

Seminar on safety oversight in the area of Quality Management Systems

Module 5. Organizational Roles, Responsibilities, and Authorities, Training and Competence

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Guidance on the harmonized implementation of quality management systems in aviation and related oversight	ICAO EUR Doc 048
Quality Management System Evaluation Tool	ICAO
Quality management systems — Requirements	ISO 9001

Organizational Roles, Responsibilities & Authorities

There should be a comprehensive concept on how the *accountability, duties and responsibilities* are **defined and listed** in the document system.

Accountability is the liability created for the use of authority.

Authority is the right or power assigned to an executive or a manager in order to achieve certain organisational objectives.

A detailed description of the qualification, duties and responsibilities of the quality responsible personnel could be found in Service Provider's Operations Manuals, **Quality Manuals**, Job descriptions, Organisational Charts.

QUALITY RESPONSIBLE PERSONNEL:

- Accountable Manager,
- Quality Manager
- Managerial / Operational personnel

Organization should nominate and NAA should approve a **post holder for Quality** within the organization.



Organizational Roles, Responsibilities & Authorities

ACCOUNTABLE MANAGER

AM has been appointed with **full responsibility and ultimate accountability** for the QMS.

In case of several approvals, the designation of the 'Accountable Manager' will reflect the **governance structure**, such as different QMS in each domain (with interfaces) or corporate QMS.

The AM's accountability for QMS is **documented**.

The AM ensures that the **QMS** is properly **resourced, implemented and maintained** and has the authority to stop the operation if there is an unacceptable level of quality risk and **independence** of the audit function is being maintained.

The AM ensures that the performance of the QMS is being monitored, reviewed and improved. The organization has established a method to **assess the efficiency and effectiveness** of the QMS with feedback to the accountable manager.

The AM and senior management actively seek **feedback** on the status of QMS activities.

Applicable requirements are clearly identified and properly transcribed into organisation manuals and procedures.

Responsibilities and accountabilities for compliance are defined for all staff involved in QMS activities.

AM shall assign the responsibility and authority for:

- ensuring that the QMS **conforms** to the requirements of Standards.
- ensuring that the processes are delivering their **intended outputs** by promoting the use of the process approach and risk-based thinking.
- **reporting** on the **performance** of the QMS and on **opportunities** for improvement to accountable manager.
- ensuring the promotion of customer focus throughout the organization (to meet customer requirements and enhance customer satisfaction);
- ensuring that the **integrity** of the QMS is maintained when changes to the QMS are planned and implemented.

Organizational Roles, Responsibilities & Authorities

Quality Manager



QM is a managerial position and one of the Nominated Managers (Post Holders) within the Service Provider



QM is directly reporting to (has direct access) to Accountable Manager



QM is responsible to operate the QMS in ensuring, that the relevant processes and procedures are documented and implemented.



QM is able to analyse and evaluate data for the purpose to identify trends and systematic weaknesses within the organisation and to maintain continuous improvement



QM has access to all parts of the Service Provider, and as necessary, any contracted organization.



The independence of the internal audit/compliance monitoring function



QM has implemented and is maintaining an internal audit / compliance monitoring programme to ensure continuous compliance to quality requirements.

Note: If more than one person is designated for the compliance monitoring function, the accountable manager should identify the person who acts as the **unique focal point** (i.e., the 'quality manager' / 'compliance monitoring manager').

Organizational Roles, Responsibilities & Authorities

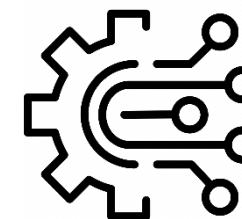
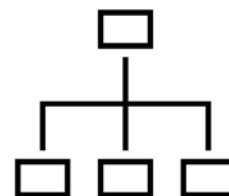
Managerial personnel

Managers shall assure that:

- the QMS **conforms** to the requirements of Standards.
- the processes are delivering their **intended outputs** by promoting the use of the process approach and risk-based thinking.
- **reporting** on the **performance** of the QMS and on **opportunities** for improvement to accountable manager is enabled by supporting internal audit.
- the **integrity** of the QMS is maintained when changes to the QMS are planned and implemented.

Organizational Roles, Responsibilities & Authorities

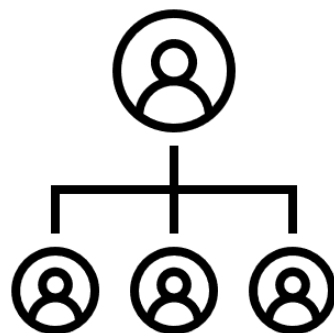
Assessment	Indicators of compliance and performance		P&S	O&E	How it is achieved	Comments
	3.1	Top Management shall assign the responsibility and authority for, -ensuring the quality management system conforms to applicable requirements, -ensuring processes are delivering their intended outputs, -the performance of the quality management system is reported, -ensuring the promotion of customer focus is maintained and -ensuring the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.				
Guidelines	What to look for					
	<ul style="list-style-type: none"> ➤ General description of the organization ➤ Titles and functions of nominated persons and management personnel ➤ organigrams/organizational charts ➤ Job descriptions 					



Organizational Roles, Responsibilities & Authorities

Present and Suitable

- **Organization chart** exists and shows the lines of responsibility
- Organization chart is relevant to the organization's **structure, complexity, and nature** of operations
- **Reporting lines** clearly show the relationship between divisions, departments, and functions
- **Job descriptions** describe duties, responsibilities, accountabilities, and authority relevant to the function and approved by the top management



Accountable Manager

- accountability, responsibilities, and duties of the AM are comprehensively defined;
- direct accountability of the AM including the responsibility for establishing and maintaining an effective QMS is defined;
- endorsement of the quality/safety policy;
- ensures that all activities can be financed and carried out in accordance with the applicable requirements;
- ensures that sufficient resources are allocated, considering the size of the organization and the nature and complexity of its activities;
- has the accountability for achieving the organization's objectives.

Quality Manager

- responsibilities and duties of the QM are comprehensively defined;
- has direct access to the AM;
- is responsible to operate the QMS and ensures that the relevant processes and procedures are documented and implemented;
- has the responsibility to implement and maintain an internal audit / compliance monitoring program and to report the status of continued compliance to the management of the organization.

Nominated Postholders

- duties and responsibilities of the postholders are comprehensively and clearly defined;
- responsible to ensure that the processes are delivering their intended outputs;
- authorized to allocate responsibilities and duties and issue instructions to individuals, sufficient for implementation of the standards, in their area of activity;
- responsible to support implementation of the quality assurance program, develop and implement Corrective Actions to address nonconformities detected during the audits.



Organizational Roles, Responsibilities & Authorities

Operating and Effective

- the organization **chart** and **job descriptions** are reviewed periodically.
- everyone in the organization fully understands and fulfils their roles, responsibilities, authorities, and accountabilities.
- the AM ensures that the QMS is properly **resourced, implemented and maintained, reviewed and improved.**
- the AM ensures that the **Quality Assurance Program** is properly implemented.
- **corrective actions** are developed and implemented in a timely manner.
- the personnel are aware of **their role** in the QMS.



Training and Competence

	Accountable Manager	Quality manager	Managerial Personnel	Operational Personnel
Education	none additional	University degree in related studies (aviation is preferable)	none additional	none additional
Training*	Advanced Quality management awareness training (external)	Training and examination certificate according an accredited personal competence scheme for quality	Advanced Quality management awareness training (internal or external) Quality auditor training acc. ISO19011 (if acting as internal auditor)	Quality management awareness training (internal), Quality auditor training acc. ISO19011 (if acting as internal auditor)
Work experience	none additional	5 years in aviation quality / compliance monitoring	none additional	none additional

*Training

Quality Management Awareness training gets knowledge of the organisation's management system, specific

- the quality policy
- relevant quality objectives
- their contribution to the effectiveness of the QMS
- the implications of not conforming with the QMS requirements

Advanced Quality Management awareness training for managers in addition knows the responsibilities of the management in the sense of

- Management commitment
- Risk and opportunities
- Management Review Process
- Is skilled to actively promote quality



Training and Competence

What to look for	
Guidelines	➤ Competency requirements for each role.
	➤ Training and Competence Procedure
	➤ Job Descriptions/Job profiles
	➤ On-boarding process/plan
	➤ Training Matrix
	➤ Training Needs Analysis
	➤ Initial Training Plan
➤ Continuation/Refresher Training Plan	
➤ Training Records	
➤ Training Development Review	
➤ Training Course Completion Certificates	
➤ Competency Assessments	

*The Organization shall determine the necessary **competence** of the person(s) doing work under its control, ensure these persons are competent based on **education, training, or experience**, and retain documented information as evidence of competence*



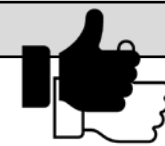
Present and Suitable

- *each role has documented competency and training requirements;*
- *the training and competency requirements for each role are aligned with the documented job descriptions;*
- *an on-boarding plan will be present for all new members of staff;*
- *each member of staff will be included in training plans and training needs analysis;*
- *documented training records shall be available for all members of staff;*
- *certificates for all technical training shall be retained;*
- *documented competency assessments shall be available for all members of staff.*



Operating and Effective

- *Annual training analyses are completed.*
- *Continuation/Refresher training plans are in place for all members of staff*
- *Documented competency assessments are completed in a timeframe not exceeding three years*
- *Training and competency requirements for each role are reviewed and amended in line with changes to internal and external requirements.*



Thank You

