

ATTACHMENT F – FRAME WORK FOR SAFETY MANAGEMENT SYSTEMS (SMS)

Introduction

This attachment 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 fourteen elements, as outlined hereunder. A brief description of each element is discussed in the attachment.

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 the emergency response plan
 - 1.6 – Documentation
2. Safety risk management
 - 2.1 – Hazard identification process
 - 2.2 – Risk assessment and mitigation process
 - 2.3 – Internal safety investigations
3. Safety assurance
 - 3.1 – Safety performance monitoring and measurement
 - 3.2 – The management of change
 - 3.3 – Continuous improvement of the safety system
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 aircraft operators, maintenance organizations, air traffic service providers and aerodrome operators, as applicable.

1. Safety policy and objectives

1.1 Management commitment and responsibility

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

1.2 Safety accountabilities of managers

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

1.3 Appointment of key safety personnel

The service provider has identified 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 has developed and maintains an SMS implementation plan to define the organization's approach to manage safety in a manner that meets the organization's safety needs. The SMS implementation plan is endorsed by senior management of the organization.

1.5 Coordination of the emergency response plan

The service provider has developed and maintains, or coordinates, 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 has developed and maintains SMS documentation to describe the safety policy and objectives; the SMS requirements; 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 has developed and maintains 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 has developed and maintains 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 has developed and maintains 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 has also defined those levels of management with authority to make decisions regarding safety risks tolerability.

2.3 Internal safety investigations

The service provider has developed and maintains a formal process for the internal investigation of occurrences that are not required to be investigated by the State or reported to the oversight authority.

3. Safety assurance

3.1 Safety performance and monitoring

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

3.3 Continuous improvement of the safety system

The service provider has developed and maintains 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 has developed and maintains a safety training programme that ensures that personnel are trained and competent to perform the SMS duties. The scope of the safety training is appropriate to each individual's involvement in the SMS.

4.2 Safety communication

4.2.1 The service provider has developed and maintains 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.
