ISAGO Standards Manual

Effective 1 September 2017

IATA | ISAGO

Driving Global Standardization

6th Edition

NOTICE

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Senior Vice President
Safety, Operations & Infrastructure
International Air Transport Association
800 Place Victoria
P.O. Box 113
Montreal, Quebec
CANADA H4Z 1M1

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ISAGO Standards Manual

Change/Revision History

The sixth 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:	Giuseppe Argento Manager, Audit Standards, Andrea Rizzo, Manager, Audit Training	August 2017
ISAGO Program Office (IPO) Reviewed:	Monika Mejstrikova, Head, Ground Operations Audits	August 2017
Approved by:	Catalin Cotrut Director, Audit Program based on ISAGO Standards Board (GOSB) recommendations	August 2017

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ISAGO Standards and Recommended Practices

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Cargo and Mail Handling (CGM)	CGM 221–CGM 244	September 2017

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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
Sixth Edition	N/A	August 2017	September 2017

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ISAGO Standards Manual (GOSM)
Sixth Edition Description of Changes

Revisions Highlights

The following tables describe changes contained in the Sixth Edition of the ISAGO Standards Manual (GOSM Edition 6). All changes are described as changes to the GOSM in relation to the Edition 5.

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 were reviewed and changes made in preparation for the introduction of the ISAGO new operational audit model. Transition to the new model will take place in September 2017 for the commencement of audits under the new model starting January 2018. All provisions are updated to the 2017 edition of the IATA Ground Operations Manual (IGOM) and Airport Handling Manual (AHM) and other relevant documents as listed in the Introduction item 4. Guidance Material (GM) References to such documentation and other external publications were updated, as applicable. References to Airport Council International (ACI) documentation were added, as applicable. Auditor Action is annotated if applicable only to HQ or ST audit. No annotation means the Auditor Action applies to all types of audit, and in the case of combined audit all apply. Note that the checklists in the audit software will include only those Auditor Actions relevant to the particular type of the audit. Security TF reviewed the ISAGO security provisions and strengthened certain security elements as applicable for Ground Service Provider. New GOSARPs were introduced to validate the alignment of provider's documentation, its distribution and changes awareness between the headquarters and station(s).
Section 1–ORM	The three ORM Sections (ORM-H, HS and S) of the 5th Edition were merged into a single ORM, which will be further developed in future editions to focus on the corporate management of station operations as a whole. Most provisions are applicable to all types of audit (corporate, station, combined). A note below the GOSARP will indicate if it is applicable only to HQ or ST. SMS provisions were updated and SMS Recommended Practices were upgraded to Standards as per the published three years ISAGO SMS Implementation plan. Some of the SMS related standards (after becoming shall requirements) were merged with existing management system provisions to ensure SMS is integral part of any management system. Such an approach influenced the numbering system of the SMS provisions that are not anymore solely in sub-section 3.

GOSM Change Highlights	
Area Changed	**Description of Change**
Section 5–HDL	New provisions are incorporated for catering operations in the proximity of the aircraft.
Section 7–CGM	Reference was added to IATA Cargo Handling Manual (ICHM).

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 (ORM);
- 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).

In the combined audit all GOSARPs are applicable. In the Headquarter and Station audits vast majority of GOSARPs are common. In some instances GOSARPs are applicable either to HQ or ST. A note below the GOSARP will indicate if it is applicable its respective applicability.

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.

Most provisions are applicable to all types of audit. Where specific to the audit of a headquarters or a station the provision is annotated by a symbol, as described below.

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 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 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.

Note that if a provision is incorrectly assessed as not applicable the Auditor will have to go back to the station and reassess related GOSARPs. For this reason the determination of N/A needs the utmost attention from the Auditor.

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).

A **(HQ)** symbol in bold text following a provision indicates the auditor action applies only to an audit at the provider's headquarters.

A **(ST)** symbol in bold text following a provision indicates the auditor action applies only to an audit at the provider's station.

New Operational Audit Model

Transition to the ISAGO New Operational Audit Model will take place in September 2017 for the commencement of audits under the new model starting January 2018. Audits scheduled for 2017 under the current program will continue to be conducted in accordance with the 2nd Edition of the GOPM until closed.

The new model is aimed at providing an assessment of the safety of the operation and the organizational oversight in place. It raises the importance of the management systems, including the SMS, within the provider's organization. ISAGO registration is focused on the headquarters audit and the level of conformity with the ORM GOSARPs, and the ability of the organization to manage the ground operations at its stations.

In addition to the ORM assessment, the future headquarters audit will include verification of documented policies, processes and procedures. This assessment will be supported by the recording of the documentary references for all applicable audit checklists for each operational discipline covering all ground operations at stations throughout the organization.

As of GOSM Ed 6 there will be some initial changes introduced to the GOSARPs to strengthen the headquarters audit and provider's own oversight and management of station operations.

The station audit becomes a verification of the implementation of processes and procedures, including the adoption of local or customer-oriented requirements, which are managed or overseen at the corporate level.

Similarly chain of changes will be gradually introduced for station audit to ensure that the primary focus of the station assessment remains within the implementation area, verifying alignment with headquarters polices and requirements, and reducing the documentation assessment to the necessary minimum.

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)
- Live Animal Regulations (LAR)
- Perishable Cargo Regulations (PCR)
- Temperature Control Regulations (TCR)
- Unit Load Device (ULD) Regulations
- IATA Cargo Handling Manual (ICHM)
- Apron Safety Handbook (ACI–First Edition 2015)

- Emergency Preparedness and Contingency Planning Handbook (ACI–First Edition 2014)
- Safety Management Systems Handbook (First Edition 2016)

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.

To account for the increased focus on the provider's proper oversight and management of the stations, headquarters audits under the new model include a documentation assessment of the operational processes and procedures *(documented)* and a verification that they are disseminated to all stations.

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 station audit will verify that the processes and procedures as documented by and received from the headquarters are correctly *implemented*.

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 outsourced 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 controls 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 operators and service providers 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.

At present, GOSARPs for SMS are included in Section 1 and explained in the ISAGO SMS Implementation Strategy which is a complementary 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). 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 conformity 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 documents:

- IATA Reference Manual for Audit Programs (IRM);
- ISAGO Program Manual (GOPM);
- ISAGO Audit Handbook (GOAH);
- Q5AIMS Auditor Manual;
- Q5AIMS Auditee Manual;
- ISAGO SMS Implementation Strategy;
- ISAGO SMS Audit Guidelines;
- Mandatory Observation Checklists.

The documents listed above comprise the ISAGO documentation system.

8. Auditor Actions

The Auditor Actions for all ISAGO disciplines are reported into the ISAGO Standards manual and in the ISAGO word checklists.

Auditor Actions are action steps for each individual ISAGO Standard and Recommended Practice (GOSARP) and they provide for:

- A record of the actions taken by auditors to assess documentation and implementation;
- A basis for standardizing the assessment of implementation across the ISAGO program;
- Transparency and traceability to the audit process.

Accomplishing the Auditor Actions action steps ensures the collection of sufficient evidence to support a conclusion of either conformity or non-conformity with an ISAGO Standard or a Recommended Practice.

Auditor Actions maybe applicable to headquarters, combined or station audit. Their applicability is defined as follows:

- **(HQ)** identifier apply to headquarter audits
- **(ST)** identifier apply to station audits
- No identifier apply to all types of audits.

The checklists in the audit software will include only those Auditor Actions relevant to the particular type of the audit.

9. Mandatory Observation Checklists

As of GOSM Ed 6 the mandatory observation (MO) checklists will be produced to support the consistent assessment of GOSARPs implementation. The MO checklists will be published on ISAGO website and each activity to be observed will include direct link to the respective GOSARPs.

10. 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.

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

11. 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 and the Manager, Ground Operations Audit 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.

Usable Edition

The edition to be used for any Audit is the edition that is effective on the first day of the on-site Audit.

12. 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.

13. Definitions

Refer to the IATA Reference Manual for Audit Programs (IRM) for the definitions of technical terms and the meaning of abbreviations and acronyms. IRM also includes definitions associated with terms specific to the ISAGO Program.

14. ISAGO Documents and Forms

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

15. 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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ISAGO Standards and Recommended Practices

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Section 1 – Organization and Management (ORM)

Changes to GOSM Section 1 (ORM)		
Area Changed	**Description of GOSARP Change**	**Description of GM and AA Change**
Applicability	Clarification has been provided in relation to ORM applicability for systemic, managerial GOSARPs. Some GOSARPs are now applicable to only one type of the audit, an explanatory note was added to Applicability.	n/a
ORM-H, ORM-HS and ORM-S	Merged into ORM ***Note:*** *SMS Recommended Practices effectivity date, to be upgraded to Standard, has been extended.*	n/a
Auditor Actions		All AAs have been revised on content and sequence to be applicable to current and future ISAGO Models. Refer to GOSM Introduction for related guidance.
Auditor Actions		All GM has been revised with updated references and expanded to better support interpretation of the GOSARPs.
ORM GOSARP's	All GOSARP's identification revised to eliminate H, HS and S references, ORM GOSARP's merged in one single Section.	
ORM 1.1.1	Revised standard to include lines of accountability for operational, safety and security, and responsibilities for resources assignment.	
ORM 1.1.2	Added note for HQ applicability	
ORM 1.1.3	New RP related to SMS	
ORM 1.1.4	New standard related to the implementation, maintenance and the day-to-day administration and operation of the SMS.	
ORM 1.1.5	Added “The day-to-day administration and operation of the SMS at the station level” incorporating ORM 1.1.3 elements.	
ORM 1.2.2	New Standard replace ORM 3.1.4	

Changes to GOSM Section 1 (ORM)		
Area Changed	**Description of GOSARP Change**	**Description of GM and AA Change**
ORM 1.4.2	New Standard replace ORM 3.5.1	
ORM 1.6.1	New Standard replace ORM 3.1.3	
ORM 1.6.2	Improved verbiage	
ORM 2.1.3	New Standard replace ORM 3.1.7	
ORM 2.2.3	Upgraded to Standard	
ORM 2.2.4	Added references to the Temperature Control Regulations (TCR) Manual	
ORM 2.2.5	New Standard related to a process implementation for the distribution to all stations of those documents pertaining to each operational area.	
ORM 2.2.6	Standard renumbered (ORM 2.2.5)	
ORM 3.1.1	Relocated to a more suitable section (removed and relocated as ORM 1.1.3).	
ORM 3.1.2	Relocated to a more suitable section (removed and relocated as ORM 1.1.4).	
ORM 3.1.3	Relocated to a more suitable section (removed and relocated as ORM 1.6.1).	
ORM 3.1.4	Relocated to a more suitable section (removed and relocated as ORM 1.2.2).	
ORM 3.1.7	Relocated to a more suitable section (removed and relocated as ORM 2.1.3).	
ORM 3.2.2	Upgraded to Standard	
ORM 3.2.10	Removed the upgrade indication to standard on January 2019	
ORM 3.4.1	Add requirement for monitoring effectiveness of safety risk controls. Added note for HQ applicability.	
ORM 3.4.2	Added note for ST applicability	
ORM 3.5.1	Relocated to a more suitable section (removed and relocated as ORM 1.4.2).	
ORM 5.7.1	Improved verbiage	
ORM 7.1.1	Added requirement for GSE maintenance and for out of service identification (sub provision iv.)	
ORM 9.4.2	Simplified verbiage for FOD prevention program.	
ORM 9.6.1	Simplified verbiage for ramp surface utilization for passenger embarkation and disembarkation.	
ORM 9.7.1	Extended requirement for PPE also to cargo areas.	

Applicability

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

The term "throughout the organization" includes all station operations where Provider delivers services to customer airline(s) regardless of their ISAGO registration status.

The GOSARPs associated with a system (for example QMS, SMS etc.) are not normally related to any specific ground operation or service and as such their implementation shall be assessed throughout the organization regardless of whether the ground operations and services provided are in the scope of ISAGO or not.

The ORM section is applicable to all headquarters, station, and combined audits. However, some ORM GOSARPs may be applicable to only one type of audit (as indicated in a "Note") and the Auditor Actions may also differ depending on the type of the audit. For further clarification on the applicability of the ORM GOSARPs, and auditor actions refer to GOSM Introduction Section.

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 1.1.1 The Provider shall have a management system that ensures:

(i) Key policies, systems, programs, processes, procedures and/or plans are determined and implemented throughout the organization;

(ii) Lines of accountability for operational safety and security are defined throughout the organization;

(iii) Resources necessary to conduct Operations in accordance with standards of the Provider, applicable regulations and requirements of the customer airline(s) are granted at all times. **(GM)**

Auditor Actions

Identified/Assessed management system structure (to include accountability/responsibility, strategic planning and change management, decision making, communication, documentations, performance measurement, and continues improvement).

Crosschecked association and conformity of the management system throughout the organization to include corporate and station alignment of management system processes

Evaluated status of conformity of management system throughout the organization with other management system GOSARPs (e.g. QMS, SMS, SeMS).

Assessed organigram

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

Sampled job descriptions of all nominated officials throughout the organization

Interviewed key personnel from the organigram responsible for quality, safety, security, documentation system etc.

Examined records of management meetings.

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

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Provider, Accountability, Safety (Operational), Security (Aviation), and Ground Operations.

A management system is the framework of policies, processes and procedures used by an organization to ensure that it can fulfill all the tasks required to achieve its objectives.

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

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

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.

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.

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).

ORM 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 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)**

Note: *This standard is applicable for headquarters audit only.*

Auditor Actions

Identified/Interviewed senior management official designated as the AE for the conduct of operations. **(HQ)**

Examined AE job description includes assigned accountability and responsibilities and reporting lines (especially between 'safety system manager') in accordance with the standard. **(HQ)**

Interviewed AE and/or designated senior management representatives(s). **(HQ)**

Evaluated examples of individual's actions taken by AE that demonstrate the appropriate accountability and responsibility. (Focus: examples of output from management meetings, policy decisions, provision of resources, resolution of quality, safety and security risks). **(HQ)**

Other Actions (Specify).

Guidance

Refer to the IRM for the definitions of Accountability, Accountable Executive (AE), Authority, Ground 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, in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step A.

ORM 1.1.3 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: *Within 2019, this recommended practice will be upgraded to a standard. Conformity with ORM 1.1.3 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 management and non-management personnel to verify awareness of SMS.

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 4 major components and 12 elements that make up the basic structure of an SMS. The four major components comprise of:

- Policy and Objectives
- Risk Management
- Assurance
- Promotion

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, in ISAGO SMS Audit Guidelines and ACI SMS Handbook.

ORM 1.1.4 The Provider shall 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 on behalf of the AE. **[SMS] (GM)**

Note: *This standard is applicable for headquarters audit only.*

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 AE and other personnel within the organization). **(HQ)**

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

Interviewed SMS manager and/or designated representative. **(HQ)**

Verified examples of communication between designated “safety” manager and the organization. **(HQ)**

Verified the job description of the designated individual. **(HQ)**

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.

If more than one Safety Manager (or other defined job title) exists then there should be defined lines of authority and communication such that there is no ambiguity or interference with performing the safety responsibilities within the organization.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859 and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step A.

ORM 1.1.5 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 as fundamental operational priorities;

(iii) The day-to-day administration and operation of the SMS at the station level. **[SMS] (GM)**

Auditor Actions

Identified/Assessed the organigram and connection between headquarters and stations.

Verified/Sampled several individuals (designated as personnel responsible for station management) and the description of their duties and responsibilities. **(HQ)**

Identified designated responsible individual. **(ST)**

Examined station management system structure and organizational lines of accountability. **(ST)**

Examined job description of designated individual (focus: accountabilities/responsibilities are as specified in the standard). **(ST)**

Interviewed station manager and/or designated individual. **(ST)**

Examined examples of the individual(s) actions taken that demonstrate the appropriate accountability and responsibility. **(ST)**

Verified examples of communication between designated responsible individual for SMS at the station level and the station personnel. **(ST)**

Verified examples of communication between designated responsible individual for SMS at the station level and the corporate SMS manager. **(ST)**

Other Actions (Specify).

Guidance

Such individual is typically referred to as the station manager.

The provision of an individual that focuses on the day-to-day administration of the SMS reflects the usual need for a manager 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 1.1.5 i) and iii) and ORM 1.1.4** could 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 and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step A.

ORM 1.1.6 The Provider shall 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)**

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).

Interviewed selected management and non-management personnel. (focus: on interface with the SMS).

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.

All employees throughout the organization as an essential part of their job have direct responsibilities for safety. This include non-management roles e.g. check-in agent, load controller, cargo agent, baggage handler/loader etc.

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. Other key safety roles are those of station personnel with direct management or supervisory responsibilities for ground operations.

Apart from documented details of the roles and responsibilities of named persons, there should be evidence of their involvement in safety risk management and safety assurance activities, usually as an operational expert.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859 and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step A.

1.2 Management Commitment

ORM 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 policy is published and made visible throughout the organization. Examples may include; published on notice boards, company website, posters or safety videos.

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.

ORM 1.2.2 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 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 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.

The Accountable Executive's commitment to safety is fundamental and must be readily visible at all levels. Every opportunity for actively demonstrating this commitment to safety should be taken.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859 and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step A.

1.3 (Intentionally Open)

1.4 Communication

ORM 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.

Examined 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;
- Communications (quality info, training news, 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).

ORM 1.4.2 The Provider shall 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)**

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. **(ST)**

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. For further guidance refer to ISAGO SMS Audit Guidelines and ACI SMS Handbook Step A.

1.5 Management Review

ORM 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). **(HQ)**

Examined records of management reviews and review meetings.

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

Identified/Interviewed station management representative(s) (focus: input to management review). **(ST)**

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 1.6.1 The Provider shall 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)**

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).

Interviewed selected management and non-management personnel. (focus: on interface with the SMS).

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.

All employees throughout the organization as an essential part of their job have direct responsibilities for safety. This include non-management roles e.g. check-in agent, load controller, cargo agent, baggage handler/loader etc.

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. Other key safety roles are those of station personnel with direct management or supervisory responsibilities for ground operations.

Apart from documented details of the roles and responsibilities of named persons, there should be evidence of their involvement in safety risk management and safety assurance activities, usually as an operational expert.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859 and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step A.

ORM 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 appropriate knowledge, skills, training, and experience; 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). **(HQ)**

Interviewed station Manager or designated management representative(s). **(ST)**

Interviewed selected personnel that perform safety/security functions

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

Examined minimum knowledge, skills, training and experience requirements and sampled evidence of implementation for personnel who perform operationally critical functions (focus on: training records, competence, skills and continuing education).

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 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 1.6.3–1.6.4 (Intentionally open)

ORM 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 definitions of Biochemical Testing, Psychoactive Substance and Problematic Use of Substances.

Providers subject to laws or regulations of the State that preclude the publication of a psychoactive substance prohibition policy as specified in this provision may demonstrate an equivalent method of ensuring that personnel engaging in any kind of problematic use of psychoactive substance do not exercise their duties and are removed from safety-critical functions.

Re-instatement to safety-critical duties could be possible after cessation of the problematic use and upon determination that continued performance is unlikely to jeopardize safety.

Examples of other subjects that might be addressed in a comprehensive and proactive policy include:

- Education regarding the use of psychoactive substances;
- Identification, treatment and rehabilitation;
- Employment consequences of problematic use of psychoactive substances;
- Biochemical testing;
- Requirements of ICAO and the Authority.

- Additional guidance may be found in the *ICAO Manual on Prevention of Problematic use of Substances in the Aviation Workplace* (Doc 9654-AN/945).

2. Documentation and Records

2.1 Documentation System

ORM 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).

Identified/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

Refer to the IRM for the definitions of Documentation, Controlled Document and Electronic Documentation.

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;
- Adoption of temporary revision (paper and/or electronic format)
- A list of effective pages within the manual;
- Identification of revised content.
- 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 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).

Identified/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.

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.

Backup process may include:

- Encryption of backups that contain sensitive data.
- Addition backups are kept off-site in a secure location (in case of property damage).
- Backups are verified to ensure files are retrievable.
- Backups may be sanitized or destroyed (e.g., tapes, CDs) before discarding them.

The back-up function can be outsourced to a third party supplier.

ORM 2.1.3 The Provider shall 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)**

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 2.1.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859 and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step A.

2.2 Operational Manuals

ORM 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).

Identified/Interviewed responsible management representative(s).

Identified/Interviewed station operational personnel. **(ST)**

Verified PPM accessible in all operational areas. **(ST)**

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of 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).

Accessible in usable format is intended that all applicable operational personnel can have free access to any type of document as per company own documentation system in conformity to the requirements per ORM Table 1.1. Documentation shall also include operational Customer Airlines procedures, NCAA, Airport and Local procedures.

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 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.

Identified/Interviewed responsible management representative(s).

Verified, where utilized, implementation of IGOM processes and procedures in all operational areas. **(ST)**

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.

For a Provider to be able to demonstrate full compliance with the IGOM procedures, the provider shall demonstrate that a gap analysis has been conducted between the Providers GOM and IGOM, by means of a cross-reference table that matches the Provider's internal procedures against all IGOM provisions.

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

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.

Identified/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.

Examined evidence to verify operational personnel is informed of customer airline(s) new or amended procedures.

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 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), Temperature Control Regulations (TCR) and ULD Regulations (ULDR), as applicable. **(GM)**

Auditor Actions

Identified/Assessed processes for provision of operational documentation.

Identified/Interviewed responsible management representative(s).

Identified/Interviewed station operational personnel. **(ST)**

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

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.

Accessible in usable format is intended that all applicable operational personnel can have free access to any type of document as per company own documentation system in conformity to the requirements per ORM Table 1.1. Documentation shall also include operational Customer Airlines procedures, NCAA, Airport and Local procedures.

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.

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

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.

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

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

ORM 2.2.5 The provider shall have a process to ensure that all documents pertaining to each operational area are communicated and distributed to all stations. An effective documentation distribution system shall include a means for recipient acknowledgement at each station. The documentation shall be accessible to all operational personnel in a usable format at all stations.

Auditor Actions

Reviewed/Verified process describing the document dissemination to all stations and within the station to all operational personnel

Interviewed manager(s) responsible for documentation distribution

Sampled document distribution and means for recipient acknowledgement from several stations. **(HQ)**

Sampled station documents distribution for applicable operational areas to all operational staff. **(ST)**

Guidance

Review the document and distribution to all stations (generally to the station manager) and, within the station, to all operational staff either from the Provider, the Operator or any other source (airport, Local authority etc.) with particular care to those functions that do not have direct access to a company computer or are not able to read the documents in their original language.

The auditor shall review as a minimum all of the documents as listed in the Information sources of the ISAGO audit pertaining to the operational discipline audited and any other document deemed appropriate.

Accessible in usable format is intended that all applicable operational personnel can have free access to any type of document as per company own documentation system in conformity to the requirements per ORM Table 1.1. Documentation shall also include operational Customer Airlines procedures, NCAA, Airport and Local procedures.

This GOSARP is interlinked with ORM 2.2.4 and shall be reviewed in conjunction with it to allow the ORM auditor to complete such assessment.

For station audits this GOSARP is also interlinked with all operational disciplines sections GOSARPs 1.1.0 and shall be reviewed in conjunction with them to allow the ORM auditor to complete such assessment.

ORM 2.2.6 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 documentation 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.

Identified/Interviewed responsible management representative(s).

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

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Outsourcing.

2.3 Records System

ORM 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).

Identified/Interviewed responsible management representative(s).

Identified/Interviewed station operational personnel. **(ST)**

Examined selected examples of operational records. **(ST)**

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).

A record management system could be manual or automated that collects, organizes, and categorizes records, facilitating their preservation, retrieval, use, and disposition.

The purpose of record retention is to permit easy reference and accessibility.

Records are retained for periods in accordance with requirements of the appropriate authority and customer airlines.

While some records are paper based, electronic storage and retention may also be utilized which makes for easier accessibility and retrieval.

Record management system serves the scope of ensuring traceability, regulatory compliance and fulfill customer airline(s) requirements.

Record management and retention allows the organization to make sure personnel have complete access to accurate information in a timely and cost-effective manner.

3. Safety and Quality Management System

3.1 SMS–Safety Policy and Objectives

ORM 3.1.1 (Intentionally open)

ORM 3.1.2 (Intentionally open)

ORM 3.1.3 (Intentionally open)

ORM 3.1.4 (Intentionally open)

ORM 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 throughout the organization.

Other Actions (Specify).

Guidance

Similar requirement is in IOSA ORG 1.2.3, 3.1.3, 3.1.4 and 3.1.5 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.

Frontline personnel, example; check-in agents, ramp operations and cargo operations etc. 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 that they may be brought to the attention of relevant managers.

To build confidence in the reporting process and encourage more reporting, an acknowledgement of receipt is typically provided to each person that submits a report. This objective requires secure and easy access to safety reporting systems, active safety data collection and management's proactive treatment of the data.

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(s) by responsible management to correct the situation.

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. and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step B.

ORM 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: *Within 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 and/or designated management representative.

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 ERP is a paper indication of intent. 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.

The Provider's ERP should describe in a suitable document who does what, when and how for all perceived emergency situations.

The ERP should address the emergency procedures that maintain operational safety from the time that an emergency is declared until normal operations are resumed. The ERP should also address security events.

The ERP should be made available and be known to all relevant personnel.

While the Provider should develop its own ERP, specifying what its staff should do, it is highly likely that the Provider's station personnel will play a participative or perhaps a coordination role in the ERP of the airport with some supervisory roles and functions (particularly for passenger handling).

Regular drills and exercises are advisable. Some portions of the ERP, such as the call-out and communications plan, can be tested by—desktop exercises.

Other aspects, such as—on-site II activities involving other agencies, need to be exercised at regular intervals. Such exercises have the advantage of demonstrating deficiencies in the plan, which can be rectified before an actual emergency.

For certain service providers, the periodic testing of the adequacy of the plan and the conduct of a full-scale emergency exercise in conjunction with the airport authority may be mandatory.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859 and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step B.

ORM 3.1.7 (Intentionally open)

ORM 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. For further guidance refer to ISAGO SMS Audit Guidelines and ACI SMS Handbook Step A.

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 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: *Within 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.

Examined Coordination activities to verify implementation of hazard identification program in all operational areas. **(ST)**

Other Actions (Specify)

Guidance

Refer to the IRM for the definition of Hazard.

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.

There are a number of techniques and tools available to identify hazards from safety data and safety information derived from safety reporting systems, safety reports, external sources, etc.

In addition, personnel involved in safety data and information gathering and hazard identification should be adequately trained (as per ORM 5.7.2).

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859 and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step B.

ORM 3.2.2 The Provider shall 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)**

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 throughout the organization.

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“ non they afford a level of protection (excluding wilful misconduct) to reporters. While the nature and extent of the Providers’ non-punitive polices 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 and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step B

ORM 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: *Within 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. **(ST)**

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Safety 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.

In addition to the verification of the safety risk assessment and mitigation processes and procedures, records of the assessments, meeting reports and decisions taken should be examined.

The outcome of a safety risk assessment should result in either a recommendation that no further action is necessary (the safety risk is tolerable/acceptable) or that some form of mitigation measure is needed (to make the safety risk tolerable/acceptable). Evidence should be sought to verify that the decision was taken in accordance with the Provider's procedure and criteria.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859 and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step B

ORM 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: *Within 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 and in ISAGO SMS Audit Guidelines and ACI SMS Handbook Step B.

ORM 3.2.5–3.2.9 (Intentionally open)

ORM 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. **(GM)**

Auditor Actions

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

Interviewed responsible person(s).

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). Refer also to ISAGO SMS Audit Guidelines and ACI SMS Handbook Step B.

3.3 SMS–Safety Assurance

ORM 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: *Within 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 Management System, Safety Audit and Safety Assurance.

This GOSARP is similar to the requirement is in IOSA ORG 3.4.1 applicable to the Operator and ISAGO ORM 3.4.1 applicable to the Provider.

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. Refer to ISAGO SMS Audit Guidelines and ACI SMS Handbook Step C.

ORM 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: *Within 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.

Past events indicate the risk the organization was exposed to at the time of the event, that is to say its proximity to the accident and its severity. This perceived degree of risk influences the speed and magnitude of the organization's response. It is a reliable indicator of exposure to operational hazards and past safety performance.

An isolated event is not enough to obtain an accurate picture of exposure to the future risk posed by an identified hazard; a proactive approach is also needed.

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.

For further guidance refer to ISAGO SMS Audit Guidelines and ACI SMS Handbook Step C.

ORM 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: *Within 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).

Change management should also address changes in organizational structure, personnel and cultural issues.

Past performance may be a reliable indicator of future performance. Trend analyses in the safety assurance process should be employed to track safety performance measures over time and to factor this information into the planning of future activities under situations of change.

Where deficiencies have been found and corrected as a result of past audits, evaluations, data analyses, investigations or reports, it is essential that such information be considered to assure the effectiveness of corrective actions.

Where frequent systemic or environmental changes occur managers should update key risk assessments and related information more frequently than in more stable situations.

Expanded guidance may be found in the Annex 19 and the ICAO SMM, Document 9859 For further guidance refer to ISAGO SMS Audit Guidelines and ACI SMS Handbook Step C.

ORM 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: *Within 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).

Interviewed selected operational managers (focus: inputs and outputs to/from SMS review).

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 and ISAGO ORM 1.5.1 and 3.3.5.

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. For further guidance refer to ISAGO SMS Audit Guidelines and ACI SMS Handbook Step D.

ORM 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 3.3.4 and ORM 1.5.1, as applicable. **[SMS] (GM)**

Note: *Within 2019, this recommended practice will be upgraded to a standard.*

Auditor Actions

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

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

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

Interviewed selected operational managers. **(ST)**

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 and ISAGO ORM 1.5.1 and 3.3.4.

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.

For further guidance refer to ISAGO SMS Audit Guidelines and ACI SMS Handbook Step B.

3.4 Quality Assurance and Control Program(s)

ORM 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.

(iv) Monitoring effectiveness of safety risk controls. **(GM)**

Note: *This standard is applicable for headquarters audit only.*

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). **(HQ)**

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

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

Examined selected audit reports (focus: audit scope/process/organizational interface **(HQ)**

Verified implementation of quality assurance audit program in all operational areas **(HQ)**

Other Actions (Specify).

Guidance

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

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:

- Quality Policy
- Quality Objectives
- Audit schedule
- Audit frequency
- Audit scope, objectives
- Training for auditors/inspectors
- Audit techniques and procedures, audit planning, preparing, including audit plan, checklist production.
- Audit conduct, observations and gathering evidence
- Process for addressing findings; analysis, actions, reporting, audit summary, follow-up and close out.
- Communication system
- Management review

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 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 3.4.1, applicable regulations, and requirements of the customer airline(s). **(GM)**

Note: *This standard is applicable for station audit only.*

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). **(ST)**

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

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

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

Verified implementation of quality assurance audit program in all operational areas. **(ST)**

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 3.4.2 could be identical to the one as described in ORM 3.4.1.

ORM 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 3.4.1 and ORM 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 addressing quality assurance program and station quality control program findings.

Identified/Interviewed quality manager and/or designated management representative.

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

Examined selected audit reports from the quality assurance program and station quality control program (focus on identification of root cause, development and implementation of corrective action, follow-up to ensure effectiveness).

Verified implementation of audit findings process in all operational areas.

Other Actions (Specify).

ORM 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 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 from quality assurance program and station control program).

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 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 3.4.1 and ORM 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 and/or designated management representative.

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

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 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.

Identified/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 3.5.1 (Intentionally open)

ORM 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: *Within 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. For further guidance refer to ISAGO SMS Audit Guidelines and ACI SMS Handbook Step D.

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.

The outputs of the safety risk management and safety assurance functions may be of a specialist nature, sensitive or for a specific purpose.

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

3.6 Outsourcing Quality Control Program

ORM 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.

Identified/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 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).

The Provider shall include the monitoring process as part of their quality assurance program and/or station quality control program. The basis for monitoring is dependent on the contract/agreement and measurable specifications and could include audting. The purpose of monitoring an external service provider is to ensure requirements that affect operational safety and security are being fulfilled by the external provider.

verify if auditing techiniques are similar to those applied in IOSA and if they are reported in GOAH as in IAH Part 1

ORM 3.6.3–3.6.4 (Intentionally open)

ORM 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.

Identified/Interviewed responsible manager(s).

Examined selected records/reports resulting from monitoring of external service provider's training program (focus: monitoring process ensuring provider is fulfilling applicable dangerous goods training program).

Other Actions (Specify).

4. (Intentionally Open)

5. Training and Qualification

5.1 Load Control Training Program

ORM 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 which addresses:

(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; as specified in ORM 5.7.1;

(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)/training manager.

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

Verified implementation of training programs within departmental training plans.

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).

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 may be found in AHM 634 and ACI 2.4.0.

5.2 Passenger Handling Training Program

ORM 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; as specified in ORM 5.7.1;

(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)/training manager.

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

Verified implementation of training programs within departmental training plans.

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.

Further guidance maybe found in I-GOM 4.1.3.4.

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 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; as specified in ORM 5.7.1;

(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)/training manager.

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

Verified implementation of training programs within departmental training plans.

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 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; as specified in ORM 5.7.1;

(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)/training manager.

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

Verified implementation of training programs within departmental training plans.

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.

Further guidance maybe found in I-GOM 4.1.3.4.

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.

Aircraft loading supervision is an element of the load control process. Guidance for Supervision of Aircraft Loading may be found in AHM 590 and 591.

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 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; as specified in ORM 5.7.1;

(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)/training manager.

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

Verified implementation of training programs within departmental training plans.

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 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; as specified in ORM 5.7.1;

(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)/training manager.

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

Verified implementation of training programs within departmental training plans.

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 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 meeting requirements as dictated by regulatory requirements, 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)/security manager.

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

Verified implementation of training programs within departmental training plans.

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 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: *Within 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.

Identified/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

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

Refer to the IRM for the definitions of Safety Management System, Safety Promotion.

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

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. For further guidance refer to ISAGO SMS Audit Guidelines and ACI SMS Handbook Step D.

5.8 Dangerous Goods Training Program

ORM 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).

Verified dissemination of updates to regulations and training material on an annual basis.

Other Actions (Specify).

Guidance

Guidance may be found in DGR 1.5.7.

5.9 Training Program (General)

ORM 5.9.1 The Provider shall ensure each training program as specified in ORM 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 5.9.2 The Provider shall ensure each training program as specified in ORM 5.1–5.7 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 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.

Identified/Interviewed responsible manager(s)/training manager.

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

Verified implementation of training programs within departmental training plans.

Other Actions (Specify).

ORM 5.9.3 The Provider shall ensure each training program as specified in ORM 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.

Identified/Interviewed responsible manager(s)/training manager.

Examined selected reports of reviews and action taken.

Verified implementation of training programs within departmental training plans.

Other Actions (Specify).

6. Security Management

6.1 Security Program

ORM 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.

Identified/Interviewed responsible manager(s).

Examined selected security incident records and reports.

Verified awareness of security incident reporting procedures in all operational areas.

Other Actions (Specify).

Guidance

Security related incidents include, but are not limited to:

- Threats;
- Unlawful interference.

An aviation security incident occurs when there is actual or threatened unlawful interference with aviation.

This includes acts associated with an aircraft or airport that involve taking control, damaging, destroying or putting safety, or safe operation, at risk.

Accurate reporting of incidents will help to improve operating procedures and to protect airline staff; and to identify areas for further research and/or improvements.

It can be said that anyone who works in the aviation industry has a general responsibility to report aviation security incidents.

7. Ground Support Equipment (GSE) Management

7.1 GSE Maintenance

ORM 7.1.1 The Provider shall have a maintenance program that ensures that GSE remains safe to operate and in good condition, and:

(i) Is maintained in accordance with instructions and/or guidance from the GSE manufacturer or with adequate corporate GSE fleet management policies;

(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) Is tagged as “Out of Service” and removed from operations;

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

Auditor Actions

Identified/Assessed program for maintenance and serviceability of GSE. **(HQ)**

Identified/Interviewed management personnel responsible for development of the program for maintenance and serviceability of GSE.

Reviewed program for maintenance and serviceability of GSE as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

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

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

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

Interviewed personnel responsible for GSE maintenance and record keeping. **(ST)**

Other Actions (Specify).

Guidance

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

Guidance may be found in AHM 910 and 917.

Maintenance programs would typically be designed to be in accordance with either:

- The equipment manufacturer's recommendations, or;
- Adequate Corporate GSE fleet management policies, or;
- Based on AHM 917, or
- Any combination of the above, depending on the GSE fleet specifics such as, but not limited to: age of equipment, availability of maintenance documentation, frequency of use, whether the equipment is under warranty or not, maintenance experience/track-record etc.

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 7.2.1 (Intentionally open)

8. Unit Load Device (ULD) Management

8.1 ULD Airworthiness and Serviceability

ORM 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. **(HQ)**

Identified/Interviewed management personnel responsible for development of procedures for inspection of ULDs.

Reviewed procedures for ULD inspection as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

Examined selected inspection records and reports. **(ST)**

Interviewed personnel employed in airside operations regarding awareness of ULD inspection procedures. **(ST)**

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 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. **(HQ)**

Identified/Interviewed management personnel responsible for development of procedures for ULD loading and load securing. **(HQ)**

Reviewed procedures for ULD loading and load securing as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

Observed ULD loading and securing procedures. **(ST)**

Interviewed personnel employed in airside operations responsible for ULD loading and load securing. **(ST)**

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.

ULDs can be divided into two groups:

- Containers
- Pallets with or without nets

Each ULD must meet minimum technical specifications to ensure safe restraint of the load. These specifications are published in the IATA ULD Technical Manual.

The loading of ULD on board an aircraft is governed by the aircraft Weight and Balance Manual (W&BM). Only ULD that complies with the requirements of the W&BM shall be loaded onto an aircraft.

The IATA ULDR is based on typical W&BM requirements which will assist Providers to carry out ULD operations to comply with applicable requirements such as W&BM.

ORM 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. **(HQ)**

Identified/Interviewed management personnel responsible for development of procedures for ULD tagging.

Reviewed procedures for ULD tagging as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

Observed ULD tagging procedures and conformity of content information. **(ST)**

Interviewed personnel employed in airside operations responsible for ULD tagging. **(ST)**

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 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. **(HQ)**

Identified/Interviewed management personnel responsible for development of procedures for ULD handling and storage.

Reviewed procedures for ULD handling and storage as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

Observed ULD handling and storage. **(ST)**

Interviewed personnel employed in airside operations responsible for ULD handling and storage. **(ST)**

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 (W&BM). Only ULD that complies with the requirements of the W&BM shall be loaded onto an aircraft. The IATA ULDR is based on typical W&BM requirements which will assist Providers to carry out ULD operations to comply with applicable requirements such as W&BM.

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 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. **(HQ)**

Identified/Interviewed management personnel responsible for development of procedures for storage and tagging of damaged or not airworthy ULDs.

Reviewed procedures for storage and tagging of damaged or not airworthy ULDs as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

Interviewed personnel responsible for storage and tagging of damaged or not airworthy ULDs. **(ST)**

Observed storage and tagging of damaged or not airworthy ULDs.

Other Actions (Specify).

8.4 Facilities and Equipment

ORM 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)**

Note: *This standard is applicable for station only.*

Auditor Actions

Observed spaces for ULD storage and build up and break down are adequate to the size of operations conducted at the station. **(ST)**

Interviewed personnel responsible for ULD storage, build up and transportation. **(ST)**

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 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). **(ST)**

Other Actions (Specify).

Guidance

The requirement to ensure all station operational activities are conducted under the direct oversight of supervisory personnel is to ensure the turnaround activities are in conformance with local regulations and standard operating procedures.

Station supervision shall ensure that processes are delivered within SLA standards and compliance limits.

Co-ordination and oversight of aircraft turnaround activities are essential to achieve a safe, secure and efficient operation through adherence to local regulations and standard operating procedures.

ORM 9.1.2 The Provider shall have processes to ensure station personnel that provide oversight of operational activities as specified in ORM 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. **(GM)**

Auditor Actions

Identified/Assessed supervisory training processes.

Interviewed responsible individual(s). **(ST)**

Examined training records and reports of responsible individual(s) (focus: conformity with training plan).

Other Actions (Specify).

Guidance

Guidance may be found in ASH Section 3 Operations 3.7.3.

To ensure ground operational safety, all station activities, including, if applicable, those outsourced to an external third-party ground service provider or its subcontractors, shall be conducted under the direct oversight of supervision personnel.

Supervision personnel must be trained and qualified to perform the assigned functions:

- Assigned individuals will provide oversight of personnel conducting, airside operations.
- An assigned individual will oversee the aircraft turnaround during ramp/apron activities ensuring the aircraft is handled and serviced according to IGOM or the Operator's specific requirements, these duties may be combined with another function/role.
- If applicable checklists are provided, they shall be completed as required by the individual assigned to provide oversight.
- Individuals assigned to oversee ground handling operations must have oversight on airside operations, ground safety and flight schedule.

The Turnaround co-ordination role may be fulfilled by one person, or may be split between two or more persons provided the handover point(s) is clearly defined, documented and communicated to all persons involved in the aircraft turnaround activity.

The role may also include:

- The oversight of third party service providers;
- Control and support of personnel to ensure that they can carry out their duties safely and effectively;
- Complete Aircraft Arrival and Departure checklists;
- Reporting of all incidents and accidents that occur during the turnaround;
- Monitor all personnel involved in the turnaround and enforce compliance with safety procedures allocates delay reason codes as applicable;
- Implementation of emergency procedures as required;
- Management of disruption to the turnaround.

9.2 (Intentionally Open)

9.3 Airside Fire Safety

ORM 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 **(HQ)**

Identified/Interviewed management personnel responsible for development of airside fire safety procedures, (focus: checking procedures for alerting personnel onboard the aircraft and reporting fires)

Reviewed procedures for fire protection and prevention as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

Interviewed personnel employed in airside operations regarding the procedures for fire protection and prevention. **(ST)**

Examined availability and access to fire fighting equipment. **(ST)**

Other Actions (Specify).

Guidance

Guidance may be found in AHM 630 and ASH Section 3 Operations 3.11.

9.4 Airside Cleanliness

ORM 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 **(HQ)**

Identified/Interviewed management personnel responsible for development of procedures for airside cleanliness. **(HQ)**

Reviewed procedures for airside cleanliness as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

Interviewed personnel employed in airside operations regarding the procedures for airside cleanliness. **(ST)**

Examined incident reports of fluid spillage

Other Actions (Specify).

Guidance

Guidance may be found in ASH Section 3 Operations 3.6.3.

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 9.4.2 The Provider shall have a FOD prevention program for implementation in station airside areas. **(GM)**

Auditor Actions

Identified/Assessed FOD prevention program **(HQ)**

Identified/Interviewed management personnel responsible for developing and implementation of an effective FOD prevention program **(HQ)**

Reviewed FOD prevention program as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

Observed cleanliness of airside areas and application of FOD prevention program. **(ST)**

Interviewed personnel employed in airside operations regarding FOD prevention program. **(ST)**

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of FOD (Foreign Object Damage). Guidance may be found in AHM 635 and ASH Section 3 Operations 3.7.1 and 3.8.

The standard is applicable to the Provider that conducts aircraft handling or aircraft ground movement operations. 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 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 **(HQ)**

Identified/Interviewed management personnel responsible for development of a station severe weather operations plan **(HQ)**

Reviewed the plan for a station severe weather operations as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

Interviewed personnel employed in airside operations regarding the plan for a station severe weather operations. **(ST)**

Other Actions (Specify).

Guidance

Guidance may be found in AHM 630 and ASH Section 3 Operations 3.10.

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:

- Strong winds;
- Thunderstorm/Lightning;
- Low visibility;
- Ground/pavement icing, wintery slippery conditions and snow removal;
- Storms–sand, dust, volcanic ash, rain
- Working in extreme temperatures (hot and cold)
- Severe weather forecasting

9.6 Passenger Safety

ORM 9.6.1 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 **(HQ)**

Identified/Interviewed management personnel responsible for development of procedures for the protection of passengers on the ramp

Reviewed the procedures for the protection of passengers on the ramp as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

Observed the control of passengers between the aircraft and the passenger terminal. **(ST)**

Interviewed personnel employed in airside operations regarding the procedures for the protection of passengers on the ramp. **(ST)**

Other Actions (Specify).

Guidance

Guidance may be found in AHM 630 and ASH Section 3 Operations 3.9.

This standard is applicable to providers that utilize the ramp surface for passenger embarkation and disembarkation.

Passengers are unfamiliar with the airport environment and must be provided with clear and easy to follow directions. All passengers whilst airside must be marshalled and supervised. Many foreign visitors will simply not recognize local signs or markings unless they are clear and unambiguous. Passengers will have an expectation that they will be looked after by the responsible staff. They will be largely unaware of hazards such as jet blast, engine ingestion, prop wash and other apron movements.

Control of Access

It is generally accepted that the terminal operator will be responsible for supplying the physical barriers and access control system between the landside terminal area and the airside apron environment. The provider will then ensure control of their passengers through the barrier, security of the barrier during passenger processing and be responsible for re-securing the barrier after boarding or disembarking passengers.

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.

Minimum supervision should be one person at the terminal building entry/exit point and a second person at the aircraft. Where the access to the aircraft is not in a direct line to or from the terminal then additional staff should be positioned on the apron to supervise and provide guidance to passengers. Simultaneous boarding via a set of front and rear stairs to an aircraft is likely to require a minimum of three staff to assist passengers.

Passengers should not be allowed onto the apron, whether from the terminal or disembarking the aircraft, when other aircraft are arriving or departing the immediate area. The departure phase may need to include from the time an adjacent aircraft starts its engines depending on such factors as proximity of passenger walkway to the adjacent aircraft, level of supervision and noise output of the adjacent aircraft. Passengers should not be allowed to depart the terminal until the aircraft they are due to board has come to a complete stop, the aircraft engines have stopped, the anti-collision lights have been switched off and its clearly established that it is safe for them to do so.

9.7 Personnel Safety

ORM 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 and in cargo areas. **(GM)**

Auditor Actions

Identified/Assessed PPE requirements and procedures **(HQ)**

Identified/Interviewed management personnel responsible for development of PPE requirements and procedures **(HQ)**

Reviewed the PPE requirements and procedures as identified during the corporate audit. **(ST)**

Identified/Assessed/Recorded local station variations. **(ST)**

Observed use of correct clothing and PPE by personnel employed in airside operations. **(ST)**

Interviewed personnel employed in airside operations regarding the PPE requirements and procedures. **(ST)**

Other Actions (Specify).

Guidance

Refer to the IRM for the definition of Personal Protective Equipment (PPE). Guidance may be found in AHM 630 and ASH Section 1 Apron Safety 1.1-1.3.

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 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 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.

Section 2 – Load Control (LOD)

Changes in GOSM Section 2 (LOD)	
Area Changed	**Description of Changes**
Auditor Actions	All AAs have been revised on content and sequence to be applicable to current and future ISAGO Models.
	Refer to GOSM Introduction for related guidance.
Guidance Material	All GM has been revised with updated references and expanded to better support interpretation of the GOSARPs
LOD 1.1.0	Added standard to control document distribution within the station to all interested parties (to be audited in conjunction with ORM 2.2.5)
LOD 1.2.2	Revised to include elements of A/C deferred Defects items affecting Weight & Balance calculation (previously reported in GM).
LOD 1.3.2	Revised to remove requirements as of ii) (now incorporated in LOD 1.7.2).
LOD 1.5.3	Added standard pertaining to the NOTOC for special loads (formerly only NOTOC condition assessed was for DGR).
LOD 1.6.2	Improved verbiage.
LOD 1.7.2	Revised to include element as derived from LOD 1.3.2 (non-airline DCS to control current Weight and Balance data).

Applicability

Section 2 addresses the load control process, which includes:

- Documentation and General Process
- Load Planning
- Weight & Balance Calculation
- Loading Instruction/Report
- Notification to the Captain (NOTOC)
- Loadsheet
- Departure Control System (DCS)

Reports and Messages

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 and Documentation

1.1 Documentation and General Process

LOD 1.1.0 The Provider shall have a process to ensure that all applicable staff are made aware of the changes to documentation pertaining to the operations of load control. **(GM)**

Auditor Actions

Verified the process that ensure changes to documentation pertaining to the operations of load control are communicated to the applicable staff (sample a significant number of operational functions within the area of operation of the discipline making sure also lowest levels of staff are reached and informed) **(ST)**

Interviewed manager(s), staff of ground handling operations of the operational discipline **(ST)**

Reviewed documented example(s) of communication for the transfer of information to all affected staff **(ST)**

Guidance

The document review and distribution to operational staff either from the Provider, the Operator or any other source (airport, Local authority etc.) is a difficult task. This is true In particular for those functions that do not have direct access to a company computer or are not able to read the documentation in their original language.

The Provider shall have a process to ensure that changes to the operational documentation are communicated in a clear an understandable manner. Various methods may apply (i.e. logs of read & sign, peer to peer briefings etc.).

The auditor shall review as a minimum documentation as listed in the Information sources of the ISAGO audit pertaining to the operational discipline audited and any other document deemed appropriate. Verify effective communication of changes and understanding from all operational staff.

This GOSARP is interlinked with ORM 2.2.1 and ORM 2.2.5 and shall be reviewed in conjunction with it to allow the ORM auditor to complete such assessment.

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 **(ST)**

Observed verbal exchange being documented and/or reviewed previous examples **(ST)**

Observed communication to the person responsible for the final weight and balance calculation **(ST)**

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. This shall include any load information or aircraft data used in the preparation of a load sheet that is communicated to the load controller in the course of producing the load documentation for the flight.

Examples of typical load information included, Aircraft DOW/DOI, Crew configuration, RTOW, MEL limitations, fuel figures, cargo and passenger data, special loads and actual aircraft loading etc. etc.

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 **(ST)**

Reviewed example(s) of a discrepancy being reported to PIC and customer airline **(ST)**

Guidance

Guidance may be found in IGOM 5.5 and 5.7.4.

The GSP shall have processes in place to advise the crew of discrepancies with the weight and balance information or documentation. It should be noted that weight and balance information is relevant at all stages of flight and therefore there should be a process for communicating the information to the aircraft in flight, possibly via the airline ops centre or Air Traffic Control.

Conditions that may generate incorrect loadsheet to the PIC can be various. Some examples may be: wrong fuel figures, incorrect DOW/DOIs, aircraft registration/type, incorrect loading, improper crosscheck between LIR and loadsheet etc.

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 **(ST)**

Observed random sampling of flight files and records (minimum 4 from different carriers if possible) and reviewed contents **(ST)**

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 **(ST)**

Reviewed at least 4 examples of reports, messages and documents showing coding scheme **(ST)**

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 **(ST)**

Reviewed example(s) of previous communications of load limitations **(ST)**

Observed example(s) of identifying and addressing loads that exceed load limitations **(ST)**

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 **(ST)**

Observed load plans being created to include all noted elements **(ST)**
Reviewed example(s) of previous load plans **(ST)**

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 data including configuration, registration, MEL limitations;
- Flight and aircraft limitations e.g. MTOW, RTOW
- Fuel load and distribution;
- Aircraft equipment, crew, catering;
- Equipment in compartment (EIC) shipments;
- Planned deadload, including DGR;
- Expected passenger load;
- 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 to include:

(i) Hold and or locks Inoperative

(ii) Heating system Inoperative

(iii) Ventilation System Inoperative

(iv) Aircraft Fuelling system Inoperative

(v) Any other type of information that may can have a direct impact on the aircraft. **(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 **(ST)**

Observed load plans being created with flight information that had a direct impact **(ST)**

Reviewed example(s) where flight information was considered in the load control process **(ST)**

Guidance

There are also other types of information of the wellbeing of the load (i.e. Live Animals, Perishable etc.) that are related to operational limitation departure.

All of this type of information are communicated by the costumer airline(s) to the GSP through Flight Dispatch or other forms.

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 **(ST)**

Observed weight calculations that were accurate and within limits **(ST)**

Reviewed example(s) of pre-calculation **(ST)**

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 take into account actual loads 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 **(ST)**

Observed example(s) of weight and balance calculations **(ST)**

Reviewed example(s) of a periodic check to confirm data is current **(ST)**

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.

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 **(ST)**

Reviewed example(s) of customers using standard and actual weights **(ST)**

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 **(ST)**

Reviewed example(s) records of supernumeraries **(ST)**

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 **(ST)**

Reviewed transfer of final load information to load control **(ST)**

Observed gate checked items being accounted for **(ST)**

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 **(ST)**

Reviewed transfer of non-normal cabin load information to load control **(ST)**

Guidance

Guidance may be found in IGOM 2.1.2.3, 2.3.

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 equipment, service animals etc. Refer also to PAB 1.1.1.

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 **(ST)**

Reviewed example(s) of when ballast was used **(ST)**

Observed availability of/access to ballast bags **(ST)**

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 unload 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 **(ST)**

Reviewed example(s) of LIRs to include the items noted **(ST)**

Observed certification and signature process **(ST)**

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 **(ST)**

Reviewed example(s) of offload reports **(ST)**

Observed certification and signature process **(ST)**

Guidance

Guidance may be found in IGOM 5.6.3 and AHM 514.

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 on board 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 **(ST)**

Reviewed example(s) of NOTOC **(ST)**

Observed NOTOC samples are accurate, legible, and include information on loads from a previous departure point **(ST)**

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 on board;
- 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 is provided to the PIC, in accordance with the requirements 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 centre.

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 **(ST)**

Reviewed example(s) of NOTOC accessibility **(ST)**

Observed/Reviewed NOTOC communication to customer airline **(ST)**

LOD 1.5.3 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 special loads carried as cargo on board the aircraft that require generation of a NOTOC in conformity with requirements of customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed procedure to provide the PIC with a NOTOC pertaining to special loads in conformity with requirements of customer airline(s)

Interviewed manager(s), staff of load control **(ST)**

Reviewed example(s) of NOTOC pertaining to special loads **(ST)**

Observed NOTOC samples are accurate, legible, and include appropriate information **(ST)**

Guidance

Refer to the IRM for the definition of NOTOC.

In addition to DGR transportation, NOTOC shall be generated for a number of different special loads as required by customer airline (e.g. Live Animals, Perishable, etc.). The person responsible for the generation of Weight and Balance data shall receive this information, identify special cargo loading areas as per aircraft characteristics, complete the NOTOC (load position) and complete calculations and generate related documentation accordingly.

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) All required aircraft data elements are entered onto the loadsheet and are accurate and will include (for example) DOW/DOI, registration fuel figures etc.

(ii) All load information data is entered onto the loadsheet accurately, within the aircrafts structural limits and in accordance with the carrier's instructions. This will included (for example) passengers, baggage and cargo etc.

(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 **(ST)**

Reviewed example(s) of loadsheets issued **(ST)**

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. **(ST)**

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 process to ensure adjustments to the loadsheet to account for last minute changes (LMC) for the weight and/or distribution of the load on the aircraft, are performed in accordance with requirements of the customer airline(s). **(GM)**

Auditor Actions

Identified/Assessed process to ensure adjustments to the load sheet to allow for last minute changes are conducted in agreement with Airline procedures.

Interviewed manager(s), staff of load control **(ST)**

Observed/reviewed last minute changes to loadsheet that account for weight tolerances **(ST)**

Observed/reviewed production of a new loadsheet where LMCs were outside the tolerances.

Guidance

Guidance may be found in IGOM 5.7.3 and AHM 551.

An LMC is a change of load that takes place after the final loadsheet has been issued. It should be noted that not all airlines will allow an LMC to a loadsheet and may require a new edition of the final loadsheet to be issued. In this case no LMC process will exist.

The LMC procedure and weight tolerances of the customer airline(s) must be adhered to.

LOD 1.6.3 If the Provider conducts final weight & balance calculations remotely and/or 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 **(ST)**

Reviewed example(s) of the delivery of data following a failure of the primary communication method **(ST)**

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) **(ST)**

Reviewed example(s) of approval process by customer airline **(ST)**

Guidance

Refer to the IRM for the definition of Departure Control System (DCS).

Guidance may be found in AHM 560, 561 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 that DCS calculation is based on current, published aircraft weight and balance data. **(GM)**

Auditor Actions

Identified/Assessed process to coordinate and exchange information to ensure the DCS is current, maintained and updated

Interviewed appropriate manager(s) **(ST)**

Reviewed example(s) of approval verification or exchange process with customer airline **(ST)**

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 **(ST)**

Reviewed example(s) of each type of message **(ST)**

Guidance

Guidance may be found in IGOM 5.8 and AHM 422, 423, 424, 583, 587, 780 and 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.

Section 3 – Passenger and Baggage Handling (PAB)

Changes in GOSM Section 3 (PAB)	
Area Changed	**Description of Changes**
Auditor Actions	All AAs have been revised on content and sequence to be applicable to current and future ISAGO Models. Refer to GOSM Introduction for related guidance.
Guidance Material	All GM has been revised with updated references and expanded to better support interpretation of the GOSARPs
PAB 1.1.0	Added standard to control document distribution within the station to all interested parties (to be audited in conjunction with ORM 2.2.5)
PAB 1.1.1	Revised standard to include all elements of load data in the sub provisions. This change has incorporated similar elements from PAB 1.1.2
PAB 1.1.2	Removed (content incorporated in PAB 1.1.1)
PAB 1.2	Changed title of Section (to include “departure”).
PAB 1.2.1	Added “documented” to the boarding pass name.
PAB 1.2.2	Added sub-provision for handling labels/tags
PAB 1.2.3	Removed (content incorporated in PAB 1.2.6)
PAB 1.2.5	Improved verbiage to confirm that baggage scales check and calibration oversight is a responsibility of the GSP.
PAB 1.2.6	Revised to incorporate elements of PAB 1.2.3 and improve verbiage.
PAB 1.2.7	Relocated to a more suitable section (removed as PAB 1.2.7 and added as PAB 1.5.5 in section 1.5 Carriage of Weapons).
PAB 1.2.9	Revised wording to address disease outbreaks.
PAB 1.2.10	Inserted a standard for passenger boarding reconciliation in accordance with requirements found in HDL 1.3.1
PAB 1.3.3	Added conditions to include mobility aid batteries that must be accepted in the cabin.

Changes in GOSM Section 3 (PAB)	
Area Changed	**Description of Changes**
PAB 1.4.2	Added requirements to secure passenger information and added the disposal of boarding passes and transit cards.
PAB 1.4.3	Revised to incorporate PAB 1.4.4. Also improved verbiage
PAB 1.4.4	Removed (content incorporated in PAB 1.4.3)
PAB 1.4.6	Added requirement for screening in the security controls for hold baggage (sub provision ii.)
PAB 1.4.7	Improved verbiage, added requirement to keep records when needed
PAB 1.5.1	Revised to incorporate PAB 1.5.2. Also improved verbiage
PAB 1.5.2	Removed (content incorporated in PAB 1.5.1)
PAB 1.5.3	Revised to add need to notify PIC. Also improved verbiage for clarity
PAB 1.5.4	Added standard for the acceptance and handling of weapons by passengers
PAB 1.5.5	PAB 1.2.7 relocated in new PAB 1.5.5 (section 1.5 Carriage of Weapons)
PAB 1.6.1	Improved verbiage
PAB 1.6.2	Revised to incorporate PAB 1.6.6 as procedures are very similar. Also improved verbiage.
PAB 1.6.5	Revised standard to address all passengers' types who require assistance (previously limited to PRM and incapacitated).
PAB 1.6.6	Removed (content incorporated in PAB 1.6.2)

Applicability

Section 3 address passenger and baggage handling operations, which includes:

- Load Control Communication and Documentation
- Check-in and Departure Procedures
- Dangerous Goods
- Security
- Carriage of Weapons
- Special Category Passengers

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.

1. Passenger and Baggage Handling Operations

1.1 Load Control Communication and Documentation

PAB 1.1.0 The provider shall have a process to ensure that all applicable staff are made aware of the changes to documentation pertaining to the operations of passenger and baggage handling. **(GM)**

Auditor Actions

Verified the process that ensure changes to documentation pertaining to the operations of passenger and baggage handling are communicated to the applicable staff (sample a significant number of operational functions within the area of operation of the discipline making sure also lowest levels of staff are reached and informed) **(ST)**

Interviewed manager(s), staff of ground handling operations of the operational discipline **(ST)**

Reviewed documented example(s) of communication for the transfer of information to all affected staff. **(ST)**

Guidance

The document review and distribution to operational staff either from the Provider, the Operator or any other source (airport, Local authority etc.) is a difficult task. This is true In particular for those functions that do not have direct access to a company computer or are not able to read the documentation in their original language.

The provider shall have a process to ensure that changes to the operational documentation are communicated in a clear an understandable manner. Various methods may apply (i.e. logs of read & sign, peer to peer briefings etc.).

The auditor shall review as a minimum documentation as listed in the Information sources of the ISAGO audit pertaining to the operational discipline audited and any other document deemed appropriate. Verify effective communication of changes and understanding from all operational staff.

This GOSARP is interlinked with ORM 2.2.1 and ORM 2.2.5 and shall be reviewed in conjunction with it to allow the ORM auditor to complete such assessment.

PAB 1.1.1 The Provider shall have procedures in accordance with the requirements of the customer airline(s) to identify and communicate and/or transfer to load control, information and data of the individual or cumulative weights of:

(i) Checked in passengers; including non revenue, supernumeries, jumpseat personnel;

(ii) Hold baggage, including items that exceed normal allowances;

(iii) Transfer passengers and baggage;

(iv) DAA and other items taken at the gate for loading;

(v) Non standard passenger groups

(vi) Non-normal items. **(GM)**

Auditor Actions

Identified/Assessed procedures ensuring communicating of information and data

Interviewed manager(s) of load control, passenger services, regarding procedures on how to identify and communicate non-standard loads (i.e. sports groups, mobility aids) **(ST)**

Observed gate activity where items such as mobility aids or oversized baggage are taken from passengers and the method to inform load control **(ST)**

Observed procedure at closure of flight for the transfer of information **(ST)**

Guidance

Guidance may be found in IGOM 1.1.4, 1.1.6.2, 1.1.7, 1.4.3.3, 2.1.2.3, 2.2.3 and 2.3.

Procedures would typically address how all items are identified and how their weight is obtained and recorded, and the types and methods of communication necessary to ensure effective coordination between passenger/baggage handling personnel and the load control office for the transfer of information. Non-normal items can be musical instruments, medical equipment, AVIH, service animals etc. Refer also to LOD 1.3.6

PAB 1.1.2 (Intentionally open)

1.2 Check-in and Departure 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 documented name is issued to each seated passenger during the check-in process. **(GM)**

Auditor Actions

Identified/Assessed procedure for the issuance of boarding passes, including name corrections

Interviewed manager(s), staff of passenger services **(ST)**

Observed check in activity and boarding pass issued **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.1.3.1, 1.1.6.2, and 1.4.2.2.2.

Procedures should also include seating requirements for personnel other than paying passengers who also require a seat, such as non revenue, supernumeraries and any other non operating crew member, as per customer airline requirements. The name on the boarding pass should match the name on the identity document being presented, so procedures should include instructions on name changes or corrections to ensure accuracy.

PAB 1.2.2 The Provider shall have procedures to ensure, when accepting items as checked baggage during check in or at the gate:

(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) Applicable handling labels/tags are added;

(v) 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 **(ST)**

Observed baggage tagging and identification **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.2.1.1, 2.2.4, 2.2.5 and 2.4.2.

Bag identification tags are typically made available at the point of passenger check-in.

Removal of old checked baggage tags or obliterating old labels will eliminate confusion as to the destination of the bag.

Handling label/tags may include fragile, limited release, connection, priority, heavy etc.

PAB 1.2.3 (Intentionally open)

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 **(ST)**

Observed application and use of approval tags and/or sizing devices **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.1.2 and 2.3.4.

Size and weight limits will vary with each customer airline and/or local regulations, and some may require a carry-on baggage acceptance tag be applied.

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), even when the checks and calibration are performed by another entity. **(GM)**

Auditor Actions

Identified/Assessed procedure for the checking and calibration of scales and records are retained

Interviewed manager(s) responsible for checks **(ST)**

Reviewed record(s) of the scales calibration and checks **(ST)**

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, made available for review by relevant authorities.

A provider's process shall ensures controls are in pace to verify that scales are checked and calibrated periodically. The actual checking and calibration activity is generally accomplished by other entities (e.g. customer airline, airport authority) but the provider shall be able to demonstrate oversight of the scales controls and calibrations.

Examples of how this may be accomplished could include a periodic review of the records of calibration and checks with standard weights. Controls of the individual scale calibration stickers only is not considered a sufficient oversight.

PAB 1.2.6 The Provider shall have procedures in accordance with applicable regulations and requirements of the customer airline(s) for the handling and communication to Load Control of special baggage items, to include, as applicable:

(i) Items removed from the passenger by security personnel that are conditionally acceptable for carriage in the aircraft hold;

(ii) Other items removed from a passenger after the check-in process that require loading into the aircraft hold;

(iii) Heavy and overweight baggage/items.

(iv) Other non-normal load items.

Auditor Actions

Identified/Assessed procedure for the handling of heavy and 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 passenger services **(ST)**

Observed handling on non-normal load items, including tagging and identification **(ST)**

Reviewed the method of the transfer of information to load control **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.1.7.1(o, s), 2.1.2.1-3, 2.2.4 (f) 4, 2.3.5, 2.5.4, 5.4 and 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.

The procedure for special baggage items shall include:

- Acceptance(liquids and gels outside of permitted limits, strollers, mobility aids, for example),
- Baggage tag and/or label indicating the final destination,
- Communication to load control, to ensure they are accounted for in the load control process as checked baggage.

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 1.2.7 (Intentionally open)

PAB 1.2.8 (Intentionally open)

PAB 1.2.9 The Provider shall have procedures in accordance with requirements of the customer airline(s) to address:

(i) Prior to flight departure, passengers that are suspected of having a communicable disease.

(ii) Local or regional elevated threat levels of disease outbreak. **(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 **(ST)**

Observed handling of passengers with communicable disease **(ST)**

Reviewed reports made from previous events **(ST)**

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. Additional signage and questioning may be required.

PAB 1.2.10 The provider shall have procedures to secure a flight ensuring controls between checked in and boarded passengers matching and, in case of discrepancies as applicable checked baggage is removed **(GM)**

Auditor Actions

Identified/Assessed procedure for passenger checked in versus passenger boarded and notification to Load and Ramp for bags removal as applicable.

Interviewed manager(s)/staff of passenger services **(ST)**

Observed passenger reconciliation procedure **(ST)**

Reviewed records of variations **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.1.7.1-2

Refer also to HDL 1.3.1 for hold baggage reconciliation.

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 on board the aircraft

Interviewed manager(s)/staff of passenger services **(ST)**

Observed detection and identification techniques at check in and gate **(ST)**

Observed mandatory signage if required **(ST)**

Reviewed reports made from previous events **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in the IGOM 1.1.2 (f), 1.1.7.1 (b), 2.1.1.2 (d), 2.1.2.2 (e), 2.1.2.3 (a), 2.2.3 (d), 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 or in the cabin as required, 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 **(ST)**

Observed handling of battery-operated mobility aids and loading requirements **(ST)**

Reviewed the transfer of information to load control **(ST)**

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. Procedures must include customer airline variations for battery types, and the notification and communication process for the lithium batteries for collapsible aids that must be transported in the cabin. Some customer airlines may require the use of a NOTOC for Pilot notification.

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 and safe disposal of boarding passes, transit cards, baggage tags and passenger information. **(GM)**

Auditor Actions
Identified/Assessed procedure for securing boarding passes, transit cards, and baggage tags
Interviewed manager(s)/staff of passenger services **(ST)**
Observed handling of boarding passes, transit cards and baggage tags **(ST)**
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 regulatory/airport authorities to report and handle security threats and conditions, including:

(i) A bomb threat condition;

(ii) An increased security level;

(iii) A security threat. **(GM)**

Auditor Actions
Identified/Assessed procedure to address security threats as per standard
Interviewed manager(s)/staff of passenger services **(ST)**
Reviewed references to regulatory/airport authorities **(ST)**
Reviewed reports/notifications from previous events **(ST)**
Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.2.3 and AHM 051.

Frontline personnel are in the best position to note abnormalities that could indicate real or potential security threats, or any other security concerns, so they should report any such condition to the attention of the head of security and other relevant managers.

Concepts of non-punitive reporting system are same as in a SMS system.

PAB 1.4.4 (Intentionally open)

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 **(ST)**

Observed baggage in makeup area and/or during transport to the aircraft and loaded **(ST)**

Observed lighting/access/supervision of the areas where baggage is processed **(ST)**

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;
- Challenging anyone in the area without a visible badge or need to be there.

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 to include screening recorded electronically, or manually. **(GM)**

Auditor Actions

Identified/Assessed procedure to ensure hold baggage has been individually identified and subjected to security controls to include screening

Identified/Assessed procedure for the verification and identification of unaccompanied baggage, rush baggage, etc. and that they have been subjected to security controls

Interviewed appropriate manager(s)/staff **(ST)**

Observed baggage being appropriately identified and recorded **(ST)**

Observed baggage being subjected to appropriate security controls **(ST)**

Reviewed unaccompanied baggage labelling and handling **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.5.2.

The intent of this provision is for a Provider to implement procedures to verify and confirm, before a flight departs, that only the baggage of boarded passengers has been loaded.

Some airports may mark or label baggage that has been screened, or the procedures must require baggage to be screened prior to loading, and show how this will be achieved. The method of recording baggage should be described.

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 keep records of hold baggage that has been subjected to and satisfied the specifications contained in PAB 1.4.6, and provide them to the customer airline(s) when requested. **(GM)**

Auditor Actions

Identified/Assessed procedure to keep a record of hold baggage that has been identified and subject to security controls, including unaccompanied baggage

Interviewed appropriate manager(s)/staff **(ST)**

Observed baggage being appropriately identified and records provided **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.4.1.2 (d-e)

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 law enforcement officers or other persons authorized to carry weapons onboard 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:

(i) The check-in, handling and boarding of such passengers carrying weapons

(ii) The notification to the pilot-in-command of the seat number(s) of these persons if permitted by applicable laws involved **(GM)**

Auditor Actions

Identified/Assessed procedure to check in, handle and board passengers authorized to carry weapons

Identified/Assessed procedure to notify the PIC of authorized armed persons onboard

Interviewed manager(s)/staff of passenger services **(ST)**

Observed procedures for check-in, handling and notification to Pilot of law enforcement officers **(ST)**

Reviewed reports/notifications from previous events **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.5.3.

PAB 1.5.2 (Intentionally open)

PAB 1.5.3 If the Provider, handles law enforcement officers with weapons who will not be in possession of them onboard, 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 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.

(iii) The pilot-in-command is informed about the transportation of weapon **(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 **(ST)**

Reviewed authorization of persons determining if weapons are not loaded **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.5.3.

Ammunition is typically treated as a weapon in these cases only.

PAB 1.5.4 The Provider shall have procedures in accordance with applicable regulations and requirements of the customer airline(s) for the acceptance and handling of weapons carried by passengers, including:

(i) An authorized and qualified person has determined any weapon to be checked in is not loaded;

(ii) Any ammunition is carried as per dangerous goods regulations;

(iii) weapons are packaged and labelled as required;

(iv) Declaration forms are completed as per customer airline requirements **(GM)**

Auditor Actions

Identified/Assessed procedure for the handling of weapons as checked baggage

Interviewed manager(s)/staff of passenger services **(ST)**

Observed acceptance and handling of weapons and completion of related documentation/notification **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 2.5.3.

Acceptance and handling of passenger weapons generally includes the following:

- An authorized and duly qualified person determines the weapon is not loaded;
- The weapon is transported in a sturdy container to prevent damage Ammunition is securely boxed and carried separately from the weapon;
- Weapons and ammunition are stowed in an area that inhibits access by any unauthorized person during flight; such weapons are not in the flight deck or retained by a crew member;
- The PIC, transfer and transit stations are notified when weapons and ammunition are carried;
- Arrival security procedures may be required to return the weapons and/or ammunition to the passenger;
- Where the weapon is stowed in a baggage compartment (or hold) that is accessible to persons during flight:
    - The compartment door(s) remain closed and are monitored during the flight;
    - The weapon is packed separately from any ammunition;
    - The weapon is stowed in the compartment in a manner that access is obstructed (or impeded) by other baggage.

PAB 1.5.5 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

Verified documentation is distributed throughout the GSP network to all concerned for proper actions (sample a significant number of stations to confirm correct distribution) **(HQ)**

Interviewed manager(s), responsible for affected procedures generation and distribution **(HQ)**

Interviewed manager(s)/staff of passenger services **(ST)**

Observed handling of undeclared weapons **(ST)**

Reviewed reports made from previous events **(ST)**

Other Actions (Specify)

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 required to travel, subject to 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 **(ST)**

Observed notification to pilot-in-command, prior to flight departure of passengers subject of judicial or administrative proceedings **(ST)**

Reviewed records of prior notifications **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.4.10.

This is an ICAO requirement found in Annex 17 and it refers to the transportation of potentially disruptive passengers which are inadmissible, deportees and/or persons in the lawful custody.

PAB 1.6.2 The Provider shall have procedures in accordance with requirements of the customer airline(s) for the identification and handling of potentially disruptive passengers and passengers that appear to be intoxicated by drugs or alcohol, and for ensuring such passengers:

(i) Pose no danger or security risk to the flight;

(ii) Are denied boarding if applicable;

(iii) Are reported to the customer airline. **(GM)**

Auditor Actions

Identified/Assessed procedure for the handling of potentially disruptive passengers

Identified/Assessed procedure for denying boarding to intoxicated persons or those under the influence of drugs

Interviewed appropriate manager(s)/staff of passenger services **(ST)**

Observed handling of potentially disruptive or intoxicated passengers **(ST)**

Reviewed records of prior reports to customer airlines **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.4.11.

Potentially disruptive and intoxicated 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.
- Such procedures would not apply to medical patients under proper care.

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 **(ST)**

Observed handling of an unaccompanied minor **(ST)**

Reviewed records and paperwork from prior handling **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 1.4.1.

Acceptance requirements may vary by customer airline. Downline station notification is typically included.

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 of:

(i) Persons with reduced mobility (PRM);

(ii) Passengers with visual or hearing impairments;

(iii) Passengers with mental impairments;

(iv) Passengers with service animals;

(v) Passengers travelling on a stretcher;

(vi) Passengers requiring oxygen;

(vii) Passengers requiring medical clearance. **(GM)**

Auditor Actions

Identified/Assessed procedure for the handling of passengers requiring assistance

Interviewed appropriate manager(s)/staff of passenger services **(ST)**

Reviewed records of prior notifications to downline stations **(ST)**

Observed handling of passengers requiring assistance **(ST)**

Observed correct use of special service codes **(ST)**

Other Actions (Specify)

Guidance

Refer to the IRM for the definition of incapacitated passenger.

Guidance may be found in IGOM 1.4.4-9 and AHM 176 and 176A.

Procedures should include identification, methods to communicate, advanced notification requirements, seating needs and restrictions, notifications to crew and downline stations, and correct SSR coding.

PAB 1.6.6 (Intentionally open)

1.7 Hold Baggage Handling and Unit Load Devices (ULDs)*

*** Refer to Section 1 of this manual (ORM), 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.**

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Section 4 – (Intentionally Open)

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Section 5 – Aircraft Handling and Loading (HDL)

Changes in GOSM Section 5 (HDL)	
Area Changed	**Description of Changes**
Auditor Actions	All AAs have been revised on content and sequence to be applicable to current and future ISAGO Models. Refer to GOSM Introduction for related guidance.
Guidance Material	All GM has been revised with updated references and expanded to better support interpretation of the GOSARPs.
Section Applicability	Added sentence to report general concept of sections/provisions applicability. Added references for applicability for Catering Providers.
HDL 1.1.0	Added standard to control document distribution within the station to all interested parties (to be audited in conjunction with ORM 2.2.5).
HDL 1.2 Aircraft Access	Removed text indicating section applicability (as per changes introduced in section “Applicability”).
HDL 1.2.1	Improved verbiage.
HDL 1.2.2	Improved verbiage.
HDL 1.2.3	Improved verbiage.
HDL 1.2.4	Improved verbiage.
HDL 1.2.5	Improved verbiage
HDL 1.2.6	Improved verbiage.
HDL 1.3 Ground Support Equipment	Removed text indicating section applicability (as per changes introduced in section “Applicability”).
HDL 1.3.1	Revised wording to be better aligned with IGOM.
HDL 1.3.3	Revised to add that aircraft arrival procedures shall be in accordance with requirements of customer airline(s). Also improved verbiage.
HDL 1.3.5	Improved verbiage.
HDL 1.3.6	Improved verbiage.

Changes in GOSM Section 5 (HDL)	
Area Changed	**Description of Changes**
HDL 1.3.9	Improved verbiage.
HDL 1.3.10	Improved verbiage.
HDL 1.3.11	Improved verbiage.
HDL 1.3.12	Revised to include conditions acceptable for GSE left with engine running (Cold Weather Operations with the GSE vehicle chocked) aligned with AGM 3.1.8.
HDL 1.4 Passenger Boarding Bridge and Stairs	Removed text indicating section applicability (as per changes introduced in section “Applicability”).
HDL 1.4.4	Improved verbiage.
HDL 1.4.8	Improved verbiage.
HDL 1.4.9	Modified provision to add that boarding bridge malfunctions shall be reported in a timely manner.
HDL 1.7	Added new section HDL 1.7 (HDL 1.7.1 to 1.7.8) applicable to Catering Providers (see also changes in the “applicability” box).
HDL 2. Aircraft Loading Operations	Removed text indicating section applicability (as per changes introduced in section “Applicability”).
HDL 2.3.3	Removed the standard for procedures to address contamination derived from DGR damage or leaking (provision for notification already included in HDL 2.3.2 and applicable to DGR leaking and hazardous contamination removal is not applicable for the audited provider).
HDL 2.3.5	Revised NOTOC procedure to add additional controls. Also improved verbiage.
HDL 2.3.6	Improved verbiage.
HDL 2.4.1	Improved sub provision ii) (Live animal separation) and improved verbiage.
HDL 2.6.3	Removed example of in-plane loading system and reported into GM.
HDL 3. Security	Removed text indicating section applicability (as per changes introduced in section “Applicability”).
HDL 3.1.2	Removed. Procedure is no longer applicable.
HDL 3.1.4	Removed the standard for handling of baggage in case of increased security threat conditions.

Changes in GOSM Section 5 (HDL)	
Area Changed	**Description of Changes**
HDL 3.2.1	Added standard for aircraft security checks and search.
HDL 3.2.2	Added standard for aircraft securing during layover or overnight parking.
HDL 3.2.3	Added standard for reporting of unauthorized presence in the security restricted area.
HDL 3.2.4	Added standard for security checks on in-flight supplies.

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.

Some of the provisions identify operations and procedures that maybe applicable also to staff performing Supervision functions. Individual applicability shall be determined and verified by the Auditor.

Providers of Catering services to be in conformity with ISAGO requirements shall operate in accordance with section (HDL 1.7) and following provisions:

- ORM–Sections 1 to 8
- HDL 1.2 Aircraft access (all)
- HDL 1.3 GSE Movement (1.3.1, 1.3.2, 1.3.4, 1.3.5, 1.3.8, 1.3.9, 1.3.11, 1.3.12, 1.3.13, 1.3.14)
- HDL 1.4 Passenger Boarding Bridge and Stairs (1.4.3)

The Auditor will also 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 and Documentation

1.1 Documentation and General Process

HDL 1.1.0 The provider shall have a process to ensure that all applicable staff are made aware of the changes to documentation pertaining to the operations of aircraft handling and loading. **(GM)**

Auditor Actions

Verified the process that ensure changes to documentation pertaining to the operations of aircraft handling and loading are communicated to the applicable staff (sample a significant number of operational functions within the area of operation of the discipline making sure also lowest levels of staff are reached and informed) **(ST)**

Interviewed manager(s), staff of ground handling operations of the operational discipline **(ST)**

Reviewed documented example(s) of communication for the transfer of information to all affected staff. **(ST)**

Guidance

The document review and distribution to operational staff either from the Provider, the Operator or any other source (airport, Local authority etc.) is a difficult task. This is true In particular for those functions that do not have direct access to a company computer or are not able to read the documentation in their original language.

The provider shall have a process to ensure that changes to the operational documentation are communicated in a clear an understandable manner. Various methods may apply (i.e. logs of read & sign, peer to peer briefings etc.).

The auditor shall review as a minimum documentation as listed in the Information sources of the ISAGO audit pertaining to the operational discipline audited and any other document deemed appropriate. Verify effective communication of changes and understanding from all operational staff.

This GOSARP is interlinked with ORM 2.2.1 and ORM 2.2.5 and shall be reviewed in conjunction with it to allow the ORM auditor to complete such assessment.

HDL 1.1.1 (Intentionally open)

1.2 Aircraft Access

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) served at the station. **(GM)**

Auditor Actions

Identified/Assessed procedures to open cabin access doors, cargo doors and upper deck compartment doors, to be in accordance with procedures of customer airlines

Identified/Assessed training program for the qualification to operate cabin access doors, cargo doors and upper deck compartment doors, to be in accordance with training requirements of customer airlines **(ST)**

Interviewed manager(s) responsible for procedures, training **(ST)**

Interviewed manager(s) responsible for the operation **(ST)**

Guidance

Refer to the IRM for the definition of Aircraft Access Door.

Guidance may be found in IGOM 4.10.2.3 and AHM 430.

Aircraft access doors are:

- Cabin access doors (passenger cabin doors)
- Cargo compartment doors
- Bulk cargo compartment doors
- Upper deck cargo compartment doors

The operation of the above doors is different for the various aircraft manufacturers and types.

Customer airline might have in their Operations Manuals certain elements in the operation of cabin access doors, that add or differ from the IGOM or the Provider.

The provider must obtain, review and implement the specific requirements for their customers at the station.

Access door procedures should include:

- Inspection of access doors prior to operation
- Operation of handles, panels
- Safety requirements in the operation of access doors
- Door sill locks/latches

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 gaps in the walking surfaces between the aircraft and equipment;

(ii) If equipped with side railings, they are extended to the fuselage once positioned. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) of GSE positioning to cabin access doors

Interviewed manager(s), for procedures and quality **(ST)**

Observed GSE positioning operations (focus: minimize gaps in walking surfaces between aircraft and equipment; side railings if used must extend to the fuselage) **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.4, 4.10 and AHM 462.

These requirements apply to all equipment positioned on an aircraft cabin access door (e.g. include PRM lift vehicles, catering trucks).

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 of the customer airline(s) served at the station;

(ii) When a cabin door is opened from inside the aircraft by airline crew, ground personnel must communicate via non-verbal signals to confirm 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 cabin access door is opened. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) applicable to opening each type of door operated by customer airline

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

Identified/Assessed procedure requiring communication from outside to advise all clear to open door

Interviewed staff operating cabin access doors **(ST)**

Observed GSE positioning operations (focus: minimize gaps in walking surfaces between aircraft and equipment; side railings if used must extend to the fuselage) **(ST)**

Guidance

Refer to the IRM for the definitions of Ground Service Equipment (GSE), Integral Airstairs.

Guidance may be found in IGOM 4.10.2.2 to 4.10.2.5.

Cabin access doors shall only be in the open position if there is an appropriate boarding device positioned at the door.

Cabin access doors may not be opened without appropriate equipment positioned at the door.

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 of the customer airline(s) served at the station;

(ii) Conduct an exterior inspection for obstructions that could hinder cabin door closure before attempting to close door;

(iii) Assist the cabin crew member, as necessary, in initiating the cabin door closing movement;

(iv) Inspect the cabin door after closure to confirm it is fully closed and any handles are fully retracted. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) applicable to closing cabin access doors in accordance with procedures of customer airline

Identified/Assessed procedure(s) indicating the removal of GSE as soon as cabin door closed. To also include any customer airline requirements

Identified/Assessed procedure requiring inspection of door from outside as soon as door closed

Interviewed staff operating cabin access doors **(ST)**

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) **(ST)**

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.

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 cabin 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) applicable to re-opening each type of door operated by customer airline

Identified/Assessed procedure(s) communicating with the flight crew. To also include all customer airline requirements

Interviewed staff operating cabin access doors **(ST)**

Observed re-opening of aircraft cabin door **(ST)**

Guidance

Refer to the IRM for the definition of Pilot-in-Command (PIC).

Guidance may be found in IGOM 4.10.2.8 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 to ensure, in accordance with requirements of the customer airlines, that prior to the operation of any cabin access door, GSE including 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 to cabin access door operation for each type of door operated by customer airlines

Interviewed staff operating GSE and cabin access doors **(ST)**

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed GSE positioning before the opening of the cabin access door as per standard requirements **(ST)**

Guidance

Guidance may be found in IGOM 4.10.2.1 and AHM 430.

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 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 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.

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)

GSE Movement

HDL 1.3.1 The Provider shall have procedures that ensure GSE is subjected to a walk around and safety check to verify the equipment is serviceable prior to being utilized in operations. **(GM)**

Auditor Actions

Identified/Assessed procedure(s) for inspection of all GSE prior to being utilized during operations.
Interviewed manager(s), staff of ground handling operations **(ST)**
Interviewed staff operating GSE **(ST)**
Interviewed manager(s) of ground handling operations **(ST)**
Observed inspection process of GSE prior to utilization **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.2.

All GSEs involved in aircraft handling prior to being utilized for operations shall be checked by conducting a walk around check to verify the following:

- Windshield, Mirrors, Windows Cracked/dirty
- Windshield wipers
- Wheels/tires
- Lights/reflectors
- Horn/back-up alarms

- No evidence of fluid leakage
- Cleanliness - interior and exterior (presence of FOD)
- Functional operating controls (levers, switches, etc.)
- Functional operating features (belts, casters, hoses, etc.)
- Brakes & parking brake
- Rubber protective bumpers
- Safety systems and all other proximity sensors

If any items are identified as sub-standard during the pre-inspection the GSE must NOT be used for ground servicing of an aircraft.

When a finding is identified during an inspection, the inspection results must be documented.

Recording the conducting inspections may be documented in the form of a checklist however it is not a requirement.

The providers GSE program must outline reporting and tagging procedures.

The process must ensure that there is no possibility for someone else to use the equipment.

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 procedures 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) of ground handling operations **(ST)**

Interviewed staff operating GSE **(ST)**

Observed parking procedures for GSE in designated areas, and avoiding obstructing firefighting equipment fuel hydrant emergency stop switch areas **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.2 and IGOM 4.4.

HDL 1.3.3 The Provider shall have procedures in accordance with requirements of customer airline(s) 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 on main landing gear and verbal or visual confirmation is given to flight deck crew;

(iv) Cabin door & surrounding 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 to conduct aircraft arrival tasks

Interviewed staff conducting aircraft servicing **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed GSE movement towards aircraft covering the identified actions, including any possible exceptions as identified by customer airlines and airport regulation. **(ST)**

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 and AGM 1.1.3 are identical, and either will apply based on the GSP operational profile. If such operations are performed, both GOSARPs will be correctly assessed.

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 documented procedures 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 staff operating GSE **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed GSE movement towards around aircraft handling during taxiing of aircraft and embarking, disembarking passengers on the ramp **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.1.

Aircraft moving under their own power always have the right of way, when driving any GSE on the apron the drivers must always be alert and looking around for other traffic.

Aircraft traffic moving under their own power will not stop for GSE as pilots assume the other traffic will remain clear.

Open ramp boarding is dangerous for passengers as they are exposed to additional risks as opposed to boarding using bridges.

Passengers on the apron must walk directly to the aircraft access door.

GSE must never drive between the passengers and the aircraft door.

HDL 1.3.5 The Provider shall have a procedure that prohibits GSE from being driven with elevating equipment in the raised position, except during final positioning of the equipment to the aircraft. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to ensure that GSE is not driven with lifting devices in the raised position

Interviewed staff driving GSE Interviewed manager(s) procedures **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed GSE positioning and elevating including final positioning **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.2.

GSE such as belt loaders and ULD loaders are equipped with surfaces that can be raised or lowered.

Some GSE can be driven with some of these lifting surfaces in the raised position, when this occurs the driver's visibility is affected and causes a dangerous situation.

The operation of a hydraulic system while driving (such as raising a belt) may impact other hydraulic operated controls such as the brakes.

Do not drive GSE with lifting devices in the raised position, except for final positioning of the GSE onto the aircraft.

HDL 1.3.6 The Provider shall have procedures that require all loaded dollies or transporters to 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 dollies/transporters. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to ensure that load is secured on all loaded dollies or transporters

Interviewed staff operating dollies or carts **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed dollies and transporter movement **(ST)**

Guidance

Guidance may be found in IGOM 3.7.2, 4.11.2.1.

Cargo and baggage may be loaded inside ULD's or bulk loaded, ULD's are transported on dollies, Bulk load is carried in baggage carts. All locks and latches on dollies must be raised prior to movement.

Baggage carts usually have doors or curtains, these must be closed and secured prior to movement.

ULDs on dollies or transporters must be secured to prevent 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. Nets, ropes, straps, protective materials, etc. are not in a position to drag on the ground, get jammed in rollers, ball-mats or wheels.

HDL 1.3.7 The Provider shall have procedures in accordance with requirements of customer airlines for the positioning of safety cones at the aircraft for the purpose of preventing damage from the movement of vehicles or GSE. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to ensure the positioning of marker cones around parts of an aircraft

Interviewed staff placing safety marker cones **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed positioning of marker cones **(ST)**

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 documented procedures to ensure all GSE movement is directed by guide persons when close to the aircraft and operator visibility is restricted

Interviewed staff operating GSE and guide persons **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed GSE positioning **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.7 and 4.8.2

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 two safety stops:

1. One complete stop prior to entering the ERA;
2. One complete stop as a brake check, while approaching the aircraft at a distance no less than 5 m/15 ft from the aircraft. **(GM)**

Auditor Actions

Identified/Assessed documented procedures driving speed within the ERA and all GSE makes one complete stop before entering ERA

Interviewed staff operating GSE **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed GSE brake check(s) **(ST)**

Guidance

Refer to the IRM for the definition of ERA.

Guidance may be found in IGOM 4.1.3.7.

The brake check prior to entering 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 required for direction of GSE movement around an aircraft:

- Drive tractors and carts within speed limits according to local airport regulations, and take care to avoid sharp turns, jerks and sudden stops.
- Approach the aircraft at walking speed.

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 aircraft fuselage;

(iii) Is parked in a parallel position to the aircraft. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to ensure driving procedures are followed when GSE is driven near an aircraft

Interviewed staff operating GSE **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed GSE towing in conformity with standard **(ST)**

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.

To prevent damage to the aircraft, vehicles, other equipment, or injury to personnel, procedures are required to ensure drivers do not make sharp turns around obstacles immediately after passing them.

Maneuver GSE carefully in order to prevent personnel injury and/or aircraft damage.

The number of carts and dollies in a train shall be limited to the maximum specified by the local airport regulations.

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 wheel chocks installed, if equipped. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to ensure parking requirements are followed when GSE is left unattended

Interviewed manager(s) procedures and quality **(HQ)**

Identified/Assessed Quality checklists containing items which ensure unattended equipment parking requirements are followed

Interviewed staff operating GSE and vehicles **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Guidance

Unattended–A vehicle is considered unattended when the driver is not in the driving position.

Vehicles–Any motorized equipment including a car/van/bus.

Motorized GSE–Motorized equipment that is used for the ground servicing of an aircraft.

Apply parking brakes place the gear selector in the “PARK” or “NEUTRAL” position on all GSE when it is parked or positioned.

Deploy other safety devices if fitted. **wheel chocks installed**.

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, except in Cold Weather Operations with the GSE vehicle chocked. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to ensure that all operating GSE has operator within reach of emergency controls

Interviewed staff operating GSE **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed GSE positioning and handling **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3 and AHM 462.

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 excessively compressed against the fuselage. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to ensure that all GSE positioned on the aircraft has all handrails, safety systems and platforms properly extended and bumpers not pressing against fuselage

Interviewed staff operating GSE **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed GSE positioning **(ST)**

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 462.

If stairs are positioned at the aircraft for the purpose of passenger boarding or deplaning, cabin access doors must not be opened until the stairway stabilizers are deployed.

Stabilizers must remain deployed until the aircraft access door is closed.

In situations where handrails on GSE are not deployed in the raised position then the use of fall protection (in accordance with local requirements) is acceptable as an alternate means of conformity.

Handrails must be retracted during GSE movement and positioning, they are 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 fueling vehicle away from the aircraft;

(iii) Unnecessarily impede the accomplishment of other aircraft handling operations in progress. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to ensure that all GSE positioned at the aircraft, does not obstruct the evacuation of the aircraft, prevent/obstruct the movement of a fuelling vehicle away from the aircraft or unnecessarily impede the accomplishment of other aircraft handling operations in progress

Interviewed staff operating GSEs **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed GSE positioning **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.7 and AHM 462.

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 fueled, the area beneath such exits is kept clear of GSE and/or other obstructions. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to ensure areas beneath aircraft exits are kept clear of GSE &/or other obstructions

Interviewed staff operating GSE and bridges/stairs **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed GSE positioning **(ST)**

Guidance

Guidance may be found in IGOM 4.4.3 and 630.

1.4 Passenger Boarding Bridge and Stairs

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 documented procedures 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 staff operating bridges/stairs **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed bridge/stair checked to be free from conditions that could cause injury to passengers or ground handling personnel **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.4, 4.1.3.5.

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.

The provider must ensure the walking surface is clear prior to allowing the bridge or stairs to be used by passengers for boarding or deplaning.

An inspection is required prior to using a boarding bridge or passenger stair for a flight.

If the inspection was to find an unsuitable condition then arrangements need to be made to rectify the situation.

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 documented procedures to ensure correct position of passenger boarding bridges prior to aircraft arrival and departure

Interviewed staff operating bridges **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed boarding bridge is checked to be positions in the fully retracted position prior to aircraft arrival and departure **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.4 and in the ACI 2.4.0.

Aircraft passenger bridges that are driveable onto the aircraft pose a risk to aircraft and can cause aircraft damage.

Usually engines on left side of aircraft make contact with bridge with extensive damage on engine cowlings.

Markings on apron identifying correct parking position for bridge before aircraft arrival and departure.

Some automated guide in systems have safety features preventing bridge from movement unless they are parked in correct position.

The bridge must be fully retracted or parked in its safe designated parking position during arrival and departure.

Both ramp and passenger services must have as part of their arrival tasks responsibilities to ensure the bridge is correctly parked prior to aircraft arrival and departure.

Supervision must also have oversight of this requirement.

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 documented procedures to ensure clear path for movement of passenger boarding bridge

Interviewed manager(s) and staff of ground handling operations **(ST)**

Observed bridge movement to be conducted only after personnel, equipment and vehicles are clear of the bridge movement path **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.4 and AHM 462.

Most bridges have cameras underneath to see area below bridge, however visibility is limited and procedures shall be in place to ensure a clear path.

Any ground power cables and conditioned air hoses fitted must be stowed while bridge is moving.

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) If vision is restricted, a guide person is used and is in a position to accurately judge clearances and communicate signals to the driver/Operator, or operation is assisted by a video monitoring system. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to operate bridge with nobody in the bridge platform

Identified/Assessed documented procedures on using a signal person when approaching the aircraft

Interviewed staff operating bridges **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed boarding bridge operations **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.4 and AHM 462.

To reduce the risk for falling while the bridge is in motion only the bridge Operator shall be in the bridgehead.

Some bridges have doors at the end of the bridge. If equipped, the doors shall be closed while bridge is moving.

Bridges with limited visibility in general are equipped with a video camera allowing the operator to monitor clearances without a guide person. When this is not the case, guide persons shall be used. They shall be standing on the apron in positions to ensure:

- They have an unobstructed view of the bridge operator
- Their position allows a clear view to judge clearance between the bridge and the aircraft
- They are able to provide visual signals to bridge operator.

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 documented procedures to slowly rest bridge against the fuselage

Identified/Assessed documented procedures to position bridge in a manner that prevents damage to aircraft components

Interviewed staff operating bridges **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed boarding bridge operations **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.4 and ACI 2.4.0.

Protrusions would include various antennae, sensors and probes located near the access door.

In general proximity sensors are installed to limit bridge speed while approaching the aircraft in the final phase but they shall not be used as the main source of reference to prevent aircraft damages.

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 documented procedures to engage auto leveling safety device when bridge is in position

Interviewed staff operating bridges **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed boarding bridge operations **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.4and ACI 2.4.0.

The auto-leveling system shall be engaged to ensure that the aircraft movements up and down due to loading and unloading procedures are compensated for and the aircraft cabin door do not come in contact with the passenger bridge platform.

These auto-level systems must immediately be engaged once the bridge is docked on an aircraft.

These safety devices are also equipped with alarms that sound once the unit begins to malfunction. When this alarm is heard, immediate action must be taken as there is a risk of imminent damage to the cabin door.

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 documented procedures to engage bridge control safety devices when bridge is in position

Interviewed staff operating bridges **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed boarding bridge operations **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.4.

Passenger boarding bridge operator control panels are usually found on the bridge platform.

The bridge controls can be accessible to passengers (especially children) as they board.

Some bridges have safety controls protecting critical switches. If so equipped these safety controls must be engaged to prevent operations by unauthorized persons.

HDL 1.4.8 If the boarding bridges are fitted with safety barriers, the Provider shall have procedures to ensure such barriers are placed across the forward opening of the passenger boarding bridge platform prior to removal from the cabin access door. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to place a safety device across the forward opening of the passenger boarding bridge platform

Interviewed staff operating bridges **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed boarding bridge operations **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.4 and AHM 462.

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 in a timely manner. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to report any bridge malfunctions

Interviewed staff operating bridges **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed boarding bridge malfunctions reporting **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.4 and ACI 2.4.0.

Passenger bridges are equipped with sensors and devices that ensure a safe operation and minimise the risk of damage to the aircraft.

Bridges are normally equipped with proximity sensors, auto level devices, video cameras, control panel devices, and platform safety straps.

If any part is not properly functioning the bridge must not be used, and malfunctions are to be reported to the appropriate authority in a timely manner.

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.

Fueling

HDL 1.5.1 The Provider shall ensure procedures are in place and followed by ground handling personnel during aircraft fueling 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 documented procedures 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 ramp staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed aircraft fueling operations **(ST)**

Guidance

Guidance may be found in IGOM 4.4.

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 documented procedures 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 ramp staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed toilet servicing **(ST)**

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 documented procedures for potable water servicing addressing operation of: aircraft access panels or doors, aircraft servicing controls, equipment-to-aircraft interface, clean-up and leakage check

Interviewed ramp staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed potable water servicing **(ST)**

Guidance

Guidance may be found in IGOM 4.2 and AHM 440.

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 with local health authorities and those of the customer airlines at the station. **(GM)**

Auditor Actions

Identified/Assessed documented procedures for water quality management including sampling and testing

Interviewed ramp staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Reviewed records of water quality standards checks **(ST)**

Guidance

Guidance may be found in IGOM 4.2 and AHM 440

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 documented procedures for potable water servicing addressing prevention of contamination during servicing and equipment positioning

Interviewed ramp staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed potable water servicing operations **(ST)**

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), Subsection 8, for provisions that are applicable to the management of ULDs in station aircraft handling and loading operations.

1.7 Catering

Approaching the aircraft

HDL 1.7.1 If the Provider conducts Catering operations, in addition to requirements for pre-movement inspection as per HDL 1.3.1, the Provider shall have procedures to ensure that:

(i) The load is properly secured (incl. cart brakes), tied down and all doors and shutters are closed

(ii) Seal and security documentation is completed and checked

Auditor Actions

Identified/Assessed documented procedures for pre-movement checks in addition to HDL 1.3.1 as per standard

Interviewed catering vehicle operator **(ST)**

Interviewed manager(s) of catering operations **(ST)**

Reviewed sample(s) of records of seal and security documentation **(ST)**

HDL 1.7.2 If the Provider conducts Catering operations, the Provider shall have procedures to ensure that:

(i) The catering vehicle approaches the aircraft only after the rear anti-collision lights have been switched off and the aircraft wheels are chocked.

(ii) Prior to approach, a visual check of the aircraft must be made to ensure no signs of damage.

Auditor Actions

Identified/Assessed documented procedures to ensure proper approach to the aircraft.

Interviewed catering vehicle operator **(ST)**

Interviewed manager(s) of catering operations **(ST)**

Observed catering vehicle approaching the aircraft **(ST)**

HDL 1.7.3 If the Provider conducts Catering operations, in addition to requirements for GSE approaching and positioning at the aircraft as per HDL 1.3.8 and HDL 1.3.9, the Provider shall have procedures to ensure that:

(i) The vehicle platform is always perpendicular to the aircraft door sill.

(ii) The catering vehicle is chocked with at least one chock at the front and one chock at the rear of the same wheel.

(iii) Vehicle stabilizers are extended (if equipped).

Auditor Actions

Identified/Assessed documented procedures for aircraft and positioning in addition to HDL 1.3.8 and 1.3.9 as per standard.

Interviewed catering vehicle operator **(ST)**

Interviewed manager(s) of catering operations **(ST)**

Observed catering vehicle positioning at the aircraft **(ST)**

HDL 1.7.4 If the Provider conducts Catering operations, in addition to requirements for GSE positioning at the aircraft as per HDL 1.2.2, the Provider shall have procedures to ensure that:

(i) The vehicle body entry door is closed and latched,

(ii) The vehicle body is raised to the correct height,

(iii) The vehicle engine is shut off.

Auditor Actions

Identified/Assessed documented procedures for aircraft positioning in addition to HDL 1.2.2 as per standard.

Interviewed catering vehicle operator **(ST)**

Interviewed manager(s) of catering operations **(ST)**

Observed catering vehicle positioning at the aircraft **(ST)**

Servicing the Aircraft

HDL 1.7.5 If the Provider conducts Catering operations, the Provider shall have procedures to ensure that the aircraft servicing is conducted as follows:

(i) Carts are pushed on and off the aircraft (no pulling)

(ii) No equipment is staged on the platform

(iii) Clearance between the aircraft door and vehicle platform is continually checked

(iv) Security seals are checked and all equipment is stowed as per airline procedures.

Auditor Actions

Identified/Assessed documented procedures to ensure aircraft servicing as per standard

Interviewed catering vehicle operator **(ST)**

Interviewed manager(s) of catering operations **(ST)**

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed catering vehicle servicing operations **(ST)**

Back Off from Aircraft

HDL 1.7.6 If the Provider conducts Catering operations, the Provider shall have procedures to ensure that preparation for backing off the aircraft is conducted as follows:

(i) The load in the vehicle must be properly secured and cart brakes set

(ii) Guardrails shall be retracted and ground clearance over both sides of the truck shall be checked

(iii) The vehicle body shall be lowered into the fully lowered position.

(iv) Front vehicle body door shall be closed and secured

(v) While exiting, the door of vehicle body shall be closed and latched

(vi) A walk around inspection to check for FOD and stabilizer clearance shall be performed.

(vii) Stabilizers shall be raised

Auditor Actions

Identified/Assessed documented procedures to ensure catering vehicle preparation for backing off the aircraft are conducted as per standard.

Interviewed catering vehicle operator **(ST)**

Interviewed manager(s) of catering operations **(ST)**

Observed catering vehicle operations **(ST)**

HDL 1.7.7 If the Provider conducts Catering operations, the Provider shall have procedures to ensure that the backing off the aircraft is conducted as follows:

(i) The back-off route shall be checked to ensure that the area is clear of obstructions.

(ii) The rear chock shall be removed from the wheel and the front chock shall be left in position.

(iii) When a guide is used, guide must be positioned at the rear of the truck on wing side and in full view of the driver and use approved hand signals. Driver must stop immediately if the guide is out of sight.

(iv) Once backing off is completed the front chock shall be retrieved and stowed.

Auditor Actions

Identified/Assessed documented procedures to ensure catering vehicle backing off the aircraft is conducted as per standard.

Interviewed catering vehicle operator **(ST)**

Interviewed manager(s) of catering operations **(ST)**

Observed catering vehicle operations **(ST)**

High Wind Operations

HDL 1.7.8 If the Provider conducts Catering operations, when operating in high wind conditions the Provider shall have procedures to ensure that:

(i) Increased distance between the vehicle and the aircraft is maintained

(ii) No loose items are stowed on the vehicle loading platform

(iii) No loose items are transported on top of catering carts

(iv) Only one catering cart at a time can be pushed and using both hands

(v) Operations conducted with high loaders at winds speeds greater that 40 kts are prohibited. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to ensure catering operations in high wind conditions is conducted as per standard.

Interviewed catering vehicle operator **(ST)**

Interviewed manager(s) of catering operations **(ST)**

Observed catering vehicle operations in high wind conditions **(ST)**

Guidance

In general the airport provides indications of high winds conditions and also specific operational procedures. Definitions of high winds conditions vary from airport to airport.

Design of the newer catering vehicle has improved adding stabilizers to almost every size. These changes may prompt a false sense of safety or possibly a disregard for the winds destructive force.

Extreme caution shall be used while operating in such conditions to ensure adequate safety level for the people and equipment.

2. Aircraft Loading Operations

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 ground stability procedure during loading and unloading operations

Interviewed staff loading aircraft, loading supervisors, load planners **(ST)**

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed loading operations **(ST)**

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 a 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 ground stability procedure during loading and unloading operations

Interviewed staff loading aircraft, loading supervisors, load planners **(ST)**

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed aircraft loading/offloading supervision **(ST)**

Guidance

Guidance may be found in IGOM 4.11.1, AHM 590 and 630.

The person responsible for loading is in charge of, and responsible for, the safe and efficient loading and offloading of the aircraft as well as the protection of the goods carried. This person will ensure the aircraft is loaded as specified by the load agent, in accordance with the operating airline procedures.

In some cases (special flights) the loading supervisor could be provided by the customer airline operating the aircraft (e.g. flying loadmaster).

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

Identified/Assessed ULD inspection procedures during loading and baggage room operations **(ST)**

Interviewed staff loading aircraft, loading supervisors, load planners **(ST)**

Interviewed manager(s), staff of ground handling operations **(ST)**

Reviewed record(s) of ULD damage report **(ST)**

Observed ULD inspection for damage **(ST)**

Guidance

Guidance may be found in IGOM 2.4.1.2, 3.4.2, 4.11.9 and 4.11.14.

Damaged ULDs, besides the operational implications can pose a threat for staff safety (handling and loading) content (damage, loss, protection) and the aircraft (damage).

Procedures, in accordance with requirements of customer airlines, shall be defined to address all the controls, handling and reporting of damaged ULD.

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)

Identified/Assessed load cross checking procedure during loading and unloading operations **(ST)**

Interviewed staff loading aircraft, loading supervisors, load planners **(ST)**

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed loading ULD operations **(ST)**

Guidance

Guidance may be found in AHM 420 and 630.

The Ramp Loading Lead or Ramp Loading Supervisor monitors, verifies and records the on-load operations.

The Load Instruction Report (LIR) is used to record the actual loading details including the ID numbers, weights and aircraft position of the ULD's loaded.

The Ramp Loading Lead or Ramp Loading Supervisor shall confirm and record that the planned load was loaded as planned on the LIR and communicate the completed LIR to Load Control prior to aircraft departure.

HDL 2.1.5 The Provider shall have a process to ensure 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 methods of obtaining, documenting and communicating aircraft loading information and data. Baggage load data, passenger load data and ensuring all passengers are boarded, cargo, mail and COMAT loaded. The assessment includes the communication method of the load data to the individual responsible for the calculation of weight & balance in accordance with all applicable customer airline requirements

Interviewed agents in operations/load office, responsible individual for load office, cargo agents, mail facility agent, manager responsible for automation

Identified/Assessed documentation describing methods of obtaining, documenting and communicating aircraft loading information and data. Assess documentation distribution, automation implementation and methods to ensure the procedures are fully implemented **(ST)**

Interviewed responsible individual(s) for oversight of process, **(ST)**

Observed transfer of loading information and data operations **(ST)**

Guidance

Guidance may be found in IGOM 1.1.7, 2.2.3, 2.1.2.3, 3.5 and 5.4 to 5.8.

Load data to be accurate shall be checked for updating (DOW/DOI), approval from the Airline (DCS system and method used to produce the Loadsheet), and complete (include all elements such as: passengers, Baggage, Cargo, Mail and COMAT).

Load data transfer shall be verified to ensure correct and updated information to Load control.

Typically, data is transferred to Load Control as follows:

- Passenger: automatically at check-in closure on the weight & balance system
- Baggage: entered in the make-up areas/offices directly on the weight & balance system
- Cargo: entered by the cargo Warehouse on the weight & balance system
- Mail: Load Control office is generally advised of weights to be entered in the system
- COMAT: provided by the airline. Handled as per Cargo or per mail depending on the airline procedures.

Deviation might apply depending on the automation of the DCS system used and the interaction with the Airline(s) DCS systems.

HDL 2.1.6 The Provider shall have procedures for ensuring, once an aircraft has been loaded, a Load Instruction Report (LIR) 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 LIR completion and retention procedures

Interviewed manager(s) procedures and quality

Identified/Assessed Quality checklists

Guidance

Guidance may be found in IGOM 5.5, 5.6, 5.7, 5.8 and AHM 514 and 590.

The LIR shall contain all deviations to the planned load, ULD loaded, their position, contents and destination.

LIR shall also be signed by Ramp Loading Lead or Ramp Loading Supervisor attesting that the aircraft has been loaded in accordance to the loading instructions.

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 that these are prevented from being loaded

Interviewed staff loading aircraft, loading supervisors, load planners **(ST)**

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed loading operations **(ST)**

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 mail and baggage transportation

Interviewed staff loading aircraft, loading supervisors, load planners **(ST)**

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed example(s) of cargo transportation **(ST)**

Guidance

Guidance may be found in the IGOM 3.7.

Guidance in IGOM addresses Cargo transportation only. As applicable, procedures to ensure safe and secure movement of mail and baggage between ground facilities and aircrafts or between aircrafts shall be identified and assessed.

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 valuated to identify and prevent the transport of any contamination by leakage of dangerous goods, and notifications are made.

Interviewed staff loading aircraft, loading supervisors, load planners **(ST)**

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed loading operations and LIR completion **(ST)**

Guidance

Guidance may be found in IGOM 2.5.7, 4.11.4 and DGR 9.3 and 9.6.

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 staff loading aircraft, loading supervisors, load planners **(ST)**

Interviewed manager(s), staff of ground handling operations **(ST)**

Reviewed sample(s) of records of tipping prevention charts completed **(ST)**

Observed Loading/unloading operations and tipping prevention procedures **(ST)**

Guidance

Aircraft ground stability is a serious threat which requires strict adherence to the balance limits of an aircraft. Certain aircraft require the use of special equipment to maintain the aircraft stable and prevent it from tipping.

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").

Loading or offloading may cause the aircraft to become unstable or could cause the aircraft to tip.

General procedures for tip prevention are to offload aft holds before forward holds and load forward holds before aft holds.

For certain aircraft types or cargo aircraft, a tail support stanchion or nose tether may be required to be fitted during loading and offloading.

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 documented procedures outlining Dangerous Goods handling & loading procedures

Identified/Assessed documented procedures for Dangerous Goods loading segregation and separation

Identified/Assessed documented procedures outlining prevention of damage to packages and containers during loading

Identified/Assessed documented procedures for NOTOC completion and cross-check

Interviewed manager(s) of ground handling operations **(ST)**

Observed loading of dangerous goods **(ST)**

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, and the removal of the hazardous contamination;

(iv) Immediate notification of the customer airline and relevant authority. **(GM)**

Auditor Actions

Identified/Assessed documented procedures for handling a leaking or damaged DG shipment
Identified/Assessed documented procedures for inspection of aircraft hold, other baggage or cargo and any transporting equipment which may have come into contact with the leaking shipment

Identified/Assessed documented procedures outlining communication requirements

Interviewed loading qualified staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Reviewed notification reports of damaged or leaking DGR **(ST)**

Observed loading of dangerous goods **(ST)**

Guidance

Guidance may be found in DGR 9.2, 9.3, 9.4 and AHM 462.

HDL 2.3.3 (Intentionally open)

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 documented procedures for handling cargo aircraft only shipments

Interviewed loading qualified staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed loading of dangerous goods **(ST)**

Guidance

Guidance may be found in DGR 7.2 and 9.3.

Cargo Aircraft Only shipments are identified by the applicable handling label (black and orange) and all ramp staff involved in the loading process must be familiar with it.

HDL 2.3.5 The Provider shall have procedures that require the following:

(i) The person responsible for loading the aircraft to sign a NOTOC to confirm, or otherwise that:

(a) There was no evidence of leakage from the package(s) or any leakage from the ULDs loaded on the aircraft

(b) The UN number on the NOTOC matches the shipment label

(c) The package or ULD is loaded in the designated position and secured

(ii) 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 documented procedures for completion of the NOTOC

Identified/Assessed documented procedures for distribution and retention of the

Interviewed loading qualified staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Reviewed example(s) of NOTOC for completion and retention **(ST)**

Observed loading of dangerous goods **(ST)**

Guidance

Guidance may be found in IGOM 5.6.4, and in AHM 381 through 384.

The Notification TO Captain (NOTOC) is required for the loading of any DG shipment on any aircraft.

The NOTOC is typically completed by the cargo acceptance warehouse and transmitted to the ramp handler for completion and presenting to the PIC.

HDL 2.3.6 The Provider shall have procedures in accordance with requirements of the customer airline(s), to ensure dangerous goods are loaded onto an aircraft for transport on the flight deck or in the cabin occupied by passengers, in accordance with limited restrictions specified by the Authority or in the IATA DGR. **(GM)**

Auditor Actions

Identified/Assessed documented procedures for loading DG items in the aircraft cabin and flight deck in accordance with limitations specified by the Authority or in the IATA DGR

Interviewed passenger and ramp service staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed DGR loading procedures **(ST)**

Guidance

Guidance may be found in DGR 2.3, 2.5 and 9.3.

Dangerous goods may be carried in the aircraft cabin or On the flight deck of an aircraft only if they are identified for carriage (on person or in carry-on) as listed in Table 2.3.A of the DGR.

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 directed by the Loading Instruction Report;

(ii) Separated from foods, dangerous goods or other AVI which are natural enemies;

(iii) Handled in a manner to minimize the waiting period;

(iv) Not exposed to adverse weather or environmental conditions, during transportation, loading and unloading. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure Live Animals transportation and loading as required

Interviewed staff loading aircraft, loading supervisors **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed Live Animals transportation and loading **(ST)**

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 staff loading aircraft **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Reviewed example(s) of acceptance checklist **(ST)**

Observed Perishable and temperature sensitive healthcare transportation and loading **(ST)**

Guidance

Guidance may be found in PCR 12.3 and 7.3 (perishable) and PCR 17.8.4.2.3 (IATA Checklist).

Perishable cargo must be separated from other non-compatible cargo.

Time and Temperature Sensitive Healthcare products must be accepted in accordance with the Perishable Cargo Regulations–Chapter 17 or the Temperature Control Regulations (TCR) and national legislation.

Acceptance check shall be done by using the IATA checklist, or company checklist for the type of special commodity goods being accepted.

Incompatible perishables must be separated from each other.

Special handling requirements:

- Perishables must be moved into storage, cooler, freezer etc. appropriate for the type in accordance with the Perishable Cargo Regulations.
- Pharmaceuticals must be moved into storage, cooler, freezer etc. appropriate for the type in accordance with the Temperature Control Regulations.

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 staff operating Loading equipment **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed Loading equipment positioning **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.2 and AHM 462.

This requirement applies to all types of ground support equipment:

- Passenger steps (with no auto level sensor)
- ULD Loaders
- Belt Loaders

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 Equipment Restraint Area (ERA). **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure that once loading is completed that GSE is removed and parked outside the ERA

Interviewed staff operating ground loading equipment **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed ground loading equipment being removed outside of the ERA **(ST)**

Guidance

Refer to the IRM for the definition of Equipment Restraint Area.

Guidance may be found in IGOM 4.1.3.7 and AHM 462.

The ERA is generally indicated by a painted line. If no markings exist, local procedures should establish safe movement and parking areas.

The ERA must be free of obstructions and Foreign Object Debris (FOD) before and during aircraft arrival and departure.

Once loading equipment has completed its function on the aircraft turnaround process it must immediately be removed from the ERA.

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 staff operating loading equipment fitted with guide and/or safety rails **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed correct use of guides and safety rails **(ST)**

Guidance

Guidance may be found in IGOM 4.1.3.6 and AHM 462.

All loading devices shall have safety rails and or guides promptly deployed to mitigate risk from falling to person and/or goods.

Typical GSEs fitted with this such devices are: stairs, conveyor belts, belt loaders, ULD Loaders etc.

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). **(GM)**

Auditor Actions

Identified/Assessed documented procedures for the operation of in-plane loading systems

Interviewed ramp loading qualified staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Guidance

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 documented procedures for ULD loading

Interviewed ramp loading staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed loading operations **(ST)**

Guidance

Guidance may be found in IGOM Chapter 4.11.9.

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 are immediately reported to the customer airline prior to loading/unloading and are taken into consideration in the aircraft loading and weight & balance process if ULD's are to be loaded with any missing locks or latches. **(GM)**

Auditor Actions

Identified/Assessed documented procedures for inspecting cargo holds and reporting damaged/missing locks &/or compartment nets

Interviewed ramp loading staff **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Reviewed sample(s) of records of reports of damaged/missing locks or compartment nets **(ST)**

Observed inspecting of cargo holds for damaged/missing locks &/or compartment nets **(ST)**

Guidance

Guidance may be found in IGOM 4.11.9 and AHM 462.

Components of the in-plane loading system found to be missing or unserviceable can be container or pallet locks, nets, roller mats, etc.

Any defects shall be immediately reported to the supervisor, the flight crew, and/or a company representative as required by the operating airline PRIOR to loading anything in the cargo hold, or as soon as they are discovered.

In case a missing/inoperative lock is identified a calculation is required by the weight & balance agents to determine the weight allowed for that position.

3. Security

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 staff in baggage sorting area **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed baggage handling operations **(ST)**

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 transfer and the customer airline requirements, 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).

If the passengers have to collect their hold baggage during the transfer process (because of immigration or security policies of a State) then the hold baggage will have to be handled as originating baggage and subject to screening.

HDL 3.1.2 (Intentionally open)

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 **(HQ)**

Identified/Assessed documentation of baggage reconciliation procedures **(ST)**

Interviewed staff in gates and baggage handling **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observe baggage reconciliation process **(ST)**

Guidance

Guidance may be found in IGOM 2.5.6 and AHM 051.

Refer to the IRM for the definition of Baggage Reconciliation.

This requirement is largely based on security requirements to ensure that unauthorised baggage is not loaded on a flight.

In case of holds capacity or weight limitations the Operator may decide to embark part of the passenger bags on another flight. Specific Operator security procedures shall be applied to allow for such conditions (rush bags).

3.2 Aircraft security

HDL 3.2.1 If required by the customer airline(s) the Provider shall have procedures to conduct an aircraft security check or an aircraft security search to ensure no prohibited items are introduced in the aircraft prior to the departure. **(GM)**

Auditor Actions

Identified/Assessed procedure for aircraft security check or search

Interviewed manager(s), staff of ground handling operations **(ST)**

Reviewed sample(s) of records of aircraft security check or search **(ST)**

Observe conduct of the aircraft search or check **(ST)**

Other Actions (specify)

Guidance

The need for a security check or a security search is typically based upon a security risk assessment accomplished by the customer airline(s) and/or the relevant national authorities.

Trained and competent security personnel, aircraft crew members or other qualified personnel typically conduct searches and checks of aircraft. The Operator typically provides procedures for aircraft checks and searches under normal circumstances, higher threat situations, and emergency situations.

As a general rule, the security checks would include:

- An inspection of the exterior of the aircraft, with special attention to wheel bays and technical areas;
- A comprehensive inspection of the interior of the aircraft, including the passenger cabin area, seats, overhead luggage lockers, toilets, galleys and other technical areas such as the flight deck. The focus is on areas that are readily accessible without the use of common tools. To facilitate the search, panels that can be sealed are sealed, to show their integrity has not been compromised.

In general Providers conduct Cargo Compartment security Check whereas the Cabin check is done by the Operator.

A security search is a more thorough than a security check, and typically includes an in-depth inspection of the interior and exterior of the aircraft.

HDL 3.2.2 If required by the customer airline(s) the Provider shall have a procedures in accordance with applicable local regulations and requirements of the customer airline(s) to ensure for securing an aircraft during layover or overnight parking.

Auditor Actions

Identified/Assessed procedure for securing an aircraft during layover or overnight parking

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed aircraft securing procedures **(ST)**

Other Actions (specify)

Guidance

For the aircraft parked for the layover or overnight the procedure may vary as per customer airline(s) instructions. Typical elements include:

- closing aircraft doors, and
- removing stairs/passenger bridges or;
- applying tamper evident seals to cabin entry doors.

HDL 3.2.3 The Provider shall have procedures in accordance with applicable local regulations and requirements of the customer airline(s) to ensure that any situation of unauthorized presence in the security restricted area is immediately reported to appropriate security authority **(GM)**

Auditor Actions

Identified/Assessed reporting procedures

Interview staff working on the ramp/baggage make-up area/in and around the aircraft **(ST)**

Other Actions (specify)

Guidance

Refer to IRM for the security restricted area definition.

Not displaying a proper identification card is a potential indication that a person might not be authorized in the security restricted area. In any such case, staff is required to report unauthorized person(s) to the security personnel immediately.

HDL 3.2.4 If required by the customer airline(s) the Provider shall have a process to ensure in-flight supplies intended for transport on a passenger flight are subjected to appropriate security controls in accordance with applicable local regulations, and are thereafter protected from unauthorized interference until loaded onto the aircraft. **(GM)**

Auditor Actions

Identified/Assessed procedures for handling in-flight supplies

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed delivery of the in-flight supplies **(ST)**

Other Actions (specify)

Guidance

Refer to AHM 051 (Section 6).

In-flight supplies apart from catering could be blankets, newspapers, headphones, lavatory supplies (toilet paper, paper towels) delivered for the use during the flight.

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Section 6 – Aircraft Ground Movement (AGM)

Changes in GOSM Section 6 (AGM)	
Area Changed	**Description of Changes**
Auditor Actions	All AAs have been revised on content and sequence to be applicable to current and future ISAGO Models. Refer to GOSM Introduction for related guidance.
Guidance Material	All GM has been revised with updated references and expanded to better support interpretation of the GOSARPs
Section Applicability	Added sentence to report general concept of sections/provisions applicability.
AGM 1.1.0	Added standard to control document distribution within the station to all interested parties (to be audited in conjunction with ORM 2.2.5)
AGM 1. Aircraft Arrival and Parking Taxi-in	Removed text indicating section applicability (as per changes introduced in section “Applicability”).
AGM 1.1.2	Added “as required by aircraft type” to the sub provision ii) (Ground power)
AGM 1.1.3	Added that chokes and cones shall be positioned as per aircraft type and airline requirements
AGM 2.1.1	Added specification that marshalling shall be completed as per aircraft type.
AGM 2.1.2	Improved verbiage
AGM 3.1 Pushback and Towing Operations	Removed text indicating section applicability (as per changes introduced in section “Applicability”).
AGM 3.1.1	Added in sub provision i) that boarding bridges shall be not only detached but also parked in designated areas.
AGM 3.1.4	Improved verbiage
AGM 3.1.6	Improved verbiage
AGM 3.1.9	Added Aircraft type specifics to the by-pass pin
AGM 3.2 Conventional Tractor and Towbar	Removed text indicating section applicability (as per changes introduced in section “Applicability”).

Changes in GOSM Section 6 (AGM)	
Area Changed	**Description of Changes**
AGM 3.3 Towbarless Tractor	Removed text indicating section applicability (as per changes introduced in section “Applicability”).
AGM 3.3.2	Added sub provision to include aircraft type selection on the towbarless tract (if applicable).
AGM 3.4 Main Gear Tractor (Power Push Unit)	Removed text indicating section applicability (as per changes introduced in section “Applicability”).
AGM 3.5 Specific Requirements for Towing Operation	Removed text indicating section applicability (as per changes introduced in section “Applicability”).
AGM 4.1 Taxi-Out Departure	Removed text indicating section applicability (as per changes introduced in section “Applicability”).
AGM 4.1.1	Added Passenger loading bridge(s) verification of retraction in to the designated area(s)

Applicability

Section 6 addresses aircraft ground movement operations, which includes:

- Aircraft taxi-in arrival: forward movement of an aircraft to or from the parking position by use of the aircraft engines;
- Marshalling conducted for the above operations;
- Aircraft pushback and Towing: 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;
- Conventional Tractor and Towbar
- Towbarless Tractor
- Main Gear Tractor (Power Push Unit)
- Specific Requirements for Towing Operation
- Taxi-Out

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 sections or individual provisions that may not be applicable to a specific Provider as per type of operations conducted.

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 and Documentation

1.1 Documentation and General Process

AGM 1.1.0 The provider shall have a process to ensure that all applicable staff are made aware of the changes to documentation pertaining to the operations of aircraft ground movement. **(GM)**

Auditor Actions

Verified the process that ensure changes to documentation pertaining to the operations of aircraft ground movement are communicated to the applicable staff (sample a significant number of operational functions within the area of operation of the discipline making sure also lowest levels of staff are reached and informed) **(ST)**

Interviewed manager(s), staff of ground handling operations of the operational discipline **(ST)**

Reviewed documented example(s) of communication for the transfer of information to all affected staff. **(ST)**

Guidance

The document review and distribution to operational staff either from the Provider, the Operator or any other source (airport, Local authority etc.) is a difficult task. This is true In particular for those functions that do not have direct access to a company computer or are not able to read the documentation in their original language.

The provider shall have a process to ensure that changes to the operational documentation are communicated in a clear an understandable manner. Various methods may apply (i.e. logs of read & sign, peer to peer briefings etc.).

The auditor shall review as a minimum documentation as listed in the Information sources of the ISAGO audit pertaining to the operational discipline audited and any other document deemed appropriate. Verify effective communication of changes and understanding from all operational staff.

This GOSARP is interlinked with ORM 2.2.1 and ORM 2.2.5 and shall be reviewed in conjunction with it to allow the ORM auditor to complete such assessment.

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 procedures for 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 **(ST)**

Observed inspection of assigned parking stand **(ST)**

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; (as required by aircraft type)

(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 procedures to ensure 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

Observed controls of required equipment being serviceable **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.9.1.

AGM 1.1.3 The Provider shall have procedures in accordance with requirements of customer airline(s) 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 on main landing gear and verbal or visual confirmation is given to flight deck crew;

(iv) Cabin door & surrounding 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 staff conducting aircraft servicing **(ST)**

Interviewed manager(s) of ground handling operations **(ST)**

Observed GSE movement towards aircraft covering the identified actions, including any possible exceptions as defined by customer airlines and airport regulation. **(ST)**

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 and AGM 1.1.3 are identical, and either will apply based on the GSP operational profile. If such operations are performed both GOSARPs will be correctly assessed.

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

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed aircraft chocking and communication to the flight deck that chocks have been installed **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.7.1 and 4.12.16

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 procedure for aircraft inspection of each arrival prior to GSE including passenger loading bridge being positioned.

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed Aircraft inspection on arrival **(ST)**

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 as per aircraft type, 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 procedures for aircraft marshalling operations, to include customer requirement(s) for: Nose gear-controlled pushback and towing; Main gear-controlled pushback; Powerback; Taxi-in; Taxi-out

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed aircraft marshalling operations **(ST)**

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 have procedures to 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 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 **(ST)**

Observed personnel during marshaling and wing walking operations **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.8 and AHM 463 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

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 and parked in designated area;

(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 procedure for walk-around inspection checks power cables and passenger boarding devices are detached and parked in designated area.

Identified/Assessed procedure for walk-around inspection checks all aircraft servicing panels and/or hatches are closed and latched (except – external power and headset panels)

Identified/Assessed procedure for walk-around inspection checks cabin/cargo doors handles are flush with the fuselage

Identified/Assessed procedure for walk-around inspection checks Landing gear safety pins are removed

Identified/Assessed procedure for 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 **(ST)**

Observed pre-movement walk-around inspection of the aircraft **(ST)**

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 procedure indicating that prior chocks removal the flight deck is notified and flight deck acknowledges

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed chocks removal and flight deck communications **(ST)**

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 equipment are positioned outside the ERA. **(GM)**

Auditor Actions

Identified/Assessed procedure reporting that prior to the aircraft departure check that the ramp surface is clear of items that might cause aircraft foreign object damage (FOD)

Identified/Assessed procedure reporting that prior to the aircraft departure check that the ramp surface condition is adequate for movement operations

Identified/Assessed procedure reporting that prior to the aircraft departure check that the aircraft is clear of all obstacles along the intended movement path

Identified/Assessed procedure reporting that 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 procedure reporting that prior to the aircraft departure check that additional ground staff such as Wing Walkers are present (if applicable/required)

Identified/Assessed procedure reporting that prior to the aircraft departure check that chocks are removed from all wheels and positioned in a dedicated storage area

Identified/Assessed procedure reporting that prior to the aircraft departure check that GSE is positioned outside ERA

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed Controls to be completed prior to aircraft departure **(ST)**

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 have procedures to 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 procedures reporting that standard hand signals used in a clear and concise manner; wear required vest

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed personnel performing assistance function using hand signals and wearing fluorescent identification vests **(ST)**

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 procedures reporting 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 **(ST)**

Observed during aircraft pushback or towing tractor operator communication with the cockpit. **(ST)**

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 via intercom, hand signals or through light indication at aircraft nose landing gear.

AGM 3.1.6 The Provider shall have procedures to 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 procedures reporting that assigned individual ensures personnel involved in the operation are briefed of their individual responsibilities

Identified/Assessed procedures reporting that assigned individual ensures only persons required to perform operating functions are in the operating area

Identified/Assessed procedures reporting that assigned individual ensures personnel involved in the operation are positioned well clear from hazard zones

Identified/Assessed procedures reporting that 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 **(ST)**

Observed aircraft departure assigned person verifying safe performance of ground movement operations **(ST)**

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 and all other personnel involved in operations.

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 procedures reporting that that the equipment utilized for each aircraft ground movement operation is suitable for that specific operation to be conducted taking into account aircraft type, size, weather conditions as well as surface conditions. Suitable pushback tractor is used as per aircraft type and weight.

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed equipment utilized for aircraft ground movement to be suitable for aircraft type and weight, wheatear and surface conditions **(ST)**

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, except in Cold Weather Operations with the pushback vehicle chocked. **(GM)**

Auditor Actions

Identified/Assessed procedures reporting 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 **(ST)**

Observed that during aircraft pushback or towing tractor connected to the aircraft is not left unattended with the engine running **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.1.3.2 and AHM 436.

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 as per aircraft type:

(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 procedures for relevant by-pass pin as per aircraft type is 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 **(ST)**

Observed By-pass pin operations during aircraft pushback or towing **(ST)**

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 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 **(ST)**

Observed steering system depressurization or nose gear steering torque links disconnection **(ST)**

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 procedure reporting that during adverse weather conditions, limits to aircraft movement during pushbacks are slower than normal conditions

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed aircraft pushback operations in poor surface or weather conditions **(ST)**

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 procedure reporting 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 **(ST)**

Observed gentle brake application during pushback or towing **(ST)**

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 procedures that maximum nose gear turn limits where not exceeded

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed nose gear turn limits are not exceeded during pushback or towing operations **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.9.2 and 4.13.2.1

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 procedures reporting that 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 **(ST)**

Observed communications during towing/pushbacks **(ST)**

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 procedures reporting that during aircraft pushback that the communication system is tested for functionality before starting operations

Identified/Assessed procedures reporting that during aircraft pushback that communication with the flight deck is conducted via interphone

Identified/Assessed procedures reporting that during aircraft pushback that a backup method of communication between ground handling personnel and the flight deck is in place for implementation

Identified/Assessed procedures reporting that 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 **(ST)**

Observed communications during towing/pushbacks **(ST)**

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 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 **(ST)**

Observed communications during towing/pushbacks **(ST)**

Observed Instructions for parking brake setting during towing/pushbacks **(ST)**

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 and/or, if removed, the torque link reconnected;

(iii) Receive acknowledgement from the flight deck. **(GM)**

Auditor Actions

Identified/Assessed procedures reporting that prior to the aircraft taxiing personnel provides a final clearance signal to the flight deck

Identified/Assessed procedures reporting that prior to the aircraft taxiing personnel displays the by-pass pin to the flight deck

Identified/Assessed procedures reporting that prior to the aircraft taxiing personnel receives acknowledgement from the flight deck

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed final signal clearance signal and acknowledgement during towing/pushbacks **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.9.3.

3.2 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 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 **(ST)**

Observed chock removal sequence with tractor connection to aircraft during towing/pushbacks **(ST)**

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 procedure 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 **(ST)**

Observed connecting and disconnecting the towbar to the aircraft nose gear and tractor **(ST)**

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 procedure reporting 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 **(ST)**

Observed tractor alignment and towbar wheels retraction **(ST)**

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 procedure reporting that tension is released from the towbar when pushback movement has stopped and prior to disconnecting

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed tension release from the towbar **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.9.5.

3.3 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 procedures reporting that 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 **(ST)**

Observed controls of aircraft nose wheels locked in with the tractor **(ST)**

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 and parked in designated area;

(ii) The flight deck is notified.

(iii) Required Aircraft type is selected in the tractor (if applicable). **(GM)**

Auditor Actions

Identified/Assessed procedures that prior to lifting the aircraft nose wheels with a towbarless tractor that all GSE is removed from the aircraft, flight deck is to be notified and required aircraft type is selected in the tractor settings.

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed prior to lifting the aircraft nose wheels GSE are controlled to be parked in designated areas, pilot notified and proper aircraft type is selected on the towbar **(ST)**

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)

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 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 **(ST)**

Observed check of the remote control system **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in AHM 463.

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 procedures 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 **(ST)**

Observed personnel to verify tractor unit is appropriately configured for the aircraft type **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in AHM 463.

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 procedures reporting 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 **(ST)**

Observed standard terminology to communicate instructions to the flight deck **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in AHM 463.

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 procedure reporting 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 **(ST)**

Observed MGT operator to control the unit indicator lights to verify the tractor rollers are fully open **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in AHM 463.

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 the procedures 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 **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in AHM 463.

3.5 Specific Requirements for Towing Operation

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 procedure that prior to towing operation communication is established between the tractor operator and the flight deck

Identified/Assessed procedure that prior to towing operation aircraft hydraulic brake system pressure and/or the brake accumulator is within required pressure range

Identified/Assessed procedure that prior to towing operation all gear safety pins/sleeves are installed

Identified/Assessed procedure that prior to towing operation pre departure checks are complete

Interviewed manager(s), staff of ground handling operations **(ST)**

Observed towing operations to be completed as per standard requirements **(ST)**

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.

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 procedures reporting that during maneuvering of towing operation authorization of the flight crew or brake operator is given before moving the aircraft

Identified/Assessed procedures reporting that during maneuvering of towing, speed limit is kept within the margins regulated by the towing equipment, aircraft and/or airport

Identified/Assessed procedures reporting 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 **(ST)**

Observed towing operations to be completed as per standard requirements **(ST)**

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 procedure that in case of a break in the coupling, the tractor operator or headset operator immediately notifies the flight deck immediately to stop movement using gentle brake application

Interviewed manager(s), staff of ground handling operations

Interviewed manager(s), staff of ground handling operations **(ST)**

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 procedures reporting 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 **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.11.1.

4. Taxi-Out

4.1 Taxi-Out Departure

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 GSEs are outside the ERA;

(iii) Passenger loading bridge(s) is/are retracted (if applicable) in to the designated area(s)

(iv) 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 procedure for aircraft taxi-out from parking that the required Pre-Departure Servicing Checks are completed

Identified/Assessed procedure for aircraft taxi-out from parking that the GSE is outside the ERA

Identified/Assessed procedure for Passenger loading bridge is fully retracted (if applicable) in to the designated area

Identified/Assessed procedure 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 **(ST)**

Observed taxi-out departure operations to be completed as per standard requirements **(ST)**

Other Actions (Specify)

Guidance

Guidance may be found in IGOM 4.12.10.

Section 7 – Cargo and Mail (CGM)

Changes in GOSM Section 7 (CGM)	
Area Changed	**Description of Changes**
Auditor Actions	All AAs have been revised on content and sequence to be applicable for current and future ISAGO Model. Refer to GOSM Introduction for related guidance.
Guidance Material	All GM has been revised for updated references and expanded to better support interpretation of the GOSARPs.
CGM 1.1.0	Added standard to control document distribution within the station to all interested parties (to be audited in conjunction with ORM 2.2.5).
CGM 1.1.4A	Added recommended practice to identify intervals for use of known weights for scales periodic checks.
CGM 1.1.5	Added “handling” as requirement for storage areas.
CGM 1.2.4	Added ULD Tag indication requirement in the standard.
CGM 1.3.1	Harmonized wording for conditional standards and clarified with a Note acceptance and handling applicability.
CGM 1.3.1B	Added a RP to address GSP verification of qualification for attendant on board the aircraft for live animals (as applicable).
CGM 1.3.2	Harmonized wording for conditional standards and Improved indication for perishable separation.
CGM 1.3.3	Change wording on HUM acceptance.
CGM 1.3.6	Removed requirement for dedicated storage facilities for Fragile Cargo. Improved verbiage.
CGM 1.3.7	Added requirement that COMAT acceptance and handling shall be in accordance with DGR regulations if applicable. Improved verbiage.
CGM 2.1.1	Improved verbiage (“Security Plan” in lieu of “Security Program”).

Changes in GOSM Section 7 (CGM)	
Area Changed	**Description of Changes**
CGM 2.2.1	Standard merged with CGM 2.2.7.
CGM 2.2.2	Improved verbiage to indicate controls specific for high-risk cargo.
CGM 2.2.3	Change wording (“protected” in lieu of “inaccessible”).
CGM 2.2.4	GOSARP removed (stores and supply acceptance).
CGM 2.2.5	Removed (content incorporated in CGM 2.2.6).
CGM 2.2.6	Revised to incorporated CGM 2.2.4 and improved verbiage.
CGM 2.2.7	Reworded to include conditions as per former CGM 2.2.1.
CGM 2.2.8	Added a RP to address screening methods (as per type of commodities, by qualified staff, equipment's to be approved, records to be retained).

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/mail handling and documentation acceptance and distribution;
- Special Cargo Dangerous Goods;
- Other Special Cargo.
- Cargo Security

Unit Load Devices (ULDs) refer to Section 1 of this manual (ORM), 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.

1. Cargo/Mail and Handling and Documentation Acceptance/Distribution

1.1 General

CGM 1.1.0 The provider shall have a process to ensure that all applicable staff are made aware of the changes to documentation pertaining to the operations and handling of cargo and mail. **(GM)**

Auditor Actions

Verified the process that ensure changes to documentation pertaining to the operations and handling of cargo and mail are communicated to the applicable staff (sample a significant number of operational functions within the area of operation of the discipline making sure also lowest levels of staff are reached and informed) **(ST)**

Interviewed manager(s), staff of ground handling operations of the operational discipline **(ST)**

Reviewed documented example(s) of communication for the transfer of information to all affected staff. **(ST)**

Guidance

The document review and distribution to operational staff either from the Provider, the Operator or any other source (airport, Local authority etc.) is a difficult task. This is true In particular for those functions that do not have direct access to a company computer or are not able to read the documentation in their original language.

The provider shall have a process to ensure that changes to the operational documentation are communicated in a clear an understandable manner. Various methods may apply (i.e. logs of read & sign, peer to peer briefings etc.).

The auditor shall review as a minimum documentation as listed in the Information sources of the ISAGO audit pertaining to the operational discipline audited and any other document deemed appropriate. Verify effective communication of changes and understanding from all operational staff.

This GOSARP is interlinked with ORM 2.2.1 and ORM 2.2.5 and shall be reviewed in conjunction with it to allow the ORM auditor to complete such assessment.

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)

Interviewed manager(s), staff of ground handling operations **(ST)**

Reviewed documented example(s) of communication for the transfer of information and data to the load control office (focus: verify actual completeness, accuracy and filing of the information, usually called Pallet Manifest, or ULD Manifest, by comparing with corresponding load sheet of the same flight). **(ST)**

Observed example(s) of communication for the transfer of information and data to the load control office **(ST)**

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 cargo and ground handling operations **(ST)**

Observed example(s) of acceptance and handling of cargo and/or mail for air transport (focus: observe the required labelling, markings, container requirements and required documentation upon acceptance). **(ST)**

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 for addressing cargo and mail that is found to be damaged, for assessing if not fit for transport, and for notifying the customer airline, as defined by the requirements of the customer airline(s)

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed loading operations of damaged cargo and or mail, reviewed notification reports **(ST)**

Guidance

Damaged, tampered, pilfered or missing cargo, once confirmed, must be reported. Such incident may occur during handling, before, during and after air transportation. Assessment, in particular, in case of damaged Dangerous Goods, will confirm whether shipment(s) are allowed, or not, for air transportation.

Upon assessment and documentation of the damage, the provider shall either allow the shipment to proceed for flight or remove from aircraft/flight.

A damage reporting system must be in place, by which the provider shall notify all parties concerned, including customer airline. Such reports should be filed and stored, and comply with the customer airlines' requirements.

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 for ensuring scales utilized to determine the weight of cargo are periodically checked and calibrated, and records copies thereof are retained in accordance with applicable regulations and/or requirements of the customer airline(s).

Interviewed manager(s) staff of cargo handling operations **(ST)**

Observed records of scale inspections to be in conformity with applicable regulations and/or requirements of the customer airline(s). **(ST)**

Guidance

Guidance may be found in AHM 534 and AHM 941.

The accuracy of all scales (weighbridges) used for weight determination of load in general is checked with a known weight at periodic intervals in general at least once every three months).

The calibration is performed on a longer interval (in general is made at least once per year), as well as after every repair.

The results of all checks should be filed, and shall be retained for an identified period of time (in general to show current and previous control checks).

CGM 1.1.4A The periodic checks of scales as described in CGM 1.1.4 should be conducted with known weights at intervals not to exceed once every 6 months.

Auditor Actions

Identified/Assessed process for periodic checks of scales in accordance with CGM 1.1.4 conducted at least every 6 months.

Interviewed manager(s) staff of cargo handling operations **(ST)**

Observed records of scale periodic checks (known weights) **(ST)**

CGM 1.1.5 The Provider *should* ensure cargo handling facilities have specifically configured areas appropriate for the storage and handling of special cargo. **(GM)**

Auditor Actions

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed example(s) cargo handling facilities for the storage and handling of special cargo **(ST)**

Guidance

Guidance may be found in IGOM 3.4.1.

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 baring 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 loaded onto a cargo aircraft. **(GM)**

Auditor Actions

Identified/Assessed documented procedures to include use of a dangerous goods acceptance checklist according to regulations for aircraft type, and all applicable customer airline, state requirements

Identified/Assessed documented procedures to ensure documentation of acceptance/handling of dangerous goods is retained as described in the standard

Identified/Assessed documented procedures to ensure Markings, transport documents related to DGR shipments are in English and in the language required by the State of Origin

Identified/Assessed documented procedures to ensure DGR ULD tag were used, with the appropriate markings on all ULD containers utilized to transport DGR

Interviewed manager(s), staff of cargo handling operations **(ST)**

Reviewed example(s) of DGR acceptance checklists to meet all requirements specified in the standard **(ST)**

Observed dangerous goods acceptance procedure **(ST)**

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 relating to segregation of Dangerous Goods, and other incompatible cargo in accordance with published category restrictions and in accordance with the requirements of the customer airline(s).

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed the segregation of Dangerous Goods, and other incompatible cargo in accordance with published category restrictions and in accordance with the requirements of the customer airline(s). **(ST)**

Observed example(s) during Dangerous Goods build up onto ULDs that build up segregation requirements are being complied with. **(ST)**

Guidance

Guidance may be found in DGR Section 9.

Such requirement would apply even at locations where only general cargo is accepted.

Dangerous Goods which might react dangerously with each other, or with incompatible cargo, in the event of leakage, must be separated, at each stage of the handling. Incompatible cargo may include Live Animals, Perishables, Live Human Organs, Pharmaceuticals and Vaccines. Segregation procedures must be in place, in accordance with DGR (9.3.2 & Table 9.3.A) and the requirements of the customer airline(s) and must be applied upon storage, handling (Pallet build up) as well as loading. The provider facilities must allow dedicated storage space for segregation, and should display segregation Charts (tables).

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 the procedures for notices to be displayed at cargo acceptance locations.

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed the presence of notice(s) prominently displayed at cargo acceptance location(s). **(ST)**

Guidance

Guidance may be found in DGR Section 9.

Such requirement would apply even at locations where only general cargo is accepted.

Notices shall be prominently displayed at cargo acceptance points, to ensure trucks drivers and staff tendering any kind of cargo, are made aware of possible Undeclared Dangerous Goods, contained in the cargo delivered for acceptance.

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) onto a cargo aircraft only, the shipment(s) must bear a “CAO” ULD Tag 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 prepared and loaded in accordance with customer(s) requirements, in cargo only aircraft in either a C Class Compartment, or in a ULD equipped with fire detection/suppression system or and to ensure accessibility on the aircraft.

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed labelling and loading of ULDs containing CAO Dangerous Goods. **(ST)**

Guidance

Refer to the IRM for the definition of Cargo Compartment Classifications.

Guidance may be found in DGR Section 9.

A Class C aircraft cargo compartment, as per DG regulations, can be used to carry baggage or cargo; has separate approved smoke detector or fire detector system that provides a flight deck warning; has an approved built-in fire extinguishing or suppression system controllable from the flight deck; has a means to control ventilation and drafts within the compartment so that extinguishing agent used can control any fire that may start within the compartment. Alternatively to a Class cargo compartment, purpose-built ULDs, individually equipped with fire detection/suppression system, may be used, to load “Cargo Aircraft Only” Dangerous Goods. Such fitted ULDs may not be used, prior to certification by the appropriate authorities, and as per requirements of the customer-airline(s).

Packages or overpacks bearing a CAO label (and subsequently, the corresponding ULDs bearing “CAO” indicated on the ULD Tag), must be built up and loaded, in a way to allow access, by crew or authorized person. They must also be separated from other cargo, whenever possible. Accessibility implies that there must be unimpeded access to the ULD containing the CAO dangerous goods packages, including where applicable, access to the right hand side of the aircraft (in closer proximity to crew) , and/or the dangerous goods are not loaded into a closed container.

1.3 Other Special Cargo

CGM 1.3.1 **If the Provider accepts and/or handles** live animals, 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)**

Note: *Sub-provision i and ii are applicable to acceptance.*

Note: *Sub-provision iii to v are applicable to handling.*

Auditor Actions

Identified/Assessed the procedures for Live Animals acceptance and handling in accordance with the IATA Live Animal Regulations (LAR) and requirements of the customer airline(s)

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed current IATA LAR access **(ST)**

Observed example(s) of Live Animals acceptance and check of required documentation operated in conformity with LAR, and requirements of customer airline(s). **(ST)**

Observed container(s) meeting requirements of animal welfare, and separation from other incompatible loads, in dedicated storage facilities. **(ST)**

Assessed qualification of staff in charge of Live Animals handling. **(ST)**

Guidance

Guidance may be found in the IATA LAR 2.2 and IGOM 3.2.3.

As per IATA Live Animals Regulations, a Live Animal acceptance Checklist should be used, and all documentation must be available, and verified against the AWB and corresponding Live Animals shipment accepted for air transport.

CITES (Convention on International Trade in Endangered Species of Wild Fauna and Flora) dedicated documents may be required, when accepting protected species for air transportations. As per IATA Live Animal regulations, specific State Variations may apply. These may further restrict the acceptance of Live Animals for transportations to these countries.

Each Live Animal species' purpose built container must meet the requirements of the Live Animal Regulations, in terms of construction, ventilation, safety, animal welfare and health, feeding and watering. Stocking densities must be observed. Specific marking and labeling must be applied on each Live Animal container. The shipper is liable for complying with these container requirements (including labeling and marking), which must be checked upon acceptance, by the provider.

Disturbance of Live Animal shipments must be minimal during ground handling. Unauthorized persons and staff must be prohibited from approaching or disturbing animals. Animals must be provided with adequate ventilation and be protected from inclement weather conditions such as excessive sunlight, noise and drafts.

Dedicated Live Animals storage facilities must be in place, allowing for adequate protection from the elements and severe weather conditions relative to the species, as well as adequate ventilation, and noise protection. Segregation must be observed between animals which are natural enemies, as well as from Food, Human Remains, or Dangerous Goods shipments, as well as from laboratory animal shipments.

CGM 1.3.1A (Intentionally open)

CGM 1.3.1B If the provider accepts live animals which require the presence of a Live Animal Attendant on board, the Provider *should* have procedures to verify the attendant is in possession of a Certificate of competence approved by the airline, or equivalent document from a government regulatory body.

Auditor Actions

Identified/Assessed procedures to verify on live animal acceptance, if applicable, the Live Animal Attendant meets the requirements as specified by the LAR and customer airline procedures.

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed records of Live Animal Attendant controls **(ST)**

Observed example(s) of verification of required documentation **(ST)**

Guidance

Live Animal shipments must be in accordance with the IATA Live Animal Regulations (LAR) and must only be handled by appropriate competent staff. Training requirements, expected from the providers (in charge of acceptance and handling), are usually defined by the customer-airlines. To ensure flight safety, the presence of attendant(s) is generally necessary to supervise the behavior of certain animal's species (e.g. horses, elephants) and intervene if needed; attendants must have received adequate training. Especially, they must be qualified to administer tranquilizers and perform euthanasia.

CGM 1.3.2 If the provider accepts perishable shipments, 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) Perishables are appropriately stored (separate from other incompatible Perishables and from other incompatible commodities). **(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)

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed example(s) of acceptance and handling of Perishable shipments as per identified procedure **(ST)**

Guidance

Guidance may be found in IGOM 3.2.5, PCR 10.

All packaging must provide adequate protection of its contents and prevent contamination of other load or spillage or leakage. Packaging methods and construction must be of a standard to withstand normal handling and containment of the contents over the entire period of transportation, and Containers must be sufficiently strong to withstand stacking to levels specified by the airline(s).

Perishable shipments should be labelled with the standard IATA “PERISHABLE” label. Where appropriate, packages and containers of perishable goods should also be labelled with the standard IATA package orientation (“THIS WAY UP”) label When loaded in a ULD, the ULD label/tag should be marked with the “PER” special handling code. In case of Dry Ice used as refrigerant, Dangerous Goods Regulations for details of labelling and marking requirements apply. It is advisable for the shipper to mark all packages with the name, address and telephone number of the consignee and with any special information on the nature of the contents. It should be readily identifiable whether a package contains “Frozen seafood” or “Live seafood” entirely different handling is required.

Temperature is one of the most important segregation factors, IATA Temperature Sensitive Regulations provide a table of commodities that require Segregation from other Perishables, their compatibilities for short and long term storage as well as their risk of contamination.

Perishable handling facilities shall include following areas:

- Processing Area: Different kinds of products are categorized and processed separately. Fruits and vegetables are processed separately from other products such as seafood, fish and meat. Although some flowers may be processed within the same area with fruits and vegetables.

- Working Area: Working areas are specifically assigned locations within a perishable center with controlled environments for specific loads. Each working area has its own temperature control and is large enough for ULD build-up, sorting goods, repackaging and quality control.

CGM 1.3.3 Where Human Remains (HUM) 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 HUM are transported cremated they must be protected from damage and spillage;

(ii) If HUM 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 the process for acceptance and handling of Human Remains in accordance with the requirements of the customer airline(s), including protection from damage and spillage, separation from incompatible loads, and storage.

Interviewed manager(s), staff of cargo handling operations **(ST)**

Reviewed record(s) of Human Remains acceptance **(ST)**

Observed the acceptance, handling and storage of Human Remains to include proper separation from other incompatible loads **(ST)**

Observed the handling of Human Remains, for sealed containers build up and restraint. **(ST)**

Guidance

Human Remains (Coffins of cremated urns) acceptance depends on the customer airline(s) policy. Cremated urns containers must be packed in a neutral outer pack, protecting them from damage, including breakage and/spillage.

Coffins must be separated from live human organs, food or live animals, as they may have negative effects on their welfare. Also, ethical and cultural reasons justify such segregation. They must not be accepted with other consolidated cargo (which are Not Human Remains). They must be built up in sealed containers, protected from damage, and tied-down, ensuring restraint during flight.

Dedicated Human Remains storage facilities should be in place, allowing for separation from incompatible cargo.

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 acceptance and handling of Valuable shipments in accordance with the requirements as specified in the standard and of requirements of the customer airline(s)

Interviewed manager(s), staff of cargo handling operations **(ST)**

Reviewed example(s) records of valuable cargo acceptance **(ST)**

Observed acceptance and handling of Valuable shipments in accordance with the requirements of the customer airline(s), including; advance arrangements for staff and vehicles, while maintaining confidentiality of shipment. **(ST)**

Observed presence of dedicated secured facilities and the storage of Valuable cargo in, to include Oversized Valuable cargo. **(ST)**

Guidance

Guidance may be found in the IGOM 3.2.7.

Operating airline-specific procedures (if accepting Valuable Cargo for transport) shall define advance requirements and arrangements, such as specialized security staff and dedicated valuable transport vehicles. Such vehicles will be used to transport valuable load items between the cargo terminal and the aircraft, and vice versa, in a secure manner. Such requirement may include vehicle dimensions, locking and protection systems, communication systems, as well as alarm system(s).Valuable cargo may not be consolidated with other cargo, and should be handled as a separate category, distinct from regular air cargo.

Procedures shall describe process(es) for ensuring that valuable cargo has been packed and secured so that it cannot be tampered with or removed.

Details about value, contents, routing and storage of Valuable Cargo must be kept confidential and only those details which are absolutely necessary for handling purposes should be made available to the personnel directly involved.

Procedures shall describe process(es) for Valuable cargo not to be left unattended. When valuable cargo arrives at a carrier's cargo terminal for shipment, delivery or transfer, the valuable cargo shall be immediately checked against the air waybills and be placed in an area secured against unauthorized entry.

Procedures shall describe requirements for secured storage facilities.

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 the process for acceptance and handling of Overhang and Heavy Cargo, in accordance with the requirements of the customer airline(s).

Interviewed manager(s), staff of cargo handling operations **(ST)**

Reviewed records of the pre-arrangements (where applicable), load planning & build up process of Overhang and Heavy Cargo. **(ST)**

Observed operations of Overhang and Heavy Cargo acceptance and/or handling

Guidance

Definition of Heavy cargo should be specific to customer airlines, and aircraft load limitations Requirements shall define, for Overhang and Heavy Cargo, processes for proper securing and particular restraint against possible collapse during ground and air operations.

Advance arrangements should be made, in regards to Heavy Cargo, for load spreading, (aircraft) area load limitations, shoring, restraint, in order to ensure that aircraft limitations will not be exceeded, and that Heavy Cargo pallets do not move during air transport.

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) to at least include the following elements:

(i) Handling and build up procedures are followed;

(ii) All special instructions are annotated and clearly identified on the packaging. **(GM)**

Auditor Actions

Identified/Assessed the process for acceptance and handling of Fragile Cargo, in accordance with the requirements of the customer airline(s), including: handling, build up, labelling, & storing

Interviewed manager(s), staff of cargo handling operations **(ST)**

Reviewed example(s) records of Fragile Cargo acceptance **(ST)**

Observed the fragile cargo acceptance, handling, build up, labelling and marking and storing procedures. **(ST)**

Guidance

Guidance may be found in the IGOM 3.2.9.

Operating airline-specific procedures (if accepting Fragile Cargo for transport) shall define acceptance and handling of Fragile Cargo, as to avoid mishandling and damage. Upon build up, Fragile Cargo should be placed on top of other loads, where applicable.

Special handling instructions (labels) must be prominently applied and repeated on the packaging, as to avoid mishandling and damage. Dedicated storage space could be foreseen, as to mitigate the risk of mishandling and damage of Fragile Cargo.

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), and in accordance with IATA DG Regulations for COMAT shipments containing Dangerous Goods. **(GM)**

Auditor Actions

Identified/Assessed process to ensure Company Material (COMAT) shipments are accepted and handled in accordance with the requirements of the customer airlines(s).

Interviewed manager(s), staff of cargo handling operations **(ST)**

Reviewed example(s) records of COMAT acceptance **(ST)**

Observed Company Material (COMAT) acceptance and handling procedures **(ST)**

Guidance

Operating airline-specific procedures shall be available, for the acceptance and handling of customer airlines' Company Material (COMAT). Company Material must be identified with dedicated markings, or labelling. COMAT shall be treated as “regular” cargo and must travel under AWB, or other transport document. If identified as or containing hazardous material, it must be identified, documented, packed, marked and labeled in accordance with the IATA Dangerous Goods Regulations manual.

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 to ensure TSC shipments are accepted and handled in accordance with the requirements of the customer airlines(s).

Interviewed manager(s), staff of cargo handling operations **(ST)**

Reviewed record(s) of temperature sensitive acceptance **(ST)**

Observed acceptance and handling of TSC shipments. **(ST)**

Guidance

Temperature sensitive goods (Typically including Healthcare Products) must be delivered to the provider's warehouse facilities, by mean of transportation (trucks) allowing for temperature range control, as prescribed by the shipper (Temperature requirements being indicated on the AWB and on the package) Truck, van or transportation dollies (on the ramp) should be covered so the cargo is not exposed to the sun and environment. Vehicles should be loaded/offloaded in a manner that minimizes product exposure to temperature extremes and protects the product from damage.

Air Waybill, for Temperature Sensitive Cargo, must include the following elements, and be verified upon acceptance:

- Emergency contact number(s);
- Transportation temperature range of the concerned cargo (Carrier dependent);
- Commodity proper shipping name;
- Dry ice quantity when applicable;
- Container ID code when applicable.

For Time and Temperature Sensitive Healthcare Shipments (also called Pharmaceutical Products), an acceptance checklist must be used. A Dangerous Goods acceptance checklist must be used, when Temperature sensitive shipments also qualify as Dangerous Goods, or if Dry ice is being used.

Ambient temperature during waiting periods should be dictated by the type of packaging utilized and by the instructions provided by the shipper in the quality agreement (also called SLA, signed between airlines and Healthcare Products forwarders).

The packaging systems can be:

- Active packaging: systems are shipping containers with a hard, insulated exterior shell and a mechanical energy distribution system allowing to maintain internal temperature ranges.
- Passive packaging: designed to maintain the product within a specified temperature range for a defined time and temperature profile without the means of a mechanical energy distribution system.

For TSC-HCP, this means the package or system used to maintain temperature during transport is often different for the active pharmaceutical ingredients (API) as opposed to the intermediates, bulk–packaged or final product.

A unique label (as per IATA Regulations) to indicate the specific requirements of Time and Temperature Sensitive air cargo shipments shall be used.

Incompatible cargo may include Live Animals, Perishables, Live Human Organs, Pharmaceuticals and Vaccines, as well as Dangerous Goods. Incompatible Perishables and segregation tables may be found in the IATA Perishable Regulations.

Facilities for perishables shall include a number of cold rooms to be sufficient for the amount of transited perishables. The location of the thermostats should be located away from any direct air supply or doors and well above floor level.

Ventilation must occur in any part of the cold room(s) and it must also travel through the loads. Also loads distribution can result in poor air distribution. Usually a gap of 15 to 30 cm should be kept along every wall.

Further guidance could be found on TCR and PCR Manuals.

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 cargo handling operations **(ST)**

Reviewed special cargo shipment records **(ST)**

Observed special cargo preparation and build up **(ST)**

Guidance

Guidance may be found in the IGOM 3.4.2 and IGOM 3.4.3.

The Provider should be provided with a 'Flight Build Up' load plan, which should be released at agreed time based on the service level agreement, to permit adequate loading time and on time completion of the activity. The following minimum instructions must be provided on such load plans:

- Preparation of all Special Cargo, as per requirements of the customer airlines(s);
- Making sure all documentation and special instructions necessary for load control and NOTOC purposes are recorded and passed on as required;
- Position of ULDs on the aircraft.

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 special cargo break 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 **(ST)**

Reviewed records of special cargo shipment breakdown (storage location assigned) **(ST)**

Observed the breakdown, delivery, and transfer of Special Cargo, to the consignee, in accordance with the requirements of the customer airline(s). **(ST)**

Guidance

Guidance may be found in the IGOM 3.8.

Delivered cargo and ULDs, shall be visually inspected, and checked for accuracy of the correct cargo. Possible evidence of damage/tampering, shall be verified. Prioritize the breakdown of cargo based on the priority of the customer airline(s) product and the nature of the cargo. Special cargo break down, shall be treated as follows:

- Dangerous Goods moved into storage area - segregation maintained as applicable.
- Live animals moved into storage are appropriate for the animal type in accordance with the IATA Live Animal Regulations.
- Perishables moved into storage, cooler, freezer etc. appropriate for the type in accordance with the Perishable Cargo Regulations.
- Pharmaceutical move into storage, cooler, freezer etc. appropriate for the type in accordance with the Temperature Control Regulations.
- Valuable Cargo moves into a secured location.

2. Cargo Security

2.1 Facilities

CGM 2.1.1 The Provider shall have a security plan that describes security controls in place to:

(i) 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;

(ii) Ensure cargo and mail intended for transport on a commercial aircraft, 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 the security plan to describe Security Controls in place, and Cargo and mail is protected from unauthorized interference, and remains inaccessible from unauthorized interference, during handling, and is retained in secure storage.

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed warehouse access controls (persons and vehicles) and Cargo and Mail to be secured in areas that prevent unauthorized interference until transferred to the operation for loading **(ST)**

Guidance

The provider's security plan documents security controls throughout the provider's cargo facilities for various cargo handling activities.

This security plan contains sensitive information, shall typically be made available only to staff involved in cargo security, and describe the requirements pertaining to security of cargo, through all processes of handling (acceptance, storage, loading).

All cargo and mail shall be subjected to adequate security controls before being loaded on an aircraft. All consignments, once secured, must be protected from unauthorized interference (e.g. CCTVs, locked areas, gate readers, and guards) from the time security controls have been applied until the consignments are loaded on an aircraft.

These controls are typically performed by an authority (government, or, airport authority), and/or the provider, or other entity deemed competent by the provider and/or customer airline.

In order to ensure that consignments to which the required security controls have been applied are protected from unauthorized interference during transportation, protective cargo measures shall be in place. These typically include; sealing of secured cargo, storage in a secure area and accessible only to authorized staff, storage and transportation to the aircraft in a security controlled environment (e.g.; CCTV's and guards in the warehouse), guards accompanying ULDs to aircraft, verification of security seal(s) at aircraft side, loading operations monitored by security agents).

2.2 Operations

CGM 2.2.1 (Intentionally open)

CGM 2.2.2 The Provider shall have a process to ensure that cargo and mail consignments identified as high-risk cargo are subjected to the appropriate security controls as required by the applicable regulations and customer airline(s) requirements. **(GM)**

Auditor Actions

Identified/Assessed procedures to ensure that cargo and mail consignments accepted for transport on 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 cargo handling operations **(ST)**

Observed the security controls applied to the cargo and mail consignment upon acceptance. **(ST)**

Guidance

Refer to the IRM for the definition of Security Threat.

Depending on the carrier's requirements (dictated by the respective state's security program), at least two of the approved methods (cf 2.2.1) may have to be implemented, when securing cargo and mail upon acceptance. As per Provider's and airline(s)' respective security programs, the level of cargo security requirements shall be commensurate with threat level. The level of threat being a measure of the probability of an act of unlawful interference being committed against civil aviation. Typically, there are 3 levels of threat, classified as low (base), medium (intermediate), or high.

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 protected from unauthorized interference. **(GM)**

Auditor Actions

Identified/Assessed the procedures for cargo and mail to remain inaccessible from unauthorized interference, from storage at the airport prior to loading onto an aircraft.

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed that cargo and mail remain inaccessible from unauthorized interference, from storage at the airport prior to loading onto an aircraft. **(ST)**

Guidance

Secured cargo and mail must remain protected from unauthorized access and interference. This protection of the secured cargo and mail is usually ensured by a combination of several methods, as applied by the provider, in the storage facilities and while loading shipments onto the aircraft. These methods typically include; sealing of secured cargo (security seal applied onto ULDs, or at piece level), storage in a secure area and accessible only to authorized staff, storage and transportation to the aircraft in a security controlled environment (e.g. ; controlled access, CCTV's and guards in the warehouse), guards accompanying ULDs to aircraft, verification of security seal(s) at aircraft side, loading operations monitored by security agents).

Security measures that address landside and airside facility access for vehicles and personnel, as well as the protection of cargo so as to prevent acts of unlawful interference, would normally be found in the applicable national civil aviation security program or in customer airline(s) procedures.

CGM 2.2.4 (Intentionally open)

Regulated Agent and Known Shipper Programs

CGM 2.2.5 (Intentionally open)

CGM 2.2.6 The provider shall have a process to ensure, where a regulated agent or known shipper program exists, known cargo for transport on a commercial aircraft is accepted as follows:

(i) Delivered by a regulated agent, a nominated representative of an entity approved by the relevant authority, or a known representative of the operator;

(ii) Free from any signs of tampering;

(iii) Accompanied by all required information (paper or electronic) corresponding to the cargo being delivered, including documentation that details the security status (e.g. consignment security declaration);

(iv) Subjected to additional security controls if required by the customer airline. **(GM)**

Auditor Actions

Identified/Assessed process to ensure know cargo is accepted as per minimum specification in the standard

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed example(s) of acceptance of consignment from a Regulated Agents or Known Shipper **(ST)**

Guidance

Refer to IRM for the definition of known cargo

If evidence of security controls is provided when a shipment is transferred from a stakeholder to another one (from Regulated Agent to Regulated Agent, from Regulated Agent to Airline, from Airline to Airline, from Airline to Regulated Agent), then cargo may be considered as secured and no further security screening is required upon acceptance in the provider's facilities. Regulated Agent database shall be available from the customer airline(s), allowing identification of approved truck, truck drivers, and any other details pertaining to approved entity, delivering cargo for acceptance.

The consignment shall be packed or sealed by the regulated agent, known consignor or account consignor so as to ensure that any tampering would be evident.

Evidence that security controls must be available in paper or electronic format. The most common document used is the Cargo Security Declaration (CSD).

Known cargo consignments once in the storage facilities, must be physically protected so as to prevent the introduction of any article which might be used in an act of unauthorized interference (prohibited article). They must not left unattended and their access must be limited to persons involved in the protection and loading of cargo and mail onto an aircraft.

Customer-airline(s) or providers' respective security programs, may define, in accordance with their respective authorities, and as required by risk assessments, additional security measures, in the event of anyone of the conditions that identify a known cargo are not met.

In addition to the X-ray machine, such additional security measures may include, Rescreening of cargo, Visual check, Hand search, Explosive detection dogs (EDD), or, Explosive trace detection (ETD).

CGM 2.2.7 The provider shall have a process to ensure, where a regulated agent or known shipper program does not exist, unknown cargo for transport on a commercial aircraft is accepted in compliance to appropriate security controls 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 process to ensure unknown cargo is accepted as per minimum specification in the standard

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed example(s) of acceptance of consignment of unknown cargo **(ST)**

Guidance

Refer to the IRM for the definitions of Unknown Cargo, Regulated Agent and Known Shipper

Guidance may be found in IGOM Chapter 3.1.2.

Unless cargo is accepted from a Regulated Agent and Known Shipper (Whereby securitization of the cargo would happen before acceptance at the providers' facilities, as accepted or required by the applicable civil aviation security authorities), all cargo and mail shall typically be secured by X-ray equipment and, where applicable, by at least one of the commonly approved additional methods; EDD (Explosive detection dogs); ETD equipment (Explosive trace detection); Hand search, Visual check.

CGM 2.2.8 If the Provider conducts security screening for cargo and mail, the Provider *should* have procedures to ensure that methods used for screening are in compliance with requirements of the State(s) applicable regulations and customer airline(s) requirements, to include:

(i) Application of the method or a combination of methods appropriate to the type of commodity screened;

(ii) Screening is performed by trained and certified personnel;

(iii) Records of screening method(s) used are filed and available to the customer airline. **(GM)**

Auditor Actions

Identified/Assessed procedures indicating screening methods, in conformity with applicable regulations and airline requirements, include type of commodity screening, staff qualification and equipment approvals.

Interviewed manager(s), staff of cargo handling operations **(ST)**

Observed screening operations **(ST)**

Guidance

Cargo security controls applied by the provider shall be in compliance with local State requirements, the requirements of the State of the customer airline transporting the cargo and the customer airline.

Due to the diverse nature of cargo shipments it should be considered to assess applicability of different screening methods to increase probability of detection and at the same time reducing false-positives rate.

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www.iata.org/publishing
custserv@iata.org
+1 800 716 6326