**ORGANISATION RISK PROFILE (ORP) ASSESSMENT**

**DEC**

**CAA OF LATVIA**

**AIRCRAFT OPERATIONS DIVISION**

Organisation/Operator Name: Click here to enter text.

Operator of complex motor-powered aircraft engaged in non-commercial operations: [ ]

Part-NCC: (passenger and/or cargo): Click here to enter text.

Operator of complex motor-powered aircraft engaged in non-commercial specialised operations: [ ]

Commercial specialised operator: [ ]

Part-SPO: (type of activity): agriculture [ ] , construction [ ] , photography [ ] , surveying [ ] , observation and patrol [ ] , aerial advertisement [ ]

Specific approvals held: Click here to enter text.

Specialised operations authorisation held: Click here to enter text.

Assessed by / Date: Click here to enter text.

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| **Risk level/profile** |
| **No** | **Organisation risk parameter** | **Level 3 (least desirable)** | **Level 2 (average)** | **Level 1 (most desirable)** | **Result (Level #)** |
| 1 | Implementation of industry standards, directly relevant to the organisation’s activity. | Organisation demonstrates compliance with industry standards to the competent authority without cooperation with an appropriately qualified and experienced entity, as necessary.  | Organisation demonstrates compliance with industry standards to the competent authority without established compliance monitoring of the industry standards implementation.  | Operator ensures conformity with the industry standards, cooperating with an appropriately qualified and experienced entity, as necessary, including operator’s compliance monitoring function is in place. |  |
| 2 | Organisation's attitude to the regulator. | Senior persons not available. Attempts to postpone audits or inspections for no practical reason. Information is provided only when specifically requested. Reluctant to "open up" and only co-operates if it suits. | Accepts regulatory access without question. Organisation is open, transparent, and cooperative. | Organisation encourages regulatory participation in projects and access at any time. Organisation is cooperative and helpful accepting of comments and recommendations. |  |
| 3 | Operator’s experience (years of operation). | Less than 5 years. | 5 to 10 years. | More than 10 years. |  |
| 4 | Experience and qualification of the safety manager (SM). | SM has less than 5 years of civil aviation safety/quality experience or no aviation technical qualifications. | SM has more than 5 years of civil aviation safety/quality experience and aviation technical qualifications. | SM has more than 15 years of civil aviation safety/quality experience and aviation technical qualifications. |  |
| 5 | Management of safety risk assessment processes by the operator. | Operator demonstrates competence and capability to understand the hazards and their consequences on its operations, although the developed procedures for the preparation and the safe operation of the flights do not correspond to the hazards identified.  | Operator is capable to identify and implement mitigations within the safety risk limits, although there is no sufficient evidence on operator’s recorded mitigations for each unacceptable risk identified. | Operator’s recorded mitigations for each unacceptable risk identified are in place and the operational procedures specified by the operator with the most significance to safety appear to be robust. |  |
| 6 | Assessment of associated risks carried out within the occurrences reporting scheme. | During the recurrent assessment of effectiveness of proposed mitigation actions by the operator, the competent authority has considered that the operator’s SOPs do not clearly specify the crew performance procedures.  | During the recurrent assessment of effectiveness of proposed mitigation actions by the operator, the competent authority has considered that the operator’s safety manager does not facilitate hazard identification, risk analysis and management. | There are no situations alerting the inspector to identify the hazards and operator’s current measures to reduce risk, such as:* facing financial difficulties;
* facing serious labour-management difficulties;
* introduction of new types of aircraft;
* significant change to regulations potentially impacting on flight safety
 |  |
| 7 | Roster control (reports on increase of an FDP that exceeds 1 hour during the month). | Interrupts of schedules are tolerated but are not well managed and pressure is put on safety services to minimise them (more than 3 reports). | The need to interrupt schedules for safety reasons is understood and generally accepted (up to 3 reports). | Roster management system has facilities for identifying and tackling crew problems due to revised schedules, delays, cancellations or other operating problems. |  |
| 8 | Violation reporting. | Copy of the report on violation is not submitted to the competent authority. | Submission of the copy of the report on violation to the competent authority is delayed.  | Copy of the report on violation is submitted to the competent authority as soon as possible and normally within 10 days. |  |
| 9 | Management of changes by the operator. | For any changes requiring prior approval the operator does not provide the competent authority with relevant documentation according to its established procedure. | Changes not requiring prior approval are managed and notified to the competent authority according to the approved procedure, although the defined scope of changes by the operator does not encompass the notification.  | Organisation continuously demonstrates that it has full control over all changes. |  |
| 10 | Specific approvals held by the operator. | The approval specified in the list of specific approvals for non-commercial operations and specialised operations is contrary to the procedures specified in the operations manual or in procedures manual and training programme for the crew. | Operator submits new declaration before the change of specific approval becomes effective indicating the date as of which the change would apply, although the documentation provided by the operator is not relevant to the specific approval.  | Operator remains in compliance with the issued specific approval or changes thereof taking into account the relevant elements defined in the mandatory part of the operational suitability data established in accordance with Regulation (EU) No 748/2012. |  |
| 11 | Training programme. | The organisation is able to show that most of its training is effective. Where training is ineffective it is usually recognised as such and managed. | The organisation is able to show that ineffective training is the exception. Where training is ineffective it is recognised as such and managed. | The organisation can show that all the training is effective. |  |
| 12 | Operator with up to 20 FTEs involved in the activity. | All training activities are contracted to another organisation that is working under the operator’s approval and all of the nominated posts, including crew training, are filled by the Accountable manager. | The person holds more than one of the nominated posts. | The responsibilities of a nominated person rest with a single individual. |  |
| 13 | The extent and scope of contracted activities performed by another organisation. | Operator contracts activities within the operator’s scope of approval, although a written agreement does not exist between the operator and the contracted organisation clearly defining the contracted activities and the applicable requirements.  | The operator is aware that the contracted organisation needs the necessary authorisation or approval when required, and commands the resources and competence to undertake the task, although compliance with the provisions is unproved. | The contracted safety-related activities and the applicable requirements relevant to the agreement are included in the operator's safety management and compliance monitoring programmes. |  |
| 14 | Commercial specialised operations.  | Described management system, including organisational structure is not realistic to the operator’s performance of commercial specialised operation, including a high risk commercial specialised operation, if applicable.  | Standard operating procedures (SOPs) are developed to a standard format, although systematic risk assessment to ensure that the risks associated with the task are acceptable is unproved. | Operator maintains the risk assessment documentation when assessing the complexity of the specialised activity and aircraft used. Established SOPs are regularly reviewed and updated, as appropriate.  |  |
| 15 | Nature and complexity of the activity carried out by the operator. | The low height activity is high demanding with regard to the required piloting skills, the crew composition, the necessary level of experience, the ground support, safety and individual protective equipment that should be provided for persons involved. | The operational environment and geographical area over which the operation takes place are described, although the method of application of risk assessment and evaluation to the particular operation so as to minimise the risk, is not clearly specified. | The performed risk assessment describes the activity in detail, identifies the relevant hazards, analyses the causes and consequences of accidental events and establishes methods to treat the associated risk. |  |
| 16 | Activity conducted by authorised organisation in other Member State. | An operator holding a specialised operation authorisation complies with the scope and privileges defined in the authorisation, although provisions related to the handling of findings sometimes are disregarded. | The operation takes place in:* congested hostile environment, or
* mountain areas, or
* sea areas, or
* desert areas
 | Operator ensures that specialised operations are performed in accordance with SOPs. The OM is kept up to date. All personnel are made aware of the changes that are relevant to their duties. |  |
| 17 | Oversight of persons holding a licence, certificate, rating or attestation | For the performance of OPC operator uses examiners employed by other than in Latvia registered operator and there is no firm certainty that the operator carries out appropriate background check of this personnel.  | All pilots are contracted and the operator’s conversion course is performed by contracted training and checking personnel. | The instructors and examiners are employed by Latvian operator, trained in CRM concepts and the assessment of CRM skills according to Part-ORO requirements. |  |
| 18 | Exercising of regular activity at more than one site | Data of past oversight activities and the assessment of risks associated with the type of activity carried out draws attention of the competent authority to the operator’s management inefficiency. | The management system corresponds to the nature and complexity of its activities, although the operator’s compliance monitoring function does not ensure effective implementation and follow-up of all corrective actions. | There are satisfactory recorded evidences that specific audit items were carried out and that all corrective actions have been implemented to the satisfaction of the competent authority. |  |
| 19 | Location of the aircraft used. | Location of the aircraft used by the operator is in third country. | Location of the aircraft used by the operator is in other Member State. | Location of the aircraft used by the operator is in Latvia. |  |
| 20 | Location of the flight department. | Location of the flight department is in third country.  | Location of the flight department is in other Member State. | Location of the flight department is in Latvia. |  |
| 21 | Financial management. | In the first few months of a new operation financial difficulties are identified, which causes turnover of personnel.  | In the first few months of a new operation financial difficulties are identified, which causes inadequate maintenance of aircraft or reduction of safe operating standards and decreasing standards of training. There is sufficient evidence on operator’s recorded mitigations for each unacceptable risk identified.  | There are no financial difficulties or faced financial difficulties are identified and recorded mitigations for each unacceptable risk are in place. |  |
| 22 | Staff turnover especially Chief Pilots/supervising staff. | More than half the senior persons have held their positions less than 12 months. | All senior persons have held their positions for more than 12 months. | All senior persons have held their positions for more than 24 months. |  |
| 23 | Part time nominated persons.  | Most nominated persons work for this organisation on a part time basis, or two or more senior persons also work for other organisations. | Most nominated persons are full time employees of this organisation, and no more than 1 is employed elsewhere. | All nominated persons are full time employees of this organisation only. |  |
| 24 | Combined turnover of the nominated persons over the last 36 months. | 3 or more | 2 | 1 or nil |  |
| 25 | Ramp inspections performed by the competent authority. | Ramp inspections are performed at the locations of aircraft in third country. | Ramp inspections are performed at the locations of aircraft in other Member State. | Ramp inspections are performed at the locations of aircraft in Latvia. |  |
| 26 | Supervision of personnel | The duties and responsibilities of supervisors are documented in the operations manual, although any other necessary arrangements are not made to ensure that they can discharge their supervisory responsibilities (e.g. related to the contracted personnel to work sufficient hours to fulfil the management functions associated with the scale and scope of the operation). | The operator has documented the required number of personnel supervisors according to the described structure of the operator’s organisation in the operations manual, although the number of personnel employed can’t be proved by the employment agreement. | Nominated person has 5 years of relevant work experience of which at least 2 years are from the aeronautical industry in an appropriate position. |  |
| 27 | Exercising of the operational control over any flight operated under the terms of its SPO authorisation or declaration | The organisation and methods are included in the operations manual covering a description of pilot-in-command responsibilities concerning the initiation, continuation and termination or diversion of each flight, although authority, responsibilities, including the assignment of functions, duties or tasks of administrative personnel or designated member of the management are not established (e.g. none or limited or shared). | Operator has delegated authority for operational control of each flight to suitably qualified individuals, although management related to decisions functions and duties or tasks associated with the operational control of a flight draw competent authority’s attention to the operator’s ability to carry out effective flight monitoring.  | Operator maintains and retains its system of operational control according to the delegated authority to initiate, continue, divert or terminate a flight in the interest of the safety and security of the aircraft and its occupants. Operator demonstrates corrective action implementation to the satisfaction of the competent authority within a period agreed with that authority. |  |
| 28 | Average age of aircraft. | More than 12 years. | 8 to less than 12 years. | Less than 8 years. |  |
| 29 | Multiplicity of aircraft types. | More than 4 aircraft types. | 3 to 4 aircraft types. | Less than 3 aircraft types. |  |
| 30 | Fleet size. | The smallest number of any one aircraft type operated is 1 to 2. | The smallest number of any one aircraft type operated is 3 to 9. | The smallest number of any one aircraft type operated is 10 or more. |  |
| 31 | Ownership relations. | Any aircraft have been owned by the operator for less than 12 months. | All aircraft have been owned by the operator for 12 months to 24 months. | All aircraft have been owned by the operator for at least 24 months. |  |
| 32 | Level of activity. | Total operating hours per annum for all aircraft less than 500. | Total operating hours per annum for all aircraft less than 1000. | Total operating hours per annum for all aircraft more than 1000. |  |
| 33 | Mixed fleet flying (MFF) (percentage of pilots involved in MFF — higher percentage is less desirable). | 50% or more of pilots involved in MFF. | Less than 50% of pilots involved in MFF.  | Pilots not involved in MFF.  |  |
| 34 | Audit/inspection findings (Levels 1 and 2) during the last 24 months. | Any Level 1 finding or more than 10 Level 2 findings.  | 10 or less Level 2 findings.  | No findings. |  |
| 35 | SAFA/SACA inspections findings (Category 3, 2, 1) rate for the last 12 months. | Any Category 3 finding rate remained static in last year  | A decrease of Category 3 and Category 2 findings rate in last year | More than 10% decrease of any Category finding rate |  |

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| --- | --- |
|  | **Subtotal** |
| Level 3 |  |
| Level 2 |  |
| Level 1 |  |
| N/A |  |
| Total number of questions |  |

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| --- |
| **Assessment result** |
| Total points | ORP category |
|  |  |

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| --- |
| **ORP categorization** |
| Total score | ORP category |
| 30-41 | A (most desirable) |
| 42-53 | B |
| 54-66 | C |
| 67-79 | D |
| 80-90 or more | E (least desirable) |

**OI REPORT**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

OI NAME/SIGNATURE/DATE

**POI COMMENTS**

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POI NAME/SIGNATURE/DATE

**INFORMATION TO THE OPERATOR**

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POI NAME/SIGNATURE/DATE