

# Annex 1

## 1 Safety policy and objectives

### 1.1 Management commitment and responsibility

The operator/approved maintenance organization shall define the organization's safety policy which shall be in accordance with international and national requirements, and which shall be signed by the accountable executive of the organization. The safety policy shall reflect organizational commitments regarding safety; include a clear statement about the provision of the necessary human and financial resources for its implementation; and be communicated, with visible endorsement, throughout the organization. The safety policy shall be periodically reviewed to ensure it remains relevant and appropriate to the organization.

### 1.2 Safety accountabilities of managers

The operator/approved maintenance organization shall identify the accountable executive who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the operator/approved maintenance organization, for the implementation and maintenance of the SMS. The operator/approved maintenance organization shall also identify the safety accountabilities of all members of senior management, irrespective of other functions. Safety accountabilities and authorities shall be documented and communicated throughout the organization.

### 1.3 Appointment of key safety personnel

The operator/approved maintenance organization shall identify a safety manager to be the responsible individual and focal point for the implementation and maintenance of an effective SMS.

### 1.4 SMS implementation plan

The operator/approved maintenance organization shall develop and maintain an SMS implementation plan that defines the organization's approach to manage safety in a manner that meets the organization's safety needs. The SMS implementation plan of the operator/approved maintenance organization shall explicitly address the coordination between the SMS of the operator/approved maintenance organization and the SMS of other organizations the operator/approved maintenance organization must interface with during the provision of services. The SMS implementation plan shall be endorsed by senior management of the organization.

### 1.5 Coordination of emergency response planning

The operator/approved maintenance organization shall develop, coordinate and maintain an emergency response plan that ensures orderly and efficient transition from normal to emergency operations, and return to normal operations.

## **1.6 Documentation**

The operator/approved maintenance organization shall develop and maintain SMS documentation to describe the safety policy and objectives, the SMS requirements, the SMS procedures and processes, the accountabilities, responsibilities and authorities for procedures and processes, and the SMS outputs. As part of the SMS documentation, the operator/approved maintenance organization shall develop and maintain a safety management manual (SMM), to communicate its approach to safety throughout the organization.

# **2 Safety risk management**

## **2.1 Hazard identification process**

The operator/approved maintenance organization shall develop and maintain a formal process for effectively collecting, recording, acting on and generating feedback about hazards in operations, based on a combination of reactive, proactive and predictive methods of safety data collection.

## **2.2 Risk assessment and mitigation process**

The operator/approved maintenance organization shall develop and maintain a formal risk management process that ensures analysis (in terms of probability and severity of occurrence), assessment (in terms of tolerability) and control (in terms of mitigation) of risks to an acceptable level. The operator/approved maintenance shall also define those levels of management with authority to make decisions regarding safety risks tolerability.

# **3 Safety assurance**

## **3.1 Safety performance monitoring and measurement**

The operator/approved maintenance organization shall develop and maintain the means to verify the safety performance of the organization compared to the safety policy and objectives, and to validate the effectiveness of safety risks controls. The safety reporting procedures related to safety performance and monitoring shall clearly indicate which types of operational behaviors are acceptable or unacceptable, and include the conditions under which immunity from disciplinary action would be considered.

## **3.2 The management of change**

The operator/approved maintenance organization shall develop and maintain a formal process to identify changes within the organization which may affect established processes and services; to describe the arrangements to ensure safety performance before implementing changes; and to eliminate or modify safety risk controls that are no longer needed or effective due to changes in the operational environment.

### **3.3 Continuous improvement of the SMS**

The operator/approved maintenance organization shall develop and maintain a formal process to identify the causes of sub-standard performance of the SMS, determine the implications of sub-standard performance in operations, and eliminate such causes.

## **4 Safety promotion**

### **4.1 Training and education**

The operator/approved maintenance organization shall develop and maintain a safety training program that ensures that personnel are trained and competent to perform the SMS duties. The scope of the safety training shall be appropriate to each individual's involvement in the SMS.

### **4.2 Safety communication**

The operator/approved maintenance organization shall develop and maintain 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.

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