EAC
No. 19-1

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Development of an SMS Manual

A.   This AC is designed to help organizations document the processes and procedures required for a Safety Management System. It is intended to provide guidance for the development of a Safety Management System Manual, which can be a separate stand-alone document or it could be incorporated into an existing manual, as required. This suggested format is one way in which an organization can meet the documentation requirements of SMS.

B.   Use the SMS manual template to describe the processes for the organization SMS. Remember that small operations will have very basic and simple processes compared to a larger company.

☐   For example, the reporting system for a company with three employees may well be verbal in many cases.

☐   The important thing to remember when developing processes that rely on verbal communication is to keep a record of any hazards discussed and decisions made.

C.   The guide is formatted in the following manner—

☐   **Yes** = Check this column if the organization has addressed the ECAA guidance.

☐   **Reference** = Enter the corresponding paragraph reference from the organization manual system inthis column.

☐   **NA** = Check this column if the guidance is not applicable to the organization.

☐   **Organization Comment** = If the organization has a comment regarding why they do have amanual reference for this guideline, that comment may be inserted in this column.

1	DOCUMENT CONTROL	YES	REFERENCE	NA	ORG COMMENT
1.1	Detailed description of how the manual will be kept up to date and ensure that all per- sonnel have the most current version.				
1.2	Details of the methodology and media for manual distribution are provided.				
1.3	This manual with other approved documen- tation has been correlated with other pri- mary user manual.				
1.4	Details of the process for periodic review of other safety management system related documentation and manuals are provided to ensure their continuing suitability, ade- quacy and effectiveness.				
1.5	This manual and pertinent portions are readily accessible to company personnel.				
1.6	This manual is approved by the Account- able Manager.				

2	SMS REGULATORY DISCUSSION	YES	REFERENCE	NA	COMMENT
2.1	Elaborate on current ECAA SMS regulations for necessary reference and awareness by all personnel.				
2.2	Spell out current ECAA SMS regulations/ standards. Include compliance time frame and advisory material references as applicable.				
2.3	Where, appropriate, to elaborate or explain the significance and implications of those regulations to the organization.				
2.4	Where, relevant, correlation to other safety related requirements or standards may be highlighted				
3	**SMS SCOPE & INTEGRATION**	**YES**	**REFERENCE**	**NA**	**COMMENT**
3.1	The general nature of the organization's aviation business and its position or role within the industry as a whole are described.				
3.2	Equipment, facilities, work scope, capabilities and other relevant aspects of the organization within which the SMS will apply are identfied.				
3.3	The scope of all relevant processes, operations and equipment which are a part of the organization's HIRA evaluation program are identified; especially those which are directly pertinent to aviation safety.				
3.4	If the scope of HIRA eligible process, operations and equipment is too detailed or extensive, supplementary documents are provided control the process.				
3.5	Where the SMS is operated or administered across a group of interlinked organizations or contractors, such integration and associated accountabilities is defined and documented.				
3.6	Where there are other related control and management systems within the organization such as ISO9000, HFEM, OHSAS, QMS, MEDA etc, their relevant integration into the SMS is identified and described.				
4	**SAFERY POLICY**	**YES**	**REFERENCE**	**NA**	**COMMENT**
4.1	The safety policy describe the organization's intentions, management principles, and commitment to improving aviation safety in the company.				
4.2	The safety policy should be appropriate to the size and complexity of the organization.				
4.3	The safety policy states the organization's intentions, management principles and commitment to continuous improvement in the				

		YES	REFERENCE	NA	COMMENT
	aviation safety level.				
4.4	The safety policy is approved by the Accountable Manager by signature.				
4.5	The safety policy is promoted by the Accountable Manager.				
4.6	The safety policy is communicated to all employees with the intent that they are made aware of their individual safety obligations.				
4.7	Personnel at all levels are involved in the establishment and maintenance of the safety management system.				
4.8	Procedures are included which result in the safety policy is reviewed periodically.				
5	**SAFETY GOALS & OBJECTIVES**	**YES**	**REFERENCE**	**NA**	**COMMENT**
5.1	There is a formal process to develop a set of safety objectives and goals necessary to provide direction and impetus to the SMS.				
5.2	The safety objectives and the safety performance goals of the organization are specified in documentation.				
5.3	Performance goals are specific and measurable goals that allow the measure the degree of success of the SMS.				
5.4	Safety objectives have been established				
5.5	Safety objectives are expressed as a top-level statement describing the organization's commitment to achieving safety.				
5.6	These objectives and goals can be supported by data based safety indicators or parameters.				
5.7	Safety objectives and goals are publicized and distributed.				
5.8	Methodology and resources have been established for achieving the objectives and goals				
6	**SAFETY ACCOUNTABILIES & KEY PERSONNEL**	**YES**	**REFERENCE**	**NA**	**COMMENT**
6.1	The safety authorities, responsibilities and accountabilities for personnel involved in the SMS are specified in detail.				
6.2	These assignments are clearly defined and documented.				
6.3	This assignments are promulgated to all personnel in key documentation and communication media.				
6.4	These assignments also includes specific requirement that Accountable Manager is responsible for ensuring that the safety management system is properly implemented and performing to requirements in all areas of the organization.				

6.5	The process for appointing the appropriate Safety Manager (office), Safety Committee or Safety Action Groups are included.				
6.6	A SMS organizational accountabilities chart is included.				
7	**NON-PUNITIVE REPORTING POLICY**	**YES**	**REFERENCE**	**NA**	**COMMENT**
7.1	Details under the system or policy under which employees are encouraged to report errors, safety deficiencies, hazards, accidents, and incidents is included.				
7.2	Policy and procedure in place that facilitate and encourage employees to report errors, safety deficiencies, hazards or occurrences.				
7.3	Conditions under which punitive disciplinary action would be considered (e.g. illegal activity, recklessness, gross negligence or willful misconduct) are clearly defined.				
7.4	This reporting policy is widely disseminated throughout the organization and appears in user-specific procedure manuals.				
8	**SAFETY REPORTING**	**YES**	**REFERENCE**	**NA**	**COMMENT**
8.1	A reporting system including both reactive (accident/incident reports etc) and proactive/ predictive (hazard reports etc) data is established.				
8.2	The details of the design of the reporting system and how it works is provided.				
8.3	The details of the incident reporting system include factors such as report format, confidentiality, data collection and analysis and subsequent dissemination of information on corrective actions, preventive measures and recovery controls.				
8.4	A process or system that provides for the capture of internal information including incidents, accidents, hazards and other data relevant to SMS is included				
8.5	The reporting process should be simple, accessible and commensurate with the size of the organization				
8.6	Procedures for review of the reports at the appropriate level of management is provided.				
8.7	A feedback process is established to notify contributors that their reports have been received and to share the results of the analysis.				
8.8	Procedures make the report form accessible across the organization				
8.9	A process to ensure that information is received from all areas of the organization within the scope of the SMS in included.				
8.10	A process is provided to monitor and ana-				

		YES	REFERENCE	NA	COMMENT
	lyze trends.				
8.11	A process for the systematic investigation and analysis of operational conditions or activities that have been identified as potential hazards is provided.				
9	**HAZARD ID & RISK ASSESSMENT**	**YES**	**REFERENCE**	**NA**	**COMMENT**
9.1	The details of organization's hazard identification system and related schemes and how such data are collated is included.				
9.2	These details include how the organization's process for any categorization of hazards/risks and their subsequent prioritization for a documented safety assessment				
9.3	These details include how the organization's safety assessment process is conducted and how preventive action plans are implemented.				
9.4	The structured process provides for the assessment of risks associated with identified hazards, expressed in terms of consequence (severity) and likelihood (probability of occurrence)				
9.5	Hazard identification and risk analysis procedures clearly manifest aviation safety as its fundamental context.				
9.6	There is a criterion for evaluating risk and the tolerable level of risk the organization is willing to accept together with any mitigating factors.				
9.7	The provisions for risk control strategies that include corrective, preventive and recovery action plans are included				
9.8	The process for evaluating and updating the effectiveness of the corrective, preventive and recovery measures is included.				
9.9	There are specific requirements for documentation and retention of the corrective, preventive and recovery actions, including time lines.				
10	**SAFETY PERFORMANCE MONITORING & MEASUREMENT**	**YES**	**REFERENCE**	**NA**	**COMMENT**
10.1	Procedure for the review the effectiveness of the organization's SMS.				
10.2	This procedures includes the safety performance of the organization by reviewing the safety performance indicators.				
10.3	There is a formal process to develop and maintain a set of safety performance indicators for trend, target (desired level) as well as minimum acceptable (alert) level monitoring.				
10.4	Safety alert (caution) levels which are intended to constitute the organization's minimum are established.				

10.5	Acceptable Level of Safety (ALS) shall be identified accordingly.				
10.6	These established levels are identified in this section of the manual and shall be subject to GCAA acceptance.				
10.7	Periodic planned reviews of company safety performance indicators include an examination of the company's Safety Management System to ensure its continuing suitability, adequacy and effectiveness.				

11	SAFETY INVESTIGATION	YES	REFERENCE	NA	COMMENT
11.1	The Process for how accidents/incidents are investigated are included.				
11.2	Provisions for reviewing contributing factors to an accident/incident are determined and how corrective action is recommended to prevent reoccurrence.				
11.3	Details of how the corrective/preventive actions are reviewed for updating any existing safety assessment or the need to initiate a safety assessment for newly uncovered hazards/risks.				
11.4	Procedures are provided that ensure reported occurrences and incidents are investigated where applicable.				
11.5	A process to ensure that such investigations include identification of active failures as well as contributing organizational factors is described.				
11.6	The details of the investigation procedure and format includes the integration of safety related findings with the SMS.				
11.7	An investigation process is provided to ensure that appropriate SMS follow up actions on related as well as unrelated hazard or risks uncovered during the course of investigations are addressed.				

12	SAFETY TRAINING & COMMUNICATION	YES	REFERENCE	NA	COMMENT
12.1 12.2	Description of the type of SMS and other safety related training that staff receives. Describe how such training procedures are documented				
12.3	Describe the safety communication processes/channels within the organization.				
12.4	The SMS training syllabus, eligibility and requirements are included.				
12.5	There is a validation process that measures the effectiveness of training.				
12.6	The training includes initial, recurrent and update training, where applicable.				
12.7	The organization's SMS training is part of the organization's overall training program.				

12.8	Details of how SMS awareness is incorporated into employment or indoctrination program are provided.				
13	**CONTINUOUS IMPROVEMENT & SMS AUDIT**	**YES**	**REFERENCE**	**NA**	**COMMENT**
13.1	The processes for continuous improvement and review of the organization's SMS are described.				
13.2	There are provisions for regular audit/ reviews of company safety performance indicators, including an internal assessment/ audit of the company's Safety Management System to ensure its continuing suitability, adequacy and effectiveness				
13.3	All other programs contributing to continuous improvement of the organization's SMS and safety performance (e.g. MEDA, safety surveys, ISO systems) are included.				
14	**SMS DATA & RECORDS MANAGEMENT**	**YES**	**REFERENCE**	**NA**	**COMMENT**
14.1	Description of the organization's method of recording and storing all SMS related documents is provided.				
14.2	The organization's records system that ensures the generation and retention of all records necessary to document and support the SMS is included.				
14.3	That system requires the retention of records such as hazard reports, risk assessments reports, SAG/SRB meeting notes, safety performance monitoring charts, SMS audit reports, SMS training records.				
15	**MANAGEMENT OF CHANGE**	**YES**	**REFERENCE**	**NA**	**COMMENT**
15.1	Description how the organizational internal/ external/process changes that may have an impact on safety be managed.				
15.2	Details showing how such processes are integrated with the organization's SMS				
15.3	A standard procedure or policy to perform or review safety assessments for all substantial internal or external changes which may have safety implications.				
15.4	There is procedure for performing safety assessment prior to introduction of new equipment or processes which may have safety implications before they are commissioned.				
15.5	Provisions for all concerned stake holders within or without the organization are involved in such reviews.				
15.6	How such reviews are documented and approved by management.				
16	**EMERGENCY RESPONSE PLAN**	**YES**	**REFERENCE**	**NA**	**COMMENT**
16.1	Details of the organization's intentions and commitment to dealing with emergency situ-				

	ations and their corresponding recovery controls are provided.				
16.2	The roles and responsibilities of key personnel are outlined.				
16.3	The Emergency Response Plan has been developed and is available in the organization's manual system.				
16.4	There is an emergency plan that outlines roles and responsibilities in the event of a major incident, crisis or accident				
16.5	There is a notification process that includes an emergency call list and an internal mobilization process				
16.6	The details of the specific arrangements with other agencies for aid and the provision of emergency services are included.				
16.7	Procedures for emergency mode operations are provided where applicable.				
16.8	A procedure is provided for overseeing the welfare of all affected individuals and for notifying next of kin.				
16.9	Procedures for handling media and insurance related issues are provided.				
16.10	The accident investigation responsibilities within the organization have been defined.				
16.11	Policy/procedure requiring preservation of evidence, securing affected area and mandatory/governmental reporting is clearly stated.				
16.12	Provisions and general curriculums for the is emergency preparedness and response training for affected personnel				