

NAMIBIA CIVIL AVIATION AUTHORITY

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Service Provider Safety Assessment / Risk Profile

Operator Name:		Assessed By:		Date:	
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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	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	
3	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	
4	Ratio of internal Safety + Quality Control staff to all Operational staff (includes active part-time persons)	1: > 50	1:25 to 50	1: < 25	
5	Company years of operation	< 5 years	5 to 10 years	> 10 years	
6	Combined turnover of Accountable Executive, Safety Manager and Quality Manager over last 36 months	3 or more	2	1 or Nil	
7	Experience & qualification of Accountable Executive as of assessment date)	Has < 3 years aviation experience	Has 3 to 10 years aviation experience	Has >10 years aviation experience	

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8	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 to 15 years civil aviation safety management experience	Has civil aviation technical qualifications AND > 15 years civil aviation safety management experience	
9	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 to 15 years civil aviation quality management experience	Has civil aviation technical qualifications AND > 15 years civil aviation quality management experience	
10	Multiple portfolio Safety/Quality management staff (QM and SM may be combined)	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.	
11	Logging and tracking of occurrences	Occurrences are logged but no system of analysing data or tracking of mitigating actions	Occurrences are logged but no system of analyzing data, mitigating actions are tracked	Occurrences are logged, data is analysed and mitigating actions are followed up.	
12	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.	
13	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	
14	NCAA audit findings rate (Level 1 & 2 findings only, observations excluded) for last 24 months	>2 Level 1 findings OR > 20 level 2 findings per audit	1-2 level 1 findings 10-20 level two findings per audit	< 10 level 2 findings per audit	

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15	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	
16	Use of Contracted Technical staff	> 15% contracted staff (from another Organization)	5 to 15% contracted staff (from another organization)	< 5 % contracted staff (from another organization)	
17	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	

	Number	Product of Column 1 x Column2
LEVEL 3 =3		
LEVEL 2 = 2		
LEVEL 1 =1		
NA = 0		
Total No of Applicable Questions		-
Total Sum of Points		

Service Provider Risk Profile (SRP) Categorization:

Total Score	ORP Category
17-24	A (Desirable)
25-32	B
33-39	C
40-46	D
47-51	E (Least Desirable)

ASSESSMENT RESULT	
Total Pts	OPERATOR RISK PROFILE CATEGORY

Service Provider Name and File No.			
Remarks			
Inspector Name and ASI No.		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 and/or Service Provider’s Safety Manager on scheduled basis (such as during a renewal audit) or ad hoc. She/he may need to liaise with the service provider to obtain some of the data required.
4. Total points achieved and its correspondence SRP Category (Cat A to E) to be annotated. Results may be provided to the Service Provider 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.