

APPENDIX – FRAME WORK FOR SAFETY MANAGEMENT SYSTEMS (SMS)

Introduction

This appendix introduces a frame work for the implementation and maintenance of a safety management system (SMS) by a service provider. The frame work consists of four components and thirteen elements, outlined hereunder. A brief description of each element is also presented.

1. Safety policy and objectives
 - 1.1 – Management commitment and responsibility
 - 1.2 – Safety accountabilities of managers
 - 1.3 – Appointment of key safety personnel
 - 1.4 – SMS implementation plan
 - 1.5 – Coordination of emergency response planning
 - 1.6 – Documentation
2. Safety risk management
 - 2.1 – Hazard identification process
 - 2.2 – Risk assessment and mitigation process
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

Note. – Within the context of this attachment the term “service provider” designates any organization providing aviation related services. The term includes approved training organizations, aircraft operators, maintenance organizations, organizations responsible for the type design and/or final assembly of aircraft, air traffic service providers and aerodrome operators, as applicable.

1. Safety policy and objectives

1.1 Management commitment and responsibility

The service provider shall define the organization’s safety policy, in accordance with international and national requirements, signed by the chief executive officer of the organization. The safety policy shall reflect organizational commitments regarding safety, include a clear statement about the provision of the necessary human and financial resources for its implementation, and be communicated, with visible endorsement, throughout the organization. The safety policy shall be periodically reviewed to ensure it remains relevant and appropriate to the organization.

1.2 Safety accountabilities of managers

The service provider shall identify an accountable executive who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the service provider, for the implementation and maintenance of the SMS. The service provider shall also identify the safety accountabilities of all members of senior management, irrespective of other functions. Safety accountabilities and authorities shall be documented and communicated throughout the organization.

1.3 Appointment of key safety personnel

The service provider shall identify a safety manager to be the responsible individual and focal point for the implementation and maintenance of an effective SMS.

1.4 SMS implementation plan

The service provider shall develop and maintain an SMS implementation plan that defines the organization's approach to manage safety in a manner that meets the organization's safety needs. The SMS implementation plan shall be endorsed by senior management of the organization.

1.5 Coordination of emergency response planning

The service provider shall develop and maintain, or coordinate, as appropriate, an emergency response/contingency plan that ensures orderly and efficient transition from normal to emergency operations, or return to normal operations.

1.6 Documentation

The service provider shall develop and maintain SMS documentation to describe the safety policy and objectives, the SMS requirements, the SMS procedures and processes, the accountabilities, responsibilities and authorities for procedures and processes, and the SMS outputs. As part of the SMS documentation, the service provider shall develop and maintain a safety management manual (SMM), to communicate its approach to safety throughout the organization.

2. Safety risk management

2.1 Hazard identification process

The service provider shall develop and maintain a formal process for collecting, recording, acting on and generating feedback about hazards in operations, based on a combination of reactive, proactive and predictive methods of safety data collection.

2.2 Risk assessment and mitigation process

The service provider shall develop and maintain a formal risk management process that ensures the analysis (in terms of probability and severity of occurrence), assessment (in terms of tolerability) and control (in terms of mitigation) of risks to an acceptable level. The service

provider shall also define those levels of management with authority to make decisions regarding safety risks tolerability.

3. Safety assurance

3.1 Safety performance and monitoring

The service provider shall develop and maintain the means to verify the safety performance of the organization compared to the safety policy and objectives, and to validate the effectiveness of safety risks controls. The safety reporting procedures related to safety performance and monitoring shall clearly indicate which types of operational behaviours are acceptable or unacceptable, and include the conditions under which immunity from disciplinary action would be considered.

3.2 Management of change

The service provider shall develop and maintain a formal process to identify changes within the organization which may affect established processes and services; to describe the arrangements to ensure safety performance before implementing changes; and to eliminate or modify safety risk controls that are no longer needed due to changes in the operational environment.

3.3 Continuous improvement of the SMS

The service provider shall develop and maintain a formal process to identify the causes of below standard performance of the SMS, determine its implications in operations, and eliminate such causes.

4. Safety promotion

4.1 Training and education

The service provider shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform the SMS duties. The scope of the safety training shall be appropriate to each individual's involvement in the SMS.

4.2 Safety communication

The service provider shall develop and maintain formal means for safety communication, to ensure that all personnel are fully aware of the SMS; convey safety critical information; explain why particular safety actions are taken; and why safety procedures are introduced or changed.
