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Form Number: CA 141-29

Fax Number: **011-545-1350**

## RISK PROFILING SYSTEM FOR AVIATION TRAINING ORGANISATIONS

### RISK PROFILING

#### INTRODUCTION

The CAA Risk Profiling system is designed to provide an indication of the safety risk posed by the operations of an Aviation Training Organization. The prime purpose of identifying a level of risk is to ensure both that the assessed safety risk posed by the operations of an Aviation Training Organization has a high visibility within the CAA and that the resources of the CAA are able to be directed where they may provide the most benefit - at high risk Aviation Training Organization and/or Safety Target Groups. The system involves a CAA assessment of various aspects of an Aviation Training Organization operations and the rating of performance in these areas against a standard scale. Risk Assessments may be performed by any suitably qualified CAA staff member interacting with an Aviation Training Organization. A minimum of 2 risk assessments shall be completed by a suitably qualified CAA staff member. The Risk Profile of an Aviation Training Organization takes into consideration 28 parameters.

#### THE RISK PROFILE RATINGS

Aviation Training Organization will be initially rated by the Inspector (s) using a scale of 1 to 5, in each assessed area, where 1 is an exemplary rating. It is a qualitative rating and relates solely to the interaction the CAA staff member is having with the client at that time, or to changes in the organization recorded in the CAA database.

Ratings of 2 to 5 will be used to record higher levels of risk. Risk items are weighted according to the CAA's assessment of their likely effect on an operator's overall risk.

##### Indicator Word Pictures

Word pictures have been developed for each indicator to assist CAA staff to rate operators. The following example gives the word pictures used to determine ratings 1 to 5 for the indicator - Attitude to safety and compliance by management.

##### **Rating 1**

An excellent attitude to all aspects of safety within the organisation. Safety culture is well embedded and obvious (such as safety teams across organisational lines). 'Just Culture' is actively promoted.

##### **Rating 2**

Management is proactive in safety matters and there are only minor / occasional lapses. Safety culture is accepted and understood through the organisation. A just culture ethos is in place.

##### **Rating 3**

Management takes the initiative in safety and has safety procedures in place. Safety culture is generally understood but there are minor individual lapses. Operational risk assessment does take place.

##### **Rating 4**

Management is reactive. Does on occasion take some initiatives towards implementing policy and procedures to enhance organisational safety, but generally ongoing monitoring is spasmodic. Safety culture is confined to individual initiatives. No operational risk assessment apparent.

##### **Rating 5**

Management is either inactive or actively fosters the development of poor safety culture within the wider organisation. No evidence of a positive safety culture in either management or in individuals within the organisation. Individual responsibilities are not recognised and there does not appear to be any grasp of the big picture. There is no operational risk assessment mechanism.

## ASO RISK PROFILING COMMITTEE AND PROCESS

All risk assessments are moderated and verified by the ASO Risk Profiling Committee. Once these scores are verified they are entered into the Aviation Training Organization's Profile. On completion of the Risk Assessment by the Inspector the scores will be forwarded to the Risk Profiling Committee.

The Risk Profiling Committee comprises of specialist from the various Departments in the ASO Division as well as Airworthiness, Dangerous Goods, Security and Quality Assurance.

The Committee shall meet once every quarter to discuss and verify the Risk assessments received. Once the Risk assessments ratings are validated these ratings are entered in the Aviation Training Organization's Profile. These ratings will determine the oversight programme for that specific Organization. The recommended minimum oversight programme for the rating 1-5 are indicated below:

### **Rating 1**

If the total score of the risk profile appears in the 1st (low risk) band, the risk performance has been consistently good for a period of two years, an audit or inspection has been conducted within the past two years, and none of the risk indicator ratings give a cause for concern.

**Recommended Minimum Oversight:** 1 full in-depth audit shall be conducted on a two-year-cycle. One Ad-hoc audit shall be conducted annually.

### **Rating 2**

If the total score of the risk profile appears in the 2nd band, review the risk indicator scores and conduct a routine audit or inspection focusing on areas that have cause risk indicator ratings of 4 or 5.

**Recommended Minimum Oversight:** 1 Renewal in-depth audit and one Ad-hoc audit shall be conducted annually.

### **Rating 3**

If the total score of the risk profile appears in the 3rd band, conduct a comprehensive audit or inspection placing particular emphasis on areas with risk indicator ratings of 4 or 5.

**Recommended Minimum Oversight:** 1 Renewal in-depth audit and two Ad-hoc audits shall be conducted annually.

### **Rating 4**

If the total score of the risk profile appears in the 4th (high risk) band, the risk assessment suggests that the operator is a high safety risk. It is very important that they are subject to intensive safety oversight activity aimed at reducing the safety risk they pose. Examine the makeup of the risk profile to determine the cause(s) of the high-risk rating. Plan intervention to target these.

**Recommended Minimum Oversight:** 1 Renewal in-depth audit, a six monthly in-depth audit and at least one Ad-hoc audits shall be conducted annually.

### **Rating 5**

Operators in the highest risk band should be the subject of frequent, in-depth safety oversight with visits conducted more frequently than once per year.

**Recommended Minimum Oversight:** 1 Renewal in-depth and one follow up in-depth audit to be conducted within 3 months of the renewal audit. Sufficient Ad-hoc audits shall be conducted annually to ensure compliance by the ATO.

<i>To be filled in by the Inspector/Suitably qualified CAA official</i>			
<b>NAME OF AVIATION TRAINING ORGANISATION</b>			
<b>Date</b>		<b>Name of Inspector/Suitable qualified CAA staff Member</b>	
<b>Department</b>		<b>CAA File Number</b>	
<b>Area of Audit</b>		<b>Base Location</b>	
<b>AVIATION TRAINING ORGANISATIONS REPRESENTATIVE(S)</b>			
<b>Name</b>	<b>Title</b>	<b>Telephone Number (Including Area Code)</b>	
<b>SA CIVIL AVIATION AUTHORITY EVALUATION COMMITTEE REPRESENTATIVE(S)</b>			
<b>Name</b>	<b>Title/Post</b>	<b>Telephone Number (Including Area Code)</b>	

<b>RISK INDICATORS</b>									
<b>1. Attitude to safety and compliance by management</b>									
1.1 An excellent attitude to all aspects of safety within the organization. Safety culture is well embedded and obvious (such as safety teams across organizational lines). Just culture is actively promoted.									
1.2 Management is proactive in safety matters and there are only minor/occasional lapses. Safety culture is accepted and understood through the organization. A just culture ethos is in place.									
1.3 Management takes the initiative in safety and has safety procedures in place. Safety culture is generally understood but there are minor individual lapses Operational 'risk assessment' does take place.									
1.4 Management is reactive. Does on occasion take some initiatives towards implementing policy and procedures to enhance organizational safety, but generally ongoing monitoring is spasmodic. Safety culture is confined to individual initiatives. No operational 'risk assessment' apparent.									
1.5 Management is either inactive or actively fosters the development of poor safety culture within the wider organization. No evidence of a positive safety culture in either management or in individuals within the organization. Individual responsibilities are not recognized and there does not appear to be any grasp of the 'big picture'. There is no operational 'risk assessment' mechanism.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>2. Attitude towards risk taking</b>									
2.1 All risks are eliminated, mitigated, or insured against by well understood mechanisms apparent at all levels of the organization.									
2.2 Most risks are eliminated, mitigated, or insured against. Risk management is well understood and unacceptable outcomes usually prevented by well understood controls and procedures.									
2.3 The concept of risk management is understood but not well implemented.									
2.4 Risk management is not well understood and controls are ineffective or rarely implemented.									
2.5 Risk management is not considered at all. Risk taking is allowed without controls and/or no effort is made to monitor or assess risk.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									

<b>3. Organisation's attitude to the regulator</b>									
3.1 Encourages regulatory participation in projects and access at any time. Volunteers information freely and without prompting. Cooperative and helpful Accepting of comments and recommendations.									
3.2 Accepts regulatory access without question. Open and transparent. Cooperative.									
3.3 Accepts regulatory access but periodically questions timing or site. Audits conducted as expected but does not willingly volunteer all information. Open but engages in "gamesmanship".									
3.4 Senior persons not available. Attempts to postpone audits for no practical reason. Information is provided only when specifically requested. Reluctant to "open up" and only co-operates if it suits.									
3.5 Will not accept free regulatory access to facilities, personnel. Audits deliberately avoided. Information is deliberately withheld and not made available. Argumentative, deceitful, obstructive, aggressive.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>4. Challenges to rules</b>									
4.1 Exceeds rules requirements. Readily accepts interpretations. Actively participates and co-operates in formal processes to improve rules.									
4.2 Exceeds rules requirements. Holistic view in viewing rules as for the general good for everyone so complies even if disagrees.									
4.3 Meets minimum rule requirements. Questions rules from a self interest or industry perspective.									
4.4 Actively seeks avenues to circumvent rules. Self interest in rules in order to further economic advantage. Only complies 'problem' rules if it suits.									
4.5 Deliberately breaches rules. Commonly espouses an attitude of perceived licence to bend the rules. 'Problem' rules are deliberately flouted and actively campaigned against for economic advantage.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>5. Financial situation affects safety</b>									
5.1 No bad debtor reports or non compliances attributed to lack of funds in last 24 months									
5.2 One bad debtor reports or non compliances attributed to lack of funds in last 24 months									
5.3 One bad debtor reports or non compliances attributed to lack of funds in last 12 months									
5.4 Two or more bad reports or non compliances attributed to lack of funds in last 12 months									
5.5 Two or more bad reports or non compliances attributed to lack of funds in last 6 months									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>6. Safety, risk and quality management systems</b>									
6.1 A comprehensive documented Quality Management system is in place. The Operator/Management has clear visibility of issues confronting them and the quality system in place is designed to sensibly anticipate and/or cope with them. No deficiencies in the QMS were observed during the most recent CAA evaluation. Best practice SMS is evident. Risks are effectively evaluated and mitigated or eliminated. Continual review and improvement. Training in risk management is provided to all relevant staff. Vertical, horizontal and matrix (project orientated) free communications exist between all levels and units.									
6.2 A well-designed Management System is in place within the organization. It may contain a documented, comprehensive QA system. No significant deficiencies in the Management, Planning, or QA systems were noted. Process and problem ownership is well defined. SMS in place. Risks are evaluated and routinely dealt with, although not always proactively. Training in risk management is provided to some, but not all affected staff. Clear, well-defined lines of communication exist.									
6.3 A basic Management System is in place and it may contain a QA system. There are aspects/facets of the organisation's operations that have not been considered. Process and problem ownership is defined but some deficiency noted. A proactive planning system is in place. Some deficiencies in the planning or management system noted. Risks are evaluated but not always dealt with in a systemic formal manner. A general awareness of risk management is evident through informal processes. Lines of communication are defined.									
6.4 Management has taken some initiatives towards introducing and implementing a quality approach and									
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systems throughout the organization's operations. However, the system is not comprehensive and/or not clear. Problem or process ownership is not defined. There is a piecemeal/ reactive approach to planning. Safety management is treated as actions to take after a major problem is identified. Risks are ignored when convenient. No risk management training is provided. Lines of communication are not clear.

6.5 There is little or no evidence of a sensible Quality Management System being in place. No evidence of any form of quality system or proactive management/planning system evident. Safety management is ignored in favor of commercial priorities. No evidence of SMS. Risks are deliberately ignored. No training in risk management is provided and discussion about the subject is discouraged. Communication regarding safety, risk and quality matters does not take place unless forced to by external reasons.

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**COMMENTS (IF ANY):**

**7. Demanding flight training schedules or timetables**

7.1 Training schedules are designed and constructed taking into account all relevant variable factors without pressure on safety.

7.2 The need to interrupt training schedules for safety reasons is understood and generally accepted.

7.3 Interrupts of schedules are tolerated but are not well managed and pressure is put on safety services to minimize them.

7.4 Training schedules are achievable but interrupts are discouraged regardless of safety implications.

7.5 Training schedules are designed and constructed without taking into account any relevant variable factors, and/or Regardless of the impact on safety, and/or schedules are physically unable to be achieved.

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**COMMENTS (IF ANY):**

**8. ATO experience eg New ATO vs experienced ATO**

8.1 Most recent certificate first issued > 36 months ago

8.2 Most recent certificate first issued between 24 and 36 months ago

8.3 Most recent certificate first issued between 12 and 24 months ago

8.4 Most recent certificate first issued between 6 and 12 months ago

8.5 Most recent certificate first issued < 6 months ago

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**COMMENTS (IF ANY):**

**9. Change in company organisation, scope or size**

9.1 All aircraft have been owned/leased for at least 24 months

9.2 All aircraft have been owned/leased for 12 months to 24 months

9.3 Any aircraft have been owned/leased for less than 12 months.

9.4 Any aircraft with a new engine type (turbine, turboprop, piston) has been owned/leased for less than 12 months.

9.5 Any aircraft of a new class (Aeroplane, Helicopter, Balloon, etc) has been owned/leased for less than 12 months.

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**COMMENTS (IF ANY):**

**10. Staff turnover especially Post Holders/senior instructors**

10.1 All responsible persons have held positions for > 24 months.

10.2 All responsible persons have held positions for > 12 months.

10.3 One responsible person has held position < 12 months.

10.4 More than half the responsible persons have held their positions < 12 months

10.5 All responsible persons have held their positions < 12 months

1		2		3		4		5	
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<b>COMMENTS (IF ANY):</b>									
<b>11. Training programme</b>									
11.1 The organisation can show that all the training is effective.									
11.2 The organisation is able to show that ineffective training is the exception. Where training is ineffective it is recognised as such and managed.									
11.3 The organisation is able to show that most of its training is effective. Where training is ineffective it is usually as such and managed.									
11.4 The organization is able to show that some of its training is effective. Where training is ineffective it is rarely recognised as such or managed.									
11.5 The organisation is not able to show that any training is effective. Ineffective training is not recognised.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>12. Capability of responsible persons</b>									
12.1 All responsible persons are highly effective at their jobs.									
12.2 All responsible persons are effective at their jobs.									
12.3 Most responsible persons are effective at their jobs but a small number would benefit from additional experience or training.									
12.4 Most responsible persons are adequate for their jobs but would benefit from additional experience or training.									
12.5 Senior persons do not seem to be capable of performing their jobs properly.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>13. Part time responsible persons</b>									
13.1 All responsible persons are full time employees of this organization only.									
13.2 All responsible persons are employed solely by this organization, and a maximum of 1 holds a part time position in a low-volume job.									
13.3 Most responsible persons are full time employees of this organization, and no more than 1 is employed elsewhere.									
13.4 Most responsible persons work for this organization on a part time basis, or two or more senior persons also work for other organizations.									
13.5 All responsible persons work for this organization on a part time basis									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>14. Staff morale</b>									
14.1 Morale is very good. Staff is positive and "up-beat" about this organization.									
14.2 Morale is good. Most staff are positive in their attitude to the organisation - there is no overt hostility.									
14.3 Morale is average. Most staff have good or "neutral" attitudes, only a very few have a negative attitude.									
14.4 Morale is low. A significant number of staff have a negative attitude towards the organisation.									
14.5 Morale is very low. Few staff have a good word to say about the organization.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>15. Industrial relations</b>									
15.1 Superb industrial relations characterised by complete trust of company by employee representatives and vice-versa. Industrial problems are prevented before they occur.									
15.2 Employee and company representatives have a good professional relationship. Industrial problems are solved by negotiation when they occur.									

15.3 Employee and company representatives have a working relationship. Industrial problems occasionally result in limited actions.									
15.4 Employee and company representatives usually meet to discuss issues, but rarely solve them without some industrial action or other.									
15.5 Employee and company representatives rarely meet before an industrial action is taken. Solutions are often externally imposed.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>16. Condition of facilities and equipment</b>									
16.1 Standards applied and maintained are considered to be well above minimum industry requirements.									
16.2 Facility is adequate for the operation. It is well arranged, maintained, and presented in all respects. There are no safety issues identifiable with the facility.									
16.3 Facility is adequate for the operation. It is basically well maintained and arranged. However, there are minor/occasional discrepancies/hazards noted.									
16.4 Facility is barely adequate for the operation. It is not well arranged and some deficiencies exist which present a hazard to the operation (Both to people and to equipment).									
16.5 Facility is inadequate for the operation. It poses a significant and obvious hazard to safety in some way, eg, cleanliness, lack of protection from the elements, lack of foreign object debris control, lack of signage, and lack of required safety equipment such as fire extinguishers.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>17. Tools/Equipment/Materials/Aircraft</b>									
17.1 Assets applied and maintained are considered to be well above the minimum industry standards.									
17.2 Tools/equipment/materials are adequate and correct for the job, are well maintained, documented and controlled. No deficiencies observed.									
17.3 Tools/equipment/materials are adequate, correct for the job, and well maintained. An adequate control system is in place but some discrepancies are noted and being corrected. Aircraft is presentable and there is no evidence to suggest that it has not been properly maintained.									
17.4 Tooling/equipment/materials are adequate and appropriate for the job and are maintained. Documentation and control is deficient, eg, adequate tools are provided but no tool control is exercised. Aircraft presentation is less than what may be termed 'desirable' for Air Transport Operations and maintenance is therefore called into question.									
17.5 Essential tools/equipment/materials are not provided or their condition is such that their use could present a safety hazard. Control systems are significantly deficient. Aircraft condition is dirty, not maintained and/or beyond what may be termed 'fair wear and tear'. Maintenance is questionable.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>18. Multiplicity of aircraft types</b>									
18.1 SE class of aircraft operated with no more than two types									
18.2 SE class of aircraft operated with more than two types									
18.3 SE and ME classes of aircraft operated with no more than two types									
18.4 SE and ME classes of aircraft operated with more than two types									
18.5 SE, ME and Helicopter classes of aircraft operated									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>19. Safety trends</b>									
19.1 Occurrence rate and NCI both decreased in last year (>10% decrease)									
19.2 One of Occurrence rate or NCI decreased in last year.									
19.3 Occurrence rate and NCI both remained static in last year (<10% increase and/or <10% decrease)									
19.4 One of Occurrence rate or NCI increased in last year. (>10% increase)									
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19.5. Occurrence rate and NCI both increased in last year									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>20. History of document action, including consideration of action (conditions, suspensions)</b>									
20.1 No document action has been considered within the previous 5 years and no document action has ever been carried out.									
20.2 Has had document action considered in the last 5 years but none has been carried out.									
20.3 Has had document action less than suspension of certificate or licence carried out within the last 3 ears but not current.									
20.4 Has had suspension of certificate or licence carried out 1- 3 years ago.									
20.5 Has had suspension of certificate or licence carried out within the previous 12 months.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>21. Non-compliance</b>									
21.1 NCI score in last 12 months = 0.									
21.2 NCI score in last 12 months is >0 and in lowest 40% of scores.									
21.3 NCI score in last 12 months is in 40-70% range									
21.4 NCI score in last 12 months is in 70-90% range									
21.5 NCI in last 12 months is in the highest 10% (90-100% range)									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>22. Management structure</b>									
22.1 Each responsible person holds only 1 position.									
22.2 One responsible r person holds 2 positions, all others hold 1.									
22.3 More than 1 person holds 2 positions, all others hold 1.									
22.4 Any responsible persons hold more than 2 positions.									
22.5 One person holds all positions.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>23. Types of operation</b>									
23.1 If >90% of training hours are Commercial and Airline Transport Pilot Operations – Large Aircraft >5700 kg or 19 seats.									
23.2 If >90% of training hours are Commercial or ALTP Operations – Medium Aeroplanes. Aeroplanes > 2700 kg < 5700 kg or 19 seats									
23.3 If >90% of training hours are Commercial Operations , aeroplanes , Helicopter, advanced Private Pilot training.									
23.4 If >90% of training hours are ab initio Private Pilot training aircraft < 2700 kg									
23.5 If >90% of training hours are for the National pilots license.									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>24. Level of activity</b>									
24.1 If total training hours exceeds 12 000 per annum SE and ME (A).									
24.2 If total training hours exceeds 12 000 per annum SE and ME (A) (H)									
24.3 If total training hours exceeds 6 000 per annum									
24.4 If total training hours exceeds 3 000 per annum									
24.5 If total training hours < 1000 hours per annum									
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1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>25. Image and reputation as perceived by the general population as represented by national news media ( In conjunction with CAA Communications Department)</b>									
25.1 Superb									
25.2 Excellent									
25.3 Very good									
25.4 Good									
25.5 Poor									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>26. Types of accreditation approved</b>									
26.1 PPL, CPL, ALTP, IFR, INSTR									
26.2 PPL, CPL, ALTP, IFR									
26.3 PPL, CPL, IFR									
26.4 PPL, CPL									
26.5 PPL, NPL									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									
<b>27. Student pass rate of ground school subjects (Based on PPL/COMM and ATP pass rates)</b>									
27.1 80% and above									
27.2 Between 70% and 80%									
27.3 Between 60% and 70%									
27.4 Between 50% and 60%									
27.5 Less than 50%									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									

<b>TOTAL SCORE</b>									
1		2		3		4		5	
<b>COMMENTS (IF ANY):</b>									

FOR OFFICIAL USE ONLY										
COMMENTS FROM ASO PROFILING COMMITTEE:										
<b>MODERATED SCORE</b>										
1		2		3		4		5		
<b>SIGNATURE OF CHAIRPERSON RISK PROFILE COMMITTEE</b>			<b>NAME IN BLOCK LETTERS</b>				<b>DATE</b>			
<b>SIGNATURE OF MANAGER: PART 141</b>			<b>NAME IN BLOCK LETTERS</b>				<b>DATE</b>			
<b>RECOMMENDATION BY SENIOR MANAGER: FLIGHT OPERATIONS DEPARTMENT</b>										
<b>RISK PROFILE APPROVED</b>							<b>NOT APPROVED</b>			
<b>Allocated Audit rating schedule (tick the applicable block)</b>			1		2		3		4	5