *The ATO shall notify the CAA by email on* *FCLOA@caa.gov.lv* *when a course will begin and the name of the candidates enrolled in the course.* |
| 11 | Organisation chart.*ORA.GEN.200* | 11.01 | An organisation chart providing the relationships between the post holders (AM, HT, CFI, CTKI, CMM and SM) their assistants/deputies, the compliance auditors and the rest of the staff. |  |  |  |  |
| 12 | Management Staff.*ORA.GEN.210**ORA.ATO.210* |  | Provide the following information for each ATO post holders:* Contact information (Name, phone, mobile, email, full time/part time);
* Required qualifications and/or training;
* Responsibilities.
 |  |  |  |  |
| *Define also their responsibilities or give the reference of OM item 10.**See document L-TRA/0152-71 for the minimum applicable responsibilities of each post holders.* |
| 12.01 | Accountable manager. |  |  |  |  |
| 12.02 | Head of Training. |  |  |  |  |
| 12.03 | Chief Flight Instructor. |  |  |  |  |
| 12.04 | Chief theoretical knowledge Instructor. |  |  |  |  |
| 12.05 | Safety manager. |  |  |  |  |
| 12.06 | Compliance monitoring manager. |  |  |  |  |
| 13 | Instruction staff.*ORA.GEN.210**ORA.ATO.210* | 13.01 | Theoretical knowledge instructors:* Name, surname;
* Assigned ground training courses;
* Assigned branches;
* Full time/part time.

Refer to the CAA procedure “Modify a FI/TKI list – LA/L-TRA/0153” for further information. |  |  |  |  |
| *The theoretical knowledge instructors list should ideally be presented as a table and put in annex of the OMM (i.e. Annex A: TKI list) so it can be modified without affecting the manual revision. The table should be based on the official CAA document “ATO FI List – DOC/L-TRA-0153-52E”.* |
| 13.02 | Flight instructors:* Name, Surname;
* Licence number;
* Ratings / Authorisations;
* Assigned flight training courses;
* Full time/part time.

Refer to the CAA procedure “Modify a FI/TKI list – LA/L-TRA/0153” for further information. |  |  |  |  |
| *The flight instructors list should ideally be presented as a table and put in annex of the OMM (i.e. Annex B: FI list) so it can be modified without affecting the manual revision. The table should be based on the official CAA document “ATO TKI List – DOC/L-TRA-0153-51E”.* |
| 14 | Administrative staff.*ORA.GEN.210* | 14.01 | Name, SurnameFunction and function description.Full time/part time |  |  |  |  |
| 15 | Aerodrome(s)/Operating site(s) to be used.*ORA.ATO.140* | 15.01 | List all the aerodromes that will be used for the training and for which type of training (Airwork, stalls and spins, T/G, night T/G, SID, ILS, holdings, hovering, slope landing, confined area, …) and how it complies with requirements laid down in AMC1 ORA.ATO.140. |  |  |  |  |
| 15.02 | ATC or any other acceptable means of air to ground communication available. |  |  |  |  |
| 15.03 | Describe facilities of each aerodrome (VOR, DME, ILS, ATC, Night flying) or refer to the concerned AIP. |  |  |  |  |
| 16 | Flight operations accommodation.*ORA.GEN.215* |  | Per training site, provide a plan of the premises and describe the means to fulfil the following requirements (See AMC1 ORA.GEN.215 and AMC2 ORA.GEN.215): |  |  |  |  |
| 16.01 | Operations room with facilities to control flying operations. |  |  |  |  |
| 16.02 | Flight planning room with the following facilities:* Appropriate current maps and charts;
 |  |  |  |  |
| 16.03 | * Current aeronautical information service (AIS) information ;
 |  |  |  |  |
| 16.04 | * Current meteorological information;
 |  |  |  |  |
| 16.05 | * Communications to ATC and the operations room;
 |  |  |  |  |
| 16.06 | * Any other flight safety related material.
 |  |  |  |  |
| 16.07 | Adequate briefing rooms/cubicles of sufficient size and number. |  |  |  |  |
| 16.08 | Suitable offices for the supervisory staff and rooms to allow flying instructors to write reports on student, complete records and other related documentation |  |  |  |  |
| 16.09 | Furnished crew rooms for instructors and students. |  |  |  |  |
| 17 | Theoretical instruction facilities.*ORA.GEN.215* |  | Per training site, provide a plan of the premises and describe the means to fulfil the following requirements: |  |  |  |  |
| 17.01 | Adequate classroom accommodation for the current student population. |  |  |  |  |
| 17.02 | Suitable demonstration equipment to support the theoretical knowledge instruction. |  |  |  |  |
| 17.03 | An R/T training and testing facility. |  |  |  |  |
| 17.04 | A reference library containing publication giving coverage of the syllabus. |  |  |  |  |
| 17.05 | Offices for the instructional staff. |  |  |  |  |
| 18 | Description of training devices (as applicable).*ORA.ATO.135* | 18.01 | List all FSTD that will be used by the ATO and for which courses.* Type of FSTD (FFS, FNPT I/II, BITD, etc…);
* FSTD identification;
* Aircraft simulated including engine fits;
* Location;
* Operator.

Refer to the CAA procedure “Modify ATO FSTD List – LA/L-TRA/0155” for further information. |  |  |  |  |
| *The FSTD list should ideally be presented as a table and put in annex of the OMM (i.e. Annex C : FSTD list) so it can be modified without affecting the manual revision. The table should be based on the official CAA document “ATO FSTD List – DOC/L-TRA-0155-51E”.* |
| 18.02 | Difference list between the FSTDs and aircrafts used in the ATO or the reference of the document providing that information. |  |  |  |  |
| 19 | Description of aircraft.*ORA.ATO.135* | 19.01 | List all the aircrafts that will be used by the ATO and for which courses.* Class/type(s) of aircraft;
* Registration of aircraft;
* IFR equipped;
* Night flying equipped.

Refer to the CAA procedure “Modify ATO Aircraft List – LA/L-TRA/0154” for further information. |  |  |  |  |
| *The aircraft list should ideally be presented as a table and put in annex of the OMM (i.e. Annex D: A/C list) so it can be modified without affecting the manual revision. The table should be based on the official CAA document “ATO Aircraft List – DOC/L-TRA-0154-51E”.* |
| 20 | Didactical material. | 20.01 | List of the reference manuals used for the training or provide a reference of the document mentioning that information. |  |  |  |  |
| *That information could be specified in each training manual.* |
| 20.02 | List and describe the computerized theoretical knowledge tools or provide a reference of the document mentioning that information. |  |  |  |  |
| *That information could be specified in each training manual.* |
| 21 | Contracted training.*ORA.GEN.205* | 21.01 | Provide a list of the training or activity done by a third party.Specify if the third party is certified to do such training or if it will work under the approval of the ATO.(See AMC1 ORA.GEN.205 and GM1 ORA.GEN.205). |  |  |  |  |
| *The contract/agreement between the ATO and the third party should be made available to the CAA.* |
| 22 | Access.*ORA.GEN.140* | 22.01 | Define who has access to the ATO premises and to which part of the building. |  |  |  |  |
| 22.02 | What are the means to prevent unwanted violation of critical part of the ATO (i.e. aircraft hangar, maintenance, student folders, etc…). |  |  |  |  |

**Part 2 – Compliance Monitoring System**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 23 | Compliance monitoring manager.*ORA.GEN.200(a)(6)**ORA.GEN.210* | 23.01 | Who is the compliance monitoring manager? |  |  |  |  |
| 23.02 | What are his responsibilities. |  |  |  |  |
| *CMM must verify that standards are met and ensure that the compliance monitoring programme is established, implemented and maintained.**If the posts of CMM and AM are combined, provide the proof on how the independence of compliance audits will be assured.* |
| 23.03 | Compliance policy statement. |  |  |  |  |
| *The compliance policy statement shall be signed by the accountable manager.* |
| 24 | Compliance monitoring auditors (internal, external).*ORA.GEN.210* | 24.01 | Define a list of the necessary internal or external auditors that have the privileges to perform compliance monitoring audits within the ATO. |  |  |  |  |
| 24.02 | How will the ATO assess their independence towards the areas they will be appointed to. |  |  |  |  |
| 25 | Compliance monitoring programme. | 25.01 | Define the compliance monitoring programme for at least the following domains and their support documents:* Facilities;
* Flight training;
* Theoretical knowledge training;
* Technical standards;
* Training procedures;
* Flight safety;
* Flight and duty time limitations, rest requirements and scheduling;
* Aircraft maintenance/operations interface;
* Subcontracted activities;
* FSTD specifications adequacy to the related programmes;
* FSTD compliance towards CS-FSTD;
* FSTD changes monitoring.
 |  |  |  |  |
| *The compliance monitoring programme must check the scope of the ATO in full.* |
| 26 | Compliance monitoring planning. | 26.01 | Define the compliance monitoring planning on a specific time basis or give the reference to the document/software providing that information. |  |  |  |  |
| *The planning must show when each domain of the compliance monitoring programme will be audited.**All domains must be audited within a 12 months period.* |
| 26.02 | Management evaluations/reviews:* Planning of those management evaluations;
* Who must attend those management evaluations;
* Forms on which those management evaluations are reported.
 |  |  |  |  |
| 27 | Audit procedures. | 27.01 | Define or give the reference of the audit procedure. |  |  |  |  |
| *The procedure must define how an auditor must perform an audit and the forms to be used to record the audit.**Define the different levels of findings and the actions that must be undertaken.* |
| 28 | Reporting procedures. | 28.01 | Define or give the reference of the reporting procedures. |  |  |  |  |
| *The procedure must define how the audit report must be made (i.e. review of the report by the CMM), who will communicate the audit result, on which form.**It must also specify the classification system of non-conformities.* |
| 29 | Follow up and corrective action procedures – Findings.*ORA.GEN.150* | 29.01 | Define or give the reference of the follow up and corrective action procedure.This procedure must be able to handle internal (ATO CMS findings) and external findings (any findings made by a third party).This procedure must address the following:* Identification of corrective action;
* Person responsible for rectification;
* Feedback system to the accountable manager providing an independent assessment of corrective action, implementation and completion;
* Monitoring of corrective action programme;
* Ensuring that the corrective action contain the necessary elements;
* Evaluation of the effectiveness of the corrective action programme;
* Reporting of significant non-compliances to the competent authority.
 |  |  |  |  |
| *This process must answer to at least the following questions:** *How corrective action plan are decided, by who;*
* *Who is in charge to implement the corrective action;*
* *Who will assess the effective implementation of the corrective action;*
* *Who will evaluate if the corrective action has solved the non-conformity.*
 |
| 30 | Recording system.*ORA.GEN.220* | 30.01 | How and on which form the compliance monitoring process will be recorded and stored.Who has access to it. |  |  |  |  |
| *This can be any audit software or a simple Excel sheet providing the necessary information.**The records of the compliance monitoring programme shall be:** *Accurate;*
* *Complete;*

*Readily accessible.* |
| 31 | Training on compliance monitoring system*ORA.GEN.210**ORA.GEN.200(a)(4)* | 31.01 | Compliance auditors:Define the training that the compliance auditors must perform before being allowed to audit part of the scope of the ATO.When such training must be performed (initial training, recurrent training, refresher training). |  |  |  |  |
| *The training of compliance auditor must cover at least the following topics:** *Compliance monitoring system procedures;*
* *ATO manuals and document control procedures;*
* *ATO OMM and OM procedures;*
* *Audit techniques, code of conduct of the compliance auditor (if needed);*
* *Audit reporting and recording;*
* *Any specific item related to a particular activity of the ATO.*
 |
| 31.02 | Organisation personal:Define the training that the organisation personnel must perform.When such training must be performed (initial training, recurrent training, refresher training). |  |  |  |  |
| *The training of organisation personnel must cover at least the following topics:** *Introduction to the concept of the CMS;*
* *OMM and OM procedures;*
* *Any specific item related to a particular activity of the ATO*
 |
| 32 | Changes to organisations.*ORA.GEN.130(a)(b)* | 32.01 | Define or give the reference to the procedure managing changes requiring prior approval. |  |  |  |  |
| *See AMC1.ORA.GEN.130, GM1 ORA.GEN.130(a) and GM2 ORA.GEN.130 for further information.* |
| 33 | Changes not requiring prior approval.*ORA.GEN.130(c)* | 33.1 | Define or give the reference of all procedures managing changes not requiring prior approval from the CAA. |  |  |  |  |
| *The CAA promote the following changes not requiring approval:** *FI/TKI;*
* *FSTD;*
* *Aircraft.*

*Any other item might be proposed by the ATO.* |
| 34 | Alternative means of compliance (AltMOC).*ORA.GEN.120* | 34.01 | Describe here if the ATO will use Alternative AMC (AltMOC).If yes, describe or give the reference of the procedure that the ATO will use to assess the risk, demonstrate the equivalent level of safety, and propose the AMC to the CAA. |  |  |  |  |
| 34.02 | Give the reference of any AltMOC in use within the ATO. |  |  |  |  |
| 35 | Record-keeping.*ORA.GEN.220**ORA.ATO.120* | 35.01 | Define the record keeping means and procedures for any ATO documents. |  |  |  |  |
| *See AMC1 ORA.GEN.220(b) for further information.**This item is also covered by item 18 of the operation’s manual checklist. The manner how the ATO will comply with ORA.GEN.220/ORA.ATO.120 must be described in one of those two items.* |
| 36 | Documentation control procedure.*ORA.GEN.200(a)(5)* | 36.01 | Define how ATO manuals and theoretical training courses manuals will be controlled throughout the organisation. |  |  |  |  |
| 36.02 | Where are the ATO manuals stored and accessible to everyone involved in the organisation. |  |  |  |  |

**Part 2 bis – FSTD Operators General Information and Compliance Monitoring System Additional Items**

*Note: Those items are only applicable to ATOs operating their own FSTDs or to FSTDs operators.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 11Bis | FSTD Organisation chart.*ORA.GEN* | 11.02 | An organisation chart providing the relationships between the personnel responsible to maintain the compliance of the FSTD. |  |  |  |  |
| *The organisation chart can be the one of item 10 completed with relevant FSTD personnel.* |
| 12Bis | FSTD Management Staff *ORA.GEN.210* |  | Provide the following information for each FSTD post holders:* Contact information (Name, phone, mobile, email, full time/part time);
* Required qualifications and/or training;
* Responsibilities.
 |  |  |  |  |
| *Define also their responsibilities or give the reference of OM item 10.* |
| 12.07 | FSTD Manager. |  |  |  |  |
| 12.08 | FSTD maintenance technician. |  |  |  |  |
| *Responsible for the daily release of the FSTD, periodic maintenance, unscheduled maintenance, recurrent QTGs.* |
| *Responsible for the fly-outs (function and subjective testing).* |
| 17Bis | FSTD facilities*ORA.FSTD.115**AMC1 ORA.FSTD.115**GM1 ORA.FSTD.115* | 17.06 | Provide information or the reference to the document containing that information, which assess full compliance towards AMC1 ORA.FSTD.115 and local Health and Safety regulations. |  |  |  |  |
| 17.07 | Provide the reference of the document regarding the safety briefings on the FSTD provided to users and instructors. |  |  |  |  |
| 21Bis | FSTD contracted activities.*ORA.GEN.205* | 21.02 | Provide a list of the FSTD maintenance or engineering activities done by a third party. |  |  |  |  |
| *The contract/agreement between the FSTD operator and the third party should be made available to the CAA.**The written agreement shall at least contain the following:** *Services and standards to be provided;*
* *The necessary authorisations/approvals;*
* *Proof of the technical competence of the third party.*
 |
| 22Bis | FSTD Access.*ORA.GEN.140* | 22.03 | Define who has access to the FSTD premises and the means to prevent unexpected visit which can disrupt a FSTD training session. |  |  |  |  |
| 24Bis | FSTD Compliance monitoring auditors (internal, external).*ORA.GEN.210* | 24.03 | Define a list of the necessary internal or external auditors that have the privileges to perform compliance monitoring audits for FSTD. |  |  |  |  |
| 24.04 | How will the ATO assess their independence towards the areas they will be appointed to. |  |  |  |  |
| 25 Bis | FSTD Compliance monitoring programme.*AMC1 ORA.FSTD.100**AMC2 ORA.FSTD.100**GM2 ORA.FSTD.100* | 25.02 | Define the compliance monitoring programme for at least the following domains and their support documents:* Organisation;
* Plans and Objectives;
* Maintenance procedures;
* FSTD qualification level;
* Supervision;
* FSTD technical status;
* Manuals, logs and records;
* MQTG;
* Defect deferral;
* Personnel training;
* Aircraft and simulator configuration management, including Airworthiness Directives;
* FSTD configuration management;
* FSTD safety features (including emergency stops and emergency lighting);
* QTGs re-runs;
* Functional and subjective tests (fly-outs).
 |  |  |  |  |
| 26Bis | FSTD Compliance monitoring planning. | 26.02 | Define the FSTD compliance monitoring planning or give the reference to the document/software providing that information. |  |  |  |  |
| *The FSTD compliance monitoring planning shall ensure that all items of the compliance monitoring programme are covered each 12 months period.* |
| 26.02 | Management evaluations/reviews:* Planning of those management evaluations (at least quarterly);
* Who must attend those management evaluations;
* Forms on which those management evaluations are reported.
 |  |  |  |  |
| *The management evaluation shall ensure that the CMS is working effectively, is complete and well documented.* |
| 27Bis | FSTD Audit procedures | 27.02 | Define or give the reference of the audit procedure regarding FSTDs. |  |  |  |  |
| 28Bis | FSTD Reporting procedures. | 28.02 | Define or give the reference of the reporting procedures. |  |  |  |  |
| 29Bis | FSTD Follow up and corrective action procedures – Findings. | 29.02 | Define or give the reference of the follow up and corrective action procedure.This procedure must be able to handle internal (ATO CMS findings) and external findings (any findings made by a third party).This procedure must address the following:* Identification of corrective action;
* Person responsible for rectification;
* Feedback system to the accountable manager providing an independent assessment of corrective action, implementation and completion;
* Monitoring of corrective action programme;
* Ensuring that the corrective action contain the necessary elements;
* Evaluation of the effectiveness of the corrective action programme;
* Reporting of significant non-compliances to the competent authority.
 |  |  |  |  |
| 30Bis | Recording system.*ORA.GEN.220* | 30.02 | How and on which form the FSTD compliance monitoring process will be recorded and stored.Who has access to it. |  |  |  |  |
| *The records of the compliance monitoring programme shall be:** *Accurate;*
* *Complete;*
* *Readily accessible.*
 |
| 31Bis | Training of FSTD compliance auditors. | 31.02 | Define the training that the FSTD compliance auditors must perform before being allowed to audit part of the scope of the FSTD.When such training must be performed (initial training, recurrent training, refresher training). |  |  |  |  |
| 56 | FSTD specific procedures*ORA.FSTD.105**ORA.FSTD.110**AMC1 ORA.FSTD.110**GM1 ORA.FSTD.110* |  | Define or give the reference of the manual or procedures providing the following information and their support documents: |  |  |  |  |
| 32.02 | Defect reporting system. |  |  |  |  |
| 32.03 | Defect rectification process. |  |  |  |  |
| 32.04 | Defect tracking mechanism. |  |  |  |  |
| 32.05 | Preventive maintenance programmes. |  |  |  |  |
| 32.06 | Spares handling. |  |  |  |  |
| 32.07 | Equipment calibration. |  |  |  |  |
| 32.08 | QTG running and checking. |  |  |  |  |
| 32.09 | Software and hardware control procedures. |  |  |  |  |
| 32.10 | Configuration control procedures for :* Control of training loads;
* Updates to visual models;
* Updates to navigation and instructor operation station (IOS) databases;
* QTG running and checking procedures;
* Maintenance procedures for defect rectification;
* Maintenance procedures for preventing maintenance.
 |  |  |  |  |
| *The configuration control procedures shall also include an internal acceptance process for any modifications.**All modifications must be documented.**A revision of the MQTG may be triggered following a FSTD modification.* |
| 32.11 | Control of the FSTD configuration Vs aircraft being simulated. |  |  |  |  |
| 32.12 | System that ensures that all relevant Airworthiness Directives are introduced where applicable on affected FSTDs. |  |  |  |  |
| 32.13 | Procedure to notify the authority in case of :* Major change;
* Relocation;
* Deactivation;
* Major failure of a qualified device;
* Major safety issue associated with the installation.
 |  |  |  |  |
| 32.14 | Procedure that ensure compliance with applicable health and safety regulations, including:* Safety briefings;
* Fire/Smoke detection and suppression;
* Protection against electrical, mechanical, hydraulic and pneumatic hazards;
* Other items as defined in AMC1 ORA.FSTD.115.
 |  |  |  |  |
|  |  | 32.15 | Process to produce, review and track the following:* FSTD availability;
* Numbers of defect by ATA chapter;
* Open defects;
* Defect closure rates;
* Training session interrupt rates;
* Training session compliance rating.
 |  |  |  |  |
| 35Bis | FSTD Record-keeping.*ORA.GEN.220**ORA.FSTD.240* | 35.02 | Define the record keeping means and procedures for any FSTD documents. |  |  |  |  |
| *See AMC1 ORA.FSTD.240 for further information.**This item is also covered by item 18 of the operation’s manual checklist. The manner how the ATO will comply with ORA.GEN.220/ORA.ATO.120 must be described in one of those two items.**All training records of the FSTD personal shall be maintained.* |
| 35.03 | Define the content of the dossier for an authority recurrent evaluation or give the reference of the document providing that information. |  |  |  |  |
| *See GM3 ORA.FSTD.100 (d) for further information on the content of the dossier.* |

**Part 3 – Safety Management System**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 37 | Scope of the safety management system. | 37.01 | Define here what will be the scope of the ATO safety management system.In which area of activities of the ATO it will be active (Administrative, training, FSTD, maintenance…). |  |  |  |  |
| *It can be the case that parts of the scope are already covered by an SMS of a third party (i.e. maintenance). It is therefore suitable to define how deep the ATO SMS will go.* |
| 38 | Safety policy and objectives.*ORA.GEN.200(a)(2)* | 38.01 | The overall philosophies and principles of the organisation with regard to safety endorsed by the accountable manager. |  |  |  |  |
| *This safety policy should explain how the senior management will promote the safety policy throughout the organisation, provide necessary human and financial resources for its implementation and establish safety objectives and performance standards.* |
| 38.02 | Define the organisation’s safety objectives and performance standards. |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(2) and GM1 ORA.GEN.200(a)(2).* |
| 38.03 | Commitment from the management that a “no blame” culture is in place. |  |  |  |  |
| 38.04 | Define the “just culture” approach. |  |  |  |  |
| *Explain how the ATO will assess if an incident/accident was a sabotage, intentional violation, reckless conduct or human error/no blame error (decision tree).* |
| 38.05 | Define the means to promote the safety policy to all personnel. |  |  |  |  |
| 39 | Lines of responsibility and accountability regarding safety.*ORA.GEN.200(a)(1)* | 39.01 | Define lines of responsibility and accountability throughout the organisation, including a direct safety accountability of the accountable manager. |  |  |  |  |
| *Attest the safety accountability of the accountable manager or give the reference to the OM item 10.* |
| 40 | Safety manager (SM).*ORA.GEN.200(a)(1)* | 40.01 | Who is the safety manager? |  |  |  |  |
| 40.02 | Define his responsibilities and functions. |  |  |  |  |
| 40.03 | Define how he will comply with the requirements of such responsibilities/functions. |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(1).* |
| 41 | Safety review board (SRB).*ORA.GEN.200(a)(1)* | 41.01 | Define the SRB members. |  |  |  |  |
| 41.02 | Define the responsibilities and functions within the SRB of each member. |  |  |  |  |
| 41.03 | Explain how the SRB will comply with his mission. |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(1) -(b)(3) and (c).* |
| 41.04 | Define the planning of the SRB meetings. |  |  |  |  |
| 42 | Safety action group (SAG).*ORA.GEN.200(a)(1)* | 42.01 | Define any needed SAGs members. |  |  |  |  |
| *Depending on the scope of the organisation, several SAGs might be needed (i.e. Operations, maintenance, training)* |
| 42.02 | Define SAGs members. |  |  |  |  |
| 42.03 | Define the responsibilities and functions within SAGs of each member. |  |  |  |  |
| 42.04 | Explain how the SAG will comply with his mission. |  |  |  |  |
| *See GM2 ORA.GEN.200(a)(1)-(c), (d) and (e).* |
| 42.05 | Define the planning of the SAGs meetings. |  |  |  |  |
| 43 | Identification of safety hazards.*ORA.GEN.200(a)(3)* | 43.01 | Define or give the reference of the identification of safety hazards procedure. |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(3)-(a).**This procedure should include at least the following:** *Define who may identify any safety hazard.*
* *Explain how those persons may report any identified safety hazard.*
* *Define who is in charge to collect identified safety hazards reports.*
* *Define how it is reported to the safety manager.*
* *Define how identified safety hazards are recorded (Form to be used)*
 |
| 44 | Risk assessment process.*ORA.GEN.200(a)(3)* | 44.01 | Define or give the reference of the process in place within the organisation to analyse and assess the identified risks. |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(3)-(b).**This procedure should include at least the following:** *Define who may assess a safety hazard.*
* *Define which method will be used to assess a safety hazard in terms of likelihood, severity and tolerability.*
* *Define how a feedback will be provided (i.e. to the reporter).*
* *Define how the assessment is recorded (Form to be used).*
 |
| 45 | Risk mitigation process.*ORA.GEN.200(a)(3)* | 45.01 | Define or give the reference of the process in place within the organisation to mitigate the identified risks. |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(3)-(b).**This procedure should include at least the following:** *Define who can elaborate a mitigation measure*
* *Explain how the mitigation measure will be implemented in the safety action planning*
* *Explain how the mitigation measure will be communicated.*
* *Define how a risk mitigation measure is recorded (Form to be used).*
 |
| 46 | Safety action planning.*ORA.GEN.200(a)(3)* | 46.01 | Define the planning of all safety actions that the ATO management chooses to perform or give the reference to the document/software providing that information. |  |  |  |  |
| 47 | Safety performance monitoring and measurement.*ORA.GEN.200(a)(3)* | 47.01 | Define or give the reference of the process in place within the organisation to verify the safety performance and measurement in comparison to the safety policy and objectives. |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(3)-(d).* |
| 47.02 | Define when this process will be performed and by who. |  |  |  |  |
| 47.03 | Define how it will be reported and by who. |  |  |  |  |
| 48 | Continuous improvement.*ORA.GEN.200(a)(3)* | 48.01 | Define how the organisation will achieve continuous improvement of its safety performance. |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(3)-(f).* |
| 49 | Incident investigation and reporting - Internal safety investigation.*ORA.GEN.200(a)(3)* | 49.01 | Define or give the reference of the process managing internal safety investigations. |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(3)-(c).** *This procedure should include at least the following:*
* *Define who can perform internal safety investigations.*
* *Define when such investigations shall take place.*
* *Define the scope of those investigations.*
* *Define how such investigations must be reported.*
 |
| 50 | The Emergency Response Plan (ERP).*ORA.GEN.200(a)(3)* | 50.01 | Define the organisation ERP. |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(3)-(g).* |
| 51 | Management of change (MOC).*ORA.GEN.200(a)(3)* | 51.01 | Define or give the reference of the process in place within the organisation to cope with safety risks related to an external or internal change. |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(3)-(e).**This procedure should include at least the following:** *Define the type of changes that should be assessed (i.e. new training location, new type of aircraft and change of a post holder).*
* *Define who can take part of that assessment.*
* *Define how the assessment will be performed.*
* *Define how the result will be communicated and to who.*
 |
| 52 | Training on safety.*ORA.GEN.200(a)(4)* | 52.01 | Define the training over safety for every category of personnel and for the candidates. |  |  |  |  |
| 52.02 | Define how the safety training will be performed (self-instruction via media, classroom training, e-learning, etc…)recorded and stored. |  |  |  |  |
| 52.03 | Define how the safety training will be recorded. |  |  |  |  |
| 53 | Safety promotion – Communication on safety.*ORA.GEN.200(a)(4)* | 53.01 | Define the means that the ATO will use to promote safety in order to:* Ensure that everyone involved in the ATO is aware of the safety management activities;
* Inform about the outcome of any assessed risks and analysed hazard;
* Explain the mitigation measures undertaken;
* That relevant persons receives a feedback from a voluntary report.
 |  |  |  |  |
| *See AMC1 ORA.GEN.200(a)(4).**A safety system must also be an “open” system. The ATO should also promote any safety items coming from aerodromes, maintenance facilities, the CAA or the EASA.* |
| 54 | Immediate reaction to a safety problem.*ORA.GEN.155* | 54.01 | Describe how the organisation will remain vigilant towards any safety problems raised either by the industry, the EASA or the CAA and who is responsible for this task. |  |  |  |  |
| 55 | Occurrence reporting.*ORA.GEN.160* | 55.01 | Describe how the organisation and who will report any accident, serious incident and occurrences as defined in Regulation (EU) No 996/2010 and Directive 2003/42/EC. |  |  |  |  |
| *The reports shall be made available as soon as practicable, but in any case, within 72 hours.* |
| 55.02 | Describe how the organisation will report to the competent authority and to the organisation responsible for the design of the aircraft any incident, malfunction, technical defect, exceeding of technical limitations, occurrence that would highlight inaccurate, incomplete or ambiguous information contained in data established in accordance with Part-21 or other irregular circumstance that has or may have endangered the safe operation of the aircraft and that has not resulted in an accident or serious incident. |  |  |  |  |
| 55.03 | Describe also how the organisation will produce a follow up report to provide details of actions it intends to take to prevent similar occurrences in the future, as soon as these actions have been identified. |  |  |  |  |
| *This should be linked with the safety management system.* |