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CIVIL AVIATION

# INTEGRATED MANAGEMENT SYSTEM STANDARD



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## **1.0 FOREWORD**

- (1) The purpose of the *Civil Aviation Integrated Management System (IMS)* Standard is to set out requirements for the effective and efficient management of the Civil Aviation Program in accordance with the Government of Canada's management framework and policies.
- (2) IMS forms the foundation that guides how Transport Canada Civil Aviation (TCCA) management manages its activities. It does so by providing a structured series of processes that flow from the Standard, that describe the inputs and methods of decision-making and the level of quality achieved in the program.
- (3) This IMS framework has adopted practices, methodologies, and philosophies found in the following:
  - (a) *Results for Canadians: A Management Framework for the Government of Canada*, Treasury Board of Canada Secretariat, March 2000;
  - (b) The management principles used in the Government of Canada's modern comptrollership initiative;
  - (c) The National Quality Institute's (NQI) Canadian quality criteria for public sector excellence;
  - (d) National Standard of Canada CAN/CSA-ISO 9000-2008/2015, the International Organization for Standardization (ISO) quality management system standard series;
  - (e) The International Civil Aviation Organization's (ICAO) Annex 19 to capture the State Safety Program (SSP) requirements;
  - (f) Transport Canada Safety Management System (SMS) Requirements; and
  - (g) Lean Principles and Practices.

## 2.0 OVERVIEW OF THE INTEGRATED MANAGEMENT SYSTEM STANDARD

Figure 1 – Plan-Do-Check-Act and the IMS Standard



### Part 1 – Management Responsibilities



### Part 2 – Documentation



### Part 3 – Program Design and Delivery



### Part 4 – Training



### Part 5 – Evaluation



### 3.0 TERMS AND DEFINITIONS

- (1) The following terms and definitions apply to this Standard:
- (a) **Civil Aviation Program:** means those components of Transport Canada that conduct activities related to aviation safety. (Reference: Transport Canada Flight 2005—*A Civil Aviation Safety Framework for Canada*, TP 13521, December 1999).
  - (b) **Integrated Management System (IMS):** hereafter known as the management system, means all the interrelated Civil Aviation activities necessary to manage and conduct the Civil Aviation Program.
  - (c) **Integrated Risk Management Framework:** means a continuous, proactive and systematic process to understand, manage and communicate risk from an organization-wide perspective. (Reference: Treasury Board of Canada Secretariat, *Integrated Risk Management Framework*, April 2001).
  - (d) **Management:** means the collective body of those who manage or direct the Civil Aviation Program.
  - (e) **Organization:** means the Civil Aviation Service Line of Transport Canada.
  - (f) **Performance Measurement Framework:** means a strategy for the selection, development and on-going use of performance measures to guide corporate decision making. The range of information in a performance measurement strategy could include: reach; outputs and outcomes; performance indicators; data sources; methodology; and costs. (Reference: Treasury Board of Canada Secretariat, *Guide for the Development of Results-Based Management and Accountability Frameworks, Annex A—Lexicon for Results-Based Management and Accountability*, August 2001).
  - (g) **Quality Assurance:** is a planned set of activities intended to establish confidence that quality requirements will be met. It is the systematic measurement, comparison with a standard, monitoring of processes and an associated feedback loop that confers error prevention throughout a system.
  - (h) **Quality Control:** is a subset of quality assurance designed to detect deficiencies in an output, rather than in the system as a whole. In the context of inspection activities undertaken by safety and security oversight programs, quality control refers to the responsibility of supervisors/managers to ensure that inspectors are conducting inspections according to the inspection plan, are following relevant policies and procedures, and are completing required documentation.
  - (i) **Standard:** means the *Integrated Management System Standard*.
  - (j) **Stakeholder:** means a person or organization [with a vested interest] impacted by a program delivered from the organization and includes external stakeholders, such as the travelling public, the aviation industry, foreign civil aviation authorities, the International Civil Aviation Organization (ICAO) and internal stakeholders, such as Civil Aviation personnel and the Minister of Transport.

#### **4.0 POLICY AND APPLICABILITY**

##### **(1) Policy**

- (a) Management shall continuously improve the Civil Aviation program through the ongoing development and implementation of processes to evaluate the management systems.

##### **(2) Applicability**

- (a) The Civil Aviation Integrated Management System (IMS) Standard applies to all Civil Aviation personnel.

#### **5.0 PART 1 – MANAGEMENT RESPONSIBILITIES**

##### **5.1 Leadership, Responsibility and Authority**

##### **(1) Roles & Responsibilities**

- (a) All managers are responsible and accountable for determining the key processes required for the management system and their application.
- (b) Management shall define and communicate the roles & responsibilities to ensure that the organization's functions and relationships are understood by employees.
- (c) Management shall establish, document, implement, maintain and continually improve the Civil Aviation Program in accordance with the requirements of this Standard.

##### **(2) Leadership**

- (a) Management shall lead and commit to the development, implementation and continuous improvement of the management system. This commitment shall be defined and reviewed as part of on-going management oversight and the management review.
- (b) Successful implementation of this Standard is dependent upon management's commitment to the development and effective control, evaluation and improvement of this management system.

##### **(3) Management System Representative**

- (a) The Directors General, Civil Aviation (DGCAs) are accountable for the Management System. The DGCAs shall appoint a representative to ensure that the processes are established and maintained. The representative shall report to the DGCAs and to the National Civil Aviation Management Executive Board (NCAMX) on the management system's performance.

##### **5.2 Communication**

- (1) Management shall ensure that appropriate communication processes are established within the organization and that communication takes place regarding the effectiveness of the management system.

**5.3 Strategic Direction and Business Planning**

- (1) Management shall:
  - (a) Develop an understanding of the emerging trends and risks in establishing a clear vision of the organization's future and set goals, targets and long term objectives and priorities for the organization;
  - (b) Establish and communicate a strategic plan for achieving the objectives; and
  - (c) Establish processes to link operational and functional business planning, including resource allocation to the organization's strategic direction and business planning processes.

**5.4 Risk Management**

- (1) Management shall establish, document and maintain an effective integrated risk management framework to identify and control risks in the program and determine optimal utilization of resources.

**5.5 Management Review**

- (1) Management shall:
  - (a) Establish processes to monitor the implementation and evaluate its effectiveness; and
  - (b) Review the organization's management system to determine its efficiency, effectiveness and performance.
- (2) The input to the management review shall include:
  - (a) Strategic directions and business planning;
  - (b) Quality control and quality assurance activities;
  - (c) Stakeholder feedback; and
  - (d) Process performance and status of corrective actions taken.
- (3) The output from the management review shall include an assessment of performance and actions to improve the suitability and effectiveness of the program.

**5.6 Reporting System**

- (1) Management shall establish and maintain a repository for the collection, consolidation and access to information collected internally from employees and externally from stakeholders.
- (2) Management shall promote a reporting culture through the establishment and maintenance of processes that encourage Civil Aviation personnel and persons external to Civil Aviation to proactively report issues and concerns.

**6.0 PART 2 – DOCUMENTATION**

- (1) Management shall establish processes to identify, assess and maintain all applicable statutory requirements to ensure the organization understands its responsibilities.

**6.1 Documentation Requirements**

- (1) Management shall document the management system. The documentation shall include:
  - (a) A management system manual that includes a description of the scope and key services of the management system, documented procedures or reference to them and a description of the interaction between the processes within the management system. Management shall create a Quality Plan document, describing specific quality processes / procedures, or reference to them, which indicates the sequence and relationship of functional integrated processes.
  - (b) A process to control the documentation required for the civil aviation program including the approval; use; review and revision; integrity and cancellation of documents. The process shall also ensure that the relevant version is available at point of use and obsolete documents are identified.

**6.2 Records Management**

- (1) A procedure shall be established for the identification, storage, retrieval, protection, retention and disposition of records providing evidence of program conformity and operation of the civil aviation program.
- (2) Records shall provide information on the degree of achievement for efficiency, effectiveness and performance of the management system and its processes, including program delivery processes. These records shall be maintained and readily accessible.

**7.0 PART 3 – PROGRAM DESIGN AND DELIVERY****7.1 Stakeholder Focus**

- (1) Management shall identify applicable stakeholders and endeavour to ensure that the stakeholder needs, issues and concerns are considered in the design of the program so that stakeholder's values are clearly reflected.
- (2) Management shall establish procedures for communicating with stakeholders. These communications shall provide program information, direction on communicating responses to inquiries and feedback from stakeholders.

**7.2 Program Design**

- (1) The organization shall plan, design and deliver every Civil Aviation Program activity, and any changes to program design and delivery will be documented and communicated to stakeholders, in accordance with this Part.
- (2) The organization shall ensure that all requirements are addressed in the program design. The process shall include verification and validation before implementation to ensure they are appropriately addressed and achieve the intended results/outcomes.
- (3) The organization shall conduct independent design reviews, based on the complexity and degree of risk for the purpose of determining conformance with the intended outcome.
- (4) Management shall identify stages during design and development for the purpose of their independent review and approval. Approval must assure conformance with the intended outcome and satisfy the requirements of this Standard.



- (5) Management shall approve the design pertaining to activity areas.

### **7.3 Program Delivery**

- (1) The organization shall manage the program delivery, including the interface between different levels and functions within the organization in order to ensure effective communication, data and information exchange and clear assignment of roles and responsibilities.
- (2) The implemented program activity processes shall be evaluated to ensure that it provides value, includes the principles of quality control, and meets intended outcomes.

## **8.0 PART 4 – TRAINING**

### **8.1 Competence and Learning**

- (1) Management shall identify the competency requirements for all personnel, train personnel to satisfy their position requirements and evaluate the effectiveness of the training provided.
- (2) Management shall ensure that all personnel, including management are trained on the concepts and requirements of this management system.

### **8.2 Awareness**

- (1) Management shall ensure that personnel, including management are aware of the relevance and importance of their activities and how they contribute to the achievement of the organization's strategic direction and objectives.
- (2) A process for ensuring the awareness of strategic directions and priorities and alignment of internal /external performance shall be developed.
- (3) External stakeholder awareness of key directions and priorities shall also be developed.

## **9.0 PART 5 – EVALUATION**

### **9.1 Quality Assurance**

- (1) The organization shall plan and conduct quality assurance on its activities to ensure that their management systems conform to the requirements of this Standard.
- (2) Management shall analyze process and systemic data to measure performance, effectiveness and efficiency as a means to continuously improve.
- (3) Internal assessments shall be planned, conducted, documented and reviewed to verify compliance, effectiveness and opportunities for improvement to all management system and aviation program processes including all referenced processes and management system manual documentation.
- (4) Corrective action shall be taken to ensure conformity of an activity area where planned results or service standards have not been met.

### **9.2 Quality Control**

- (1) Management shall integrate quality control principles throughout the organization. This involves the identification of key process activities including outputs, outcomes, the defining of

specifications or characteristics which allow for determining compliance of the process and establishing a means to control the characteristics being measured and monitored.

- (2) Corrective measures shall be taken to ensure conformity of an activity area where planned results or service standards have not been met.

### **9.3 Performance Measurement**

- (1) The organization shall establish, document and maintain an effective risk-based performance measurement framework.
- (2) The organization shall monitor and, where applicable, measure at regular intervals the processes necessary for program delivery of activity areas to ensure planned results and service standards have been met.
- (3) The organization shall collect and analyze data to determine the suitability and effectiveness of the organization's activities for the purpose of its continued improvement. This shall include data generated by measuring and monitoring activities and other relevant sources.
- (4) The results of the measurement and monitoring activities shall be input to the management review.

### **9.4 Corrective Actions**

- (1) A process for Corrective Actions will be developed including the evaluation of the effectiveness of those corrective actions. Corrective action shall be taken to ensure conformity of an activity area where planned results or service standards have not been met, including corrective action arising from audits, reviews and assessments.

## **10.0 DOCUMENT HISTORY**

- (1) Civil Aviation Integrated Management System Standard, TP 14693E (05/2007), TC-1002300, RDIMS 2399453 (English) and TC-1002302, RDIMS 2399471 (French).

## **11.0 CONTACT OFFICE**

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Suggestions for amendment to this document are invited, and should be submitted via the same email address mentioned above.

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