Safety Management Manual Example

Small Organizations

Name of the Organization

RECORD OF AMENDMENTS

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ABBREVIATIONS

SMM   Safety management manual
SMP   Safety management panel
SMS   Safety management system
SSP   State safety programme

DEFINITIONS

Accident: An occurrence associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down, in which: a) a person is fatally or seriously injured b) the aircraft sustains damage or structural failure c) the aircraft is missing or is completely inaccessible.

Aeroplane: A power-driven heavier-than-air aircraft, deriving its lift in flight chiefly from aerodynamic reactions on surfaces which remain fixed under given conditions of flight.

Aircraft: Any machine that can derive support in the atmosphere from the reactions of the air other than the reactions of the air against the earth's surface.

Hazard: A condition or an object with the potential to cause or contribute to an aircraft incident or accident.

Helicopter: A heavier-than-air aircraft supported in flight chiefly by the reactions of the air on one or more power-driven rotors on substantially vertical axes.

Incident: An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation.

Warning: Unacceptable performance threshold of an indicator (abnormal event rate) during a specified control period.

Safety Data Analysis: It is the process of organizing events using specific techniques, methods or instruments. Among other purposes, the analysis can be used to: a) help decide what additional data is needed; b) determine the causal factors and those that contribute; and c) help reach valid conclusions. Among the methods used are statistical analysis, trend analysis, normative comparisons, simulation and testing, group of experts and cost-benefit analysis.

Defenses: Specific mitigation measures, preventive controls or recovery measures applied to prevent a danger from occurring or to increase to an undesired consequence.

Accountable Executive: Unique and identifiable person who is accountable on behalf of the organization for the effective and efficient performance of the SMS of the service provider.

Errors: Action or omission, by a member of the operations staff, which results in deviations from the intentions or expectations of an organization or a member of the operations personnel.

Risk Management: Identification, analysis and elimination (or mitigation to an acceptable or tolerable level) of the hazards, and the consequent risks, that threaten the viability of an organization.

Management of Change: A formal process to systematically manage changes within an organization, in order to know the changes that may have an impact on the mitigation strategies of hazards and risks identified before implementing such changes.

Risk Mitigation: Process of incorporating defenses or preventive controls to reduce the severity or probability of the projected consequence of a hazard.

2. COMPANY BACKGROUND

2.1 History of [Name of the company] or Corporate Strategy

[Brief history of the company, indicating: name, number of workers, addresses, products and other background of interest].

The following statements may also be incorporated (if any):

• Mission

• Vision

• Values

3. GENERAL CONCERNS OF SAFETY MANAGEMENT SYSTEM (SMS)

3.1 General Background and References

[Name of the company] has developed and implemented a Safety Management System (SMS), which is described in this document, which constitutes the Safety Management Manual (SMM) of our organization.

The Safety Management System (SMS), allows [Name of the company]:

- ✓ Identify safety hazards;
- ✓ Ensure that the necessary corrective measures are applied to maintain an acceptable level of safety;
- ✓ The permanent supervision and periodic evaluation of the safety performance of the organization and to validate the effectiveness of safety risk controls.
- ✓ Continuously improve the global safety.

The Safety Management System (SMS) of [Name of the company] has been compiled considering the following regulatory and reference documents:

• Applicable Regulation

• Annex 19

• Document 9859

• Place other applicable Regulation

The Safety Management System (SMS) of [Name of the company], has been built based four components for SMS implementation:
1st Component:

Safety Policy and Objectives. Our organization has defined a Safety Policy approved and signed by the Accountable Executive. This first component has the responsibility and commitment to implement and maintain the Safety Management Processes in [Name of the company], in the areas of the following components and their elements:

- Responsibility and Safety accountability of the organization regarding the Policy and the Safety Objectives.
- Obligation of accountability for safety.
- Designation of key safety personnel.
- Coordination of the Emergency Response Plan (ERP).
- SMS Documentation.

2nd Component:

<u>Safety Risk Management.</u> Our organization has developed its processes taking into account the essential characteristics of its operations and its environment. Apply this knowledge to identify hazards, analyze them, assess risk and establish the necessary controls. This second component has the responsibility and commitment to implement and maintain the Safety Management Processes in [Name of the organization]. In the areas of the following components and their elements:

• Hazards Identification.
• The Safety Risks Assessment and Mitigation.

3rd Component:

<u>Safety Assurance.</u> Our organization ensures that the measures for the Safety Risks developed as a consequence of the activities of hazard identification and risk management, reach the intended objectives. This third component has the responsibility and commitment to implement and maintain the Safety Management Processes within [Name of the organization], in the areas of the following components and their elements:

- • Safety performance monitoring and measurement
- • The management of change
- • Continuous improvement of the SMS

4th Component:

<u>Safety Promotion.</u> Our organization develops and maintains formal training in Safety and communication activities to create an environment where Safety Objectives can be maintained and achieved. This fourth component has the responsibility and commitment to implement and maintain the Safety Management Processes in [Name of the organization], in the areas of the following components and their elements:

- • Training and education.
- • Safety Communication.

3.2 Safety Management System (SMS) Scope

The Safety Management System (SMS) of [Name of the organization] includes [Indicate number of processes] operational processes and [Indicate number of processes] (transversal/cross) processes/procedures which are identified below:

Operational	Transversal/Cross
1. Flight	1. SMS Documentation
2. Dispatch	2. Training Programme
3. Maintenance	3. Hazard Identification
	4. Risk Management and Management of Change
n.	5. Safety Communication
	6. Internal Audit
	n.

[Name of the organization] has identified the sequence and interaction of the processes previously described, which is represented graphically in the following Process Map.

 Example
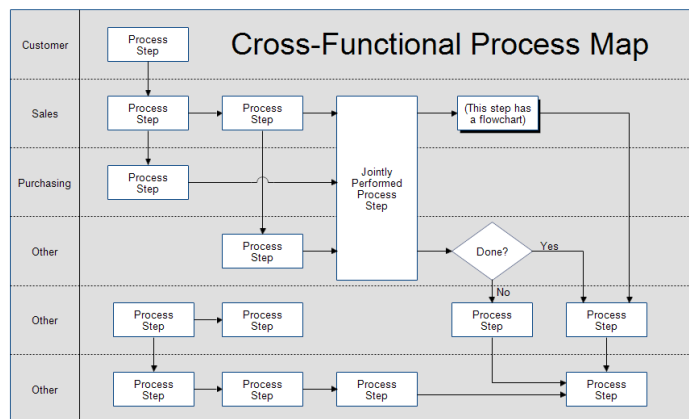
4. SAFETY POLICY AND OBJECTIVES

4.1 Safety Policy and Objectives

4.1.1. Safety Policy

[Name of the organization] has defined the Safety Policy of [Name of the organization] and communicated it to its collaborators.

Safety Policy includes the following commitments:

a) Implement a Safety Management System (SMS) in [Name of the organization];

b) Continuously improve the safety performance of [Name of the organization];

c) Manage the safety risk;

d) Comply with applicable national and international regulatory requirements;

e) Motivate employees to report safety issues, without exposing themselves to reprisals;

f) Clearly define lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management;

g) Identify the responsibilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the organization;

h) Establish procedures for safety performance reports, internal, at the different levels of [Name of the organization], and to the CAA;

i) Define unacceptable behavior in aviation activities and apply disciplinary measures.

In this way, the Safety Policy:

• Provides management guidance for establishing and reviewing safety objectives;

• It is properly documented;

• It is communicated to all employees and interested parties,

• It is reviewed periodically to ensure that it is still relevant and appropriate to [Name of organization].

SEE APPENDIX (X) SAFETY POLICY

4.1.2 Safety Objectives

[Name of the organization] has established Safety objectives, which are related to high and low impact performance indicators, targets and Safety obligations.

Safety Objectives are periodically monitored through the "Management Review" process is to ensure that the system remains suitable, adequate and effective. As part of the Management Review, safety objectives Board is updated, which is the responsibility of the Safety Manager and is delivered to the Civil Aeronautical Authority when requested.

SEE APPENDIX (X) SAFETY OBJECTIVES

4.2 Management Commitment and Responsibilities

[Organization name] has determined the safety responsibilities of all members of [Name of company], including the Accountable Executive and Safety Manager.

[Name of organization] has documented and communicated the safety functions, responsibilities and authorities; through the different Competency Profiles / Job Descriptions / Competency Descriptions / Safety Responsibility Matrix.

The process owners are detailed below, for each of the consigned in the Process Map of article 3.2 of this Manual:

PROCESS	PROCESS OWNER
FLIGHT	CHIEF PILOTS
MAINTANENCE	MAINTANENCE DIRECTOR
TRAINING	SAFETY MANAGER
MANAGEMENT REVIEW	ACCOUNTABLE EXECUTIVE
SAFETY COMMUNICATION	SAFETY MANAGER
N.	N.

Organizational Structure of the Safety Management System (SMS)
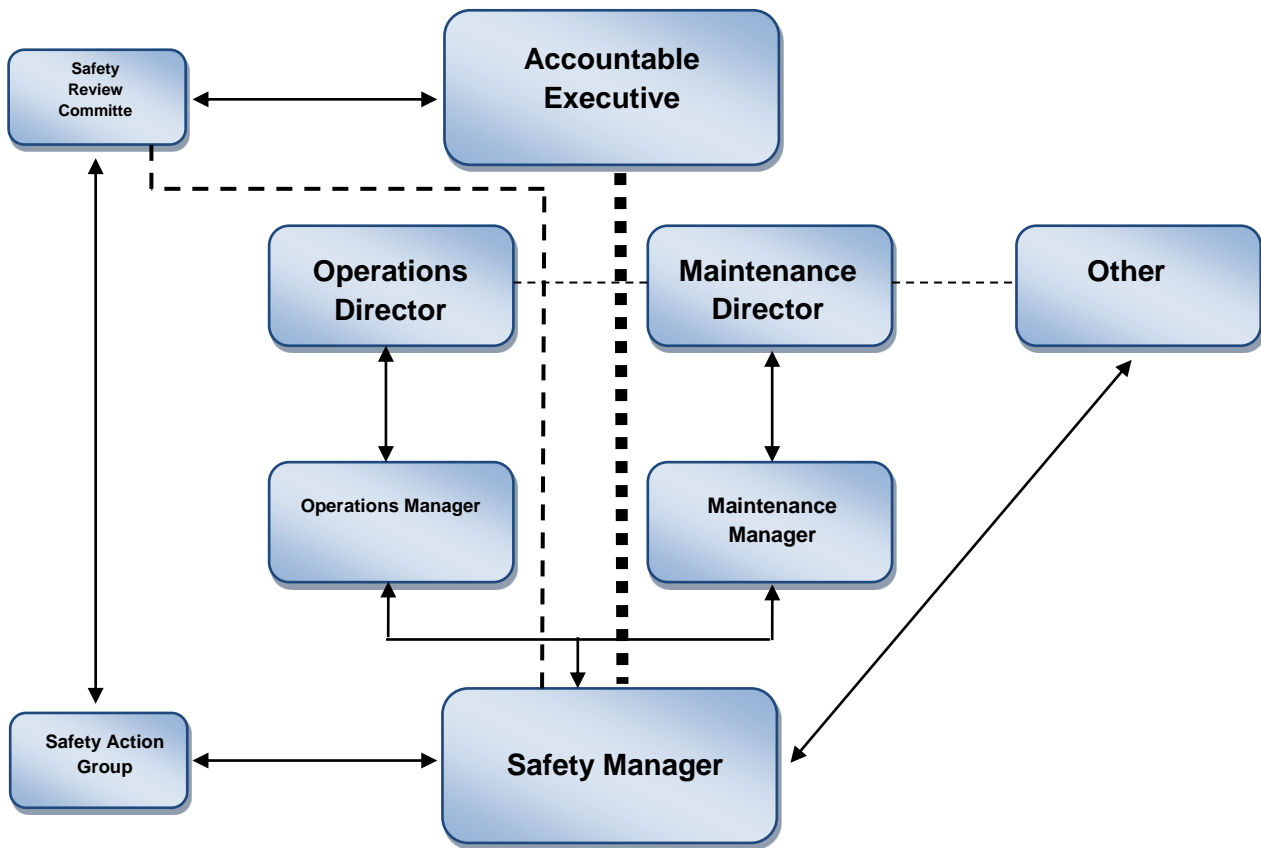
[This organizational chart was made as specified in Doc. 9859, but it must be adapted to your organization].

4.3 Key Safety Personnel

[Name of the organization] has appointed an Accountable Executive who, irrespective of other functions to, has the ultimate responsibility for the implementation and maintenance of the Safety Management System (SMS).

For this purpose it has been designated [indicate name of the Accountable Executive]

• Control of the human resources required for the operations authorized to be carried out under the certificate or authorization of operation.

• Control of the necessary financial resources for authorized operations under the certificate or authorization of operation.

• Authority over operations authorized to be conducted under the certificate or authorization of operation.

• Direct responsibility to conduct the affairs of [Name of the organization] and,

• Final responsibility in matters of safety.

SEE APPENDIX (X) LETTER OF APROVAL OF ACCOUNTABLE EXECUTIVE BY CAA.

[Name of the organization] has defined the member of the Directorate, [insert name of the Safety Manager] as Safety Manager, who will be responsible for the implementation and maintenance of the Safety Management System (SMS). His specific responsibilities are:

• Guarantee that the necessary processes for the Safety Management System (SMS) are established, implemented and maintained.

• Provide information and advice to the Accountable Executive on matters related to the performance of safe operations;

• Ensure the promotion of safety at all levels of [Name of the organization].

SEE APPENDIX (X) LETTER OF ACCEPTANCE SAFETY MANAGER BY CAA

4.4 Groups Managing Safety of [Name of the organization].

[Name the Organization] as part of the functional responsibilities and accountability on safety has established a Safety Review Committee (SRC) and a Safety Action Group (SAG).

4.1 Safety Review Committee (SRC)

Responsible for providing the platform to achieve the objectives of the allocation of resources and evaluate the effectiveness and efficiency of risk mitigation strategies, this is led by the Accountable Executive and meets [Indicate periodicity]. This committee is formed by:

• [Indicate positions of the organization that are part of the committee]

This committee receives counsel from the Safety Manager and together they are responsible for:

• Review Safety performance compared to the safety policy and objectives of [Name of the organization];

• Review the effectiveness of the safety management processes of [Name of the organization];

• Review the effectiveness of safety oversight of subcontracted operations;

• Ensure that the corresponding resources are allocated to achieve performance in terms of safety; and

• Promote the necessary personnel changes, to maximize the implementation of the system within [Name of the organization].

Safety Action Group (SAG)

Responsible for the coordination for the implementation and monitoring of safety strategies throughout [Name of the organization]. It meets [Indicate periodicity] and that it is led by the Safety Manager and composed of [Indicate positions of the organization that confirm the committee] following:

This group is responsible for:

• Supervise safety performance within functional areas;

• Ensure that the corresponding safety risk management activities are carried out;

• Coordinate the resolution of mitigation strategies for the consequences of identified hazards;

• Evaluate the impact of safety related to the introduction of changes;

• Coordinate the implementation of corrective action plans in a timely manner; and

• Review the effectiveness of safety controls and recommendations.

4.5 Coordination of Emergency Response Planning (ERP).

[Name of the organization] has prepared and maintains an updated Emergency Response Plan (ERP) and is adequately coordinated with the emergency response plans of the other organizations with which it interface while providing services, our (ERP)) ensures:

• An orderly and efficient transition from normal operations to emergency operations;

• Delegation of authority to emergencies;

• Assignment of responsibilities in the emergency during coordinated activities;

• Authorization for key personnel for the actions contained in the plan.

• Coordination of efforts to address the emergency.

• Perform periodic trials through exercises, which will be at least one (1) time a year and must be consistent with the size and complexity of our organization;

• Return of emergency activities to normal activities; and

• Proactive identification of all possible emergency events / scenarios and their corresponding mitigation measures.

The above is detailed in the document "Emergency Response Plan (ERP)".

4.5.1 Content of the Emergency Response Plan (ERP) document is:

• The list of designated persons that will be part of the emergency response teams;

• The roles and responsibilities of the personnel assigned to the emergency response teams;

• The description of the emergency operations center (EOC) under which the crisis management center should operate in cases of emergency;

• The procedures for receiving requests for information, especially during the first days after an accident or incident;

• Procedures for the appointment of a spokesperson to deal with the media;

• Procedures for access to available resources, including financial authorizations for immediate activities;

• Procedures for the appointment of the company representative for all official investigations undertaken by the Accident and Incident Commision and the CAA;

• The description of a call plan for key personnel; and

• Checklists and procedures relevant to specific emergency situations.

<div align="center">SEE ATTACHMENT (X) EMERGENCY RESPONSE PLAN (ERP).</div>

4.6 SMS Documentation

This Safety Management Manual (SMM) communicates to all [Name of the organization] and accounts for the documentation of all aspects of the Safety Management System, which describes the following:

1. Scope and integration of the safety management system;

2. The safety policy and objectives;

3. The regulatory requirements under which the SMS of [Name of the organization] is conceived.

4. The processes and / or procedures of the Safety Management System must be at least the following:

• Documentation of Safety Management System;

• Coordination of emergency response planning (ERP);

• Hazard identification;

• Evaluation and mitigation of safety risks;

• Observation and measurement of safety performance;

• Change management;

• Continuous improvement of the Safety Management System;

• Training and education; and

• Safety communication.

• Control of the contracted activities;
•   Key Safety personnel;
•   Obligations of accountability, functional responsibilities and attributions related to the processes and procedures of the Safety Management System; and
•   Safety Performance indicators

4.6.1 Controlled documentation of the Safety Management System (SMS).

• Safety Policy.

• Safety Objectives.

• The requirements, procedures and processes of the Safety Management System (SMS).

• Responsibilities and authority for procedures and processes.

• Safety Management System Performance (SMS).

[Name of the organization] controls all the documentation of the Safety Management System (SMS) making sure that:

• The current versions of the relevant documents are available in all the places where the operations essential for the efficient operation of the system are carried out.

• Easily locatable.

• Be periodically revised if necessary, and approved by authorized personnel; and

• Obsolete documents are removed quickly and in a timely manner from all points of use and ensure that they are not used.

[Name of the organization] ensures the proper identification of the records of the Safety Management System (SMS) so that they are legible, identifiable and traceable, as well as easy to recover and protected against damage, deterioration and loss.

Each process that controls the Safety Management System (SMS) defines the retention times of the records for a period acceptable to the General Director, [define the time according to the specific needs of the records and the access according to the to authorized officials]

The above is done according to the Transversal/Cross Process "SMS DOCUMENTATION CONTROL".

5. SAFETY RISKS AND CHANGE MANAGEMENT

[Name of the Organization] has developed the processes comprising the essential characteristics of our operations and its environment and we have applied this knowledge to identify the hazards, analyze them, evaluate the risk and establish the necessary controls.

5.1 Hazards Identification

In [Name of the organization] we have developed and maintain formal means of collecting and generating feedback on the hazards of operations, which combine reactive, proactive and predictive methods of safety data.

The hazard identification process includes the following steps:

1. Reports of hazards, events and safety concerns.

2. Collection and storage of operational safety data.

3. Analysis of operational safety data.

4. Distribution of safety information emanated from safety data.

The Hazards Identification is carried out according to the transversal/cross process "**Hazard Identification**".

5.2 Evaluation and Mitigation of Safety Risks

[Name of the organization] has developed and maintains a formal risk assessment and mitigation process for risk management, which ensures the analysis of risks (in terms of the probability and severity of their being translated into events); its evaluation (in terms of its tolerability); and its control (in terms of its mitigation and / or elimination), so that they remain at an acceptable level of safety.

[Name of the organization] has defined the administration levels with the authority to make risk tolerability decisions and has defined mitigation strategies for each hazard, evaluating each one, and that have taken unacceptable risks.

This process has the objective of identifying, analyzing and reducing the different risks related to safety and maintaining them at a level accepted by [Organization Name].

The risk assessment and the establishment of control measures are carried out according to the transversal/cross process "**Risk and Change Management** ".

6. SAFETY ASSURANCE

6.1 SAFETY PERFOMANCE MONITORING AND MEASUREMENT

[Name of the organization] has developed and maintains formal processes to verify the safety performance) of our organization, achieve the objectives for the risks control, as well as the investigation of events that do not require to be investigated by the Aeronautical Authorities to identify the causes of the possible low efficiency of the Safety Management System (SMS), its implications and eliminate the causes.

The monitoring of safety performance is made according to the performance indicators which are related to the objectives, goals and action plans of [Name of the organizarion] including a range of indicators of both high impact and low impact.

The safety performance monitoring and measurement includes:

• Safety Reports

• Safety Studies.

• Safety Reviews.

• Safety Audits.

• Safety Investigations.

As part of the monitoring and performance measurement system in terms of safety and being a core activity of the Safety Management System (SMS), internal evaluations or self-audits and internal audits are carried out periodically through the "Safety Audit Annual Plan ", taking into consideration the following:

• Internal evaluations or self-audits of each of the activities, processes or operational procedures are conducted and are conducted by those responsible for the technical operational processes.

• Internal audits are carried out with duly qualified internal auditors

The records of all audits must be kept for at least 24 months from the date of the last audit, in the case of the self-audits carried out, they must be sent to the Safety Manager for purposes of updating the base of the audit. the statistics and procedures of the Safety Management System (SMS).

Identify the causes of low efficiency of the Safety Management System (SMS), determine the implications in their operations and eliminate such causes.

6.1.1 Responsibility Regarding Contracted Activities

Our organization makes sure to control externally contracted activities by identifying them with the support of the Supplier Evaluation Process or the Risk Management Matrix and the Contracted Activities Control Panel.

[Name of organization] ensures that our Safety Management System (SMS) interacts effectively with safety systems or subcontractors that provide products or services relevant to the safe operation of the aircraft, likewise In this way we assume responsibility for the safety performance of the products or services provided by subcontractors that do not require the acceptance of an Safety Management System (SMS).

The interface between our Safety Management System (SMS) and the safety system of the contracted subproduct or sub-service provider includes the identification of hazards, risk assessment and the development of risk mitigation strategies, as appropriate.

[Name of the organization] shows the control of our suppliers by keeping records that show that this was done. These records can be of different types depending on the type of control.

[Organization name] guarantees that:

• • It has established the flow of responsibility and authority for safety between the service provider and the subcontractor; How?

• The subcontractor has a safety notification system; which one? This system must be commensurate with its scope and complexity.

• The safety review committee (SRC) of [Name of company] includes the representation of the subcontractor, as applicable;

• Safety / quality indicators have been created to monitor the performance of the subcontractor, as appropriate; [List what those indicators are]

• The Safety Promotion Process ensures that the subcontractor's employees have the corresponding safety communications from [Name of the organization]; [indicate which ones] and

• Any role, responsibility and function of the relevant subcontractor has been developed and tested for our organization's emergency response plan.

The activities contracted externally and that may cause Safety problems and the controls that will be carried out to ensure that their activities do not affect our level of Safety, are detailed in the board of contracted activities.

SEE ATTACHEMENT X CONTROL OF CONTRACTED ACTIVITIES

6.2 Management of Change

As part of the safety assurance activities of the Safety Management System (SMS), [Name of the organization] has developed and maintains a formal process to manage the change, which includes:

• Identify changes within [Name of organization] that may affect the level of safety risk associated with your products or services, as well as established processes, procedures and services;

• Establish the measures adopted to ensure the effectiveness of safety before implementing any change;

• Eliminate or modify safety risk controls that are no longer necessary or effective, due to changes or modifications in the operational environment; and

• Apply the safety risk management process for any planned change to be made.

6.3 Continuous improvement of the SMS

[Name of the organizatoin] has developed and maintains formal processes to achieve the continuous improvement of the Safety Management System (SMS), to identify the causes of low efficiency of the System, determine the implications in its operations, and eliminate such causes .

[Name of the organization] as part of the safety assurance activities of the Safety Management System (SMS), has developed and maintains the formal processes to identify the causes of a poor performance with respect to the Safety Management System (SMS), determine the consequences of these deficiencies in their operations, and rectify situations by eliminating the identified causes to achieve the continuous improvement.

The continuous improvement of the Safety Management System (SMS) includes:

• Proactive evaluations of facilities, equipment, documentation and procedures to verify the effectiveness of safety risk control strategies;

• Proactive evaluation of the efficiency of individuals, to verify compliance with safety responsibilities;

• A reactive evaluation to verify the effectiveness of risk control and mitigation systems, for example: investigations of accidents, incidents and significant events; and

• A predictive evaluation, studying and analyzing reactive, proactive and external elements; anticipating incidents or accidents.

For the above [Name of the organization] has the following processes:

• Risk and Change Management.

•Hazard identification.

• Internal Investigations.

• Implementation of Actions.

In addition [Name of the organization evaluates the System periodically through the review by the Safety Review Committee of the Safety Control Board, leaving the activity recorded in the Minutes of the System Review Meeting.

7. SAFETY PROMOTION

[Name of the organization] has developed and maintains a formal safety and communication activities training to create an environment where safety objectives can be achieved.

7.1 Training and Education

[Name of the organization], has developed and maintains a formal safety training program approved by the CAA that guarantees that the personnel has the instruction and competencies necessary to carry out their functions within the framework of the Safety Management System (SMS).

The scope of the safety training program is appropriate for the type of participation that each person has in the Safety Management System (SMS). And it is independent of the company's training program.

[Name of organization] has ensured that its Accountable Executive has received instruction in safety knowledge regarding:

• Safety policy and objectives;

• Functions and responsibilities in the SMS; and

• Safety Assurance.

7.1.1 Records of execution of the [Name of the organization] training program:

The training program of [Name of organization] should record the records of its execution and should include:

• Initial Indoctrination.

• Recurrent training.

• Promotion instruction.

7.1.2 Contents of the [Name of the organizaton] training program:

The training program contains:

• Safety policies, objectives and goals of [Name of the organization];

• Safety functions and responsibilities;

• Basic principles of safety risk management;

• Safety notification systems;

• Safety assurance activities;

• Safety information communication lines

These should include as part of the training program, their respective validation activities, that measure the effectiveness of the training.

The training is carried out according to the " Safety Training" process and the performance is evaluated according to the "Competency Evaluation" process.

SEE ATTACHEMENT X SAFETY TRAINING PROGRAM

7.2 Safety Communication

[Name of the organization], as part of Safety promotion activities, has developed and maintains means for Safety Communication to ensure that personnel are fully aware of the Safety Management System (SMS) .

A safety communication process has been developed that guarantees full knowledge of the Safety Management System (SMS) in accordance with the position it occupies.

Critical safety information is disseminated in which it explains why measures are taken and safety procedures are introduced or modified through generic safety information.

7.2.1 Formal means of communication of Safety of [Name of the organization]:

The formal means of communication of safety of our organization include, among others:

• Bulletins;

• Notice circulars;

• Official publications;

• Site or Web page.

• Intranet;

• Internal magazines; and

• Posters or billboards.

The safety communication is made according to the process " Safety Communication".

8. Safety Records Management

Document	Time to be Kept
Internal and External Audits	2 years

APPENDIX AND ATTACHMENTS