



ESWATINI CIVIL AVIATION AUTHORITY

Advisory Circular

CAA-AC-GEN009

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GUIDANCE ON DEVELOPMENT OF AN SMS MANUAL

1. PURPOSE

This Advisory Circular provides guidance to assist service providers in developing a Safety Management System Manual (SMS MANUAL).

2. REFERENCE

The Civil Aviation (Air Operator Certification and Administration) Regulations, 2008 regulation 51

ESWACAA AC GEN008 Development of SMS for Aviation Organizations

ICAO Safety Management Manual Doc 9859

3. BACKGROUND AND OBJECTIVE

3.1 ICAO Safety Management Manual Doc 9859 requires that a service provider shall, as part of the Safety Management System (SMS) documentation, develop and maintain a SMS Manual, to communicate the service provider's approach to safety throughout the organization. The SMS Manual developed by the service provider shall be approved by the Civil Aviation Authority. This AC provides guidance for the development of an SMS Manual that will meet these requirements.

3.2 One explicit feature of an SMS is that all safety management activities are required to be documented and visible. It follows that documentation is an essential element of an SMS. SMS documentation must include and make reference to, as appropriate, all relevant and applicable civil aviation regulations. It must also include SMS-specific records and documentation, such as hazard reporting forms, lines of accountability, responsibility and authority regarding the management of operational safety, and the structure of the safety management organization. It must furthermore

document explicit guidelines for records management, including handling, storage, retrieval and preservation. The most important piece of documentation of an SMS is the SMS Manual.

3.3 The SMS MANUAL is a key instrument for communicating the service provider's approach to safety to the whole organization. It documents all aspects of the SMS, including the safety policy, objectives, procedures and individual safety accountabilities.

3.4 The manual should be specific to the operator's needs. The following should be taken into consideration when drafting the manual:

- Size of operator
- Type of operations e.g. passenger schedule vs cargo charter
- Company organizational and safety cultures
- Area and complexity of operation
- Risk exposure

3.5 It should be noted that certain parts of the SMS Manual will require coordination with other manuals of the organization since SMS will involve participation of all operational areas. As an example safety training of the organization's staff will be covered in both the SMS Manual and the Operations Manual part dealing with training. Hazard identification and incident reporting will also be covered in several manuals.

4. CONTENTS OF AN SMS MANUAL

4.1 The SMS Manual shall document all aspects of the SMS in the organization, and that its contents should include-

- a) Administration and control of the manual;
- b) Scope of the safety management system;
- c) Safety policy and objectives;
- d) Safety accountabilities, responsibilities and authorities;
- e) Key safety personnel;
- f) SMS document control procedures
- g) Coordination of emergency response planning;
- h) Hazard identification and safety risk management schemes;
- i) Safety performance monitoring;

- i) Safety auditing;
- k) Procedures for the management of change;
- l) Safety promotion; and
- m) Control of contracted activities.
- n) Appendices (Incident Report Form samples etc.)

4.2 Content Details

4.2.1 Administration and control of the manual

Opening pages of the manual in line with the organization's approved manuals.

4.2.2 Scope of the safety management system;

Describe the scope of the SMS of the organization based on a system description of the organization.

(See ICAO SMM Doc 9859).

4.2.3 Safety policy and objectives;

Define the organization's safety policy which shall be in accordance with the regulatory requirements. The safety policy should:

- a) Be signed by the Accountable Executive of the organization;
- b) Reflect organizational commitments regarding safety;
- c) Include a clear statement about the provision of the necessary resources for the implementation of the safety policy;
- d) Indicate how the policy will be communicated, with visible endorsement, throughout the organization;
- e) Include the safety reporting procedures;
- f) Clearly indicate which types of operational behaviors are unacceptable;
- g) Include the conditions under which disciplinary action would not apply;
- h) Include the procedures for periodic review of the policy to ensure it remains relevant and appropriate to the organization
- i) Include clearly defined safety objectives

4.2.4 Safety accountabilities, responsibilities and authorities;

- a) Identify the Accountable Executive (or Accountable Manager) who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the organization for the implementation and maintenance of the SMS. Identify the

accountabilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS.

- b) Indicate how safety responsibilities, accountabilities and authorities shall be documented and communicated throughout the organization.
- c) Define the levels of management with authority to make decisions regarding safety risk tolerability.
- d) Define the functions and composition of the safety review board and the safety action group (or similar groups). For small organization this may be one safety body responsible for both roles.

4.2.5 Key safety personnel;

Identify a safety manager to be the responsible individual and focal point for the implementation and maintenance of an effective SMS and define the accountabilities, responsibilities and authority of the safety manager.

Describe the roles and responsibilities of other safety office personnel e.g. safety data officer.

4.2.6 Documentation control procedures;

Describe the SMS documentation control procedures including control of the safety library.

4.2.7 Coordination of emergency response planning;

Develop an emergency response plan that provides for the orderly and efficient transition from normal to emergency operations return to normal. Define procedures for ensuring operations are effectively coordinated with the emergency response plans of those organizations with which the service provider must interface during the provision of its services, e.g. airports.

The organization's emergency response plan should be detailed in a separate document. However this section must be consistent with such an emergency response plan.

4.2.8 Hazard identification and safety risk management schemes;

Describe the formal process for ensuring that hazards in operations are identified based on a combination of reactive, proactive and predictive methods of safety data collection.

The following methods of occurrence reporting by front line personnel should also be covered:

- Mandatory Reporting
- Voluntary Reporting
- Confidential Reporting

Regulatory requirements should be addressed.

Describe the formal process for ensuring analysis, assessment (tolerability) and control (mitigation) of the safety risks in the organization's operations.

4.2.9 Safety performance monitoring;

Describe the means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls in reference to the safety performance indicators and safety performance targets of the SMS.

Describe procedures for ensuring continuous improvement of the SMS. This will require describing a formal process developed to identify the causes of substantial performance of the SMS and mitigating such causes.

4.2.10 Safety auditing;

Describe processes and procedures for conduct of internal safety audits, surveys and inspections of all aspects of the organizations' operations. These should be in line with the organization's quality system processes and procedures. Safety auditing of contracted activities should be included.

4.2.11 Procedures for the management of change;

Identify changes within the organization which may affect established processes and services. Describe the arrangements to ensure safety performance before implementing changes.

Describe the arrangements to eliminate or modify safety risk controls that are no longer needed or effective due to changes in the operational environment.

Describe the process of internal investigations and their role in change management.

4.2.12 Safety education and promotion;

Describe a safety training programme that ensures that personnel are trained and competent to perform the SMS duties and whose scope is appropriate to each individual's involvement in the SMS.

Describe a formal means for safety communication that ensures that all personnel are fully aware of the SMS, conveys safety-critical information, and explains why particular safety actions are taken and why safety procedures are introduced or changed.

4.2.13 Control of contracted activities.

Develop procedures for ensuring safety of contracted, subcontracted and purchased products and/or services

4.2.14 Appendices

Attach relevant documents and forms referenced in the manual.

For organizations in the process of developing their SMS a Gap Analysis and an Implementation Plan should be attached in the appendix section.

**Approved by Director General
Civil Aviation Authority**