Transport Canada Transports Canada **FOR EXAMPLE - CANADA**

Staff Instruction

Subject: **Risk Management Process for Aviation Safety Activities**

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1.0 INTRODUCTION

1.1 Purpose

(1) The purpose of this Staff Instruction (SI) is to provide guidance on the Risk Management (RM) process and tools for Aviation Safety activities.

1.2 Applicability

(1) This SI is applicable to Transport Canada Civil Aviation (TCCA) Headquarters and Regional personnel involved in Risk-Based decision-making processes related to the Program Activity Architecture (PAA) PA 3.1 Aviation Safety.

1.3 Description of Changes

(1) This amendment enables the updating of the Risk Management toolbox. The Pre-Assessment Scan and Scope (PASS) tool has become optional, although strongly recommended. New signature block has been inserted in the Basic and Modified tools. Minor changes have been implemented in the conventional tool to improve the flow of the sections 3 and 4.

2.0 REFERENCES AND REQUIREMENTS

2.1 Reference Documents

(1) It is intended that the following reference materials be used in conjunction with this document:

(a) Transport Canada Civil Aviation – *CAD QUA-007 – Transport Canada Civil Aviation Integrated Risk Management Framework / RDIMS # 6334008;*

(b) Transport Canada Civil Aviation – *Terms of Reference Civil Aviation Risk Management Committee, RDIMS # 5603804;*

(c) Canadian Standards Association – *CAN/CSA ISO 31000, Risk Management – Principles and Guidelines*;

(d) International Organization for Standardization – *ISO/IEC 31010: RISK MANAGEMENT – RISK ASSESSMENT TECHNIQUES;* and

(e) Treasury Board Secretariat – *TBS Framework for the Management of Risk (TBS website effective date August 27, 2010)*

2.2 Cancelled Documents

(1) By default, it is understood that the publication of a new issue of a document automatically renders any earlier issues of the same document null and void.

2.3 Abbreviations

(1) The following are the associated / related terms for the listed abbreviations. For risk specific terms and definitions, please refer to the "*TCCA IRMF LEXICON / LEXIQUE CGIR DE TCAC – RDIMS # 6083986*" (***See Appendix 3***):

(a) **ARASS**: Activity Reporting and Standards System

(b) **CAD**: Civil Aviation Directive

(c) **CADORS**: Civil Aviation Daily Occurrence Reporting System

(d) **CSA**: Canadian Standards Association

(e) **DOIT**: Delegated Officer Initial Training

(f) **HOF**: Human and Organizational Factors

(g) **HQ**: Headquarters

(h) **IEC**: International Electrotechnical Commission

(i) **IRMF**: Integrated Risk Management Framework

(j) **ISO**: International Organization for Standardization

(k) **NCAMX**: National Civil Aviation Management Executive Committee

(l) **OPI**: Office of Primary Interest

(m) **PAA**: Program Activity Architecture

(n) **PASS**: Pre-Assessment Scan and Scope

(o) **QA**: Quality Assurance

(p) **RA**: Risk Assessment

(q) **RDIMS**: Records Document Information Management System

(r) **RM**: Risk Management

(s) **RMC**: Risk Management Committee

(t) **RMOT**: Risk Management Operational Training

(u) **SHELL**: Software – Hardware – Environment – Liveware (*in support of the activity*) – Liveware (*at the centre of the activity*)

(v) **SI**: Staff instruction

(w) **SME**: Subject Matter Expert

(x) **TBS**: Treasury Board Secretariat

(y) **TCCA**: Transport Canada Civil Aviation

(z) **TORs**: Terms of reference

(aa) **TP**: Transport Publication

3.0 BACKGROUND

(1) As a result of the *1994 Treasury Board Risk Management Policy* and the 1996 recommendations by the Commission of Inquiry into the Air Ontario Crash at Dryden, Ontario, TCCA adopted and launched a mandatory RM training policy and program for all officers holding Ministerial Delegation of Authority.

(2) In 1999, the introduction to RM program was developed and training commenced in the following year for delegated officers on strength at the time. Based on the CSA Q850 Process, training focused on the process known at the time, as the Full RM Process Type 2 (*reference: TP 13095 (03/2001) – Risk Management & Decision Making in Civil Aviation, "Our job is to assess risk and make decisions"*). The process was effective in identifying hazards and deficiencies in complex systems such as airspace, airport operations and client requests for relief from selected regulatory requirements.

(3) In 2001, TBS issued the *Framework for the Management of Risk* to strengthen Public Service Risk Management practices. In doing so, the *IRMF* supports the four management commitments outlined in Results for Canadians: citizen focus, values, results and responsible spending.

(4) By 2002, Civil Aviation developed an abbreviated form of the full process, entitled – *Risk Management & Decision Making in Civil Aviation, Type 2A, Short Process* [TP 13905 (03/2001)], to evaluate defined activities or requests generally involving single clients. The Short Process Type 2A was designed to identify hazards and deficiencies in simple systems or activities within a given functional area. It is best suited for systems or activities where formal, external consultation is minimal or not necessary. The RM basic training module, delivered during the DOIT was modified to incorporate the new Type 2A process. Additionally, to introduce the Type 2A program to the seasoned inspectors who previously participated in the original, basic program, a RMOT module was also developed and introduced.

(5) This SI builds on principles, practices and techniques described in the *CAN/CSA ISO 31000, Risk Management – Principles and Guidelines* and *ISO /IEC 31010: RISK MANAGEMENT – RISK ASSESSMENT TECHNIQUES*. A valuable part of the document is the appendices, which describes an assortment of Risk Assessment (RA) tools and techniques, and their applicability to various steps in the RA process.

(6) This SI enables flexibility of the RM process. In effect, the non-exhaustive toolbox described in this document is built to address the challenge of complexity related to specific context. It contributes to a longstanding tradition to identify and apply standardized risk-based techniques consistently in our decision-making and resource allocation processes. The *Civil Aviation Business Model* (***See Appendix 1***) and the activities of the Risk Management Committee (RMC) is a probing illustration of this tradition.

4.0 ROLES AND RESPONSIBILITIES

4.1 NCAMX

(1) The NCAMX is responsible for:

(a) ensuring that the RM methodology is followed in the respective Branch/Regions;

(b) naming a regional/Headquarter (HQ) Branch co-ordinator for the RM program; and

(c) integrating the RM methodology into TCCA strategic planning and Integrated Business Planning and Reporting.

4.2 Decision-Maker

(1) The Decision-Maker is the person who requests a RA and is responsible for:

(a) approving the Terms of Reference (TORs) of the RA team when required;

(b) naming a Team Leader for the RA;

(c) providing the necessary information to the Team Leader and updating that information as needed;

(d) making a final decision based on the risk analysis and documenting his/her rationale for the decision if it differs from recommendations of the RA team;

(e) providing direction to ensure that the working documents are saved in RDIMS and marked as final version upon completion of actions;

(f) ensuring that the risk treatment is carried out, which includes action plan, monitoring and follow-up; and

(g) informing stakeholders of the decision.

4.3 Regional / Branch Risk Management Coordinator

(1) The Regional/Branch RM Coordinator is responsible for:

(a) acting as SME on the RM methodology;

(b) representing Region/HQ at the Civil Aviation RMC meetings;

(c) providing RM training as required;

(d) assisting decision-makers/facilitators/team leaders in RM activities;

(e) facilitating risk analysis sessions as required;

(f) collaborating with Management Services in enabling RM related learning activities in Branch / Region;

(g) enabling and supporting the RM coaching function in their respective Branch / Region; and

(h) participating in RM QA activities.

4.4 Team Leader

(1) The team leader is a SME on the issue to be assessed. The team leader is mandated by the Decision Maker to carry out the RA and is responsible for:

(a) selecting the appropriate assessment tool to use with guidance from the PASS;

(b) identifying the expertise needed for the RA and assembling the team;

(c) coordinating logistics and arrangements with Coach/Facilitator if required;

(d) preparing and recommending for approval the TORs of the assessment team as applicable;

(e) bringing content/knowledge as a SME to the team;

(f) ensuring that all required documents are on file and collecting relevant data in advance in support of the assessment (e.g., CADORS);

(g) completing and presenting the RA report to the decision-maker;

(h) liaising with internal and external stakeholders as required;

(i) designating a note-taker when required; and

(j) assisting the decision-maker in the treatment of the risks, if requested.

4.5 Coach / Facilitator

(1) The coach/facilitator who should be a SME on the RM process content is responsible for:

(a) facilitating RA;

(b) promoting and encouraging the risk process, and ensuring that this process is respected;

(c) participating in RM QA activities;

(d) supporting the note-taker as required;

(e) supporting the team leader in completing the preliminary work (gathering data, drafting the TORs, recruiting members, etc.); and

(f) participating in the annual regional/HQ RM coach meeting.

Note: *Only (a), (b), and (d) are applicable for facilitators external to TCCA.*

4.6 Team Members

(1) The RA team members as SMEs identified by the Team Leader and/or Decision-Maker, are responsible for:

(a) participating constructively in the RA process;

(b) providing necessary expertise and supporting documentation;

(c) obtaining the necessary approval to participate in the RA *(This includes time for preparation, group work, internal and external consultation, and drafting the final report. If necessary, it may also include time to develop the action plan and for oversight*); and

(d) Input activity data into ARASS as required. For more details about this aspect of the conduct of a RA, contact the regional or headquarter ARASS coordinator. The coordinators' list can be found in RDIMS 6000302.

5.0 RISK MANAGEMENT PROCESS

(1) The RM process is a key factor to ensure the validity and credibility of the RM Methodology. The process model that underlines TCCA's RM Methodology is the *Civil Aviation Business Model* documented in the *Aviation Safety Program Manual for the Civil Aviation Directorate*. This generic model shows the main steps that contribute to appropriately manage risk from RA (Initiation, Preliminary Analysis, and Risk Estimation and Evaluation) to Risk Treatment (Risk Control and Intervention, and Measure Impact and Communicate). (*See Appendix 1 and also the reference document Risk Landscape Navigator: RDIMS 4861271*)

(2) The *CAN/CSA Q850-10, Risk Management: Implementation of CAN/CSA-ISO-31000* provides a reference point for the RM model adopted by TCCA. This model stands on two pillars that are on one hand *Communication and Consultation*, and the other hand *Monitor and Review*. These two pillars support the architecture of the Risk approach, which is comprised of establishing the Context, the RA and the Risk Treatment. (*See Appendix 2*)

6.0 RISK MANAGEMENT TOOLBOX

(1) The issues/situations/problems that require Risk Analysis are various and can be presented on a spectrum where the degree of complexity and the severity of the impact are estimated to determine the level of the risks. Thus, various issues/situations/problems necessitate adapted tools. That is why TCCA through RMC has developed a set of tools to adequately address these considerations when a RA analysis must be conducted.

(2) The following sections of this SI provide a general overview and a brief process presentation of each of the tools developed. For more details about the tools, references are provided in the appendices where the locations of tools' templates are available with user friendly guidance incorporated. The toolbox presented within this SI is by no means exhaustive. The RMC is mandated to review and improve the methodology on an ongoing basis to meet the needs of the organization.

7.0 TOOLBOX COMPONENTS: OVERVIEW AND PROCESS

(1) The oversight RM Toolbox encompasses the following:

TOOLS	REFERENCE	PURPOSE
TCCA IRMF Lexicon / Lexique CGIR DE TCAC	Appendix 3 / RDIMS 6083986	Provide definition to Risk Management terms and expressions
Pre-Assessment Scan and Scope Tool (PASS)	Appendix 4 / RDIMS 5606393 or http://catcpreaccp/saf-sec-sur/2/RPASS-EPAP/	Help to select the proper tool to address the level of complexity of the issue
Basic Tool	Appendix 5 / RDIMS 4111663	Address very basic Risk Assessments
Modified Tool	Appendix 6 / RDIMS 5243267	Address simple Risk Assessments with emphasis on the SHELL Model
Conventional Tool	Appendix 7 / RDIMS 6103682	Address issues in more depth and detail than Basic and Modified tools
Risk Index Matrix	Appendix 8 / RDIMS 6000379	Help to assign the proper risk level
Risk Assessment TORs	Appendix 9 / RDIMS 5287132	Template to prepare the TORs

7.1 The TCCA IRMF Lexicon

(1) The TCCA IRMF Lexicon is a list of RM terms and expressions defined in accordance with the most recent development in the field.

(2) The purpose of this tool is to propagate a consistent RM terminology in Civil Aviation. This Lexicon will be reviewed regularly by the RMC for updates as required. (*See Appendix 3*)

7.2 The Pre-Assessment Scan and Scope Tool (PASS)

(1) Overview

(a) To optimally determine which tool is more appropriate in order to conduct risk analysis, a tool selector has been developed, namely “Pre-Assessment Scan and Scope (PASS) tool” (*See Appendix 4*).

(b) The PASS tool is a very new process that indicates to the user which RA tool to use. It suggests the most effective tool to support the risk analysis, in accordance with the perceived level of complexity, and severity of impact; and helps to frame the scope of the

RA. The PASS is strongly suggested. It is not required to use the PASS tool in the case of repetitive RA (e.g., case where the hazard remains the same). For those cases, previous results of the PASS can be used.

(2) Process

(a) The team leader in consultation with the Decision-Maker ultimately decides which tool is to be applied. However, if he/she elects a RA tool other than that recommended by the PASS tool, he/she should provide and document a rationale.

(b) The template of this tool has been developed as a web application. The following link gives access to the tool: http://catcpreaccp/saf-sec-sur/2/RPASS-EPAP/

The Excel version of this template can be found in RDIMS 5606393.

(c) This tool takes into account the factors of complexity and those of scoping when conducting RA. The factors enumerated below are further defined in the PASS tool template:

(i) Factors of Complexity:

(A) Health and Safety

(B) Environment

(C) Public Security

(D) Economy

(E) Public Interest, Stakeholder Support, and Potential Controversy

(ii) Scoping factors:

(A) Nature of the issue

(B) Cause and effect relationship

(C) Consensus about the issue

(D) Certainty about consequences

(E) Understanding of the issue

(F) Timeline for consequences

(G) Scope of consultation

7.3 The Basic Tool

(1) Overview

(a) The Basic Tool (*See Appendix 5*) utilizes a very simple approach by condensing the RM process into fourteen questions. The particularity of this approach is that the answers can be easily and readily determined.

(b) The Basic tool is used primarily for simple issues where an individual or a team can perform a risk analysis in a timely manner. It is seen as a quick, day-to-day and practical instrument to analyze risk and also may serve to perform due diligence in support of decision-making.

(c) The template of this tool can be found at the address RDIMS 4111663.

(2) Process

(a) The Basic tool is divided into two main sections: RA and Risk Treatment. Each section includes steps where a set of questions and considerations are used to the RA exercise.

(b) The RA section includes the following steps:

(i) Establish the context and initiate the process

(A) What's the Hazard (condition, situation, immediate concern, or change)?

(B) Who is the decision maker?

(C) Who else is, or should be, involved?

(ii) Identify and assess risks

(A) What could go wrong?

(B) How could it happen?

(C) What are the outcomes?

(D) What is the level of risk?

(iii) Control the risk

(A) What are the options for controlling the level of risk?

(B) Which option looks best?

(C) If the option is used, will the risk level be acceptable?

(c) The Risk Treatment section includes the following steps:

(i) Take action

What needs to be done, by whom and when?

(ii) Monitor impact/follow-up

(A) Were the risk control measures completed?

(B) Were the risk control measures effective?

(C) Is further action or assessment required?

(3) The questions enumerated above under each step are explicitly indicated in the template. The indications provide a clear explanation on how each step supports the RM process.

(4) The Basic tool is supported by appropriate sign-off documentation that addresses the issue of accountability.

7.4 Modified Tool

(1) Overview

(a) The Modified tool (*See Appendix 6*) is a short process which incorporates the SHELL Model that takes into consideration human and organizational factors (HOF) within the risk analysis.

(b) This process provides the Decision-Maker with greater HOF context within the risk analysis based on the SHELL model. The PASS tool provides more rationale justifying the use of this tool.

(c) The template of this tool can be found at RDIMS 5243267.

(2) Process

(a) The Modified tool is divided into two main sections: RA and Risk Treatment. Each section includes specific steps with underneath the analytical screen that frame the RA exercise.

(b) The RA section includes the following steps:

(i) Establish the context and initiate the process

(A) situation description

(B) situation details: Software, hardware, environment, liveware

(C) stakeholders

(D) exposure interval.

(ii) Identify and assess risks

(A) Hazard description/hazard statement

(B) Identification of the main scenarios and consequences considered

(C) Determine the likelihood of each scenario and consequence

(D) Determine the severity of each consequence

(E) Determination of resulting risk levels

(iii) Control the risk

(A) Methods to control the risk/Preliminary options

(B) Decision/preferred option

(c) The Risk Treatment section includes the following steps:

(i) Take action

Decision

(ii) Monitoring impact / follow-up.

(3) Similarly to the Basic tool, the Modified tool is systematically supported by appropriate sign-off documentation that addresses the issue of accountability.

7.5 Conventional Tool

(1) Overview

(a) The Conventional tool (*See Appendix 7*) provides more flexible risk analysis, and greater depth and detail. It is intended to address more complex situations, whether dealing with internal and/or external issues.

(b) The Conventional tool is designed primarily for complex issues where a significant level of analysis and/or consultation is required.

(c) The template of this tool can be found at RDIMS 6103682.

(2) Process

(a) The Conventional tool is divided into two main sections: RA and Risk Treatment. Each section includes specific steps.

(b) The RA section includes the following steps:

(i) Initiate the Process / Establish the Context

(A) PASS tool results

(B) Identify the RA team

(C) Describe the situation/activity

(D) Establish the context

(E) What is the hazard?

(F) Who are the stakeholders?

(G) Is stakeholder consultation necessary to analyze risk?

(H) Is the stakeholder consultation within the team's scope and to what extent?

(I) Define the Risk criteria

(ii) Identify and Assess Risks

(A) What are the components of the hazard and risks associated with the activity?

(B) What is the exposure interval?

(C) Develop risk scenarios

(D) Establish consequences

(E) Assess likelihood, severity and exposure

(iii) Control the Risk

(A) What are the possible methods for controlling the risks identified in the risk scenarios?

(B) Risk criterion / Weighting matrix to determine preferred option

(C) What is the preliminary choice?

(D) What are the residual / transitional risks associated with this option and are they acceptable?

(E) Does the activity (ies) and risk control measure(s) applied to the hazard expose the Canadian civil aviation transportation system and Canadian interests to risk?

(F) Select preferred option / Risk control measure

(iv) Costs and Benefits of Risk Control

(A) Assess the possible cost and benefits of the activity (ies) and risk control measures to the Canadian civil aviation transportation system and Canadian interests

(B) Summarize the costs/benefits in terms of impact on the Canadian civil aviation transportation system and Canadian interests

(c) The Risk Treatment section includes the following steps:

(i) Take Action

Develop action plan

(ii) Monitor Impact and Follow Up

(A) What activities should be monitored?

(B) When should they be monitored?

(C) What method should be used to monitor?

(D) Assess the effectiveness of the risk control measures [ongoing monitoring] on the activities

(3) The Conventional tool includes a summary sheet to reflect the status of the RA exercise with all the information regarding the nature of the issue, accountability requirements, and decision making.

(4) A user guide manual regarding this tool can be found at RDIMS 5609454. This user guide gives detailed and accurate explanations on the use of this tool.

7.6 Risk Index Matrix

(1) The Risk Index Matrix analyzes risk from a perspective of Likelihood, and Severity. Each RA tool makes reference to this matrix. The standardized use of this matrix is required to ensure a consistent approach to risk analysis regardless of which tool is selected.

(2) The Risk Index Matrix (*see Appendix 8*) helps define the risk level for various scenarios. The scenarios are assessed using a two variables matrix (likelihood and severity). The Risk Level is determined by an alpha-numeric value. Guidance is provided into this Risk Index Matrix regarding course of action for each level determined.

(3) This Risk Index Matrix can be found at RDIMS 6000379.

7.7 Risk Assessment TORs

(1) TORs might be required to enable the RA process and the RA Team. However, for the use of the Basic Tool and the Modified Tool, the development of such TORs is optional and is up to the Decision Maker who, in most cases, will be the person who will use the mentioned tools.

(2) When the use of the Conventional Tool is required, TORs must be developed, given the level of complexity and the scope of the RA. The Team Leader, designated by the Decision Maker is responsible to draft the TORs. Upon completion, it must be submitted it to the Decision Maker for final approval.

(3) The template of RA TORs can be found at RDIMS 5287132.

8.0 INFORMATION MANAGEMENT

(1) All RM decisions and supporting documentation excluding protected B must be saved in RDIMS using the appropriate subject file classification.

(2) Protected information is categorized as Protected A, Protected B or Protected C. It is imperative that such information is given appropriate protection when its unauthorized disclosure, removal or modification could reasonably be expected to cause injury to an individual, organization or government, which lies outside the national interest.

(3) Protected B information includes: a person's performance evaluation and character references, criminal records, solicitor-client privileges, medical records and departmental RA, among others.

8.1 RDIMS DM profiling protocols when saving RA

(1) The following RDIMS DM protocols are to be followed when profiling RA:

(a) **Name** - enter "*Risk Assessment*" followed by "*Name of the company*" followed by "*Subject" followed by* "*date*" (*YYYY MM DD* the document is created) (e.g., RISK ASSESSMENT XYZ AIRLINES ELEMENTARY WORK TIRE PRESSURES 2009 06 11).

(b) **Description** – "*Tool Type*" (i.e. Basic Tool, Modified Tool, Conventional Tool).

(c) **Security** - Select 1 (*Unclassified*) - Select 2 (*Protected A*) if justified.

(d) **Author and OPI** – The Decision Maker should be the Author - ensure the proper default options are selected.

(e) **Access** - By default RDIMS USERS/UTILISATEURS DU SGDDI must have "*read only"* Access rights.

(f) **Classification** – Press the "*Search*" button to find the appropriate file classification in accordance with the Civil Aviation National Naming Convention Guidelines for the National File Series, which can be found at RDIMS # 546643. If there is already a file classification for the company concerned, this file shall be used when profiling the RA. However, in the event the profiler is not sure about the proper classification, it is suggested to temporarily use the "Classification Z 5000-5 P/A, Risk Management in Civil Aviation". Next step should be for the profiler to diligently determine the proper classification.

(g) Once the RA is completed, the Team Leader must save it as new version in RDIMS prior to submitting to the Decision Maker.

(h) **Final Document** – Once the RA is approved by the Decision Maker, "*Original Signed by XXX*" shall be included in the signature block area. Then, the "*Final Document*" box must be selected.

(2) Once the RA process is considered final, the Decision Maker may want to go further with the second aspect of the RM process, namely "Risk Treatment". In this case, the final RA document must be retrieved. The section "Risk Treatment" must be completed. Note that it might be necessary to develop a separate action plan to treat the risks considered into the RA. If this is the case, proper details regarding the RDIMS location of such action plan should be given into the "Risk Treatment" section of the retrieved RA document.

8.2 RDIMS DM profiling protocols when saving Risk Treatment

(1) The retrieved RA document, with the "Risk Treatment" section completed must be saved as a new document. The following RDIMS DM protocols are to be followed when profiling this new document:

(a) **Name** - enter "*Risk Treatment*" followed by "*Subject*" and enter "*date*" (*YYYY MM DD* the new document is created) (e.g., RISK TREATMENT ELEMENTARY WORK TIRE PRESSURES 2009 06 11).

(b) **Description** – "*Tool Type*" (i.e., PASS Tool, Basic Tool, Modified Tool, Conventional Tool). "*Action Plan name and RDIMS number*", if separate action is developed.

(c) **Security** - Select 1 (*Unclassified*) - Select 2 (*Protected A*) if justified.

(d) **Author and OPI** – The Decision Maker should be the Author - ensure the proper default options are selected.

(e) **Access** - By default RDIMS USERS/UTILISATEURS DU SGDDI must have "*read only"* Access rights.

(f) **Cross reference**: Insert the RDIMS number of the RA and French version if existed.

(g) **Classification** – Should be the same classification as the RA.

(h) **Final Document** – Once the Risk Treatment action is completed, "*Original Signed by XXX*" shall be included in the signature block area. Then, the "*Final Document*" box must be selected.

(2) Make use of new version in RDIMS to reflect progress. As an option, notes could be added in the version property box to summarize why the new version exists.

(3) Insert the RDIMS document number in the footer of the document.

(4) Your Regional / Branch Risk Management Coordinator is available to advise.

9.0 DOCUMENT HISTORY

(1) Previous issues of SI QUA-008 — Risk Management Process for Aviation Safety Activities:

(a) **Issue 02,** RDIMS 7017467 EN, RDIMS 7034507 FR, dated: 2011-10-07 – *Risk Management Process for Aviation Safety Activities*.

(b) **Issue 01,** RDIMS 5848074 EN, RDIMS 6139474 FR, dated: 2011-08-04, previously titled – *Risk Management Process for Oversight Activities.*

10.0 CONTACT OFFICE

For more information, please contact**:**

Management Services (AARA)
Documentation Services - Aviation / Services de documentation - Aviation
(aarainfodoc@tc.gc.ca)

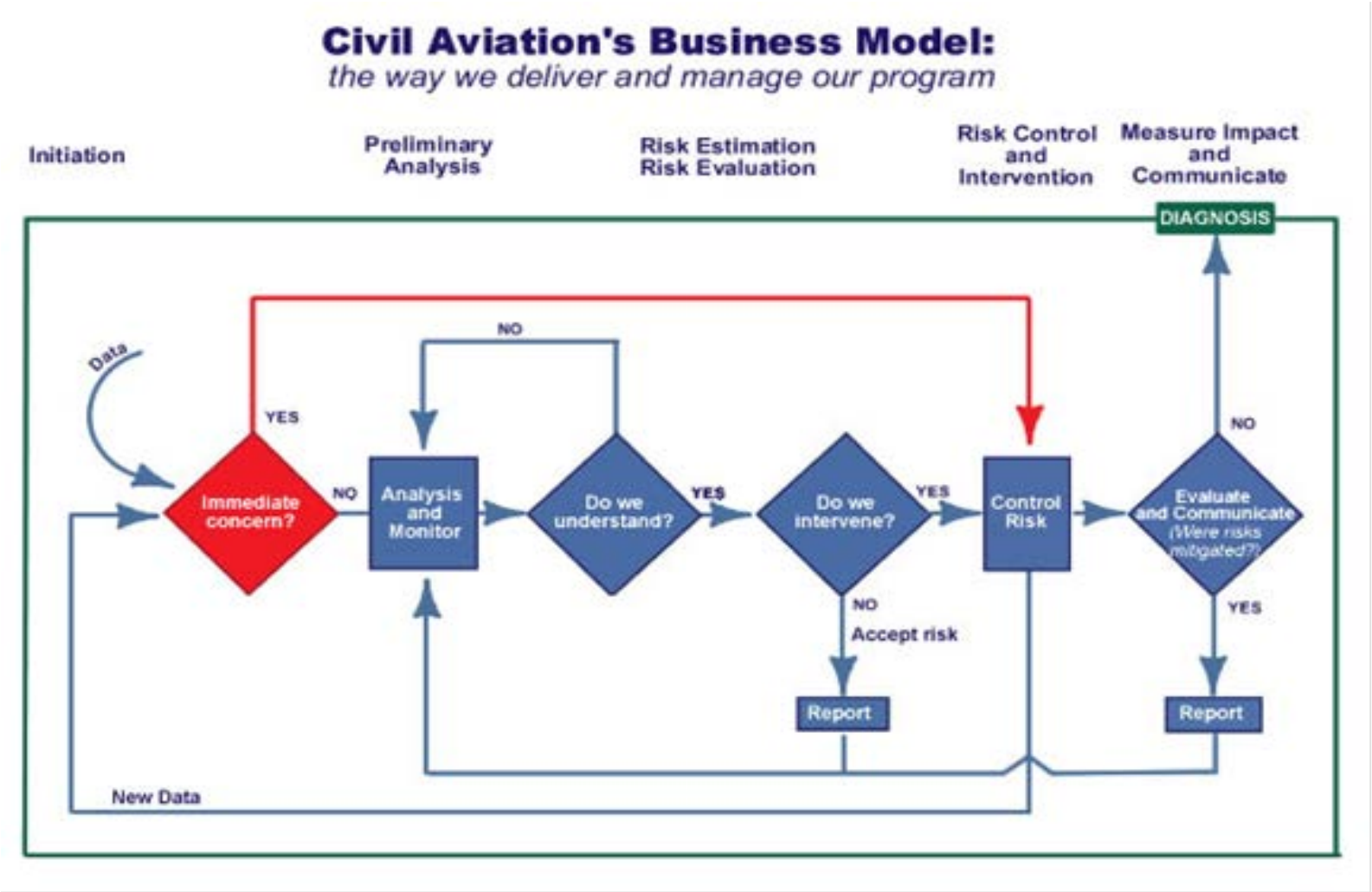
Original signed by

Judy Rutherford
Director, Management Services, Civil Aviation

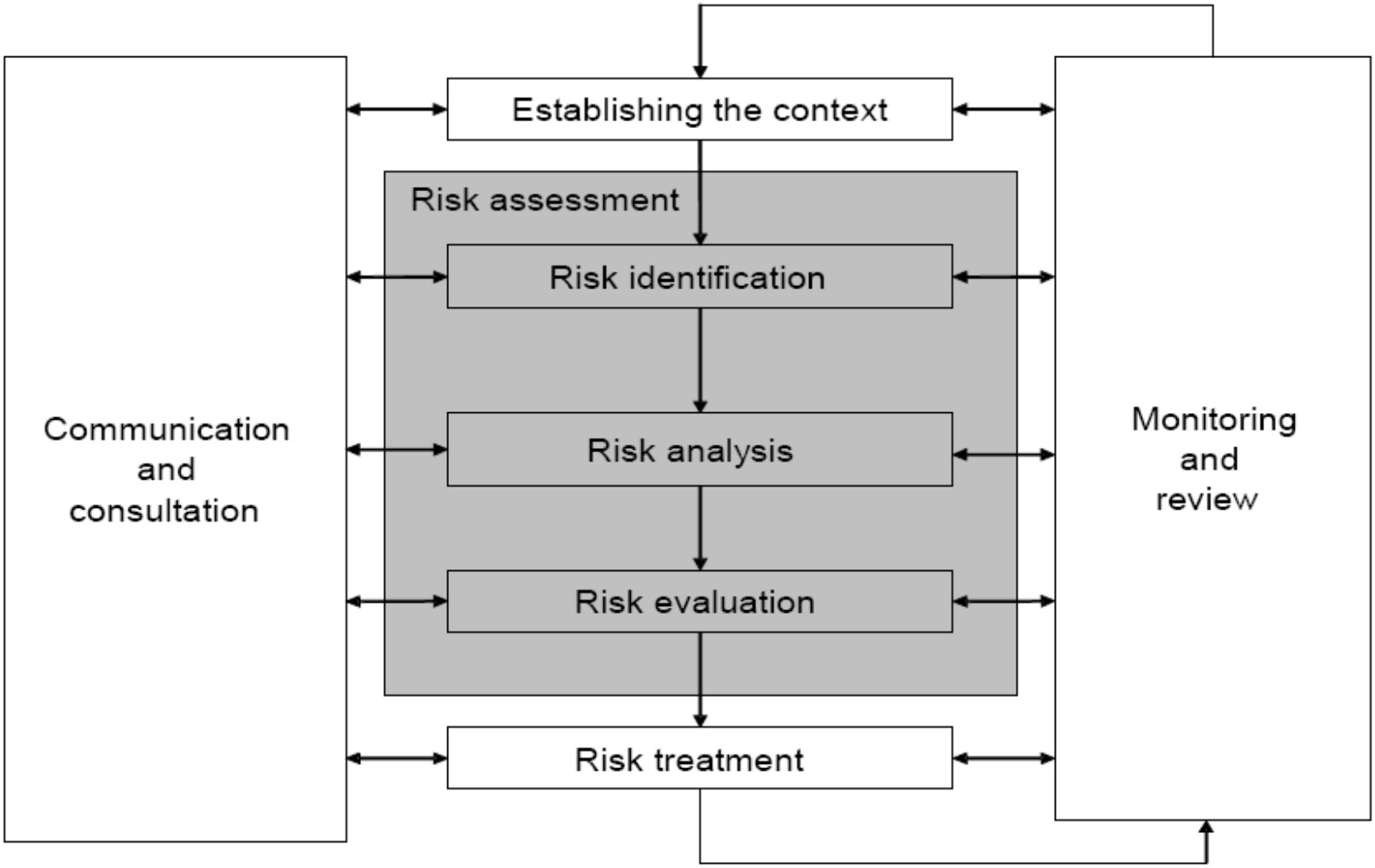
Transport Canada documents or intranet pages mentioned in this documents are available upon request through the Contact Office

FOR EXAMPLE - CANADA

APPENDIX 1 — CIVIL AVIATION BUSINESS MODEL



APPENDIX 2 — RISK MANAGEMENT PROCESS



APPENDIX 3 — TCCA RISK MANAGEMENT LEXICON / RDIMS 6083986

APPENDIX 4 — PRE-ASSESSMENT SCAN AND SCOPE TOOL (PASS) / RDIMS 5606393

(or http://catcpreaccp/saf-sec-sur/2/RPASS-EPAP/)

APPENDIX 5 — BASIC TOOL / RDIMS 4111663

APPENDIX 6 — MODIFIED TOOL / RDIMS 5243267

APPENDIX 7 — CONVENTIONAL TOOL / RDIMS 6103682

APPENDIX 8 — RISK INDEX MATRIX / RDIMS 6000379

APPENDIX 9 — TERMS OF REFERENCE RISK ASSESSMENT / RDIMS 5287132