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Safety Management System Manual

Template for Maintenance and Flight Operations Organizations

Foreword

The purpose of this manual is to provide guidance on the implementation of Safety Management Systems (SMS) for Maintenance Organizations and Flight Operations Organizations.

This manual is designed to give the maintenance and flight operations organizations, basic information on SMS concepts and the development of management policies and processes.

It is important to recognize that SMS are top down driven systems, which means that the Accountable Manager of the organization is responsible for the implementation and continuing compliance of the SMS. Without the wholehearted support of the Accountable Manager an SMS will not be effective.

There is no "one size fits all" model of an SMS that will cater for all types of organizations. Complex SMS are likely to be inappropriate for small operators, and such operators should tailor their SMS to suit the size, nature and complexity of the operation and allocate resources accordingly.

Guidance material/template for small organizations/operators is specifically designed by this document.

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Table of Approval

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Safety Management System Manual

Template for Maintenance and Flight Operations Organizations

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Terms and Definitions

Hazard	Any situation or condition that has the potential to cause damage or injury.
Risk	A potential adverse consequence of a hazard assessed in terms of severity and likelihood.
Mitigation	Measure needed either to eradicate the hazard, or to reduce the severity or likelihood of the risks.
Safety Management System	A systematic approach to managing safety including the necessary organizational structure, accountabilities, policies and procedures.
Safety Programme	An integrated set of regulations and activities aimed at improving safety.
Safety Performance Indicator	Measure used to express the safety performance in a system.
Safety Performance Target	One or more safety performance indicators, together with desired outcomes expressed in terms of those indicators. (*ICAO Doc.9859 - Safety Management Manual describes safety performance indicators and safety performance targets within the concept of an "acceptable level of safety").*
Safety Requirements	**S**teps needed to be taken to achieve the safety performance targets. They include the operational procedures, technology systems and programmes to which measures of reliability, availability, performance and/or accuracy can be specified.

Company Letterhead

To: All [Insert Name] Personnel

Reference: [Insert Name] Safety Management System

Subject: Safety and Health Policy Statement

[Insert Name] management is firmly committed to providing and maintaining a safe and healthy working environment. Safety is best expressed as, *the way we do business* and is *not* to be compromised. No mission or activity is so important or time critical that it cannot be done safely. There are no excuses for unsafe acts! To maintain our safety goal of zero accidents we have implemented a comprehensive Safety Management System. This System is designed to prevent all work place accidents, injuries, and illness.

The success of any Safety Management System depends on the safety consciousness and co-operation of everyone in the organization. Employees at all levels are expected to assist in the prevention of work place accidents and injuries. To foster this safety consciousness I have approved the implementation of a "Just Culture." I want to stress to you how important it is to have a culture of open reporting of all safety hazards. Management will not initiate disciplinary action against any personnel who, in good faith, discloses a hazard or safety occurrence due to unintentional conduct. This culture fosters a way of safety thinking that promotes a questioning attitude, is resistant to complacency, is committed to excellence, and ensures both personal accountability and departmental self-regulation in safety matters.

I have appointed [Insert Name] as the Safety Facilitator to manage the Safety Management System. I expect all managers and personnel to support him/her by working together and understand that our company is strengthened by making safety excellence an integral part of all activities

_____

Accountable Manager

Purpose

This Safety Management System (SMS) Manual has been developed to direct all personnel in the safe operations of the organization. The manual defines the policies that govern the operation of [Insert Name].

A SMS is a pro-active, integrated approach to safety management. The SMS is part of an overall management process that the [Insert Name] has adopted in order to ensure that the goals of the organization can be accomplished safely. It embraces the principle that the identification and management of risk increases the likelihood of accomplishing the mission. Hazards can be identified and dealt with systematically through the Hazard Reporting Program that facilitates continuing improvement and professionalism. Auditing and monitoring processes ensures that aircraft are operated in such a way as to minimize the risks inherent in flight operations.

Safety Management Plan

Safety holds the key to this company's future and affects everything we do.

This SMS Manual defines the organization's Safety Management Plan. The [Insert Name] management is committed to the aviation SMS, and is required to give leadership to the program and demonstrate through everyday actions, the commitment to safety and its priority in the achievements of the organization.

The processes in place in the Safety Management Plan include the active involvement of all managers and supervisors, who, through planning and review, will continue to promote efforts for continued improvement in safety and safety performance. The term "Safety Management" should be taken to mean safety, security, health, and environmental management. The key focus is the safe operations of airworthy aircraft.

Mission Statement

The mission of [Insert Name] is to provide quality service to the public. We accomplish this through:

a) Safety,
b) Efficiency,
c) Comfort,
d) Convenience.

Safety Policy

[Insert Name] management is firmly committed to providing and maintaining a safe and healthful working environment. This manual starts with my commitment to safety. To foster this work environment I have approved the implementation of a *"Just Safety Culture."*

A *"Just Safety Culture"* fosters an atmosphere of trust in which people are encouraged, even rewarded, for providing essential safety related information, but in which they are also clear about where the line must be drawn between acceptable and unacceptable behavior. A *"Just Safety Culture"* does the following:

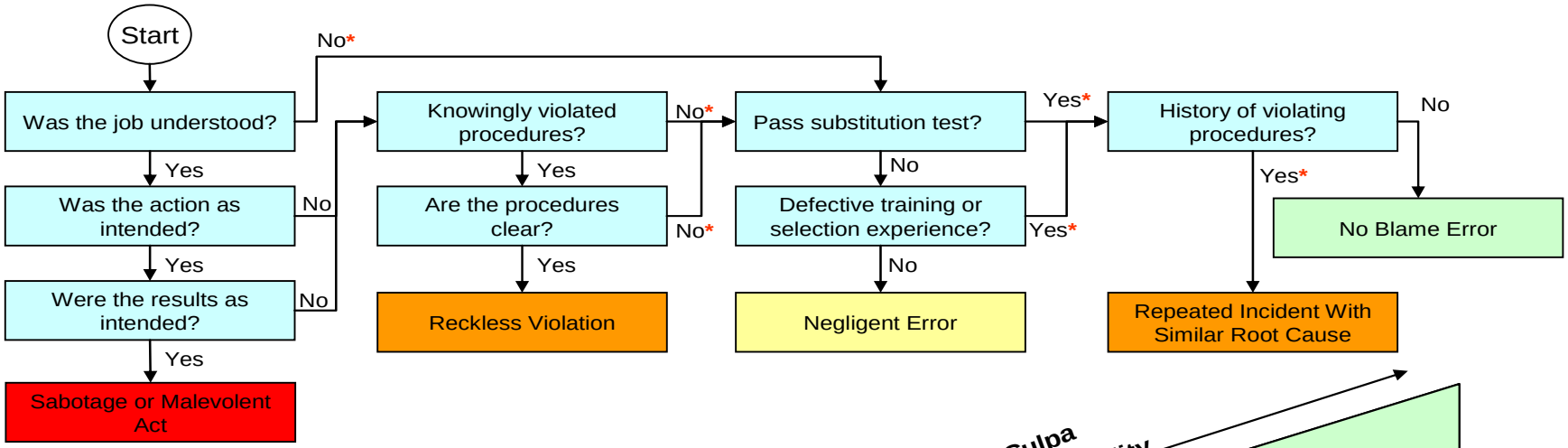
- Eliminates the notion that blame is a useful concept. The root cause for error will never be identified if the only goal is to find someone to blame. Holding individuals responsible for their actions is different than laying blame.

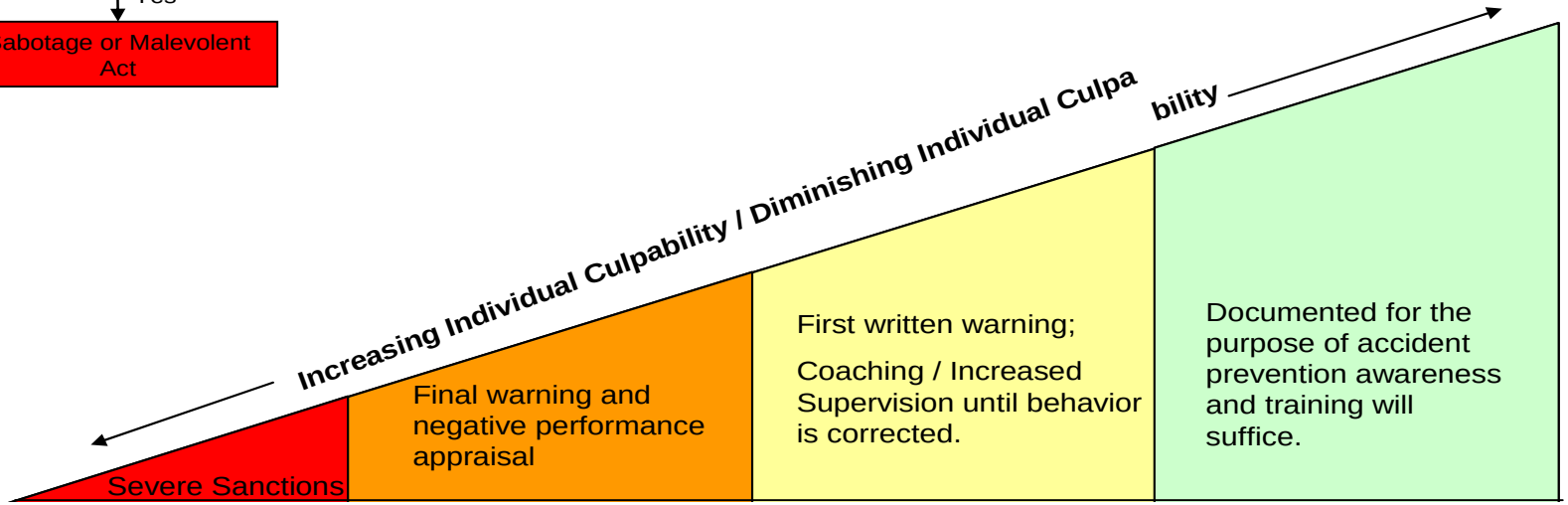
- Defines clear lines between acceptable and unacceptable performance. Once the lines have been drawn, individuals need to know what is expected of them and understand that they will be held accountable for their performance.

- In cases of non-compliance, there should be clear guidelines about what should happen. We often fail to determine the reason for the non-compliance. Before sanctions are applied, it is imperative that the reason(s) for the non-compliance to be identified. Only then can appropriate action be taken.

[Insert Name] "Just Safety Culture"

The *"Just Culture"* Process shown below is used when deciding if disciplinary action is appropriate.





* Indicates a 'System' induced error. Manager/supervisor must evaluate what part of the system failed and what corrective and preventative action is required. Corrective and preventative action shall be documented for management review.

Just Safety Culture Process
Substitution Test: Would another person have done the same thing in a similar situation?

Safety Principles

[Insert Name] embraces the following safety principles:

a) Our people will always operate in the safest manner practicable;
b) We will foster a culture of open reporting of all safety hazards in which management will not initiate disciplinary action against any personnel, who in good faith, due to unintentional conduct, disclose a hazard or safety incident;
c) We will never take unnecessary risks;
d) We understand that safe *does not* mean risk free;
e) Everyone is responsible for the identification and management of risk;
f) We understand that familiarity and prolonged exposure without a mishap leads to a loss of appreciation of risk.

Safety Management System Goals & Objectives

[Insert Name] has developed a comprehensive Safety Management System with an explicit set of goals and objectives that prescribe how the mission will be accomplished in a safe and efficient manner. The Safety Management System is integrated to consist of flight, maintenance, and ground safety. The following goal has been established for the safety department.

***Goals*:** To provide the highest level of safe and efficient air support services to the public. This includes:

- Zero accidents;
- Providing a safe working environment for all personnel, vendors, guests, and the public;
- The development of activities that increase knowledge and safety awareness among all department personnel, and to the extent possible, among our passengers and the public;
- The identification, elimination, and/or control of all hazardous conditions.

***Objectives*:** The following objectives are for the year [yyyy].

- By [dd/mm/yyyy] the Safety Facilitator will publish and distribute a Safety Management Systems Manual to all department personnel.
- By [dd/mm/yyyy] the Safety Facilitator will meet with each supervisor in the company and encourage them to assist in the identification of hazards by submitting the Hazard Report Form.
- By [dd/mm/yyyy] the Safety Facilitator will complete an annual audit of the company.

Organisation Structure and Safety Responsibilities

[Insert Name] has been appointed the Safety Facilitator for [Insert Name]. The organization structure and safety responsibilities are as follows:

[Insert Name] Manager

The [Insert Name] Manager is responsible for flight operations and the overall implementation and maintenance of the organization's Safety Management System. The day-to-day management of the program is delegated to the Safety Facilitator. The [Insert Name] Manager's duties include, but are not limited to the following:

Ensure that managers and supervisors are trained in flight and ground safety and are familiar with the safety and health hazards to which personnel under their immediate direction or control may be exposed, as well as applicable laws, regulations, safety rules, and policies:

a) Ensure that managers, supervisors, and personnel are trained in general safe work practices;
b) Ensure that personnel are trained in hazards specific to their job or assignment;
c) Ensure that all safety training is properly documented as it is performed;
d) Ensure that the Safety Facilitator maintains appropriate safety records;
e) Periodically observe personnel to ensure they follow approved procedures;
f) Correct unsafe work practices promptly;
g) Ensure that records of all accidents, injuries, illnesses, or near misses are maintained on file;
h) Encourage all personnel to submit Hazard Report Forms on unsafe practices or conditions as they are observed;
i) Provide annual guidance to the Safety Facilitator and meet with him/her regularly to monitor status of the Safety Management System.

Safety Facilitator

The Safety Facilitator is appointed by and reports to the Accountable Manager. The Safety Facilitator has overall responsible for the management of the Safety Management System and for:

a) Advising and assisting company managers in the establishment and development of the organization's Safety Management System;
b) Assisting managers in the collection of information relative to the presence of hazards in the aviation environment. In this capacity, he/she will manage the Hazard Reporting system as it applies to aviation operations;
c) Acting as Facilitator of the Safety Committee. In this capacity he/she will involve members of the Committee in identifying and prioritizing safety issues within their

areas of operation; encourage and assist Committee members in becoming "safety conscience" within each functional area;

d) Conducting a minimum of four safety meetings each year and maintaining a record of participants and subjects addressed;
e) Maintaining the Safety Library;
f) Maintaining a record of aeronautical occurrences, including mishaps during aircraft operations, maintenance, and ground support activities;
g) Investigating, analyzing, and identifying trends of aeronautical occurrences and hazard detection reports. Recommend appropriate accident prevention actions and strategies to the Accountable manager;
h) Maintaining appropriate organizational aviation safety records and accident, incident, and aviation hazard statistics;
i) Providing a semi-annual report to the Accountable Manager outlining the status of the organization's Safety Management System;
j) Conducting annual, or have outside personnel conduct, a comprehensive safety audit of all components of the company operations;
k) Preparing and maintaining on file a copy of the Safety Inspection Report Form used in conducting internal safety inspections;
l) Maintaining records of periodic inspections, corrective actions and investigations;
m) Working with to ensure that appropriate safety issues are addressed in training objectives;
n) Working with department management to ensure that appropriate safety issues are addressed in department policy statements and initiatives;
o) Obtaining appropriate training and education related to the safety function;
p) Attending meetings of and represent company aviation interests at various industry and regional safety organizations;
q) Conducting risk assessments on identified hazards.

All Aviation Personnel

All personnel are responsible for working safely and maintaining a safe work environment. Personnel are required to conduct themselves in a manner that is consistent with the company safety rules and policies. To fulfil this requirement, each individual must:

a) Attend all required meetings (including safety meetings);
b) Review applicable safety and health laws and regulations;
c) Review safety rules and policies;
d) Be familiar with the safety aspects of that portion of the operation where you work;
e) Participate in training in general safe work practices;
f) Participate in training in hazards specific to each job assignment;
g) Regularly inspect your area of responsibility for hazards;
h) Submit Hazard Report Forms to the Safety Facilitator when you identify a hazard in the work environment or observe unsafe practices or conditions;
i) Take positive steps to avoid unsafe work conditions;
j) Correct unsafe work conditions promptly;

k) In your work area, report all accidents, injuries, illnesses, or near misses to the Safety Facilitator.

Compliance with Standards

All personnel have the duty to comply with the contents of the Safety Management System and the company's approved standards. These include organization policy, procedures; aircraft manufacturer's operating procedures and limitations, and government regulations. Research shows that once you start deviating from the rules, you are almost twice as likely to commit an error with serious consequences.

Breaking the rules usually does not result in an accident, however, it always results in greater risk for the operation, and the organization supports the principle of, "NEVER take *unnecessary* risks."

Enforcement of Standards

Behaviour is a function of consequences. Management is committed to identifying deviations from standards and taking immediate corrective action. Corrective action can include counselling, training, discipline, grounding or removal. Corrective action must be consistent and fair.

Organization management makes a clear distinction between honest mistakes and intentional non-compliance with standards. Honest mistakes occur, and they should be addressed through counselling, coaching, and training.

Research has shown that most accidents involve some form of flawed decision-making. This most often involves some form of non-compliance with known standards. Non-compliance rarely results in an accident; however, it always results in greater risk for the operation.

[Insert Name] agrees with the following conclusions:

a) Compliance with known procedures produces known outcomes;
b) Compliance with standards helps guarantee repeatable results;
c) Bad rules produce bad results;
d) Complacency affects the safe operation of the aircraft and cannot be tolerated;
e) Standards are mechanisms for change;
f) The hardest thing to do, and the right thing to do, is often the same thing.

Rewarding People

Reward systems are often upside down. Reinforced bad behaviour breeds continued bad behaviour. This is unacceptable. [Insert Name] is committed to the principle that people should be rewarded for normal, positive performance of their duties that complies with organization standards. Personnel *will not* be rewarded for accomplishing the mission by breaking the rules. Documentation of adherence and/or deviation of standards will be added to the employee's file for the purpose of writing employee evaluations. Employees will receive positive recognition for compliance with organisational standards.

Safety Promotion

Safety is promoted as a *"core value"*. Procedures, practices, training, and the allocation of resources by [Insert Name] clearly demonstrate the organization's commitment to safety. We must not focus on the mission at all costs but the risks associated with each task. The following methods are used to promote safety:

a) A consistent use of a Risk Management Process by all personnel;
b) Posting the Safety Policy in prominent locations around the base of operations;
c) Starting meetings with a comment or review about safety issues;
d) Having a safety bulletin board;
e) Providing feedback on hazard report submissions;
f) Having an employee safety feedback process.

Communicating Safety Issues

[Insert Name] believes that communicating with everyone concerning safety hazards and the methods used to control them will help create the safest possible work environment. [Insert Name] therefore, places a great deal of importance on communicating with personnel about safety issues. The company's system for communicating with personnel on safety issues include:

a) The Safety Management System:
- A copy of this plan has been distributed to each individual for review and additional copies are available from the Flight Safety Facilitator.

b) Flight Crew Reading Files:
- There will be three reading files available for flight crews. The files reflect three different levels of urgency: "Read before Flying", "Read As Soon As Practical", and "Read at Leisure".

  - Crewmembers are required to read the "Read before Flying" file prior to a daily flight;
  - Items in the "Read As Soon As Practical" will be accessed and read within 14 days;
  - Items in the "Read at Leisure" will be accessed and read within 30 days.

- Items will be archived by the Safety Facilitator to an "Archive Folder" and will be available to anyone who wants to review it at a later time.

c) Safety Meetings:
- The Safety Facilitator will conduct safety meetings and briefings.
- Frequency:

  - Flight and Ground Safety Meetings will be conducted quarterly;
  - Flight and Ground Safety Briefings will be conducted monthly.

- Attendance: Employee attendance is mandatory and discussion topics will be documented on Safety Meeting Form. Individuals that are unable to attend the safety meeting will be required to read the minutes posted on the [Insert Name] After reading the minutes the individual will notify the Safety Facilitator in writing to add their name to the attendance roster with a notation that they were absent and have read the minutes.
- Record Retention: Maintain the original roster for five (5) years.
- Training Content: During these meetings the following areas may be discussed:

  - New hazards that have been introduced or discovered in the work place;

- Causes of any recent accidents or injuries and the methods adopted by the company to prevent similar incidents in the future;
- Any safety issue deemed to deserve reinforcement;
- Safety meetings will be documented using a Safety Meeting Report Form.

d) Anonymous Notification Procedures:
- The company has a system of anonymous notification whereby personnel who wish to inform the Safety Facilitator of safety hazards may do so anonymously by sending a written notification to the Safety Facilitator using a Hazard Report Form. All such reports will be investigated in a prompt and thorough manner.

e) Bulletins:
- From time to time it may become necessary to inform flight and/or ground crews of critical operational information. Depending upon the importance of the information, any or all of the following procedures may be utilized to forward the information:

  - Direct personal contact;
  - E-Mail message;
  - Written Communication;
  - Reading Files.

f) Bulletin boards.
- The Safety Facilitator will maintain a safety bulletin board in an area accessible to flight crew and maintenance personnel. Topics will be posted periodically and then archived after removal. Items posted should remain on the board no longer than one month although a shorter time may be appropriate. When an item is posted, its removal date will be shown on the lower right corner of the posting.
- The Safety Facilitator is responsible for items relating to flight and ground.

Document and Data Information Control

All safety documents are controlled through the Safety Facilitator's technical library. Change control procedures are incorporated into the manual.

The Safety Facilitator is responsible for maintaining safety related data, including the minutes of safety meetings, information on hazard and risk analysis, risk management, remedial action, incident and accident investigations, trend files, and audit reports.

Occurrence and Hazard Reporting

An occurrence is defined as: any unplanned safety related event, including accidents and incidents that could impact the safety of guests, passengers, organization personnel, equipment, property or the environment.

A hazard is defined as: something that has the potential to cause harm to a persons, loss of or damage to equipment, property or the environment.

A system of in-house occurrence and hazard reporting has been established to allow department management to identify specific operational areas and safety issues that warrant further attention. Personnel may anonymously report hazards using the same report. This reporting system facilitates the collection of event data to assist in the identification of the "root causes", so that appropriate measures (training, establishment or modification of procedures, etc.) can be implemented.

Personnel are required to immediately report any unsafe condition or hazard that they discover in the work place to their supervisor or the Flight Safety Facilitator. Hazard Report Forms are provided for this purpose.

These forms should be used for any flight, maintenance, or ground safety hazard identified. *No employee will be disciplined or discharged for reporting any work-place hazard or unsafe condition*.

Personnel who wish to remain anonymous may report unsafe conditions or hazards by submitting a Hazard Report Form to the Safety Facilitator without identifying themselves. The program allows for anonymous reporting.

[Insert Name] takes all reports of unsafe conditions seriously. Prompt attention will be given to all actual and potential hazards that have been reported to the Safety Facilitator. The company will inform the employee who reported the hazard of the action that was taken to correct the hazard or the reasons why the condition was determined not to be hazardous. *There will be no discrimination against any employee who reports unsafe conditions or hazards.* Indeed, personnel are *encouraged and required* to do so.

Personnel who report shall be treated fairly and justly, without punitive action from management except in the case of known reckless disregard for regulations and standards, or repeated substandard performance.

The Safety Facilitator is responsible for verifying and taking action on the reported hazards. If necessary the Safety Committee will be consulted. If the Safety Committee cannot agree on a course of action recommendation will be forwarded to [Insert Name] for resolution. Upon completion of the corrective action the Hazard Form will be filed and retained for at least three years. Additionally, the Safety Facilitator will communicate

results of the final action taken to all employees.

Senior Management may also appoint a Safety Committee. If appointed, the Safety Committee shall:

a) Have responsibility for:

- Developing programs to identify and correct hazards;
- Reviewing procedures relative to occupational injuries;
- Reviewing incident and accident reports and provide recommendations to the Senior Manager;
- Other duties as directed by the Senior Manager.

b) Have representatives from:

- Company Management;
- Company Safety Facilitator;
- Pilots;
- Training;
- Maintenance;
- Other Company Members as needed.

c) Meet at least quarterly.
d) Have a written agenda.
e) Keep and disseminate minutes of the meeting.

The basic purpose of any council, committee or supervisory level meeting is to bring group action to bear on a problem. Minutes of the Safety Committee meetings should be maintained and copies distributed to all personnel and posted on the bulletin board. A safety committee should always have a facilitator to keep the group focused and a recorder who will publish the minutes.

Hazard Identification and Risk Management

Risk management is the identification and control of risk and is the responsibility of every member of the organization. The first goal of risk management is to avoid the hazard. [Insert Name] has established sufficient independent and effective controls and measures to manage the risk posed by hazards to a level as low as practicable.

The systematic identification and control of all major hazards and associated risk is foundational to safety. The success of the organization depends on the effectiveness of hazard identification and risk management.

Managing Change

When a major change in operations, equipment or services is anticipated, a management change process will be used and will include hazard identification and risk management processes. Management of change requires a team approach. This process ensures all department personnel are afforded the opportunity to provide input.

Procedures are established and maintained to manage changes associated with safety.

The systematic approach to managing and monitoring organizational change is part of the risk management process. Safety issues associated with change are identified and standards associated with change are maintained during the change process.

Procedures for managing change include:

a) Risk assessment;
b) Identification of the goals and objectives and nature of the proposed change;
c) Operational procedures are identified;
d) Changes in location, equipment or operating conditions are analysed;
e) Maintenance and operator manuals are posted with current changes;
f) All personnel are made aware of and understand changes;
g) Level of management with authority to approve changes identified;
h) The responsibility for reviewing, evaluating and recording the potential safety hazards from the change or its implementation;
i) Approval of the agreed change and the implementation procedure(s).

The Management Operating Change process has 4 basic phases: *screening, review, approval* and *implementation*. Both the effect of change and the effect of implementing change are considered.

There are methods for managing the introduction of new technology. All personnel should be consulted when changes to the work environment, process or practices could have health or safety implications. Changes to resource levels and competencies associated risks are assessed as part of the change control procedure.

Occurrence Investigation and Analysis

All routine occurrences and hazards will be investigated by the Safety Facilitator to determine root causes. Significant occurrences are investigated by the Safety Facilitator and shall be reviewed by the section Manager.

Safety Assurance Oversight Programs

The most common and effective way of determining the presence of unsafe conditions in company is to conduct periodic and structured inspections. Safety audits are essential components of the Safety Management System. The company will conduct annual safety audits to review systems, identify safety issues, prioritize safety issues, and enhance the safety of operations.

In-house inspections of the company areas of operations are a fact-finding process, not fault-finding. The emphasis will be on locating potential hazards that can adversely affect safety and health.

The Safety Facilitator with the assistance of [Insert Name] will conduct an *annual* safety audit of the entire company. The audit is intended to inspect for conformance to this manual and generally accepted safety practices. The results of the audit will be shared with all personnel.

Every other year this review may be conducted by an outside entity. At the discretion of management, this may be done more frequently.

The Safety Facilitator shall maintain the inspection report on file. Additionally, the Flight Safety Facilitator is responsible for providing the Accountable Manager with a final inspection report of the respective areas. The Safety Facilitator will manage and file audit reports, which include findings and recommended corrective actions. Positive findings should also be recorded. Findings and recommended actions should be communicated to all personnel.

Safety Training Requirements

Training is an essential part of the Safety Management System. Forms will be used to document training. Employees shall receive the following training:

Initial Training Requirements

Type of Safety Training	Affected Personnel	Validity
Introduction SMS training (In-house training conducted by Safety Facilitator)	All employees (Full and Part Time) Required for all new employees.	One Time
Safety Management Training	Safety Facilitator (Required for all new Safety Facilitators)	One Time
First Aid	One attendant per location. Required for all new employees.	Every 2 years
Fire Fighting (basics)	All personnel. Required for all new employees.	Every 2 years

Recurrent Training Requirements

Type of Safety Training	Affected Personnel	Validity
First Aid	One attendant per location	2 years
Fire Fighting (basics)	All personnel	2 years

Employee training files shall include a record of training, the date that training is next due, and the means of demonstrating competency, verbal or written as determined by the Safety Facilitator. Training records shall be kept in the training file of all personnel maintained by the Safety Facilitator. The Safety Facilitator is responsible for reviewing training files in order to ensure recurrent training is conducted on a timely basis.

Emergency Preparedness and Response

[Insert Name] has a published Aircraft Accident/Incident Response Plan and Fire Fighting & Rescue Plan. The Safety Facilitator is responsible for assuring that all personnel are trained to handle organization emergencies based on their role in the organization. A test of the response plans shall be conducted at least annually to ensure employees are competent.

Performance Management

Continual improvement and exemplary service to the public is a "core value." Safety performance is measured by the following performance measures:

a) Conduct risk management assessments on all jobs to minimize risks associated with operations;
b) Increase the submission of Hazard Reports;
c) Increase the number of actions raised from safety meetings;
d) Reduce the number of non-compliances with standard flight operations procedures as measured by observation;
e) Increase compliance with the safety incident management process (reporting, classification, root cause investigation, and implementation of corrective actions);
f) Reduce the number of non-compliances with standard flight operations procedures as measured by observation.

The Safety Facilitator is responsible for ensuring organization performance is annually reviewed and employees are adequately informed of the results of the review.

Appendix I

Annual Systems Safety Audit

Standards:

The standards for the development of this System's Safety Checklist come from a combination of sources. Adherence to the standards will vary with the size of the operator and the sophistication of the management structure. Regulations, industry standards and best practices from the following organization were used to develop the checklists:

- European Aviation Safety Agency (EASA);
- Joint Aviation Authorities (JAA);
- International Civil Aviation Organization (ICAO);
- Federal Aviation Administration (FAA).

Quality and Safety System Requirements

Item Inspected	Yes	No	N/A
Operator Management:			
1. Management must have clearly defined safety as the number one priority, and safety is never sacrificed to satisfy mission accomplishment.			
2. Policies, procedures and goals which enhance the minimum operations and maintenance standards should be established and implemented.			
3. Proper support infrastructure, including facilities, equipment, parts, and qualified personnel, should be provided at the operator's primary facility.			
4. Personnel with aviation credentials and experience should fill key management positions.			
5. An internal quality audit program or other method capable of identifying in-house deficiencies and measuring the company's compliance with their stated policies and standards should be implemented.			
6. Audit results should be analysed in order to determine the cause, not just the symptom, of any deficiency.			

Management Commitment

Item Inspected	Yes	No	N/A
Management Commitment			
1. Have you designated an individual responsible for:			
a) Flight Safety			
b) Ground Safety			
c) Do they have authority to implement the Safety Program?			
2. Has the senior manager published a Safety Philosophy?			
3. Do you have written Goals & Objectives for your safety program?			
4. Do you have written Roles & Responsibilities for:			
a) Safety Officer?			
b) Supervisors?			
c) Employees?			
5. Do you have a formal written Safety Plan/ Program?			
a) Has a copy been sent to all personnel?			
b) Is it current and reviewed periodically?			
c) Are personnel aware of it?			
6. Do you have management support for the Safety Program?			
a) Do they attend Safety Meetings?			
b) Do they attend Safety Committee Meetings?			
c) Do they review safety inspection reports?			
d) Do they act as Role Models?			
e) Do they correct problems brought to their attention?			
f) Does management involve the Safety Officer in key decisions the organization makes?			
g) Does the Safety Officer attend key meetings?			
h) Does the Organization provide adequate resources to the Safety Program?			
7. Does the Safety Officer have direct access to senior management?			

8. Does the Safety Officer have sufficient time to run the safety program?			
a) Does the Safety Officer have sufficient office space to manage the safety program?			
9. Are individuals, who are working in safety positions, qualified?			
10. Does the organization structure allow for even distribution of the workload among all personnel?			

Hazard Assessment & Control

Item Inspected	Yes	No	N/A
Hazard Assessment & Control			
1. Accident Prevention Surveys/Inspections/Audits			
a) Do you conduct an Accident Prevention Survey/Inspection/Audit at least annually?			
b) Have these surveys resulted in the identification of system defects?			
c) Have countermeasures been established to correct these system defects and eliminate the identified root causes?			
d) Are inspection/audit results reviewed by management?			
e) Are corrections made as a result of the audit findings?			
f) Are findings, beyond the scope of the Safety Officer, sent to management for review and action?			
g) Are follow-up inspections made to ensure the deficiencies have been corrected?			
2. Do you conduct periodic unscheduled inspections/audits?			
3. Do supervisors' or key personnel inspect/audit their own areas on a regular basis?			
4. Do you have a Security Program in place to restrict the access of unauthorized personnel to specific areas?			
5. Is there a system in place for employees to report hazards?			
a) Does anyone use it? How many reports have been submitted within the previous 12 months?			
b) Are the reports reviewed, and acted upon?			
c) Is feedback given to the submitter or the organization?			
d) Are the forms readily available?			
e) Are they used to identify system inadequacies and develop countermeasures?			
f) Are aircraft maintenance personnel encouraged to submit hazard reports?			
g) Are pilots encouraged to submit hazard reports?			
6. Do you conduct regular safety meetings?			
a) Do management and supervisory personnel attend on a regular basis?			
b) Do aircraft maintenance personnel participate in the Safety Meetings?			

7. Do you use a Safety Committee to work on special problems?			
8. Do you investigate all accidents and injuries?			
a) Are the findings reviewed by management?			
b) Are investigations used for accident prevention rather than fault finding?			
c) Are recommendations resulting from accidents, injuries, and incidents being followed?			
9. Do you have a Pre-Accident Plan?			
a) Do you test the plan at least annually?			
b) Is it current? (Phone numbers, names, etc.)			
c) Do major sections of the organization maintain copies?			
d) Should an accident occur, do you have adequate space reserved to coordinate the required actions?			
e) Does it include a fire fighting and crash plan for the immediate Organization area?			

Safety Planning, Establishing Rules & Developing Work Procedures

Item Inspected	Yes	No	N/A
Safety Planning, Establishing Rules, & Developing Work Procedures			
1. Do you have General Safety Guidelines for everyone to follow?			
2. Do you have a way to reward safe behaviour?			
3. Do you maintain a Safety Reading File?			
a) Does it contain flight safety literature for the pilots?			
b) Does it contain information specific to maintenance?			
c) Does it contain information of a general nature that will promote safety awareness?			
d) Do you have separate reading files for regulations, directives, technical references, instructional material, etc.?			
4. Safety Bulletin Boards			
a) Do you maintain a bulletin board for flight crew and maintenance personnel?			
b) Is posted material timely, pertinent, and replaced frequently to maintain reader interest?			
5. Do you conduct Safety Stand-Downs / training at least annually?			

Occupational Safety & Health

Item Inspected	Yes	No	N/A
Occupational Safety & Health			
1. Do you have a Hazardous Materials Communication Program in place that:			
a) Have you designated a Hazard Communication Coordinator?			
b) Have you made a list of all Hazardous Chemicals that employees in your workplace may be exposed to?			
c) Is there clear communication between the purchasing and receiving departments and the Hazard Coordinator?			
d) Are all containers of hazardous substances labelled properly?			
e) Do you have up-to-date Material Safety Data Sheets for every hazardous chemical in your workplace?			
f) Have you contacted the appropriate supplier for missing or incomplete Material Safety Data Sheets?			
g) Have you established a comprehensive training program?			
h) Have you identified and trained all employees who need training?			
i) Have you established a procedure to keep track of those who have received training?			
j) Are Material Safety Data Sheets accessible to all employees on all shifts?			
2. Hearing Conservation Program			
a) Has a program for the control of hazardous noise exposure been established in writing?			
b) Have recent surveys been conducted to establish the noise level in critical or exposed areas?			
c) Have high noise level areas been designated for special controls?			
d) Are hearing protection devices readily available to all exposed personnel?			
e) Are exposed personnel wearing hearing protection?			
f) Is the use of hearing protection enforced by management, supervisors, and peers?			
g) Is an education program conducted concerning the effects of hazardous noise?			
3. Do you have a respiratory program in place?			
4. Do you have a Lock out/Tag out Program in place?			

Administrative Record Keeping

Item Inspected	Yes	No	N/A
Administrative Record Keeping			
1. Do you maintain files in the following areas:			
a) Safety Inspection Report Forms to record Accident Prevention Surveys/Inspections/ Audits.			
b) A system to record suspense actions on safety deficiencies to ensure appropriate corrective actions is taken.			
c) Aircrew training files.			
d) Unsafe Condition or Hazard Report Forms to record hazards reported by all personnel.			
e) Policies, procedures, SOPs, etc., used by the organization.			
f) Aircraft Accident / Incident Reports.			
g) Safety Meeting Report Forms.			
h) Employee Training records to document training.			
i) Current Check Lists			
j) Current Pre-Accident Plan.			
k) Current written Hazard Communication Plan.			

Special Areas of Consideration

Item Inspected	Yes	No	N/A
Special Areas of Consideration			
1. Do you have a Foreign Object Damage Plan in place?			
a) Is the plan written?			
b) Is the plan followed?			
2. Do you have an Aircraft Servicing Policy in place?			
3. Do you have a tool control program?			
a) Is the plan written?			
b) Is the plan followed?			
4. Do you have a tool calibration program?			
a) Is the plan written?			
b) Is the plan followed?			
5. Fuelling & Servicing			
a) Do you have procedures to assure aircraft fuel is free from contamination and procedures and instructions pertaining to servicing, handling, and storing fuel and oil meet established safety standards?			
b) Do you have procedures for monitoring and verifying seller servicing practices are included in this program?			

Maintenance

Item Inspected	Yes	No	N/A
General			
1. Maintenance supervisors ensure that, in spite of scheduling pressure, peer pressure, supervisory pressure, or other factors, the aircraft must be airworthy prior to flight.			
2. Passenger and employee safety is a primary concern.			
3. Quality, completeness and integrity of work are trademarks of the maintenance manager and maintenance department.			
4. Non-conformance to established maintenance practices is not tolerated.			
5. Management ensures that contracted maintenance, including repair and overhaul facilities, is performed by maintenance organizations acceptable to the authorities.			
6. The following maintenance system components are included:			
a) Maintenance Library - Check for current revisions, proper pages, and general condition of all Maintenance Manuals. Microfiche Libraries (for library and aircraft) maintained and current.			
b) Maintenance Records - Check for proper maintenance entries and documentation completed in accordance with Company and CAA procedures.			
c) Maintenance Procedures: Check for documentation and use of approved maintenance procedures.			
d) Equipment Calibration - Check for Equipment Calibration records current and Equipment calibrated.			
e) Parts Receiving & Inventory - Inspection of Parts Receiving department for proper handling of incoming and outgoing shipments and correct documentation. Inspection of stock items for life limits and proper identification.			
f) CMP/CAMP Records Review - A review of Computerized Maintenance Status reports of Company Aircraft for verification of currency of aircraft maintenance requirements.			
g) Repair Station - Inspection of Avionics Shop for compliance of CAA Limited Repair Station requirements.			
h) Aircraft Inspection - Inspection of aircraft for required on-board documentation, placards, safety equipment and general cleanliness.			

i) Weight & Balance Report - Review of Company Aircraft Weight and Balance Reports for proper entries.			
j) Maintenance Training - A review Maintenance Technician Training records to be in conformance with Company policies.			
Maintenance Personnel			
1. Operators are expected to hire and train the number of employees required to safely maintain the company aircraft and support the scope of the maintenance operation at the home station.			
2. These personnel ensure that all maintenance tasks, including required inspections and airworthiness directives, are performed; that maintenance actions are properly documented, and that the discrepancies identified between inspections are corrected.			
3. Mechanics must be fit for duty, properly certificated, with the company verifying certification, and these personnel must possess the knowledge and the necessary aircraft-specific experience to accomplish the maintenance tasks.			
4. Non-certified and inexperienced personnel must receive proper supervision.			
Quality Assurance			
1. A system that continually analyses the performance and effectiveness of maintenance activities and maintenance inspection programs is required for all operators.			
2. This system evaluates such functions as reliability reports, audits, component tear-down reports, inspection procedures and results, tool calibration program, real-time aircraft maintenance actions, warranty programs, and other maintenance functions.			
3. The extent of this program is directly related to the operator's size and scope of operation.			
4. The cause of any recurring discrepancy or negative trend is researched and eliminated.			
5. Action is taken to prevent recurrence of these discrepancies and preventive actions are monitored to ensure effectiveness.			
6. The results of preventive actions are provided to appropriate maintenance technicians.			
7. The results of preventive actions are provided to appropriate maintenance technicians.			
Maintenance Inspection Activity			
1. Organizations must have a process for ensuring required aircraft inspections are completed, and the results properly documented.			
2. Organizations must have a system to evaluate contract vendors, suppliers, and their products.			

3. Inspection personnel are identified, trained (initial and recurrent), and provided guidance regarding inspector responsibility and authority.			
4. If large enough, the inspection activity is normally a separate entity within the maintenance department.			
Maintenance Training			
1. Training must be conducted proportionally with the size and type of maintenance function being performed.			
2. Continuing education and progressive experience are provided for all maintenance personnel.			
3. Orientation, familiarization, on-the-job, and appropriate recurrent training for all full and part-time personnel is expected.			
4. The use of such training aids as mockups, simulators and computer-based training enhances maintenance training efforts, and is desired.			
5. Training documentation is required; it must be current, complete, well-maintained, and correctly identifies any special authorizations such as inspection and airworthiness release.			
6. Trainers are to be fully qualified in the subject matter.			
7. *Aircraft Technical Training: A*ircraft technicians will receive the factory initial training for any aircraft they work on and bi-annual recurrent training which may include training relegated to engine, appliances, avionics, inspection methods, aircraft handling, and fuelling.			
8. *Engine Run/Taxi Training: T*raining required every 2 years with yearly re-certification by an appropriate Standardization Pilot.			
9. *Ground Safety Training:* Training dedicated to conducting proper safe work practices required to perform aircraft maintenance activities.			
10. Equipment Training: In-House training dedicated to the proper use and operation of support equipment and tools required to perform maintenance on Company aircraft.			
Maintenance Planning			
1. Operators should control maintenance activities and track aircraft status.			
2. Qualified personnel must monitor maintenance preplanning, ensure completion of maintenance actions, and track deferred discrepancies.			
3. Deferred maintenance actions are identified to supervisory personnel and corrected in accordance with the criteria provided by the manufacturer.			

4. Constant and effective communication between maintenance and flight operations ensures an exchange of critical information.			
5. A maintenance "Turnover Form" *shall* be filled out by each technician indicating the present maintenance status of any job *not* completed prior to the end of his/her shift. Maintenance technicians *shall* fill out a "Turnover Form" any time work on an aircraft is not completed prior to the end of his/her shift and the aircraft is <u>not</u> undergoing a major OPS Inspection. A Maintenance Supervisor is responsible for reviewing the "Turnover Form(s)" at the end of and beginning of each shift to ascertain the present maintenance status of all jobs in progress.			
6. Aircraft which are rendered "<u>Out of Service</u>" due to <u>incomplete</u> maintenance *shall* have a "<u>Work Not Completed</u>" Tag attached to the pilots control wheel. This tag shall be used whenever the aircraft is left overnight in an unsafe condition or when operation of any system could cause injury to personnel or damage to the aircraft. A separate tag *shall* be used for each Aircraft system affected. This tag *must* be removed by the technician who performed the work or by Maintenance Supervision <u>only after</u> determining that the work has been completed. The tag *shall* include the following information: - The Registration Number of the Aircraft - The date the Aircraft was taken "Out of Service" - The Aircraft system affected - A complete description of why the aircraft is disabled in the "Remarks" section. - The name of the Technician who disabled the Aircraft			
Aircraft Maintenance Program			
1. Aircraft are properly certified and maintained in a manner that ensures they are airworthy and safe.			
2. The program includes the use of manufacturer's information as well as company policies and procedures.			
3. Airworthiness directives are complied with in the prescribed time frame and service bulletins are evaluated for applicable action.			
4. Approved reliability programs are proactive, providing management with visibility on the effectiveness of the maintenance program; attention is given to initial component and older aircraft inspection intervals and to deferred maintenance actions.			
5. Special tools and equipment are calibrated and a record is kept.			
Maintenance Records			
1. Maintenance actions are well documented and provide a complete record of maintenance accomplished and, for repetitive actions, maintenance required.			

2. Such records as aircraft logbooks and maintenance documentation are legibly prepared, dated, clean, readily identifiable, and maintained in an orderly fashion.			
3. Inspection compliance, airworthiness release, and maintenance release records, etc. are complete and signed by approved personnel.			
Aircraft Assessment			
1. Aircraft exteriors, including all visible surfaces and components, are clean and well-maintained.			
2. Interiors are also clean, orderly, and worn or frayed items are replaced regularly.			
3. Required safety equipment and systems are available and operable.			
Maintenance Manuals			
1. The Aviation Maintenance Department *shall* maintain a Maintenance Library at each maintenance facility with *current* revised aircraft, engine, and accessory maintenance manuals, work cards, and authorized procedures necessary to perform Maintenance and Inspections on Company aircraft.			
2. Company policy manuals and manufacturer's maintenance manuals are current, available, clear, complete, and adhered to by maintenance personnel.			
3. These manuals provide maintenance personnel with standardized procedures for maintaining company aircraft.			
4. Management policies, lines of authority, and company maintenance procedures are documented in company manuals and kept in a current status.			
Maintenance Facilities			
1. Operator's maintenance facilities are expected to be clean, adequate for the level of repair authorized.			
2. Safety equipment is available in hangars and shops, and it is serviceable.			
3. Shipping, receiving, and stores areas are likewise clean and orderly.			
4. Parts are correctly packaged, tagged, segregated, stored, and shelf life is properly monitored.			
5. Parts are correctly packaged, tagged, segregated, stored, and shelf life is properly monitored.			

Appendix II

Forms

Index to forms
Safety Audit Report
Spill Incident Report
General Safety Training Roster of Attendees
Hazard Report Form
Safety Action Report Form
Safety Inspection Report Form
Safety Meeting Report Form
Supplemental Training Verification Form
Safety & System Safety Management Training Form
Deviation Report Form

SAFETY AUDIT REPORT

DATE: _____ AUDIT TEAM: _____

AREA/PROCEDURE: _____

ITEM No.	OBSERVATION	CLASS Numeric Value	CORRECTION/COMMENTS	COMPLETED BY:

AUDIT CLASSIFICATION

CLASS 3 Clear, immediate threat to personal safety and health.

CLASS 2 Condition that constitutes a clear and present threat and is a hazard to any individual who may encounter this condition.

CLASS 1 An activity or condition, which if allowed to continue, could eventually result in injury or illness.

Additional Remarks: (List item No. with explanation)

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

SPILL INCIDENT REPORT

DATE: _____ TIME: _____

LOCATION: _____

TYPE OF SUBSTANCE: _____

AMOUNT ESTIMATE TO HAVE SPILLED: _____

EXACT LOCATION OF SPILL: _____

HOW DID THE SPILL OCCUR: _____

_____

_____

DID ANY SUBSTANCE ENTER ANY STORM OR SANITARY SEWER DRAINS?

YES ☐ NO ☐

IF **YES**, EXPLAIN: _____

METHOD USED TO CLEANUP AND REMOVE SPILLED SUBSTANCE:

_____

ANY ADDITIONAL INFORMATION OR RECOMMENDATIONS CONCERNING THIS INCIDENT:

_____

_____

_____

_____

_____

_____

GENERAL SAFETY TRAINING

Topic: General Safety Rules and Practices

Location: _____

Date: _____

Signature of Attendees:

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

OBJECTIVES:

Educate employees on the major concepts concerning our procedures on Hazard Identification, Office Safety, First Aid, Sanitation, and Hazardous Materials. In addition, to present an overview of General Safety Rules & Practices.

INSTRUCTOR NAME: _____

INSTRUCTOR POSITION: _____

HAZARD REPORT FORM

HAZARD REPORT FORM		
This form is to be completed by any employee wishing to report an unsafe condition, act, potential for FOD, or FOD incident	1. Originator	FILL OUT FORM To: Safety Facilitator
Normal Routing	2. Safety Facilitator	Action/Comments to
Unresolvable by Safety Facilitator	3. Safety Committee	Action/Comments/File to
Unresolvable by Safety Committee	4. Manager	Action/Comments/File

TYPE OF HAZARD:

☐ **FLIGHT RELATED**	☐ **FOREIGN OBJECT DAMAGE**
☐ **EQUIPMENT**	☐ **HOUSEKEEPING**
☐ **PROCEDURES**	☐ **UNSAFE ACT**
☐ **MAINTENANCE**	☐ **OTHER** _____

EXACT LOCATION

DESCRIBE THE HAZARD

NAME (Optional):

Date:

Comments by Safety Facilitator

DEPARTMENT:

_____

_____

_____

_____

_____

SEND THIS COMPLETED FORM TO: SAFETY DEPARTMENT

Summary of Safety Committee Review:

_____

_____

_____

_____

_____

Recommended Corrective Actions:

_____

_____

_____

_____

SAFETY COMMITTEE REPRESENTATIVE: _____

_____

MANAGER COMMENTS:

_____

_____

_____

_____

_____

Distribution: Information on action taken to reduce or eliminate the hazard should be provided to the following individuals:	ORIGINATOR SAFETY FACILITATOR CREW MEMBERS MANAGER (If warranted) SAFETY DEPARTMENT FILE

SAFETY ACTION REPORT FORM

Inspector/Manager Name: _____

Telephone Extension: _____

Inspector Manager Signature: _____

Date: _____

Date Forwarded to Board of Safety Management: _____

Hazard Description	Action to Be Taken	Completion Date

*__***Note***__: Hazards that pose a risk of serious or substantial injury to employees must be corrected immediately. Other hazards should be corrected as soon as reasonably possible, but in no case later than 15 days from the date of discovery by management. Any deviation from these time requirements must be reported to the Safety Department immediately.

SAFETY INSPECTION REPORT FORM

Inspector's Name: _____

Telephone Extension: _____

Inspector Signature: _____

Date: _____

Area Inspected: _____

Hazard Description	**Location & Date**

*__Note__: Hazards that pose a risk of serious or substantial injury to employees must be corrected immediately. Other hazards should be corrected as soon as reasonably possible but in no case later than 15 days from the date of discovery by management. Any deviation from these time requirements must be reported to the Program Administrator immediately.

SAFETY MEETING REPORT FORM

Date: _____ Time: from _____ to _____

FACILITATOR: _____

1. Attendees

2. Read minutes of last meeting and correct if necessary.

3. Listed below are recommended topics that can be discussed at your safety meeting. For each discussion item, the Safety Officer should record a summary of the discussion and list specific recommendations for action.

- Old Business
- Recent Mishaps & Action
- Hazards
- Safety Education
- Questions
- New Business

_____

_____

_____

_____

_____

_____

_____

EMPLOYEE TRAINING VERIFICATION FORM

Name of Employee: _____

Date Employed: _____ Position Held: _____

Name of Training Supervisor: _____

I, _____, have been trained and instructed in the following and agree to follow all safety and health rules, policies and procedures and have received the following written materials.

A. General Safety & Health Issues

	Employees Initials	Trainers Initials
1. Aviation Safety System	_____	_____
2. Operational Risk Management Plan	_____	_____
3. Company Safety Policies & Rules	_____	_____
4. Emergency Procedures	_____	_____
5. Housekeeping	_____	_____
6. Equipment	_____	_____
7. Reporting Unsafe Acts	_____	_____
8. General Safe Work Practices	_____	_____
9. New Employee Safety Orientation	_____	_____
10.	_____	_____
11.	_____	_____
12.	_____	_____

B. Hazards Specific to Employee's Job

_____ _____

Employees Signature Date

I, _____, have trained or instructed in all the items initialed above.

_____ _____

Signature of Training Supervisor Date

SUPPLEMENTAL TRAINING VERIFICATION FORM

Name of Employee: _____

Date Employed: _____ Position Held: _____

Name of Training Supervisor: _____

I, _____, have provided training in the following subject(s) and distributed to all employees in attendance the following written materials:

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

_____ _____
Signature of Instructor Date

I attended the training session and received the written materials described above.

Employee Name	Employee Signature	Date

SAFETY AND SMS TRAINING FORM

Employee name: _____ Base: _____

Instruction done by: _____ Date: _____

1) Course taught:_____

2) Date recurrent training due:_____

3) Method of confirming competency and score:_____

4) Comments and areas for improvement: _____

_____

_____

_____

_____

In signing below, I agree that I have taken _____ training

EMPLOYEE SIGNATURE: _____

DATE: _____

DEVIATION REPORT

The purpose is to document deviations from recommended procedures.

1. Date: _____

2. Time: _____

3. Location: _____

4. Employee Name: _____

5. Deviation: _____
_____
_____

6. Reason for Deviation: _____
_____
_____

7. Future Recommendations: _____
_____
_____

8. Distribution: ☐ Safety Officer

9. Comments/recommendations:
_____
_____
_____
_____

Safety Officer's Signature: _____

Date: _____