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Form Number: CA 183-437  
011-545-1350

## FATIGUE RISK MANAGEMENT SYSTEM CHECKLIST

Name of operator	
Category of aircraft	
Aircraft Types	
Deviation regulation reference	
Scheduled/ Unscheduled	
Safety Performance Figure (CA 140-03)	



**NOTES:**

**General instructions concerning FRMS approval 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:

**P Present.** There is evidence that the 'marker' is clearly visible and is documented within the organization's FRMS Documentation.

**S Suitable.** 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.

**O Operating.** There is evidence that the marker is in use and an output is being produced.

**E Effective.** There is evidence that the element or component is effectively achieving the desired outcome

Different criteria are more relevant at different stages of FRMS implementation:

- The P and S criteria can be used to carry out a gap analysis. These criteria simply identify existence and appropriateness of the identified markers, but do not evaluate output.
- The O and E criteria are useful for evaluation throughout the FRMS trial, at final approval and for continued oversight purposes. As the Service Provider moves to final approval there needs to be evidence that the markers in use are producing an output (i.e. more and more Compliance and Performance markers are evaluated as "O"). This may be sufficient to issue an FRMS approval. However, for continued use of the FRMS the Service Provider needs to be able to demonstrate that the Compliance and Performance markers being used are effective and can demonstrate through their outputs that fatigue risks are being actively managed (i.e. more and more Compliance and Performance markers are evaluated as "E"). Using the O & E elements of the evaluation form for ongoing oversight provides the regulator with a method to ensure the FRMS continues to be effective.

	<b>FINDINGS AND COMMENTS</b>	<b>P</b>	<b>S</b>	<b>O</b>	<b>E</b>
	clearly identify all elements of the FRMS;				
	define the scope of the operations in the operations manual;				
	reflect the shared responsibility of management, flight, cabin crew and other involved personnel;				
	require that clear lines of accountability for management, flight and cabin crew and other involved personnel are identified;				
	clearly state the safety objectives of the FRMS;				
	be signed by the accountable executive of the organisation;				
	be communicated, with visible endorsement, to all the relevant areas and levels of the organisation;				
	declare management commitment to effective safety reporting;				
	declare management commitment to the provision of adequate resources for the FRMS;				
	declare management commitment to continuous improvement of the FRMS				
	document periodic reviews to ensure it remains relevant and appropriate				
	There is a FRMS policy that includes a commitment towards achieving the highest practical management of fatigue risk signed by the Accountable/Executive Manager				
	The FRMS policy includes a commitment to observe all applicable legal requirements, standards, FRM principles and appropriate resources				
	FRMS policy objectives complement the organization's goals and mission statements				
	<b>MANAGEMENT COMMITMENT AND RESPONSIBILITY</b>				
	The Accountable/Executive Manager and the senior management team promote and demonstrate their commitment to the FRMS Policy				
	The FRMS policy is communicated to all employees				

There is evidence of decision making, actions and behaviours that reflect a positive safety culture.					
<b>SAFETY ACCOUNTABILITIES</b>					
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.					
The Accountable Executive/Manager ensures appropriate financial and human resources required for the proper implementation of an effective FRMS					
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.					
FRMS accountabilities, authorities and responsibilities are defined throughout the organization.					
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.					
Fatigue risk management is shared across the organization (and is not just the responsibility of the Safety Manager and his/her team)					
There is evidence of employee involvement and consultation in the development and maintenance of the FRMS.					
<b>APPOINTMENT OF KEY PERSONNEL</b>					
A competent person with the appropriate knowledge, skills and Experience has been nominated to Manage the operation of the FRMS.					
The person managing the operation of the FRMS fulfils the required job functions and responsibilities.					
There is an appropriate reporting line between the FRMS manager and the Accountable Executive/Manager.					
The organization has allocated sufficient resources to manage the FRMS including manpower for the investigation, analysis, auditing and promotion of fatigue issues.					

Key staff are trained and kept current in keeping with their roles and responsibilities					
The fatigue safety action group / committee includes all stakeholders and other experts as required.					
<b>FATIGUE RISK IDENTIFICATION</b>					
The organization has a fatigue reporting system to captures errors, hazards and near misses that is – practical and accessible to all staff					
The organization has proactively identified all the major fatigue risks and assessed them in relation to its current activities and operational context.					
The fatigue reporting system provides appropriate feedback to the reporter and the rest of the organization					
Fatigue investigations are carried out to identify underlying causes and potential level of risk.					
Fatigue reports are acted on in a timely manner.					
Fatigue risk identification is an ongoing process and involves all key personnel and appropriate stakeholders.					
Personnel responsible for investigating reports are trained in investigation techniques.					
Investigations establish causal/contributing factors (why it happened, not just what happened)					
Personnel are aware of the organizations reporting policy and process.					
<b>FATIGUE RISK ASSESSMENT AND MITIGATION PROCESS</b>					
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					
There are criteria for evaluating the level of fatigue risk the organization is willing to accept					
The organization has fatigue risk control strategies that include control, avoidance, acceptance, mitigation, elimination and where applicable a corrective action plan.					
Corrective actions resulting from the fatigue risk assessment, including timelines and allocation of					

responsibilities are documented.					
Fatigue risk management is routinely applied in decision making processes.					
Effective and robust mitigations and controls are implemented					
Fatigue risk assessments and ratings are appropriately justified against scientific principles and operational knowledge.					
Senior management have visibility of medium and high fatigue risks and their mitigation and controls.					
<b>FRMS PERFORMANCE MONITORING AND MEASUREMENT</b>					
Fatigue mitigation objectives have been established					
Safety performance indicators relevant to fatigue mitigation objectives have been defined, promulgated and are being monitored and analysed for trends.					
The above Safety performance indicators are linked to the organization's FRMS policy					
Fatigue Risk mitigations and controls are being verified/audited to confirm they are working and effective.					
Audits are carried out that focus on the fatigue mitigation performance of the organization.					
Fatigue mitigation objectives and performance indicators are reviewed and updated periodically.					
Fatigue mitigation objectives and goals are specific, measurable, agreed to, relevant and time-based.					
Fatigue Risk Assurance and Compliance Monitoring activities feed back into the hazard identification process.					
<b>THE MANAGEMENT OF CHANGE AFFECTING FATIGUE RISK</b>					
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.					

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					
The FSAG involved in the change management process					
During the change management process previous fatigue risk assessments and existing hazards are reviewed for any possible effects (positive and negative).					
All organizational and operational changes which could impact fatigue risk are subject to the change management process					
<b>CONTINUOUS IMPROVEMENT OF THE FRMS</b>					
The Safety Review Board or equivalent has the necessary authority to make decisions related to the improvement and effectiveness of the FRMS.					
The FRMS is reviewed for improvements in safety performance.					
There is evidence of continuous improvement of the FRMS					
<b>TRAINING AND EDUCATION</b>					
There is a documented process to identify FRM training requirements so that personnel are competent to perform their duties					
Training includes initial and recurrent training					
A training record is maintained for each employee trained					
An annual training plan is in place.					



Training exercises and methods for all employees are kept current to reflect new techniques, technologies, results of investigations, corrective actions and regulatory changes.					
<b>FRMS COMMUNICATION</b>					
FRMS plans and strategies are Communicated throughout the organization to relevant staff					
Significant fatigue-related events and investigation outcomes are communicated to relevant staff, including those in contracted organizations where appropriate.					
There is an FRMS communication strategy defining appropriate methods and media.					

The FRMS has been checked in accordance to SA-CAR, SA-CATS & Technical Guidance Material CA-XXXX (enter  only when checked and accepted in accordance to text above) Other remarks concerning this inspection and/or approval:

Flight Operations Inspector (Name and Date): \_\_\_\_\_