



Air Operator Safety Assessment / Risk Profile Part 121 Operators

Operator Name:.....

Assessed By:.....

Date:.....

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

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12	Experience & qualification of Safety Officer/Manager (SM)	Has <5 years civil aviation safety management experience OR no aviation technical qualification OR no Safety Officer/Manager	Has civil aviation technical qualifications AND >5 years civil aviation safety management experience	Has civil aviation technical qualifications AND > 15 years civil aviation safety management experience	
13	Experience & qualification of Quality Manager	Has <5 years civil aviation Quality management experience OR no civil aviation technical qualifications	Has civil aviation technical qualifications AND >5 years civil aviation quality management experience	Has civil aviation technical qualifications AND > 15 years civil aviation quality management experience	
14	Multiple portfolio Safety/Quality management staff (QM/SM)	SM or QM holds other simultaneous executive position(s) within or without the Operator.	SM or QM TOR includes other non-direct safety/quality functions eg IT, Administration, Training, etc	SM or QM does not hold any other simultaneous executive position(s) within or without the Operators and their TOR do not include other non-direct quality safety functions.	
15	Multiplicity of aircraft types	> 4 aircraft types	3 to 4 aircraft types	> 3 aircraft types	
16	Average fleet MEL application rate (per 100 FH)	> 3 MEL applications per 100 FH	1 to 3 MEL applications per 100 FH	< 1 MEL applications per 100 FH	
17	Internal Technical Concessions applications	> 3 concession per aircraft per year<	> 1 concession per aircraft per year	> 1 concession per aircraft per year	
18	NCAA Technical Concession applications	> 1 concession per aircraft per year	> 0.5 concession per aircraft per year	> 0.5 concession per aircraft per year	
19	Safety Accountability Structure	Safety management function/ office/ manager is accountable or subservient to some operational functions	Safety management function/ office/ manager is accountable to senior management and is independent of all operational functions.	Safety management function/ office/ manager has direct accountability and reporting to CEO.	

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20	Quality Accountability Structure	Quality management function/ office/ manager is accountable or subservient to non quality/ safety related functions.	Quality management function/ office/ manager is accountable to senior management and is independent of all operational functions	Quality management function/ office/ manager has direct accountability and reporting to CEO	
21	NCAA AOC main base audit findings rate (Level 1 & 2 findings only, observations excluded) for last 24 mths	Any Level 1 finding OR > 5 findings per audit per aircraft	> 1 finding per audit per aircraft	1 finding per audit per aircraft	
22	NCAA line station inspection findings rate (Level 1 & 2 findings only, observations excluded) for last 24 mths	Any Level 1 finding OR > 3 findings per audit per Line Station	> 0.5 finding per audit per Line Station	0.5 finding per audit per Line Station	
23	Component (Rotables/ LRUs) Soft/ CM/ Hard life policy beyond mandatory or MPD requirements	No component life control policy (hard/ soft) beyond mandatory or MPD requirements	Active component hard life control policy and procedures. At least 5-10% of all (MPD/AMS listed) flight & engine control rotables (beyond mandatory and MPD requirements) have been soft or hard lifed.	Active component hard life control policy and procedures. >10% of all (MPD/AMS listed) flight & engine control rotables (beyond mandatory and MPD requirements) have been soft or hard lifed.	
24	Scope of incident Investigation	Internal incident investigation process applied to mandatory incidents only.	Internal incident investigation process for all reported incidents.	Internal incident investigation process for all reported incidents	
25	Availability of Special Inspection program based on non mandatory OEM service publications	Special Inspection program for AD related Service Bulletins only.	Special Inspection program for ADs as well as Alert Service Bulletins only	Special Inspection program for ADs, Alert SBs as well as routine OEM service publications.	
26	Control of Fleet Technical Management	Fully contracted out to external organization. (FTM + ITM)	Partially contracted out to external Operator	Internal management by AOC Operator	
27	Use of Contracted Technical staff	>15% contracted staff (from another Organization) for internal engineering/ technical functions	5 to 15% contracted staff (from another organization) for internal engineering/ technical functions	< 5 % contracted staff (from another organization) for internal engineering/ technical functions	

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28	Pilot, technician or AME pre-flight Inspection certification	Practice Pilot pre-flight Inspection certification in lieu of qualified engineering Technician/ AME	Practice Technician (limited rating) pre-flight Inspection certification in lieu of AME	Practice only AME (full type rated) pre-flight Inspection certification only.	
29	Incident reporting. Investigation & remedial actions procedure.	No documented incident reporting, Investigations or remedial actions procedure	Documented incident reporting. Investigation & remedial actions procedure.	Documented & implemented incident reporting, investigation & remedial actions procedure and accepted by NCAA	
30	Technical Records, Technical Stores and Fleet Planning Management	Fully contracted out Technical Records, Technical Stores and Fleet Planning management to external organization.	Contracts out Technical Records, Technical Stores or Fleet Planning management to external Operator	Internal (in-house) Technical Records, Technical Stores or Fleet Planning management	

	SUB-TOTAL
LEVEL 3	
LEVEL 2	
LEVEL 1	
NA	
Total No of Applicable Questions	

ORP Categorization:

Total Score	ORP Category
30-41	A (Desirable)
42-53	B
54-65	C
66-77	D
78-90	E (Least Desirable)

ASSESSMENT RESULT			
Total Pts	OPERATOR RISK PROFILE CATEGORY		
Operator Name			
Inspector Name (OPS)		Signature	
Inspector Name (AIR)		Signature	
Date			

Notes:

1. This form has been adapted from guidance in ICAO Doc 9859 to provide the NCAA with a tool for assessing the safety risk profile for existing AOC holders.
2. Points to be allocated for each parameter assessed – namely 1, 2 or 3 for Level 1, 2 and 3 respectively.

3. This assessment may be completed by assigned Inspector on scheduled basis (such as during Operator audit) or ad hoc. He may need to liaise with the service provider to obtain some of the data required.
4. Total points achieved and its correspondence ORP Category (Cat A to E) to be annotated. Results may be provided to the Operator assessed.
5. Results of this ORP assessment should be correlated with other regulatory inspection/audit programme findings to identify organizations with greater concern or need. Notification of assessment results to each organization alone may suffice as a mechanism to encourage organizational behavior (safety culture) towards the desirable category where applicable.