**ATS FRMS Evaluation Form**

**To be completed by Fatigue Safety Action Group (FSAG or equivalent) of the organisation:**

|  |  |
| --- | --- |
| **Organisation:** | **Approval/Certificate Reference(s):** |
| **FRMS Manual/ SMS Manual Revision:** | **Evaluator(s):****Name:****Department:****Position:** |
| **Scope of Evaluation:** | **Date of completion of the assessment by organization:** |

**To be completed by CAAT staff:**

|  |  |
| --- | --- |
| **Name:** | **Department:** |
| **Date of completion of the assessment by CAAT:** |
| **Scope of Evaluation:** |

**How to use the checklist:** The following ATS FRMS evaluation form can be adapted for use by both CAAT and the ATSP at different stages of FRMS implementation (i.e. for the gap analysis, assessment of the FRMS trial, and during continued oversight)

**Definitions used in the checklist:** Performance and compliance markers identify a series of elements within each of the FRMS components. These markers are evaluated according to the following criteria , to allow assessment of compliance and their effectiveness:

|  |  |
| --- | --- |
| **Present (P):** | There is evidence that the ‘marker’ is clearly visible and is documented within the organization’s FRMS Documentation. |
| **Suitable (S):** | The marker is not unsuitable based on the size, nature, complexity and the inherent risk in the activity that would also consider the industry sector. |
| **Operating (O):** | There is evidence that the marker is in use and an output is being produced. |
| **Effective (E):** | There is evidence that the element or component is effectively achieving the desired outcome. |

The ATS FRMS evaluation form is presented in two parts:

**Part 1** provides a summary evaluation that can be used to determine the presence of the key components of an FRMS. It provides a description of performance criteria for each of the key components, allowing evaluation of the Service Providers’ development in each of the key component areas over time. “Excellence” markers are included to support ongoing oversight of the Service Provider. As the FRMS matures, the State should encourage Service Providers to move towards these markers as part of a performance based approach to continuous improvement.

**Part 2** builds on Part 1 by identifying a series of elements within each of the FRMS components to be evaluated for effectiveness and ongoing development.

The key components and elements identified in the following example FRMS evaluation form constitute the features of an FRMS. Where an organization has integrated their FRMS into their SMS, evidence of these FRMS features need to be clearly and appropriately identified.

**Part 1:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **FRMS Component** | **Initiating** | **Present and suitable** | **Operating** | **Effective** | **Excellence** |
| **The FRMS as a whole** | *The FRMS is still at the implementation stage.* | *Achieved a successful regulatory milestone two assessment.* | *The systems and processes of the FRMS are operating* | *The FRMS is working in an effective way and is striving for continuous improvement* | *The organization is an industry leader and embraces and shares its best practice.* |
| **Safety Policy and Documentation** | *The FRMS is still at the implementation stage.* | *Achieved a successful regulatory milestone two phase 1 assessment.* | *There is a safety policy in place and Senior Management are committed to making the FRMS work and is providing appropriate resources to safety management.* | *Senior Management are clearly involved in the FRMS and the FRMS Policy sets out the organizations intent to manage safety and is clearly evident in the day to day operations.* | *The organization is an industry leader and embraces best practice.* |
| **Risk Management** | *The FRMS is still at the implementation stage.* | *Achieved a successful regulatory milestone two assessment.* | *The hazard and risk registers are being built up and risks are starting to be managed in proactive manner.* | *The organization is continuously identifying hazards and understands it biggest risks and is actively managing them and this can be seen in their safety performance. Fatigue Safety Risk management is proactive and predictive.* | *Key Personnel throughout the organization are aware and understand the risks relative to their responsibilities and are continuously searching out new hazards and risks and re-evaluating existing risks.* |
| **Safety Assurance** | *The FRMS is still at the implementation stage.* | *Achieved a successful regulatory milestone two assessment.* | *The Organization has established SPIs that it is monitoring and is auditing and assessing its FRMS and its outputs.* | *The organization assures itself that is has an effective FRMS and is managing its risk through audit, assessment and monitoring of its fatigue safety performance.* | *The organization is continuously assessing its approach to FRMS, is continuously improving its performance and seeking out and embracing best practice.* |
| **FRMS Promotion** | *The FRMS is still at the implementation stage* | *Achieved a successful regulatory milestone two assessment* | *The organization has trained its people and has several mediums for fatigue awareness and countermeasures promotion that it uses for passing on fatigue safety information* | *The organization puts a considerable resource and effort into training its people and publicising its safety culture and other safety information and monitors the effectiveness of its fatigue safety promotion* | *In addition the organization provides training and safety promotion to its non-operational stakeholders and actively researches fatigue risk awareness and training from other industry’s demonstrating continual learning.* |

**Part 2:** Part 2 of the FRMS Evaluation Form is separated into sections relating to the components of an FRMS:

**FRMS Policy and Documentation**

* 1. **Management of Commitment and Responsibility.**

The organization should define its FRMS policy in accordance with international and national requirements. ICAO SARPs also require that it be signed by the Accountable Manager of the organization. The FRMS policy should reflect organizational commitments regarding fatigue management, including a clear statement about the provision of the necessary resources for its implementation and be communicated, with visible endorsement, throughout the organization. The FRMS policy should include the fatigue reporting procedures and clearly indicate which types of behaviours are unacceptable and shall include the conditions under which disciplinary action would not apply. The FRMS policy should be periodically reviewed to ensure its remains relevant and appropriate to the organization.

**Note:** EFFECTIVENESS is achieved when the organization has defined its FRMS policy that clearly states its intentions, objectives and philosophies and there is visible evidence of safety leadership and management ‘walking the talk’ and demonstrating by example.

| **Compliance & Performance Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 1.1.1 | There is a FRMS policy that includes a commitment towards achieving the highest practical management of fatigue risk signed by the Accountable/Executive Manager | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.2 | FRMS practice reflects the published FRMS policy | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.3 | The Accountable/Executive Manager and the senior management team promote and demonstrate their commitment to the FRMS Policy | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.4 | The FRMS policy is communicated to all employees | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.5 | The FRMS policy includes a commitment to observe all applicable legal requirements, standards, FRM principles and appropriate resources. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.6 | The FRMS policy actively encourages fatigue reporting | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.7 | The FRMS policy states the organization’s intentions, management principles and commitment to continuous improvement in the FRMS. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.8 | The FRMS policy is reviewed periodically to ensure it remains current. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.9 | There is evidence of decision making, actions and behaviours that reflect a positive safety culture. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

| **Excellence and Best Practice Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 1.1.10 | Personnel at all levels are involved in the development and maintenance of the FRMS. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.11 | FRMS policy principles are implemented and respected at all levels of the organization. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.12 | FRMS is visible to all personnel and is reflected appropriately in key documentation and communication initiatives. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.13 | FRMS policy objectives complement the organization’s goals and mission statements | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.1.14 | The organization has an ongoing assessment process that verifies that personnel throughout the organization are familiar with and have understood the policy and its message. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

* 1. **Management of Commitment and Responsibility.**

The organization must identify the accountable executive who, irrespective of other functions, has ultimate responsibility and accountability, on behalf of the organization, for the implementation and maintenance of the FRMS. The organization shall also identify the fatigue risk management accountabilities of all members of senior management, irrespective of other functions, as well as employees, with respect to the performance of the FRMS. FRMS responsibilities, accountabilities and authorities shall be documented and communicated throughout the organization.

**Note:** EFFECTIVENESS is achieved when there are clear lines of accountability throughout the organization including an accountable person who has ultimate accountability for the FRMS and the Accountable Executive/Manager and management team fully understand the fatigue risks faced by the organization.

| **Compliance & Performance Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 1.2.1 | An Accountable Executive/Manager has been appointed with full responsibility and ultimate accountability for the FRMS to ensure it is properly implemented and performing effectively. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.2.2 | The Accountable Executive/Manager ensures appropriate financial and human resources required for the proper implementation of an effective FRMS | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.2.3 | The Accountable Executive/Manager is fully aware of their FRMS roles and responsibilities in respect of the fatigue policy and processes and safety culture of the organization. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.2.4 | FRMS accountabilities, authorities and responsibilities are defined throughout the organization. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.2.5 | Staff at all levels are aware of and understand their FRMS accountabilities, authorities and responsibilities regarding all management processes, decisions and actions that could be affected by fatigue. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.2.6 | Fatigue risk management is shared across the organization (and is not just the responsibility of the Safety Manager and his/her team) | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.2.7 | There is evidence of employee involvement and consultation in the development and maintenance of the FRMS. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

| **Excellence and Best Practice Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 1.2.8 | There is evidence that FRMS principles have penetrated all levels of the organization and the impact of fatigue on the operation is part of the daily operations considerations. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.2.9 | FRMS accountabilities throughout the organization are clearly documented and acknowledged by the relevant individuals. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.2.10 | There is evidence that senior management recognises and acknowledges the importance of FRMS engagement from all levels of the organization. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

* 1. **Appointment of Key Personnel.**

The organization shall identify a manager to be the responsible individual and focal point for the implementation and maintenance of an effective FRMS. In addition the committee(s) that supports the Accountable Manager and the Safety Manager in delivering an effective FRMS should be defined and documented.

**Note:** EFFECTIVENESS is achieved when the FRMS is facilitated by the responsible individual and there is a structure of key personnel from the various operational areas of the organization.

| **Compliance & Performance Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 1.3.1 | A competent person with the appropriate knowledge, skills and experience has been nominated to manage the operation of the FRMS. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.3.2 | The person managing the operation of the FRMS fulfils the required job functions and responsibilities. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.3.3 | There is an appropriate reporting line between the FRMS manager and the Accountable Executive/Manager. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.3.4 | The organization has allocated sufficient resources to manage the FRMS including manpower for the investigation, analysis, auditing and promotion of fatigue issues. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.3.5 | Key staff are trained and kept current in keeping with their roles and responsibilities | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.3.6 | The organization has established a structured fatigue safety action group or committee, appropriate for the size and complexity of the organization, consisting of a full range of senior management representatives. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.3.7 | The fatigue safety action group / committee includes all stakeholders and other experts as required. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

| **Excellence and Best Practice Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 1.3.8 | Where the FRMS is integrated into the SMS, the Safety Review Board or its equivalent monitors the FRMS performance of the operations and the effectiveness of the FRMS and is normally chaired by the accountable executive. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.3.9 | The fatigue safety action group / committees are focused on fatigue risk management issues and all attendees fully participate. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

* 1. **FRMS Documentation.**

The organization shall develop and maintain FRMS documentation describing the policy and objectives, the FRMS requirements, processes and procedures, the accountabilities, responsibilities and authorities for processes and procedures, and the FRMS outputs. The organization shall develop and maintain a Fatigue Risk Management System manual to communicate its approach to the management of safety throughout the organization, or shall incorporate the FRMS documentation into its existing organization documentation.

**Note:** EFFECTIVENESS is achieved when the organization has FRMS documentation that describes their approach to the management of fatigue that is used throughout the organization and is regularly reviewed and updated.

| **Compliance & Performance Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 1.4.1 | There is documentation that describes the FRMS and the interrelationships between all of its elements. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.4.2 | FRMS documentation is regularly reviewed and updated with appropriate version control in place | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

| **Excellence and Best Practice Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 1.4.5 | FRMS documentation is appropriately referenced or reflected in existing organizational manuals | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 1.4.6 | The company has analysed and uses the most appropriate medium for the delivery of documentation at both the corporate and operational levels. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

**Fatigue Risk Management Processes**

* 1. **Fatigue Risk Identification.**

The organization shall develop and maintain a formal process that ensures that fatigue risks are identified. This should include the investigation of reportable incidents and accidents, even where fatigue was not primarily cited to identify potential fatigue risks. Fatigue risk identification shall be based on a combination of reactive, proactive and predictive methods of data collection as identified in the FRMS manual.

**Note:** EFFECTIVENESS is achieved when fatigue risks are being identified and reported throughout the organization. Fatigue risks are captured in a risk register and assessed in a systematic and timely manner.

| **Compliance & Performance Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 2.1.1 | The organization has a fatigue reporting system to captures errors, hazards and near misses that is – practical and accessible to all staff. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.2 | The organization has proactively identified all the major fatigue risks and assessed them in relation to its current activities and operational context. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.3 | The fatigue reporting system provides appropriate feedback to the reporter and the rest of the organization. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.4 | Fatigue investigations are carried out to identify underlying causes and potential level of risk. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.5 | Fatigue reports are acted on in a timely manner. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.6 | Fatigue risk identification is an ongoing process and involves all key personnel and appropriate stakeholders. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.7 | Personnel responsible for investigating reports are trained in investigation techniques. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.8 | Investigations establish causal/contributing factors (why it happened, not just what happened) | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.9 | Personnel are aware of the organizations reporting policy and process | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

| **Excellence and Best Practice Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 2.1.10 | There is an active fatigue reporting system with reporting levels appropriate to the operational circumstances and related metrics. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.11 | Fatigue Reports include the reporter’s own errors and events that the reporter would not normally report (roster and personal non-roster actions that affected fatigue). | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.12 | The fatigue reporting system empowers personnel to propose preventative and corrective actions. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.13 | Output from the fatigue reporting system is utilised throughout the organization. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.1.14 | There is a process in place to analyse fatigue reports and risk registers to look for trends and gain useable management information. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

* 1. **Fatigue Risk Management and Mitigation Process.**

The organization shall develop and maintain formal process that ensures analysis, assessment and control of fatigue risks in operations to as low as reasonably practicable.

**Note:** EFFECTIVENESS is achieved when there is a formal process that ensures analysis, assessment and control of the fatigue risks in operations to as low as reasonably practicable

| **Compliance & Performance Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 2.2.1 | There is a structured process for the management of fatigue risk that includes the assessment of fatigue risk, that takes into consideration scientific knowledge and operational influences. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.2.2 | There are criteria for evaluating the level of fatigue risk the organization is willing to accept. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.2.3 | The organization has fatigue risk control strategies that include control, avoidance, acceptance, mitigation, elimination and where applicable a corrective action plan. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.2.4 | The organization has fatigue risk control strategies that include control, avoidance, acceptance, mitigation, elimination and where applicable a corrective action plan. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.2.5 | Fatigue risk management is routinely applied in decision making processes. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.2.6 | Effective and robust mitigations and controls are implemented. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.2.7 | Fatigue risk assessments and ratings are appropriately justified against scientific principles and operational knowledge. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.2.8 | Senior management have visibility of medium and high fatigue risks and their mitigation and controls. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

| **Excellence and Best Practice Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 2.2.9 | There is evidence that fatigue risks are being managed to as low as reasonably practical. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.2.10 | The organization uses its fatigue risk management results to develop best practice guidelines. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.2.11 | The fatigue risk management processes are reviewed and improved on a periodic basis. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 2.2.12 | The organization engages with the industry on FRMS matters to further flight safety. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

**FRMS Safety Assurance Processes**

* 1. **FRMS Performance Monitoring and Measurement.**

The organization shall develop and maintain the means to verify the safety performance of the FRMS and to validate the effectiveness of FRMS risk controls. The safety performance of the FRMS shall be verified in reference to the safety performance indicators and targets of the FRMS

**Note:** EFFECTIVENESS is achieved when the FRMS has developed a series of safety performance indicators that are appropriate to the type of operation. There is a means to measure and monitor trends and take appropriate action when necessary.

| **Compliance & Performance Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 3.1.1 | Fatigue mitigation objectives have been established. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.1.2 | Safety performance indicators relevant to fatigue mitigation objectives have been defined, promulgated and are being monitored and analysed for trends. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.1.3 | The above Safety performance indicators are linked to the organization’s FRMS policy. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.1.4 | Fatigue Risk mitigations and controls are being verified/audited to confirm they are working and effective. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.1.5 | Audits are carried out that focus on the fatigue mitigation performance of the organization. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.1.6 | Fatigue mitigation objectives and performance indicators are reviewed and updated periodically. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.1.7 | Fatigue mitigation objectives and goals are specific, measureable, agreed to, relevant and time-based. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.1.8 | Fatigue Risk Assurance and Compliance Monitoring activities feed back into the hazard identification process. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

| **Excellence and Best Practice Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 3.1.9 | When establishing and reviewing fatigue risk objectives and performance indicators, the organization considers:- hazards and risks; financial, operational and business requirements; view of interested parties. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

* 1. **The Management of Change Affecting Fatigue Risk.**

The organization shall develop and maintain a formal process to identify changes within the organization and its operation, which may affect established fatigue management processes, to describe the arrangements to ensure safety performance before implementing changes, and to eliminate or modify fatigue risk controls that are no longer needed or effective due to changes in the operational environment.

**Note:** EFFECTIVENESS is achieved when the organization uses the safety risk management system to proactively assess all major changes to the organization and its operations to ensure appropriate fatigue mitigation is maintained.

| **Compliance & Performance Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 3.2.1 | The organization has established a process and conducts formal fatigue hazard analyses/risk assessment for major operational changes, major organizational changes and changes in key personnel. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.2.2 | Fatigue safety case/risk assessments consider the influences of all the associated task and contextual factors connected to the duty or flight (such as airport, frequency, experience, etc) as well as the physiological fatigue factors. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.2.3 | The FSAG involved in the change management process. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.2.4 | During the change management process previous fatigue risk assessments and existing hazards are reviewed for any possible effects (positive and negative). | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.2.5 | All organizational and operational changes which could impact fatigue risk are subject to the change management process. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

| **Excellence and Best Practice Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 3.2.6 | Validation of the fatigue related safety performance after organizational and operational changes have taken place to assure assumptions remain valid and the change was effective. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.2.7 | Fatigue risk accountabilities, authorities and responsibilities are reviewed as part of the change. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

* 1. **Continuous Improvement of the FRMS.**

The organization shall develop and maintain a formal process to identify the causes of substandard performance of the FRMS, determine the implications of substandard performance of the FRMS, determine substandard performance in operations, and eliminate or mitigate such causes.

**Note:** EFFECTIVENESS is achieved when the organization routinely monitors the -FRMS performance to identify potential areas of improvement and the outcomes of this process lead to improvements to the FRMS.

| **Compliance & Performance Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 3.3.1 | The Safety Review Board or equivalent has the necessary authority to make decisions related to the improvement and effectiveness of the FRMS. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.3.2 | The FRMS is reviewed for improvements in safety performance. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.3.3 | There is evidence of continuous improvement of the FRMS. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

| **Excellence and Best Practice Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 3.3.4 | Evidence of lessons learnt are incorporated into the FRMS policy and procedures. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 3.3.5 | Best practice is sought and embraced. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

**FRMS Promotion Processes**

* 1. **Training and Education.**

All personnel are trained and competent to perform their FRMS related duties and the training programme is monitored for its effectiveness and updated.

**Note:** EFFECTIVENESS is achieved when all personnel are trained and competent to perform their -FRMS related duties and the training programme is monitored for its effectiveness and updated.

| **Compliance & Performance Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 4.1.1 | There is a documented process to identify FRM training requirements so that personnel are competent to perform their duties. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.1.2 | There is a process in place to measure the effectiveness of training and to take appropriate action to improve subsequent training. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.1.3 | There is a process that evaluates the individual’s competence and takes appropriate remedial action when necessary. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.1.4 | Training includes initial and recurrent training. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.1.5 | A training record is maintained for each employee trained. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.1.6 | An annual training plan is in place. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.1.7 | Training exercises and methods for all employees are kept current to reflect new techniques, technologies, results of investigations, corrective actions and regulatory changes. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

| **Excellence and Best Practice Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 4.1.8 | Training includes human and organizational factors including non-technical skills with the intent of reducing fatigue induced human error. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.1.9 | A training needs analysis is carried out for all staff and is regularly reviewed. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.1.10 | Employees have a mechanism to request additional training in relation to their role in FRMS. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.1.11 | Management recognise and uses informal opportunities to instruct employees on –fatigue management. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

* 1. **FRMS Communication.**

The FRMS shall develop and maintain formal means for safety communication that ensures that all personnel are fully aware of the FRMS, conveys fatigue-related safety critical information, and explains why particular actions are taken and why FRMS procedures are introduced or changed.

**Note:** EFFECTIVENESS is achieved when all relevant personnel are aware of the FRMS, fatigue-related safety critical information and their role in respect of fatigue management.

| **Compliance & Performance Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 4.2.1 | FRMS plans and strategies are communicated throughout the organization to relevant staff. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.2.2 | Significant fatigue-related events and investigation outcomes are communicated to relevant staff, including those in contracted organizations where appropriate. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.2.3 | There is an FRMS communication strategy defining appropriate methods and media. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |

| **Excellence and Best Practice Markers** | **P** | **S** | **O** | **E** | **How it is achieved/Evidence** | **CAAT Remarks** |
| --- | --- | --- | --- | --- | --- | --- |
| 4.2.4 | Significant events and investigation outcomes from external sources are communicated to staff including contracted organizations where appropriate. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.2.5 | The effectiveness of FRMS communication is routinely assessed and the strategy revised as required. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |
| 4.2.6 | Fatigue-related information is appropriately shared with other parties. | 🗆 | 🗆 | 🗆 | 🗆 |  |  |