**ATTACHMENT 1 Safety Management System Implementation Framework**

This attachment was established in accordance with Article 9 of this AOR proper, and refer to the Annex 19, Appendix 2 and ICAO Doc.9859. This appendix specifies the framework for the implementation and maintenance of a safety management system (SMS) by an operator or an approved maintenance organization. An SMS is a management system for the management of safety by an organization. The framework includes four components and twelve elements representing the minimum requirements for SMS implementation. The implementation of the framework shall be commensurate with the size of the organization and the complexity of the services provided, and maintain positive interface management with other organizations to promote safety. The SMS shall comply with followings rules:

1. Safety policy and objectives

    1.1 Management commitment
        1.1.1 The operator shall define its safety policy in accordance with international and national requirements. The safety policy shall:
      a) reflect organizational commitment regarding safety, including the promotion of a positive safety culture;
      b) include a clear statement about the provision of the necessary resources for the implementation of the safety policy;
      c) include safety reporting procedures;
      d) clearly indicate which types of behaviours are unacceptable related to the operator's aviation activities and include the circumstances under which disciplinary action would not apply;
      e) be signed by the accountable executive of the organization;
      f) be communicated, with visible endorsement, throughout the organization; and
      g) be periodically reviewed to ensure it remains relevant and appropriate to the operator.
        1.1.2 Taking due account of its safety policy, the operator shall define safety objectives. The safety objectives shall:
      a) form the basis for safety performance monitoring and measurement as required by 3.1.2 of this attachment;
      b) reflect the operator's commitment to maintain or continuously improve the overall effectiveness of the SMS;
      c) be communicated throughout the organization; and
      d) be periodically reviewed to ensure they remain relevant and appropriate to the operator.

1.2 Safety accountability and responsibilities

The operator shall:

a) identify the accountable executive who, irrespective of other functions, is accountable on behalf of the organization for the implementation and maintenance of an effective SMS;

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

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

d) document and communicate safety accountability, responsibilities and authorities throughout the organization; and

e) define the levels of management with authority to make decisions regarding safety risk tolerability

1.3 Appointment of key safety personnel

The operator shall appoint a safety manager who is responsible for the implementation and maintenance of the SMS.

1.4 Coordination of emergency response planning

The operator required to establish and maintain an emergency response plan for accidents and incidents in aircraft operations and other aviation emergencies shall ensure that the emergency response plan is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its products and services.

1.5 SMS documentation

1.5.1 The operator shall develop and maintain an SMS manual that describes its:

a) safety policy and objectives;

b) SMS requirements;

c) SMS processes and procedures; and

d) accountability, responsibilities and authorities for SMS processes and procedures.

1.5.2 The operator shall develop and maintain SMS operational records as part of its SMS documentation.

2. Safety risk management

2.1 Hazard identification

2.1.1 The operator shall develop and maintain a process to identify hazards associated with its aviation products or services.

2.1.2 Hazard identification shall be based on a combination of reactive and proactive methods.

2.2 Safety risk assessment and mitigation

The operator shall develop and maintain a process that ensures analysis, assessment and control of the safety risks associated with identified hazards.

## 3. Safety assurance

3.1 Safety performance monitoring and measurement

3.1.1 The operator shall develop and maintain the means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls.

3.1.2 The operator's safety performance shall be verified in reference to the safety performance indicators and safety performance targets of the SMS in support of the organization's safety objectives.

3.2 The management of change

The operator shall develop and maintain a process to identify changes which may affect the level of safety risk associated with its aviation products or services and to identify and manage the safety risks that may arise from those changes.

3.3 Continuous improvement of the SMS

The operator shall monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.

## 4. Safety promotion

4.1 Training and education

4.1.1 The operator shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform their SMS duties.

4.1.2 The scope of the safety training programme shall be appropriate to each individual's involvement in the SMS.

4.2 Safety communication

The operator shall develop and maintain a formal means for safety communication that:

a) ensures personnel are aware of the SMS to a degree commensurate with their positions;

b) conveys safety-critical information;

c) explains why particular actions are taken to improve safety; and

d) explains why safety procedures are introduced or changed.