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2. Global Airside Safety Management System (SMS)

Revision: 6
Date: 18 November 2024

2.0 Definitions

2.0.1 Acronyms and Abbreviations

2.1 Introduction

2.2 Safety Policy and Objectives

2.3 Safety Risk Management

2.4 Safety Assurance

2.5 Safety Promotion

2.6 Compliance Table

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Page	Date	Comment
8	18 November 2024	Airlines in scope added. *(Minor)*
36	18 November 2024	Stations in scope added.

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Term	Definition
Airside	The non-public and within the secured area of an airport, directly involved in the arrival and departure of aircraft.
Aircraft damage	An aircraft sustains damage or structural failure that adversely affects the structural strength, performance or flight characteristics of the aircraft and would normally require major repair or replacement of the affected component.
Aircraft On Ground (AOG)	A term used by Engineering teams to denote when an aircraft has a technical problem which is serious enough to prevent it from flying. This typically delays an aircraft departure greater than 60 minutes.
Audit	A systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.
Accountable Executive	A single, identifiable person having responsibility for the effective and efficient performance of the service provider's SMS .
Acceptable level of safety (ALoS)	The minimum level of safety performance as defined in a service provider's safety management system, expressed in terms of safety performance targets and safety performance indicators.
Accident	An occurrence in which: a) a person is fatally or seriously injured, b) the aircraft sustains damage or structural failure, or c) the aircraft is missing or is completely inaccessible.
Anonymous reporting	A reporting system that protects the identity of the reporter and includes the possibility that reports may be submitted anonymously.
Audit program	The documented management, organisation, strategy, policies, and procedures used by an auditor(s) for providing audit services.
Change management	Process to identify changes, and to identify and manage the safety risks that may arise from those changes.
Compliance	To fulfil, meet or be in accordance with, requirements specified in regulations.
Confidential reporting	The reporter's identity is not passed on to other parties and the reporter is not revealed before being made public or distributed.
Conformity	The fulfilment of a requirement.
Continuous improvement	Ongoing effort to improve products, services and processes.
Contributing factors	Actions, omissions, events, conditions, or a combination thereof, which, if eliminated, avoided or absent, would have reduced the probability of the accident or incident occurring, or mitigated the severity of the consequences of the accident or incident.

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Control measures	Measures introduced or installed to reduce the potential of harm to persons, land and property.
Corrective action	Process, or a series of actions, designated to minimise or eliminate the likelihood that a nonconformance (event, process or system that does not meet a requirement or standard), defect, or problem will reoccur, or happen again.
Corrective action plan	Planned corrective action, i.e. a description of the changes planned to correct root causes or contributing factors.
Hazard	A condition or an object with the potential to cause or contribute to an aircraft incident or accident.
Incident	An occurrence, other than an accident, associated with the operation of an aircraft, which affects or could affect the safety of operation.
Investigation	A process conducted for the purpose of accident / incident prevention which includes the gathering and analysis of information, the drawing of conclusions, including the determination of causes and / or contributing factors and, when appropriate, the making of safety recommendations.
Just culture	Is a culture in which front-line operators and others are not punished for actions, omissions or decisions taken by them which commensurate with their experience and training, but where gross negligence, wilful violations and destructive acts are not tolerated.
Lagging indicators	Lagging indicators typically expressed as the number of unwanted outcomes, defined in aviation as accidents and incidents. They have the objective of preventing future unwanted outcomes by learning from such outcomes in the past.
Leading indicators	Leading indicators measure temporal change in risk levels with the objective of capturing minor events leading to an unwanted outcome. They have the objective to predict unwanted outcomes.
Loading error	The difference between the reported and actual loaded state of the aircraft (note: reported means documented in the load plan (LIR)).
Management system	A system to establish policy and objectives and to achieve those objectives.
Monitoring program	Program to ensure compliance/conformity with applicable laws, regulations and company standards.
Movements	One movement is a flight with take-off and landing. This includes all operated air movements except flight cancellations.
Near miss	An unplanned event that did not result in any occurrence, but had the potential to become one.

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Non-compliance	Non-fulfilment, to not meet or be in accordance with requirements specified in regulations.
Non-conformity	The non-fulfilment of a requirement / standard (non-regulatory).
Occurrence	A term used by ICAO to denote either an accident or incident.
Predictive risk management	To do something based on potential risk. Predicting and mitigating future hazards by using safety data.
Proactive risk management	To do something before an accident happens by utilising data to identify risks from past accidents or incidents.
Ramp	The part of an airport used by aircraft for loading and unloading.
Reactive risk management	To do something to address the risks identified in an accident or incident after it has occurred.
Risk assessment	Is an evaluation based on engineering and operational judgment and / or analysis methods in order to establish whether the achieved or perceived risk is acceptable or tolerable.
Risk mitigation	The process of incorporating defences or preventive controls to lower the severity and / or likelihood of a hazard's projected consequence.
Root cause	The original event(s), action(s), and / or condition(s) generating (directly or in cascade) an actual or potential undesirable condition, situation, nonconformity or failure. There are often several root causes for one problem.
Root cause analysis	An in-depth process or technique to identify the most basic factor(s) which cause a variation in the performance (problem).
Safety	The state in which risks associated with aviation activities, related to, or in direct support of the operation of aircraft, are reduced and controlled to an acceptable level.
Safety assurance	Monitoring the SMS and its effectiveness.
Safety culture	Normal or everyday workplace behaviours, often characterised as "the way we do things around here".
Safety management system	A systematic approach to managing safety, including the necessary organisational structures, accountability, responsibilities, policies and procedures.
Safety performance	A service provider's safety achievement as defined by its safety performance targets and safety performance indicators.
Safety performance indicator	A data-based parameter used for monitoring and assessing safety performance.

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Safety performance target	The planned or intended target for a safety performance indicator over a given period that aligns with the safety objectives.
Safety policy	A statement of the organisation's fundamental approach to achieve acceptable level of safety.
Safety risk	The predicted probability and severity of the consequences or outcomes of a hazard.
Safety risk probability	Likelihood that a safety consequence or outcome might occur.
Safety risk severity	The extent of harm that might reasonably occur as a consequence or outcome of the identified hazard taking into account the worst foreseeable situation.
Safety risk mitigation / control measures	Tools to reduce the probability of an occurrence, or the severity of the consequences, or both.

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2.0.1 Acronyms and Abbreviations

Acronym	Definition
AHM	Airport Handling Manual
ALARP	As low as reasonably practicable
ALoS	Acceptable Level of Safety
CAA	Civil Aviation Authority
CAPA	Corrective and Preventive Action
CAR	Corrective Action Record
CEO	Chief Executive Officer
DHL	DHL Express
DHL AGOM	DHL Aviation Ground Operations Manual
EASA	European Union Aviation safety Agency
ERM	Emergency Response Manual
ERP	Emergency Response Plan
EVP	Executive Vice President
GASRA	Global Airside Safety Risk Assessment
GHSP	Ground Handling Service Provider
GOSARPs	IATA Standards and Recommended Practices
GSE	Ground Service Equipment
GSOP	Global Standard Operating Platform
GTW	Gateway
HUB	DHL Hub
IATA	International Air Transport Association
ICAO	International Civil Aviation Organisation
IOSA	IATA Operational Safety Audit
ISAGO	IATA Safety Audit for Ground Operations
KPI	Key Performance Indicator
MOR	Mandatory Occurrence Report
OHS	Occupational Health and Safety
OJT	On-the-Job Training
PD	Performance Dialogue
QAP	Quality Assurance Program
RCA	Root Cause Analysis
SAG	Safety Action Group
SFF	Safety First Framework
SGHA	Standard Ground Handling Agreement
SMS	Safety Management System
SMSM	Safety Management Systems Manual
SOP	Standard Operating Procedure
SPI	Safety Performance Indicator
SPT	Safety Performance Target
SSP	State Safety Program
SVC	Service Centre
TRC	Turnaround Coordinator

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2.1 Introduction

Safety is defined as the state in which risks associated with aviation activities, related to, or in direct support of the operation of aircraft, are reduced and controlled to an acceptable level. The purpose of a Safety Management System (SMS) in this respect is to provide a systematic approach to managing safety, including the necessary organisational structures, accountabilities, policies and procedures.

In practical terms, an SMS is a tool box that allows an Organisation to identify hazards, evaluate associated safety risks and mitigate them through corrective actions on various levels. Through monitoring these hazards and safety risks, and stepping in when required, an Organisation will then be able to gradually improve its safety performance. Overall, the SMS provides for continuous monitoring, regular assessment and improvement of the safety level. An SMS is a way of thinking and becomes part of the organisational culture; the way people do their jobs.

DHL's SMS is based upon a systematic approach to hazard identification and safety risk management to improve the company's overall safety performance, reduce costs and maintain the integrity of the Organisation. The guiding principles of the SMS are:

Managing safety is really about managing safety risk, which means trying to prevent bad things from happening, or if something does go wrong trying to minimise the consequences of the event.

Safety management is also about accepting that things will go wrong and about reactively, proactively and predictively controlling safety risks to a level that is acceptable. It can help identify potential safety risks, take appropriate action and measure how well risk controls are working.

Finally, the SMS is not a manual, a database, or a reporting process; these are all tools. The SMS lives in the DNA of the Organisation. It penetrates into the operation's processes and activities and it shapes critical management thinking. The SMS is a vital management capability where the staff are the eyes and ears, the safety group is the heart, and management is the decision-making 'brain' of the system.

An effective Safety Management System provides many other potential benefits, including:

- A clear and documented approach to achieving safe operations,
- The ability to control potential risky operations faced by the business,
- Active involvement of staff and management in safety,
- Demonstrable control for the regulator, an Organisation's customers and other stakeholders that safety risks are under control,
- Reduction or removal of operational inefficiencies,
- Decreased insurance costs and improved reputation, and
- A common language to establish safety objectives and targets and to implement and monitor safety risk controls from legal action.

Therefore, this manual aims to describe and outline:

- DHL's Global Airside Safety Management System (SMS),
- Associated SMS processes, and
- The roles of all staff (management and non-management) within the SMS.

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2.1.1 Scope of the SMS

DHL's SMS is in place to control all aspects of Airside Operations. This includes all departments with direct impact on airside activities (inclusive ULD build-up), such as Service Centers (SVC) / Terminals, Gateways (GTW), and Hubs (HUB), as well as third party Cargo and Ground Handling Service Providers (GHSP). The requirements stipulated in this document are generic and applicable to all regions and operating locations that are part of the DHL Airside Operations.

The Global Airside SMS is applicable to all Ground Operations, i.e. all cargo and ground-related services that are conducted by DHL employees or where DHL has contracted such services (i.e. Global Airside Ground Operations Pool). The applicable standards are set in the DHL Airside Ground Operations Manual (DHL AGOM).

1. The procedures outlined in this document apply to all cargo and ground-related services that are conducted by DHL employees or where a DHL in-house airline or a 3rd party airline which is part of the Global Airside Ground Operations Pool has contracted such services to a 3rd party. Therefore, the following scenarios fall within the scope of the SMS:
    i. DHL self-handling stations

        Note: If a self-handling station outsources activities, then it is the responsibility of the local station to monitor the sub-contracted services. The standards set in DHL AGOM do apply to all sub-contracted activities.

    ii. 3rd party stations contracted by an in-house (owned) airline / AOC, including:
        a. Any station where a DHL-owned airline operates to,
        b. Any station where a wetlease operator under a DHL callsign operates to, and
        c. Any station where a DHL-owned airline has contracted a services to a 3rd party service provider regardless of operator/AOC (i.e. external airlines/AOCs flying to stations contracted by DHL).

    iii. 3rd party stations contracted by a 3rd party airline which is part of the Global Airside Ground Operations Pool, including:
        a. Any station where the 3rd party airline operates to,
        b. Any station where a wetlease operator under the callsign of the 3rd party airline operates to.

        In scope: Singapore Airlines, Tasman Cargo Airlines.

2. Where an external airline has contracted handling activities directly with no involvement of DHL, such cargo and/or ground handling services shall be conducted in accordance with the operator's manuals as per contractual agreement. External airlines not operating under a DHL AOC shall be responsible for their own SMS and associated processes and procedures.

The standards published in this manual shall be implemented on a station level to an extent commensurate with the size of the Organisation.

2.1.2 Compliance Statement

The SMS outlined in this manual reflects the international standards set out in the International Civil Aviation Organisation's (ICAO) Annex 19 and accounts for its 4 key components and 12 elements:

1. **Safety Policy and Objectives**

    1.1 Management Commitment
    1.2 Safety Accountabilities and Responsibilities
    1.3 Appointment of Key Safety Personnel

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1.4 Coordination of Emergency Response Planning
1.5 SMS Documentation

2. **Safety Risk Management**

2.1 Hazard Identification
2.2 Safety Risk Assessment and Mitigation

3. **Safety Assurance**

3.1 Safety Performance Monitoring and Measurement
3.2 The Management of Change
3.3 Continuous Improvement of the SMS

4. **Safety Promotion**

4.1 Training and Education
4.2 Safety Communication

These will be outlined in detail in the following sections.

In addition, the DHL Group understands the safety and health of all employees as the foundation to success. Thus, ensuring a safe and healthy working environment takes upmost priority and precedence over short term economic gains. For that reason, this document fully endorses all Occupational Health and Safety (OHS) objectives and standards as defined in DHL's Safety First Framework (SFF), and all
Airside Operations must be carried out in accordance with the minimum requirements outlined in the
SFF (or equivalent OHS Management Systems for third parties).

Similarly, quality processes are integrated and covered under the Monitoring Program outlined in section 4.1, and hence, understood to be part of the Safety Assurance function of the SMS.

Therefore, the SMS outlined in this manual and hereinafter referred to as "SMS" acts as a framework that covers

both, ICAO standards and internal DHL Group OHS minimum requirements. This document specifies the prerequisites in order to establish, implement, monitor and continually improve a documented SMS for Airside Operations. In addition, the document is fully in conformance with IATA
AHM, as well as ISAGO Standards and Recommended Practices (GOSARPs).

The guidance given in this document reflects minimum requirements and consideration must be given to applicable legal, contractual and other local requirements.

Any third party sub-contractor is expected to meet equivalent standards as those described in this manual.

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2.2 Safety Policy and Objectives

2.2.1 Management Commitment

2.2.1.1 Safety Policy Statement

DHL has defined the Organisation's safety policy in accordance with international and national requirements. The policy endorses safety as fundamental operational priority and has been signed by the Accountable Executive. It is applicable to all operational and management personnel.

The safety policy reflects organisational commitments regarding safety; including a clear statement about the provision of the necessary resources for the implementation of the safety policy; and it is communicated, with visible endorsement, throughout the Organisation. The policy informs all personnel throughout the company of their safety responsibilities and contains safety reporting procedures; clearly indicating which types of operational behaviours are unacceptable; and including the conditions under which disciplinary action will not apply. It promotes the continuous improvement of the management system. DHL's safety policy is periodically reviewed by the DHL Group's Corporate Board and Accountable Executives to ensure it remains relevant and appropriate to the Organisation.

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SAFETY FIRST
ALL DAY, EVERYDAY FOR EVERYONE

DHL EXPRESS OCCUPATIONAL HEALTH & SAFETY POLICY STATEMENT

Occupational Health and Safety is a leadership responsibility, supported by employees at all levels contributing to achieving its objectives.

Safety First
This mindset must always be central to what we do and be embedded in all business activities, not an afterthought. It must go beyond compliance with legal obligations and be incorporated into our common DNA. Safety drives efficiency and great service quality when it becomes part of how we operate every day. We continuously strive for improved safety performance within all aspects of our business and ensure the provision of resources for the implementation of the health and safety policy.

Employee involvement and engagement
is at the heart of workplace health and safety activities and initiatives. This includes empowering employees at all levels to take action by preventing and reporting any unsafe conditions or behavior at a DHL site or a site operating on behalf of DHL and to comply with the applicable laws, regulations and procedures. We encourage open discussions where employees are not penalized for actions, omissions or decisions taken that are commensurate with their experience and training, as long as there is no evidence of gross negligence or willful violation. We will collaborate with our suppliers to ensure their commitment to safety as our customers expect it of us.

We strive for a preventive approach
to occupational health and safety activities, primarily focusing on safe behavior and the design of a safe and healthy workplace environment. We aim to enhance the health and safety of our employees through robust safety systems, practices and policies, as well as training.

We will continue to develop
and enhance our health and safety management systems, in line with or exceeding local and international regulations and standards. We achieve this by implementing safety standards, systems and metrics and by using our First Choice methodology to continuously improve every day, everywhere.

It is our vision to make a great place to work also a safe place to work
We hire people with the intention to maintain a long-term relationship with them, ideally until a healthy retirement age. While under employment, our employees should be able to positively contribute to their personal relationships and families. If employees wish, they should be able to join in associations and other community activities that positively support the progress of societies worldwide.

This can only happen if we, the people at DHL, protect the wellbeing of all employees, those under our care and everyone impacted by our operations, and ensure that everybody has a safe day, every day.

John Pearson
CEO, DHL Express
August 2023

Travis Cobb
EVP Global Network Operations & Aviation, DHL Express
August 2023

Figure 1: Safety Policy

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2.2.1.2 Quality Policy Statement

To ensure that quality is equally part of DHL's operations and activities, a quality policy has been endorsed by the Accountable Executive as shown in Figure 2.



Figure 2: Quality Policy

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2.2.1.3 DHL Just Culture

DHL is committed to maintaining and wherever possible improving safety and quality. To achieve this, DHL recognises staff safety reports as one of the most valuable sources of information for learning safety lessons and identifying safety trends. Therefore, in order to receive as many reports as possible, DHL is committed to a non-punitive approach to managing error in order to develop and foster a culture of mutual trust, i.e. a just culture.

A just culture is a culture, in which front-line operators or other persons are not punished for actions, omissions (failed to do something) or decisions taken by them that commensurate (are in proportion) with their experience and training, but in which gross negligence, wilful violations and destructive acts are not tolerated. Therefore, DHL's just culture follows the following principles:

- Encouragement of mutual trust and open reporting

DHL endorses a culture which fosters mutual trust, openness and fair treatment of all staff members. Just culture therefore implies a culture that encourages open and proactive reporting by staff in regard to any safety-related occurrence or concern which could lead to an improvement in safety.

- Focus on intent rather than outcome

DHL trusts that all employees act in good faith when they carry out their work. It is fully understood and accepted that employees may make mistakes, which could lead to undesirable outcomes. Should this occur, the Organisation does not seek to find personal fault or guilt and will not punish staff for making honest mistakes. Instead, DHL seeks to improve processes and procedures to create a safer airside environment.

- Protection of safety data and safety information

The identity of persons involved in an occurrence or reporting any safety-related concern will be protected.

- Learning culture

Safety data and information is used for the purpose of learning and improving safety. DHL will make safety information available for all staff in order to create a culture which permits continuous learning and improvement of safety.

- No tolerance for unacceptable behaviour

As stated, just culture does not necessarily mean impunity. DHL does not tolerate any kind of deliberate violation, gross negligence or wilful damaging behaviour.

2.2.1.4 Psychoactive Substances at the Workplace

The exercise of duties while under the influence of psychoactive substances is prohibited within DHL.
Policies that address the use of psychoactive substances by operational personnel shall be defined and implemented on a local level. This shall include the consequences for the misuse of such substances.

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2.2.1.5 Definition of Safety Objectives

The overriding objective of the SMS is to ensure safe Airside Operations. However, DHL's SMS aims to go beyond and aims to manage safety as an integral part of the overall business. To achieve this, the following objectives have been formulated:

- To have a systematic, integrated, and communicated approach to safety and quality management within Airside Operations and across the whole corporate environment as proven by attaining and maintaining an ISAGO certification.
- To provide safe and healthy working conditions for the prevention of work-related injury and ill health.
- To focus on maximizing opportunities to continuously improve the overall management system within DHL Global Airside.
- To have a proactive approach to managing safety within the Organisation that does not solely rely on reacting to events.
- To ensure that safety and quality become an integral part of DHL's business processes.

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2.2.2 Safety Accountabilities and responsibilities

2.2.2.1 Safety Accountabilities

This section identifies the accountabilities of all members of management, irrespective of other functions, with respect to the safety performance of the SMS.

Corporate Level

The Executive Vice President (EVP) Global Network Operations & Aviation is the Accountable Executive who is accountable for the performance of the management system, including safety, quality and security on a corporate level. Irrespective of other functions, the EVP Global Network Operations & Aviation has:

- Ultimate responsibility and accountability for the implementation and maintenance of the Management System including the SMS and Monitoring Program throughout the Organisation.
- The authority, which includes financial control, to make policy decisions to ensure the planning and allocation of resources necessary to manage risks to Airside Operations. He/she is able to allocate appropriate resources to ensure the necessary system components are in place and functioning properly.
- Overall responsibility and is accountable for ensuring operations are conducted in accordance with applicable regulations and standards.

Regional Level

On a regional level, it is the regional Head of Operations who has ultimate accountability for the performance of the management system, including safety, quality and security, in their respective region.

Country / Station Level

On a country and station level, it is the Country Managing Director (Country Management) and the Service Center (SVC) / Terminal, Gateway (GTW), and HUB Manager (Station Management), respectively, who are accountable for the management system, including safety, quality and security.

Airlines / Third Party Service Providers

In addition, the General Manager (GM) of each airline operating within the DHL Air Network is accountable and ultimately responsible for all airline-related decisions, including ground operations.
Similarly, the Managing Director of any third party Cargo or Ground Handling Service Provider (GHSP) has ultimate accountability regarding safety risks that are associated to the services provided.

Accountable Executive – Corporate Level Who: EVP Global Network Operations & Aviation Accountable Manager – Regional Level Who: Regional Head of Operations Accountable Manager – Country and Station Level Who: Country Managing Director (Country Management) and Service Centre /Terminal, Gateway or Hub Manager (Station Management) Accountable Manager – Airlines / Third Party Service Provider Who: Airline General Manager / Managing Director Third Party Service Provider

Figure 3 summarises the lines of accountability in an organigram.

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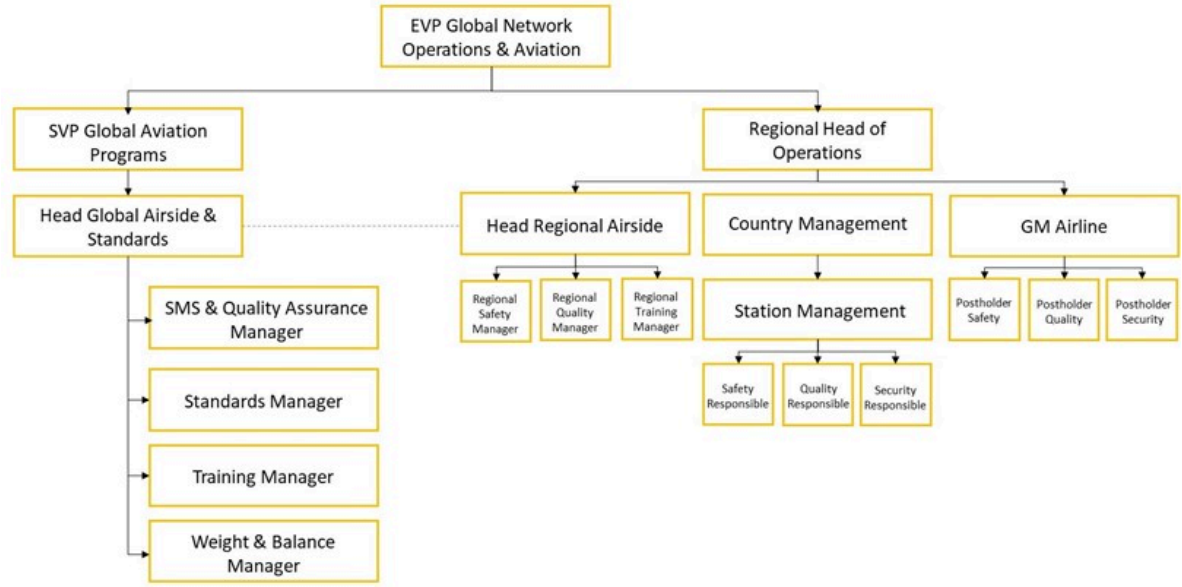

Figure 3: Organigram

2.2.2.2 Safety Responsibilities

The responsibility for safety lies within the Organisation as a whole, including all members of management and front-line personnel as safety is everybody's responsibility.

To ensure the SMS is effective, DHL has defined lines of responsibility throughout the organisation, including:

Lines of accountability throughout the Organisation, including direct accountability for safety on the part of the senior management (see section **2.2.1 - Management Commitment**)

Responsibilities for ensuring operations are conducted in accordance with applicable regulations and standards of the operator (see section Appointment of Safety Personnel).

Levels of management with the authority to make decisions that affect the safety of ground operations, i.e. safety risk tolerability (see section Management with Authority to make Decisions regarding Safety Risk Tolerability).

When it comes to non-management staff, it is the responsibility of everybody in the Organisation to "say something, if you see something". The responsibility for safety is not transferable and everybody's responsibility.

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2.2.3 Appointment of Safety Personnel

2.2.3.1 Safety Responsibilities on a Corporate Level

The responsibility for the implementation, maintenance, and administration of the SMS for Airside Operations at the corporate level and throughout the Organisation on behalf of the Accountable Executive lies with the Sr. Manager Global Airside Safety & Quality Assurance.

The Sr. Manager Global Airside Safety & Quality Assurance is responsible for:

- The implementation, maintenance and day-to-day administration and operation of the SMS at the corporate level and throughout the Organisation.
- Setting standards for SMS to be implemented globally.
- Liaising with the Regional Airside Safety Managers, who retain the responsibility for safety in their respective areas of operation.
- Monitoring the performance of the SMS for effectiveness by implementing and maintaining a Monitoring Program as part of the SMS Safety Assurance function, including:
    - Managing and monitor operational activities for adherence to procedures and requirements.
    - Overseeing audit, evaluation and control activities.
    - Monitoring the implementation and completion of corrective and preventive actions.
    - Providing information and advice on safety management and monitoring matters to the Accountable Executive and relevant stakeholders.
    - Disseminating information to management and non-management operational personnel as appropriate to ensure an organisational awareness of relevant safety risk management issues and monitoring results.
- Ensuring continuous improvement of the SMS and Monitoring Program.
- Amending the SMS and Monitoring Program documentation as required.

2.2.3.2 Safety Responsibilities on a Regional Level

The Sr. Manager Global Airside Safety & Quality Assurance is supported by the Regional Airside Heads and Regional Airside Safety and Quality Managers, and if applicable, local safety personnel.

It is the responsibility of the Regional Airside Safety Manager to implement, maintain and administer the SMS for Airside Operations in their respective region. This includes all aspects of the SMS as outlined in section **2.1.2 - Compliance Statement** and described in the remainder of this document. Where global standard operating procedures (SOPs) or guidelines are available these shall be followed and implemented. It is furthermore the responsibility of the Regional Airside Safety Manager to communicate with stations and airlines in their respective regions.

The responsibility for implementing the Ground Operations Audit Program as part of the Monitoring Program lies with the Regional Airside Audit Program Managers. The Regional Airside Audit Program Managers are functionally independent and have lines of communication to the Regional Senior Management to ensure the reporting of safety, security and quality issues and to ensure that such issues are appropriately addressed.

The Regional Airside Audit Program Managers are responsible for ensuring that the Ground Operations Audit Program is implemented within their respective regions following the guidelines issued by Global Airside. This includes:

- Ensuring that the activities of in-house and third party sub-contracted cargo and ground handling service providers are monitored for compliance with the applicable regulatory requirements, and conformity with the internal standards laid out in DHL AGOM.
- Overseeing audit, evaluation and control activities performed by the auditors.

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- Monitoring the implementation and completion of corrective and preventive actions.
- Ensuring communication and coordination with operational managers in the management of operational risk.
- Communicating the results of the monitoring activities to Global Airside and within the organisation, as appropriate.

2.2.3.3 Safety Responsibilities on a Station Level

On a local level, it is the Country Managing Director and the SVC / Terminal, GTW, and HUB Manager (i.e. Station Management) who are responsible for implementing, maintaining and improving the SMS on a day-to-day basis. The responsibility may be delegated to a local Safety Manager / Supervisor (Station Safety Responsible).

- The nominated person is responsible for:
    - The implementation of a station management system,
    - Ensuring safety, quality and security in station operations as fundamental operational priority, and
    - The day-to-day administration and operation of the SMS at the station level.
- The nominated person is responsible to fully implement the SMS on a station level following corporate guidelines as outlined in this manual. This should be reflected in:
    - The local organisational chart showing the connection between the Station / Regional Airside / Global Airside, and
    - The job description clearly stating his/her/their tasks in regards to safety.
- The Station Safety Responsible shall:
    - Actively promote and communicate the SMS,
    - Ensure that local processes are carried out in line with the documented SMS, and
    - Ensure that operations are conducted in accordance with applicable regulations and/or standards of the operator.

The Station Safety Responsible shall determine external and internal aspects that affect the ability to achieve the intended outcomes of this SMS. The following shall be considered when implementing, maintaining and improving the scope of the SMS:

- Applicable legal and other requirements. The Station Safety Responsible shall:
    - Establish, implement and maintain a process for identifying and having access to up-to date legal, corporate and other management systems requirements and on how compliance obligations will be met.
    - Be aware of, and ensure compliance with regional, country, local and airport requirements.
    - Where applicable, design and implement the local SMS in accordance with the State Safety Program (SSP).
- Regional or local operating variations (as per DHL AGOM) .
- Interactions with the management systems of external parties. The Station Safety Responsible should:
    - Identify all relevant stakeholders and their expectations relevant to the implementation of the SMS (e.g. airport, operators, local CAAs).
    - Identify interactions of the SMS with other management systems present at the operating location.

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In addition, the local Accountable Manager shall:

- Ensure that sufficient resources are planned, available and allocated to safely perform operational tasks, taking in account requirements originating from applicable external sources, including safety, security, regulatory authorities and original equipment manufacturers.
- Ensure that the necessary labour, facility and equipment resources are provided and allocated. This includes the knowledge necessary for establishing, implementing, maintaining and continually improving the SMS.
- Frequently evaluate employees, operations and other airside aspects to ensure adequate awareness and competences to implement the SMS are available.
- Ensure the participation, consultation and representation of employees both managerial and non-managerial at all levels and functions, and that any obstacles to participation in the SMS are removed.

Responsible Manager for SMS Implementation – Corporate Level Who: Sr. Manager Global Airside Safety & Quality Assurance Responsible Manager for SMS Implementation – Regional Level Who: Regional Airside Safety & Audit Program Managers Responsible Manager for SMS Implementation –Station level Who: Country Managing Director and Service Center / Terminal, Gateway or Hub Manager (Station Management) or nominated Station Safety Responsible

Note: If more than one Safety Manager or nominated Safety Responsible exists on a regional, territory, country or station level, there shall be defined lines of authority and communication such that there is no ambiguity or interference with performing safety responsibilities within the Organisation.

2.2.3.4 Delegation of Safety Responsibilities

To ensure continuity during periods of absence, duties within the management system for ground operations shall be delegated to ensure managerial continuity is maintained.

It is the responsibility of each Manager / Station Safety Responsible on a Global / Regional / Local level to nominate and communicate a replacement to all relevant staff as appropriate.

2.2.4 Coordination of Emergency Response Planning

DHL has a centralised Emergency Response Plan (ERP) defining the management and coordination of all activities to respond or react to aircraft accidents or other type of adverse events that could result in fatalities, serious injuries, considerable damage and/or a significant disruption to operations. The ERP is outlined in detail in DHLAGOM **Global Emergency Response Manual**. The manual details the DHL procedures for dealing with emergencies and disasters that may occur within the Airside Operations. On a regional level, regional ERPs might be applicable on a subordinate level.

In response to a major accident or other operational event that results in fatalities, serious injuries or considerable damage, the global or regional applicable DHL ERM must be referred to. Therefore, DHL must have access to the applicable ERM in every station.

Third party service providers shall have their own ERM detailing an ERP, including but not limited to emergency response responsibilities, response center facilities, training, and emergency preparedness exercises. In addition, DHL's emergency response contact numbers must be known and included in the Third party service provider's ERM/ERP. If no third party ERM/ERP is available locally, DHL's ERM/ERP shall be used and a copy must be retained.

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For any events involving DHL (e.g. aircraft, equipment, staff, etc.), DHL's ERP takes precedence. Any third party ERM shall define the appropriate coordination or be compatible with the ERP of other applicable organisations relevant to an event.

2.2.5 SMS Documentation

2.2.5.1 SMS Manual

The development and maintenance of the DHL SMS is documented in this manual including safety policies and objectives, SMS requirements, SMS processes and procedures, accountability, responsibilities and authorities for SMS processes and procedures, and the SMS outputs.

The SMS Manual is available to all staff and third party service providers via DHLAGOM. The SMS Manual shall be reviewed on an annual basis to ensure it remains valid and in conformity with the applicable regulations and industry standards.

2.2.5.2 Operational Records

SMS operational records used as part of safety risk management, safety assurance and/or safety promotion activities are defined in the subsequent sections, if applicable, and shall be kept for a minimum of three years.

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2.3 Safety Risk Management

2.3.1 Introduction

Safety risk management is a key component of an SMS and aims to provide a continual and comprehensive oversight of the Organisation's business activities for the purpose of identifying any aspects that might pose a safety threat to aircraft, passengers, personnel, facilities, systems or equipment. It comprises of:

1. Hazard identification (through reactive, proactive and predictive methods)
2. Safety risk assessment (i.e. prioritising safety risks according to their significance to the operation)
3. Safety risk mitigation (i.e. identifying whether safety risks can be controlled, and the extent to which they can be controlled to prevent harmful consequences)

2.3.2 Hazard Identification

A hazard is a condition or an object with the potential to cause harm. In aviation this refers to those conditions or objects that have the potential to cause death, injury to personnel, damage to equipment or structure, loss of material, or the reduction of the ability to perform a prescribed function. Unfortunately hazards are an inevitable part of aviation activities and exist in all levels of an Organisation, but whilst they cannot be eliminated, they can be identified and managed.

Therefore, DHL has developed a formal process that ensures hazards in operations are identified. This process starts with the collection of data through various methods which is then processed to identify the hazards. Fortunately not all hazards have equally damaging potential. Therefore, the damaging potential of each hazard, expressed as the safety risk, needs to be assessed. Depending on the safety risk level assigned to each hazard mitigation actions need to be taken to control the risks to an acceptable level.

It is important that the hazard identification process is consistently applied on an on-going basis in all areas of the Organisation where there is potential for hazards that could affect operations. To be effective, reactive and proactive processes are used to acquire information and data, which are then analysed to predict future (potential) hazards to operations.

Therefore, DHL's process of hazard identification is based on:

- Reactive methods (i.e. identifying a hazard after an accident/incident occurred),
- Proactive methods (i.e. proactively reporting potential safety risks before they turn into an accident/incident), and
- Predictive methods (i.e. predicting future hazards by utilising safety data).

The following sections will outline the process of hazard identification in more detail.

2.3.2.1 Reporting

2.3.2.1.1 Occurrence Reporting

To capture airside occurrences, DHL has implemented a non-punitive safety reporting system which encourages all personnel to report accidents/incidents, including procedure non-compliances, hereinafter referred to as occurrences. Reports are captured in a central database (IQSMS) which is utilised globally.

Occurrence reports can be made directly in IQSMS by all internal parties using the following link:

https://dga.asqs.net

or, via the dedicated IQSMS App. Front line employees, who do not have access to a computer, and IQSMS respectively, might use alternative reporting means which shall be defined and implemented locally by the station

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management. In such cases, the reports shall be ultimately captured and validated in IQSMS by the responsible supervisor, line or duty manager. Similarly, occurrences reported by any third party (e.g. airline, GHSP staff) shall be reported to a local or regional DHL Representative and ultimately captured in IQSMS. Any report must be submitted within max. 24 hours of occurrence.

Airside Occurrence Reporting	
• Who	Everybody (if no computer access or third party, via line / duty manager or local / regional DHL representative)
• What	Accidents / Incidents / Procedure Non-Compliances (i.e. something has happened / procedures were not followed)
• How	IQSMS web page or via IQSMS App
• When	Within 24 hours

2.3.2.1.2 Safety Concern and Safety Recognition Reporting

Next to actual occurrence, staff has the opportunity to report safety concerns. The safety concern reporting form in IQSMS shall be used to report conditions or situations that could potentially affect safety, however, where nothing has happened as of yet.

Staff members are encouraged to report anything that does not seem quite right, including for instance, general hazards (any object or condition with the potential to cause harm) or near misses (an unplanned event where something almost happened, but was stopped before the event could materialize). Safety concern reports are a means of proactive safety management and shall also be reported within 24 hours of occurrence / observation.

Safety Concern Reporting	
• Who	Everybody (if no computer access or third party, via line / duty manager or local / regional DHL representative)
• What	Anything that could potentially affect safety (i.e. nothing has happened yet, but something seems not quite right)
• How	IQSMS web page or via IQSMS App
• When	Within 24 hours

IQSMS furthermore allows personnel to submit safety recognition reports. These are to be used to recognise members of staff for demonstrated safe behaviours. It is to be used where somebody or a group of people identified a potential safety issue and proactively took measures to rectify the situation, or where somebody went above his/her/their means to contribute to safety. Safety recognition reports are also a means of proactive safety management and can be submitted at any time.

2.3.2.1.3 Confidential and Anonymous Reporting

To ensure confidentiality of reports, the name of the reporter will only be visible to the Global Airside Safety Department within IQSMS. Nobody else involved in an investigation or with read access to the IQSMS database on a regional or station level will be able to identify the names of persons reporting.

IQSMS also allows for reports to be submitted anonymously. If anonymous is selected, nobody, including the Global Airside Safety Team, will be able to see the name of the reporter.

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2.3.2.1.4 Mandatory Occurrence Reporting (MOR)

While DHL may not be required by regulation to report directly to the Authority, it will be obligatory to report to the customer airline(s) who is then required to fulfil their regulatory obligation and report to the Authority. The company shall know and support:

- Regulatory reporting requirements – it is the responsibility of the station to report directly to their local CAA, if applicable.
- Local reporting requirements (e.g. airport authority) – it is the responsibility of the station to fulfil local non-regulatory reporting requirements.
- Reporting requirements of the customer airline(s) – it is the responsibility of the Regional Airside Teams to liaise with the airlines operating in their respective regions and to communicate relevant occurrences and investigation details.

2.3.2.1.5 Data Protection

The reporting, notification and investigation of data captured in IQSMS shall be carried out in a way that preserves the privacy and medical confidentiality of all employees, contractors and of the public, ensuring compliance with the DHL Group Code of Conduct Policy and local laws. The following information shall not be included in announcements and subsequent investigation reports, except when legally required:

- Name, job titles, and other personally identifiable information,
- Personal medical information,
- People shall not be recognised in pictures or images.

Any data collected shall not be used for any purpose other than the improvement of safety and the SMS.

All information in IQSMS is classified as confidential information. Data captured in IQSMS shall not be further distributed or shared with any party that is not part of the investigation.

2.3.2.2 Incident Investigation and Follow-up

DHL has implemented a process for occurrence and safety concern investigation. The purpose of the investigation is to gather factual information, to identify the root cause and contributing factors and to develop a corrective action plan (management action) to eliminate or reduce the risk of a repeat occurrence, as appropriate.

The local station shall conduct and/or participate in an investigation of an accident/incident where its services were involved in accordance with the requirements of the customer(s) airline, airport authority and/or State, as applicable. Detailed information on the reporting and investigation process (applicable to occurrences and safety concerns) can be found in DHLAGOM **2.a Occurrence Reporting and Investigation Procedures**.

Incident Investigation	
• Who	As defined in DHLAGOM **2.a Occurrence Reporting and Investigation Procedures**.
• What	As defined in DHLAGOM **2.a Occurrence Reporting and Investigation Procedures**.
• How	As defined in DHLAGOM **2.a Occurrence Reporting and Investigation Procedures**.
• When	As defined in DHLAGOM **2.a Occurrence Reporting and Investigation Procedures**.

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2.3.2.2.1 Review of Standard Global Operating Procedures

Another way of proactively identifying hazards is by reviewing DHL Global Standard Operating procedures (GSOPs) and local operations. This ensures the identification of all significant hazards across all Airside Operations and activities which can then be assessed in terms of their safety risk and suitably controlled and managed to acceptable levels.

Global Level:

On a global level, the review of GSOPs refers to the standards and procedures outlined in DHL's Global SOP Aviation Manual (DHLAGOM). A risk assessment shall be performed for hazards associated to new GSOPs that might pose a potential safety risk (additions to the DHL AGOM through the introduction of new procedures) or significant changes to the operating environment as outlined in section 4.2 – Management of Change. The responsibility for hazard identification and subsequent safety risk assessment and mitigation, as applicable, for all GSOPs lies with Global Airside & Standards.

Regional Level:

The responsibility for conducting risk assessments on a regional level lies with the Regional Airside Teams. Risk assessments shall be completed for all regional variations published in DHLAGOM and any changes introduced on a regional level.

Station Level:

Local Accountable Managers shall ensure that all applicable procedures as outlined in DHLAGOM are complied with. For any station specific operations and procedures that are not covered by GSOPs outlined in DHLAGOM, a separate hazard identification and associated risk assessment shall be completed locally. In addition, risk assessments shall be completed for changes being introduced on a local level (see section 4.2 - Management of Change). Risk assessments on a station level shall be completed by the SVC /Terminal, GTW or HUB Manager (Station Management) or a suitable delegate with safety background (e.g. local Safety Manager / Station Safety Responsible).

Guidelines:

The Global Airside Safety Risk Assessment (GASRA) template, or equivalent, shall be completed for all risk assessments, which serves as a risk register. Further details on how to complete the GASRA are provided in section 3.3. Any risk assessment shall be retained (electronic or paper version) and reviewed as required (see section 3.3.8).

Review of Global Standard Operating Procedures (GSOPs)			
	Global level:	Regional Level:	Local Level:
• Who	Global Airside & Standards	Regional Airside Teams	Service Centre / Terminal, Gateway or HUB Manager or suitable delegate.
• What	Introduction of new GSOPs and global changes	Regional variations defined in DHL AGOM and regional changes	Local procedures deviating from DHL AGOM and local changes
• How	GASRA – or equivalent to be complete		
• When	Introduction of new procedures Changes to the operating environment (Management of Change)		

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2.3.2.2.2 Predictive Hazard Identification

Predictive hazard identification is a proactive approach to identifying risk or hazards through the use of predictive methods to anticipate future exposure.

DHL uses data and root causes identified through reporting and risk assessments to predict future hazards with the intent to put mitigation actions into place, as appropriate, before a safety incident occurs.

2.3.2.2.3 Other methods of Hazard Identification

The methods of hazard collection are various. Other methods include, for instance, general information received from industry Organisations (e.g. ICAO, IATA), governmental bodies and authorities concerning safety. Such information shall be the basis for safety risk assessments as appropriate.

2.3.3 Safety Risk Assessment and Mitigation

An effective safety management requires next to the identification of hazards also a process for the analysis, assessment and control of safety risks associated with the identified hazards. The process follows four steps which are defined in detail in the following sections:

1. Hazard identification (through reactive, proactive and predictive methods as outlined in section 3.2).
2. Analysis of hazards to determine the corresponding safety risks.
3. Assessment of safety risks to determine the requirement for safety risk controls / mitigation actions.
4. If required, development and implementation of safety risk controls / mitigation actions.

2.3.3.1 Safety Risk Assessment

As mentioned before, hazards are an integral part of all aviation operations. Whilst not all of them are equally harmful, the damaging potential of each hazard, expressed as the safety risk, needs to be assessed. The safety risk is defined as the predicted probability and severity of the consequences or outcomes of a hazard.

Safety risk = Probability x Severity of the potential consequences of a hazard

2.3.3.2 Safety Risk Probability

The process of controlling safety risks starts by assessing the probability that the consequences of hazards will materialize during activities performed by the company. In general, safety risk probability is the likelihood or frequency that a safety consequence or outcome might occur. It is important to consider different scenarios so that all potential consequences are considered. Figure 3 shows DHL's safety risk probability scale, a five point scale assigning a numerical value to each category (extremely improbable (1) to frequent (5)). Further details are provided in Table 1.

For instance, consider a member of staff approaching an aircraft with engines. The running engine is a hazard. The consequence, in the worst foreseeable situation, is death due to engine ingestion. The likelihood can be classified as category 2 (i.e. improbable), which means that this event has occurred in the industry, but not within DHL.

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2.3.3.3 Safety Risk Severity

Once the probability assessment has been completed, the next step is to assess the severity, taking into account the potential consequences related to the hazard. Safety risk severity is therefore defined as the extent of harm or damage that might reasonably occur as a consequence or outcome of the identified hazard. The severity assessment should consider all possible consequences related to a hazard, taking into account the worst foreseeable situation. Figure 3 and Table 2 show DHL's severity assessment. It includes five categories to denote the level of severity, the description of each category, and the assignment of a numerical value for each category (negligible (1) to catastrophic (5)).

Continuing the example from above, the consequence of the hazard (staff approaching an aircraft with engines running) was defined as death due to engine ingestion in the worst foreseeable situation. Therefore, the severity of the consequence of the hazard is hazardous (4).

2.3.3.4 Safety Risk Tolerability

The safety risk probability and severity assessment process is subsequently used to derive a safety risk index (i.e. 1 to 25).

The respective safety risk categories are presented in the lower part of the risk matrix presented in Figure 3. Four safety risk categories are available. Based on this, safety risks are conceptually assessed as low, medium, high and severe and appropriate safety risk controls must be employed.

The safety risk index of the example given before (staff approaching aircraft with engines running) is 8, meaning that the safety risk is medium and that action must be taken on a local level to reduce the risk.

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Global Airside Safety Risk Assessment Matrix (GASRA)

Severity						
Catastrophic	5	5 Medium	10 High	15 High	20 Severe	25 Severe
Hazardous	4	4 Low	8 Medium	12 High	16 High	20 Severe
Major	3	3 Low	6 Medium	9 Medium	12 High	15 High
Minor	2	2 Low	4 Low	6 Medium	8 Medium	10 High
Negligible	1	1 Low	2 Low	3 Low	4 Low	5 Medium
		Extremely Improbable	Improbable	Remote	Occasional	Frequent
		Has not occurred in the industry	Has not occurred within DHL, but in the industry	Unlikely, but may occur (yearly)	Likely to occur sometimes (monthly)	Likely to occur many times (daily)
		1	2	3	4	5

Likelihood

Safety Risk Category	Actions to be taken
Severe	STOP the activity immediately (or must not start). Urgent action must be taken to reduce the risk to its lowest reasonably practicable level
High	The risk has to be reduced as safety is not fully ensured. Action shall be taken urgently to reduce the risk by one category minimum
Medium	Perform any action thought to be possible at local level where reasonable to move risk into green category
Low	No action required but facts must be recorded

Figure 3: Safety Risk Matrix

Likelihood level	Occurrences at a station level			Meaning
	Upper boundary	Mean	Lower boundary	
Frequent (5)	Always	1 per day	1 per week	Likely to occur many times at a station
Occasional (4)	1 per week	1 per month	2 per year	Likely to occur sometimes at a station
Remote (3)	2 per year	1 per year	every 3 years	Unlikely, but may possibly occur at a station
Improbable (2)	Has not occurred within DHL, but recently in the aviation industry			Very unlikely to occur at a station
Extremely Improbable (1)	Has not occurred recently in the aviation industry			Almost inconceivable that the event will ever occur

Table 1: Safety Risk Probability Levels

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Level	1	2	3	4	5
Descriptor	Negligible	Minor	Major	Hazardous	Catastrophic
Safety	Operational safety not affected	Potential impact on operational safety	Significant reduction in safety margins potentially. Emergency procedures applied	Large reduction in safety margins with the potential for serious or fatal injury to people	Complete depletion of safety margins
Injury	No or negligible injuries (First aid treatment)	Minor Injuries requiring medical treatment	Serious injuries but nonpermanent health impairment	Fatalities and/or permanent disabilities, serious illness or health impairment	Multiple fatalities and/or permanent disabilities, serious illness or health impairments
Aircraft Damage Financial Impact	Negligible aircraft or system damage (< 300 EUR)	Minor aircraft or system damage (300 EUR to 10.000 EUR)	Substantial damage to aircraft or systems (10.000 EUR to 400.000 EUR)	Significant damage to aircraft or systems (400.000 EUR to 20 Mio EUR)	Total aircraft or system loss (>20 Mio EUR)
Aircraft Damage Technical Impact	No Aircraft delay or delay less than 15 Minutes	Aircraft grounded up to 48 hours	Aircraft grounded for more than 2 days	25% of Aircraft Fleet grounded for more than 2 days	Fleet grounded
Operational	No impact	1 flight rescheduled or delayed	Between 1 and 5 flights cancelled, rescheduled or delayed	Between 6 and 20 flights cancelled, rescheduled or delayed	More than 20 flights cancelled, rescheduled or delayed
Loading Error	Within LMC limits	LMC limits exceeded but aircraft in trim	Aircraft out of trim, no impact on flight safety	Aircraft out of trim, impact on flight safety (e.g. aircraft damaged / injury)	Aircraft destroyed and / or fatality
Damage to Asset	No repair required	Minor damage, repair carried out in the next planned MX cycle	Damage to asset, repair < 1 day (asset operative until repair)	Damage to asset, repair > 1 week	No repair possible, asset has to be replaced
Organisational	No impact	Potential Organisational slowdown and/or downtime	Minor Organisational slowdown and/or minor downtime	Major slowdown and / or major downtime	Shutdown of Organisation
Environmental	Spillage 100% contained, no pollution	Low impact on direct adjacent area of the working surface	Issue contained but light polluting impact	Major harmful pollution	Huge impact on land / ground / water, explosion
Reputation	Little or no public / local interest	Minor public / local interest	Reputation adversely affected with a small number of affected people	Significant public / local interest	Reputation impacted with some stakeholders

Table 2: Safety Risk Severity Levels

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2.3.3.5 Safety Risk Mitigation

Once the safety risk level has been identified, actions must be taken to eliminate or reduce the safety risk to a level that is as low as reasonably practical through the application of appropriate safety risk controls:

- Safety Risk Elimination: The operation or activity is cancelled or avoided because the safety risk exceeds the benefits of continuing the activity, thereby eliminating the safety risk entirely.
- Safety Risk Mitigation by:
    - Reducing the severity of the potential consequences,
    - Prioritising the reduction of the likelihood of occurrence where possible, or
    - Reducing exposure to that safety risk.

It is easier and more common to reduce the likelihood than it is to reduce the severity. Safety risk mitigation is often referred to as a safety risk control. A safety risk mitigation strategy may involve one of the approaches described above or may include multiple approaches. It is important to consider the full range of possible control measures to find an optimal solution.

2.3.3.6 Management with Authority to make Decisions regarding Safety Risk Tolerability

The Accountable Executives as defined in section **2.2.1 - Management Commitment** are ultimately responsible for the effective implementation of all safety risk control measures:

- For safety risks in regard to GSOP identified on a global level, this is the EVP Global Network Operations & Aviation.
- For safety risks identified in a regional level, It is the Regional Head of Operation.
- For safety risks identified on a local level, it is the Country Managing Director and the SVC / Terminal, GTW or HUB Manager (Station Management).
- For safety risks identified in regard to airline or third party operations, it is the Airline General Manager and Managing Director of the Third Party Service Provider, respectively.

The Accountable Executives shall be informed about all safety risks as per applicable Management Review (section **2.4.3.1 - Safety Management Review Process**) process and regional communication set-up (section **2.5.2.2 - Safety Communication Procedure**).

2.3.3.7 Scope of Safety Risk Assessment and Mitigation

Risk assessments shall be conducted for all hazards identified through the various methods outlined in section **2.3.2 - Hazard Identification**

2.3.3.8 Safety Risk Management Documentation

Safety risk management activities shall be documented, including any assumptions underlying the probability and severity assessment, decisions made and any safety risk mitigation actions taken.

Safety risk assessments for occurrence and safety concerns data shall be documented in IQSMS.

Generic safety risk assessments shall be recorded using the Global Airside Safety Risk Assessment (GASRA) template or an equivalent. Generic safety risk assessments shall be reviewed at a predetermined time, not more than 36 months, when incidents occur, or there are significant changes to processes, the environment or requirements in accordance with the change management procedures outlines in section **2.4.2 - Management of Change** . The revision date shall be recorded and records shall be retained.

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2.4 Safety Assurance

2.4.1 Monitoring Program

The output of the Safety Risk Management process described in the previous section is a risk mitigation action plan. The performance of the risk mitigation action plan is monitored through the Safety Assurance function of the SMS (i.e. how good is the Organisation doing in controlling its safety risks).

Safety Assurance assesses the effectiveness of the SMS, including the effectiveness of the safety risk controls. It should provide confidence that safety risks are being managed and controlled to acceptable levels. This should ensure appropriate actions have been taken, that internal processes are effective and that safety objectives are met.

To verify the safety performance of the organisation and to validate the effectiveness of the safety risk controls, DHL has implemented a Monitoring Program, which uses of a combination of audits and inspections, and other methods, such as the monitoring of Safety Performance Indicators (SPIs) versus set targets. Assessing the effectiveness of the safety risk controls is important as often the application of a safety risk control does not always result in managing the safety risk as originally intended. This will help identify whether the right safety risk control was selected and may result in applying a different safety risk control strategy. Overall, the Monitoring Program aims to evaluate the effectiveness of the management system and ensures the company:

- Complies with applicable safety and security regulations and requirements, including those of the customer airline(s),
- Satisfies operational needs.
- Identifies hazards, undesirable conditions and areas requiring improvement.
- Monitors the effectiveness of safety risk controls, and
- Verifies safety and security performance by using performance indicators and performance targets.

Addressing findings from activities conducted under the Monitoring Program subsequently ensures:

- Determination of root cause(s) of sub-standard performance;
- Development of corrective action, as appropriate, to address the findings;
- Implementation of corrective action in appropriate operational area(s) to the satisfaction of the competent authority or organisation where regulated; and
- Monitoring and evaluation of corrective actions to determine effectiveness.

All monitoring activities shall be conducted systematically, consistently, and objectively.

2.4.1.1 Monitoring Program Scope

The scope of the Monitoring Program is defined, but not limited to, monitoring the organisation, the management system, operational functions and supervision of all activities related to the airside operations, provided in-house or sub-contracted to Third Party Service Providers. In scope are therefore:

- The Management System:
    i. Occupational health and safety and security management,
    ii. SMS, risk management and risk mitigation procedures,
    iii. Documentation and records / document control,
    iv. Training and qualification,
    v. Internal compliance monitoring (audits and inspections),
    vi. Outsourced functions, if applicable.

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- Operational processes and procedures:
    i. Supervision and operational oversight,
    ii. Ramp handling / aircraft turnaround, including preparation, arrival, unloading, loading, and departure procedures,
    iii. Mass and balance, load control and system updates (e.g. messaging),
    iv. Cargo handling, warehouse facilities and freight preparation process (in scope is every facility that prepares freight which is being uplifted on the dedicated DHL Air Network);
    v. GSE management and maintenance.
    vi. Unit Load Devices (ULD) management.
- Other deliverables as per company functions and objectives such as KPIs, SLAs:
    i. Station Performance

The following areas are not in scope:

- External activities and facility(s) outside airport boundaries unless final freight preparation and administrational functions related to the aircraft handling are performed remotely;
- Aircraft fuelling facilities (fuel farms);
- DHL facilities if warehousing and freight build-up is provided exclusively by a third party; and
- Aircraft maintenance.

Special services (e.g. catering, de-icing) can be added upon request of an Airline in alignment with the Regional Airside teams.

2.4.1.2 Feedback to Authorities

It is the responsibility of all parties involved in the SMS to identify and fulfil regulatory and/or local authority reporting requirements in regard to the Monitoring Program, as applicable:

- Global Airside for global requirements (e.g. ICAO, IATA)
- Regional Airside for regional requirements (e.g. EASA)
- Stations for country / local requirements (e.g. CAAs, airport authorities).

If required, the responsible party shall demonstrate the corrective action plan implementation to the satisfaction of the competent authority or organisation within the period agreed.

2.4.1.3 Monitoring Methods and Annual Schedule

Monitoring and continuous oversight within DHL is achieved through a combination of various methods as outlined in Table 2.

The planning of the monitoring activities shall be conducted with sufficient resources and under a fully transparent process open for review by all parties concerned.

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Monitoring Method	Schedule	Responsibility
Scheduled and unscheduled Ground Operations Audits	Annual schedule to be published as per business rules defined in **2.b Audit Procedures**	Global Airside Headquarters
Audits of the Management System		
External Audits / Audits conducted by Third Parties (e.g. airlines, industry bodies)	ISAGO Audit every 24 months Other audits upon request (See section 2.4.1.3.3)	
Local Inspections / Station Self-Assessments	Quarterly (see section 2.4.1.3.4)	Stations
Safety Observations and On-Site Spot Checks	Ad-hoc (see section 2.4.1.3.5)	Global Airside Headquarters / Regional Airside / Station
Monitoring of Outsourced Functions	Annual (see section 2.4.1.3.6)	SGHA owner
Monitoring of Performance Indicators	Continuous (see section 2.4.1.3.7)	Global Airside Headquarters / Regional Airside / Stations
Data Trending and Performance Reporting	Continuous (2.4.1.3.8)	
Assessment and Monitoring of new processes	As required (see section 2.4.2)	

Table 2: Monitoring Methods

2.4.1.3.1 Ground operations Audits

Audits for ground operations are conducted globally for all stations following an annual audit schedule. Any audit must be conducted by a qualified auditor who is trained and qualified and impartial and functionally independent. The audits evaluate compliance/conformity of airside operations with DHL standards and applicable regulations as well as the effectiveness of the management system on a station level.

Where non-compliance with regulations or non-conformances with DHL standards and procedures are identified during the audits, the causes and contributing factors shall be investigated, analysed and corrected.

Audits are typically scheduled and follow the annual audit calendar. However, in case of sub-standard performance, an unscheduled audit (i.e. on short notice) can be initiated. Detailed guidance, including the business rules for scheduled and unscheduled audits, can be found in DHLAGOM **2.b Audit Procedures**.

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Ground Operations Audits	
• Who	Auditor: Global Airside Auditors; Auditee: Stations
• What	Ground Operations Audit
• How	As per Global Airside Ground Ops Audit checklist
• When	According to the annual audit schedule

2.4.1.3.2 Management System Audits

In order to evaluate the effectiveness of the Management System including the SMS and to maximise opportunities for continuous improvement, internal audits shall be conducted on a corporate level, including:

- Internal Audit Global Airside & Standards (Headquarters) Management System covering:
  - Safety Management System
  - Risk Management and Risk Mitigation Procedures
  - Documentation and Records
  - Training and Qualification
  - Monitoring Program

The bi-annual self-audit in preparation for the Global Airside ISAGO certification serves as internal audit.

- Audit of the Regional Airside Teams conducted by Global Airside & Standards to ensure compliance of the regions with the Management System.

Internal Audits Management System	
Global Airside & Standards – Management System Audit	
• Who	Global Airside Safety & Quality Team
• What	Management System
• When	Every 2 years in preparation for the ISAGO certification
Regional Airside Teams – Management System	
• Who	Auditor: Auditor: Global Airside Safety & Quality Team ; Auditee: Regional Airside Teams
• What	Management System
• When	Every 2 years

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2.4.1.3.3 External Audits

External parties, such as Civil Aviation Authorities (CAAs), airlines, industry associations, or other stakeholders may provide additional feedback on the status of compliance with regulations and conformance with internal GSOPs, and the effectiveness of the SMS. Results of such audits are also inputs to the Safety Assurance function, providing DHL with an indication about of the effectiveness of the organisation's internal processes and with opportunities to improve its SMS.

External Monitoring	
• Who	Third Parties (CAAs, airlines, other stakeholders)
• What	External Audits in regard to Airside Operations and/or the Management System
• How	Audit plan and checklist to be provided by external parties
• When	Upon request

2.4.1.3.4 Local Inspections / Station Self-Assessments

To monitor and control the activities on a local level, each station shall have a station quality control program that provides for inspections and/or evaluations of Ground Operations at the station level.

To fulfil this requirement, self-assessments shall be completed by each station on a quarterly basis. To account for regional variations the applicable regional checklist, as available in the Web Manuals Document Library, shall be used. Local self-assessments shall be conducted unannounced. It lies within the responsibility of the SVC /Terminal, GTW or HUB Manager (Station Management) to ensure the quarterly self-assessments are completed. The task itself may be delegated to a certified and experienced airside staff. As a minimum, any member of staff conducting station self-assessments shall be certified as a Turnaroud Coordinator (see **8. Training Standards** for minimum training requirements).

If any shortcomings are discovered, the appointed persons are responsible for conducting a root cause analysis (RCA) and for implementing appropriate corrective measures. Templates for corrective action records (CAR) are available as part of the applicable regional checklist.

A paper or electronic copy of the self-assessment and CARs shall be retained for a minimum of three years.

Local inspections / Station Self-Assessments	
• Who	Service Centre / Terminal, Gateway or HUB Manager (delegation possible)
• What	Station self-assessments
• How	As per applicable regional checklist
• When	Quarterly

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2.4.1.3.5 Safety Observations and On-Site Spot Checks

In addition to the ground operations audits as well the local station self-assessments, irregular station inspections should be performed in order to generate further independent station performance assessments in regard to the published SOPs.

For any non-conformity with DHLAGOM procedures identified during a spot check, an occurrence report shall be raised as outlined in section **2.3.2.1 - Reporting**.

Station Inspections	
• Who	Travelling airside staff, flying loadmasters, etc.
• What	Station spot checks
• How	Based on qualified observations; occurrence report to be raised for any observed non-conformity
• When	Randomly as required

2.4.1.3.6 Monitoring of Outsourced functions

Any third party sub-contractor is expected to work according to DHL SOPs and to meet equivalent standards as those described in this manual. Therefore, it is the responsibility of the contract/SGHA owner to monitor outsourced functions affecting operational safety and security to ensure they are being fulfilled by the external service provider, including:

- External service providers have access to all operational documentation relevant to the outsourced operations and functions conducted.
- External providers have a training program in accordance with the requirements of DHLs training program outlined in **8. Training Standards**.
- Personnel employed by the external service provider conducting dangerous goods handling are trained, qualified and competent to carry out their duties.
- ISAGO requirements are fulfilled.
- Measurable specifications set as part of the contract/SGHA are monitored.

2.4.1.3.7 Safety Performance Indicators and Targets

DHL has defined Safety Performance Indicators (SPIs) and Targets (SPTs) to monitor the operational safety performance of the organisation and to validate the effectiveness of safety risk controls.

An SPI is a data-based safety parameter used for monitoring and assessing safety performance. An SPT is a planned or intended objective for a safety performance indicator over a given period of time.

Reactive and proactive SPIs were set to be specific to DHL reflecting the biggest areas of concern, and are linked to the safety objectives discussed in section **2.2.1.5 - Definition of Safety Objectives**.

The following SPIs are monitored on a global and regional level:

- Aircraft damages (per 1,000 movements)
- Loading errors (per 1,000 movements)
- Ground Operations Audits performed as scheduled
- Ground Operations Audit Reports sent out on time
- On-time finding closure for Ground Operations Audits

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SPTs shall be set by Global Airside at the beginning of each calendar year (January) and shall take the actual performance from the previous year into account. All SPTs shall be approved by the Accountable Executive and communicated to the Regional Airside Teams.

Safety Performance Indicators (SPIs) and Targets (SPTs)	
• Who	Global Airside & Standards
• What	SPI and SPT calculation and monitoring
• How	Based on occurrence and monitoring data~~and agreed business rules~~
• When	Monthly monitoring and annual review~~.~~

In scope:

- DHL self-handling stations
- 3rd party stations contracted by an in-house (owned) airline / AOC - BCS, DAE, DHA, DHK, DHX, DHV, JOS, RTM, VEC
- 3rd party stations contracted by a 3rd party airline which is part of the Global Airside Ground Operations Pool – Tasman Cargo Airlines (HJ) only

2.4.1.3.8 Data Trending and Performance Reporting

Monthly reports issued to various stakeholders allow for performance monitoring on a regular basis (see section **2.5.2.2 - Safety Communication Procedure**).

In addition, trends identified through the review of safety and quality data are subject of Management Review (see section **2.4.3.1 - Safety Management Review Process**) to intervene in case of sub-standard performance.

2.4.1.3.9 Assessment and Monitoring of New Processes

New procedures and processes will be assessed and monitored as per Change Management procedure outlined in section **2.4.2 - Management of Change** to ensure that no unacceptable risks are being introduced to the operations and the Management System.

2.4.1.4 Monitoring of Effectiveness of Corrective Actions

To ensure that corrective actions that have been taken as a result of the various monitoring methods outlined in section **2.4.1.3 - Monitoring Methods and Annual Schedule** result in the desired outcome, their effectiveness shall be checked during the next operational cycle.

For instance, the effectiveness of corrective actions put in place for non-conformities raised during the Ground Operations Audits shall be checked during the next audit.

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2.4.2 Management of Change

Every Organisation is susceptible to changes and characterised by the manner in which it handles the change, including for instance, changes to the Organisation's operating environment or business improvements which may result in changes to internal systems, processes and procedures that may ultimately impact safety. Change can also be external in nature (regulatory, economic, emerging risk).

Change may affect the effectiveness of existing safety risk controls. In addition, new hazards and related safety risks may be inadvertently introduced into an operation whenever change occurs. Such hazards shall be identified and related safety risks assessed and controlled as defined in sections **2.3.2 - Hazard Identification** and **2.3.3 - Safety Risk Assessment Mitigation**.

Typical changes that should be considered within the change management process include:

- Introduction of new technology or equipment,
- Changes in the operating environment,
- Changes in key personnel,
- Significant changes in staffing levels,
- Changes in safety regulatory requirements,
- Significant restructuring of the Organisation,
- Physical changes (e.g. new facilities, airport/ramp layout changes), or
- Other situations where there is uncertainty about health and safety risks involved.

Change management activities comprise a total of four steps:

1. Identification of change
2. Identification of hazards resulting from the change
3. Safety risk assessment for identified hazards
4. Safety risk mitigation, if required.

Changes shall be managed on a global, regional, or local level, as required. How to conduct a safety risk assessment for hazards resulting from organisational changes and how to mitigate safety risks has been discussed in section **2.3.3 - Safety Risk Assessment Mitigation**. The Global Airside Safety Risk Assessment (GASRA) template, or equivalent, shall be used to document all risk assessments and corresponding actions.

Global Airside & Standards is responsible for identifying and assessing change in regard to all GSOPs as outlined in DHLAGOM. This includes new additions to DHLAGOM as well as change requests that have the potential to affect the level of safety risk in Airside Operations. In addition, global changes such as the introduction of new technologies / systems shall be risk assessed on a global level.

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On a regional and station level, the identification and assessment of change in terms of hazards and associated safety risks lies with the SVC / Terminal, GTW or HUB Manager (Station Management), and the Regional Airside Teams, respectively. Examples of local changes include the introduction of new facilities or GSE, changes to local airport procedures or health and safety requirements.

New risk assessment shall be reviewed at least once within 12 months. Thereafter, following the guidelines outlined in section **2.3.3.8 - Safety Risk Management Documentation**.

Change Management			
	Global Level:	Regional Level:	Local Level:
• Who	Global Airside & Standards	Regional Airside Teams	Service Centre / Terminal, Gateway or HUB Manager or suitable delegate
• What	Introduction of new GSOP and global changes	Regional variations defined in DHL AGOM and regional changes	Local procedures deviating from DHL AGOM and local changes
• How	GASRA or equivalent to be completed Initial review after 12 months		
• When	Introduction of new procedures Changes to the operating environment (see section – Management of Change)		

2.4.3 Continuous Improvement of the SMS

Continuous improvement is related to the effectiveness of the SMS. Maintaining and continuously improving the SMS is an ongoing journey as the organisation itself and the operational environment will be constantly changing.

Therefore, the continuous improvement function of the SMS ensures:

- Identification of the cause(s) of substandard performance of the SMS.
- Determination of the implications of substandard performance of the SMS in operations.
- Elimination or mitigation of such cause(s) of substandard performance.

Continuous improvement asks the question whether the SMS itself and its associated processes are functioning correctly or are substandard. For instance,

- Is the reporting system working and accessible to all staff?
- Are risk assessments conducted in all operational areas?
- Are mitigation actions put in place implemented and closed within the proposed time frame?
- Are management reviews taking place on a regular basis?

DHL ensures the continuous improvements of its SMS through:

i. Its Monitoring Program outlined in section **2.4.1 - Monitoring Program**, and
ii. The results of the Management Review process outlined in section **2.4.3.1 - Safety Management Review Process**.

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2.4.3.1 Safety Management Review Process

Management review is a crucial element of a well-managed SMS and provides a process through which the continuous improvement function can be delivered.

DHL has implemented a process for management consideration and decision-making to ensure:

- Performance and suitability of SPIs (including meeting SPTs),
- The safety risk assessment and mitigation program is subject to Management Review, and
- The safety assurance and monitoring program, including global / regional / station monitoring activities, are subject to Management Review.

The Management Review shall:

- Be conducted on a global, regional, and station level.
- Take place at least once in a calendar year to ensure the continuing suitability, adequacy and effectiveness of the management and control of ground operations.
- Include assessing opportunities for improvement and the need for changes to the system, including, but not limited to, the company structure, reporting lines, authorities, responsibilities, policies, processes, procedures and the allocation of resources.
- Cover at minimum:
  I. A general assessment of the management system to ensure all defined elements are functioning effectively and are appropriate.
  II. Key information obtained from the safety risk assessment program (what are the main risks, which risks are intolerable) and associated control measures / mitigation actions.
  III. Operational performance assessment using the results from the quality assurance / audit program and established SPIs and SPTs to ensure the management system is producing the desired safety, security and quality outcomes.
  IV. Any issues or outcomes of station safety assurance and monitoring programs.
- Be documented:
  I. Through meeting schedules, agendas and minutes.
  II. The output of the Management Review includes decisions and action plans.
- Comprise the Accountable Executive, key safety personnel and management staff with functional responsibility affecting the organisation's safety outcome.
- The Accountable Executive shall be responsible to ensure the Management Review takes place.

The following review mechanisms have been implemented within DHL:

<u>Global Level:</u>

- Annual Management Review comprising the Global Airside & Standards Safety & Quality Management team, the Accountable Executive (EVP Global Network Operations & Aviation) and other Senior Management members as required.
- Global Airside Board, a strategic committee led by the Head of Global Airside & Standards and comprising the Regional Airside Heads. The Global Airside Board is meeting on a bi-monthly basis (and/or in case of an ad-hoc decision) and reviews all strategic and major operational safety related issues on a global level.
- Global Safety Steering Committee, a forum chaired by the Global Airside & Standards Sr. Manager Safety & Quality Assurance and comprising the Regional Airside Safety Managers. This monthly meeting discusses all aspects in regard to SMS implementation, maintenance and continuous improvement on a global and regional level. Key safety risks are reviewed and discussed.

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- Global Audit Program Review, a forum chaired by the Global Airside & Standards Sr. Manager Safety & Quality Assurance and comprising the Regional Audit Program Managers. Attendance for Airline Ground Ops Quality Managers is optional. This quarterly meeting discusses all aspects in regard to the Ground Ops Audit Program.

Regional Level:

- Regional Management Review. It is the responsibility of the Regional Airside teams to conduct Management Review meetings with the Accountable Executives in their respective regions (i.e. Regional Heads of Operations / Airline Management). Management reviews shall take place as a minimum annually.
- Regional Safety Action Groups (SAGs). Safety meetings with internal (e.g. cluster management) or external parties (e.g. airlines) to discuss all operational aspects of safety. Regional SAGs are optional and their form/frequency depending on regional requirements.

Station Level:

- Local Management Review. It is the responsibility of the Service Centre / Terminal, Gateway or HUB Manager to conduct Management Review meetings with the Accountable Executives on a local level (i.e. Country / Station Management). Management Reviews shall take place as a minimum annually.
- Local Meetings with Third Party Service Providers (e.g. cargo or ground handling service providers). Local meetings with Third Party Service Providers shall take place at least on a quarterly basis and shall include safety-related topics as well as monitoring performance. Possible topics include, for instance, review of safety occurrences, audit findings, local risk assessments and management of change.
- Local Safety Action Groups (SAGs). Safety meetings with internal or external parties (e.g. airlines, CAAs, airport authorities, etc.) to discuss all operational aspects of safety. Local SAGs are optional and their form/frequency depending on local requirements.

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Management Review Process	
Annual Management Review (Global Level)	
• Who	Global Airside Safety & Quality team, EVP Global Network Operations & Aviation, other Senior Management as required and appropriate
• What	Management Review (incl. management system, key safety risks, SPI review, key issues from the Quality Assurance Program)
• When	Annually
Global Airside Board (Global Level)	
• Who	Head Global Airside & Standards, Regional Airside Heads
• What	Strategic and major operational safety-related concerns
• When	Every 2 monthly
Global Safety Steering Committee (Global Level)	
• Who	Global Airside & Standards Safety & Quality team, Regional Airside Safety Managers
• What	SMS implementation, maintenance and continuous improvement, review of key safety risks
• When	Monthly
Global Audit Program Review (Global Level)	
• Who	Global Airside & Standards Safety & Quality team, Regional Airside Audit Program Managers, Airlines optional
• What	Audit Program status
• When	Quarterly
Annual Management Review (Regional Level)	
• Who	Regional Airside Safety/Quality Manager(s), regional Accountable Executives (DHL Management / Airline Management)
• What	Management Review (incl. management system, key safety risks, SPI review, key issues from the Quality Assurance Program)
• When	At least annually
Annual Management Review (Station Level)	
• Who	Local Safety Manager/Safety Responsible, local Accountable Executives (e.g. Country / Station Management)
• What	Management Review (incl. management system, key safety risks, SPI review, key issues from the Quality Assurance Program / local self-assessments)
• When	At least annually
Meetings with Third Party Service Providers	
• Who	Local Stations with Third Party Representative
• What	General performance, including safety-related issues and results of monitoring activities

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• When	Quarterly or as per regional requirement
Safety Action Groups SAGs (Regional/Station Level)	
• Who	Regional Airside or local Safety Representatives with internal / external parties (airlines, GHSPs, airports etc.)
• What	Discussion of all strategic and operational aspects in regard to safety
• When	As required

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2.5 Safety Promotion

2.5.1 Training and Education

The safety training program ensures that personnel are trained and competent to perform their SMS duties. The scope of this training shall be appropriate to each individual's involvement in the SMS and is covered through the DHL Global Airside Training Program.

Three types of training are mandatory depending on each individual's involvement in the SMS:

- Basic Safety Training - CIS Safety First Awareness: mandatory for everybody in the organisation
- Advanced Safety (SMS) & Human Factors Training: mandatory for all staff engaged in airside related activities as outlined in DHLAGOM **8. Training Standards**
- IQSMS Responsibles Training: mandatory for Regional Airside Teams

Further details can be found in DHLAGOM **8. Training Standards** - Training Requirements.

Safety Training	
• Who	All staff – depending on each individual's involvement in the SMS
• What	Basic Safety Training, Advanced Safety Training (SMS), Human Factors Training, Safety Investigation Training
• How	As per DHLAGOM **8. Training Standards** – Training Requirements
• When	As per recurrent training schedule defined in DHLAGOM **8. Training Standards**

2.5.2 Safety Communication

2.5.2.1 Safety Communication System

To communicate all safety-relevant information DHL has developed formal means of safety communication that:

- Enables and ensures an exchange of information that is relevant to the conduct of Airside Operations.
- Ensures changes that affect operational responsibilities or performance are communicated as soon as feasible to applicable management and frontline personnel.
- Ensures safety information is communicated throughout the company to maintain an awareness of the SMS and current operational safety issues.
- Conveys safety-critical information.
- Ensures personnel are aware of the SMS to the degree commensurate with their positions.
- Explains why particular actions are taken to improve safety.
- Explains why safety procedures are introduced or changed.
- Ensures coordination and consultative decision-making with customer airlines and relevant authorities, as applicable, for efficient ground operations.

There are various communication channels that can be engaged to convey safety information, these include but are not limited to:

- Safety briefings/talks/Performance Dialogues
- Safety bulletins/newsletters/posters/quality alerts
- Safety awareness campaigns
- Emails/videos/Internet/social media
- Memos/read and signs
- Information via the safety reporting system

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- Information presented during Management Reviews and other Action Groups

It is the responsibility of Global Airside & Standards, the Regional Airside Teams and the local stations to disseminate safety information as appropriate.

Safety Communication	
• Who	Global Airside & Standards, Regional Airside, Local Station Management
• What	Safety performance and awareness related information
• How	Various methods, as appropriate
• When	Regular intervals-and when required

2.5.2.2 Safety Communication Procedure

DHL has defined procedures for disseminating information from:

- The safety risk assessment and mitigation program, and
- The safety assurance program, including the monitoring program, to management and non-management operational personnel, as appropriate, to ensure that the company awareness of compliance with applicable regulatory and other safety requirements and to identify opportunities for improvement.

Safety information shall be communicated to the extent that is commensurate with the function of individual staff members and overall with the size of the company.

To provide feedback to all stakeholders that are part of the DHL Airside Operations the following feedback mechanisms have been established:

- Feedback to Accountable Executives (corporate level) through a high-level safety performance summary. Feedback is provided on a monthly basis by Global Airside & Standards.
- Feedback to Accountable Executives (country and station level) through performance reports. Feedback is provided on a monthly basis by Regional Airside.
- Feedback to airlines and GHSPs through performance reports. Feedback is provided on a monthly basis by Regional Airside.
- Feedback to Station Staff. Feedback is provided through the various means of communication outlined in section **2.5.2.1 - Safety Communication System**, as required.

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Feedback Process	
Feedback to Accountable Executives (Corporate Level)	
• Who	By Global Airside & Standards
• What	Safety Performance Summary
• When	Monthly
Feedback to Accountable Executives (Country and Station Level)	
• Who	By Regional Airside Teams
• What	Station Safety Performance Report (or equivalent)
• When	Monthly
Feedback to Airlines	
• Who	By Regional Airside Teams
• What	Station Safety Performance Report (or equivalent)
• When	Monthly
Feedback to GHSPs	
• Who	By Regional Airside Teams
• What	Station Safety Performance Report (or equivalent)
• When	Monthly
Feedback to Station Staff	
• Who	By Global Airside & Standards and Regional Airside Teams as appropriate
• What	Relevant information from the Safety Risk Assessment and Mitigation and Safety Assurance Program
• When	When required

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2.5.2.3 Data Management and Quality Assurance

DHL is using IQSMS to ensure effective management of data derived from the hazard identification and risk assessment and mitigation programs.

So that safety and quality remain reliable sources of information for a company's management system, it is important that data is:

- Accurate, timely and verifiable, and
- Controlled through well-defined data handling processes.

DHL has therefore introduced monthly data quality checks, which shall be conducted by Global Airside on all data stored in IQSMS.

The vendor of the system shall ensure that the system generates, on a scheduled basis, backup files for all audit documentation/data.

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2.6 Compliance Table

ISAGO GOSARP	DHL SMS Manual Reference
ORM 1.1.2	**2.2.2.1 - Safety Accountabilities**
ORM 1.1.3	2. Global Airside Safety Management System (SMS) Manual
ORM 1.1.4	**2.2.3.1 - Safety Responsibilities on a Corporate Level**
ORM 1.1.5	**2.2.3.3 - Safety Responsibilities on a Station Level**
ORM 1.1.6	**2.2.2.1 - Safety Accountabilities 2.2.2.2 - Safety Responsibilities** **2.2.3 - Appointment of Safety Personnel** **2.3.3.6 - Management with Authority to make Decisions regarding Safety Risk Tolerability**
ORM 1.2.1	**2.2.1.1 - Safety Policy Statement** **2.2.1.2 - Quality Policy Statement** **2.2.1.3 - DHL Just Culture**
ORM 1.2.2	**2.2.1.4 - Psychoactive Substances at the Workplace**
ORM 1.3.1	**2.2.4 - Coordination of Emergency Response Planning**
ORM 1.3.2	**2.3.1 - Introduction** **2.3.2 - Hazard Identification**
ORM 1.3.3	**2.2.1.3 - DHL Just Culture** **2.3.2 - Hazard Identification** (2.3.2.1; 2.3.2.1.1; 2.3.2.1.2; 2.3.2.1.3; 2.3.2.1.4; 2.3.2.2; 2.3.2.1.5)
ORM 1.3.4	**2.3.3 - Safety Risk Assessment Mitigation**
ORM 1.3.5	**2.3.2 - Hazard Identification** **2.3.2.1.2 - Safety Concern and Safety Recognition Reporting** **2.3.2.2 - Incident Investigation and Follow-up**
ORM 1.3.7	**2.4.1 - Monitoring Program**
ORM 1.3.8	**2.4.1 - Monitoring Program**
ORM 1.3.10	**2.4.1.3.1 - Ground operations Audits**
ORM 1.3.11	**2.4 - Safety Assurance** **2.4.1 - Monitoring Program**
ORM 1.3.12	**2.5.2.2 - Safety Communication Procedure**
ORM 1.4.1	**2.4.3.1 - Safety Management Review Process**
ORM 1.4.2	**2.4.3.1 - Safety Management Review Process**
ORM 1.4.3	**2.4.1.3.7 - Safety Performance Indicators and Targets**
ORM 1.4.4	**2.4.2 - Management of Change**
ORM 1.4.5	**2.4.3 - Continuous Improvement of the SMS**
ORM 1.4.6	**2.4.3.1 - Safety Management Review Process**
ORM 1.5.1	**2.5.2.1 - Safety Communication System**
ORM 1.5.2	**2.5.2.2 - Safety Communication Procedure**
ORM 3.1.3	**2.5.1 - Training and Education**
ORM 4.3.1	**2.5.1 - Training and Education**
ORM 1.6.1	**2.4.1.3.6 - Monitoring of Outsourced functions**
ORM 1.6.2	**2.4.1.3.6 - Monitoring of Outsourced functions**
ORM 1.6.3	**2.4.1.3.6 - Monitoring of Outsourced functions**
ORM 1.6.4	**2.4.1.3.6 - Monitoring of Outsourced functions**
ORM 1.6.5	**2.4.1.3.6 - Monitoring of Outsourced functions**

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