

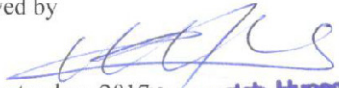
	Company Name የኢትዮጵያ ሲቪል አቪዬሽን ባለሥልጣን Ethiopian Civil Aviation Authority	Document No. ECAA-ANR-AC-041	
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The Air Navigation Regulation Directorate has issued this guidance material to be used by ANSP to prepare procedure manuals and other working documents for implementation of ICAO SARPS and National Regulations.

It is important to note that this guidance material improve the safety of air navigation services within Ethiopian air space .


The Director General of Ethiopian Civil Aviation Authority has here by approved this guidance material on September 18,2017 to be used as a guidance to air navigation services provider..

Approved by



Date September, 2017
Wosanyeteh Hunegnaw (Col.)
Director General



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1. Purpose

- This guidance serves to guide Air Navigation Service Provider in the compilation of a Safety Management Systems manual (or document) to define the SMS framework and its associated elements.

2. Applicability

- In the context of safety management, the term “service provider” refers to any organization providing aviation services. This term thus encompasses air traffic service provider, Search and Rescue Service Provider, Aeronautical Information Services Provider and Communication Navigation and Surveillance Services Provider.

3. Reference


- ICAO Annex 19
- Part-14 Air Traffic Services
- ICAO Doc 9859

4. Format of the SMS manual

- The SMS manual may be formatted in the following manner:
 - Section heading
 - Objective;
 - Criteria;
 - Cross-reference documents.
 - ✓ Below each numbered section heading is a description of the objective for that section, followed by its criteria and cross-reference documents. The objective is what the organization intends to achieve by doing what is described in that section. The criteria define the scope of what should be considered when writing that section. The cross

5. CONTENTS OF THE MANUAL.

- The contents of the manual should include the following sections:
 - I. Document control;
 - II. SMS regulatory requirements;
 - III. Scope and integration of the safety management system;
 - IV. Safety policy;
 - V. Safety objectives;

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- VI. *Safety accountabilities and key personnel;*
- VII. *Safety reporting and remedial actions;*
- VIII. *Hazard identification and risk assessment;*
- IX. *Safety performance monitoring and measurement;*
- X. *Safety-related investigations and remedial actions;*
- XI. *Safety training and communication;*
- XII. *Continuous improvement and SMS audit;*
- XIII. *SMS records management;*
- XIV. *Management of change; and*
- XV. *Emergency/contingency response plan*

I. Document control illustrate ;


- a) *This part describes how the manual(s) will be kept up to date and how the organization will ensure that all personnel involved in safety-related duties have the most current version.*
- b) *The manual's administration, approval and regulatory acceptance process*

II. SMS regulatory requirements illustrate;

- a) *This part addresses current SMS regulations and guidance material for necessary reference and awareness by all concerned*
- b) *Elaborate on or explain the significance and implications of the regulations to the organization.*

III. Scope and integration of the safety management system incorporate;

- a) *This part describes the scope and extent of the organization's aviation-related operations and facilities within which the SMS will apply. The scope of the processes, equipment and operations deemed eligible for the organization's hazard identification and risk management (HIRM) programme should also be addressed.*
- b) *Identify the major departments and facilities of the organization within which the SMS will apply.*

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IV. Safety policy illustrate;

- a) *This part describes the organization's intentions, management principles and commitment to improving aviation safety in terms of the product or service provider. A safety policy should be a short description similar to a mission statement.*
- b) *Safety policy should contain additional principles;*
 - *Appropriate to the size and complexity of the organization*
 - *Approved and signed by the accountable executive*
 - *Promoted by the accountable executive and all other managers*
 - *reviewed periodically*
 - *Communicated to all employees with the intent that they are made aware of their individual safety obligations.*

V. Safety objectives illustrate;


- a) *This part describes the safety objectives of the organization. It should be a short statement that describes in broad terms what the organization hopes to achieve.*
- b) *Safety objective should contain additional principles or explanation about;*
 - *Statement describing the organization's commitment to achieving safety.*
 - *Process to develop a coherent set of safety objectives.*
 - *Publicize and distribution*
 - *Resources allocation*

VI. Roles and responsibilities illustrate ;

- a) *This part describes the safety authorities, responsibilities and accountabilities for personnel involved in the SMS.*
- b) *Roles and responsibilities should contain additional principles or explanation about;*
 - *The accountable executive is responsible for ensuring that the safety management system is properly implemented and is performing to requirements in all areas of the organization.*
 - *An appropriate safety office, safety committee or safety action groups have been appointed as appropriate.*

VII. Safety reporting illustrate ;

- a) *A reporting system should include both reactive (accident/incident reports, etc.) and proactive/ predictive (hazard reports). Describe the respective*

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reporting systems. Factors to consider include: report format, confidentiality, addressees, investigation/evaluation procedures, corrective/ preventive actions and report dissemination.

b) Safety reporting should contain additional principles or explanation about;


- *The organization has a procedure that provides for the capture of internal occurrences including accidents, incidents and other occurrences relevant to SMS.*
- *A distinction is to be made between mandatory reports (accidents, serious incidents, major defects, etc.), which are required to be notified to the ANRD (regulatory), and other routine occurrence reports, which remain within the Air Navigation Services.*
- *There is also a voluntary and confidential hazard/occurrence reporting system, incorporating appropriate identity/data protection as applicable.*
- *The respective reporting processes are simple, accessible and commensurate with the size of the organization.*
- *High-consequence reports and associated recommendations are addressed to and reviewed by the appropriate level of management.*
- *Reports are collected in an appropriate database to facilitate the necessary analysis.*

VIII. Hazard identification and risk assessment illustrate ;

a) Describe the hazard identification system and how such data are collated. Describe the process for the categorization of hazards/risks and their subsequent prioritization for a documented safety assessment. Describe how the safety assessment process is conducted and how preventive action plans are implemented.

b) Hazard identification and risk assessment should contain additional principles or explanation about;

- *Identified hazards are evaluated, prioritized and processed for risk assessment as appropriate.*
- *There is a structured process for risk assessment involving the evaluation of severity, likelihood, tolerability and preventive controls.*

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- *Hazard identification and risk assessment procedures focus on aviation safety as their fundamental context.*
- *The risk assessment process utilizes worksheets, forms or software appropriate to the complexity of the organization and operations involved.*
- *Completed safety assessments are approved by the appropriate level of management.*
- *There is a process for evaluating the effectiveness of the corrective, preventive and recovery measures that have been developed.*
- *There is a process for periodic review of completed safety assessments and documenting their outcomes.*

IX. Safety performance monitoring and measurement illustrate ;

- a) *This part describes the safety performance monitoring and measurement component of the SMS. This includes the organization's SMS safety performance indicators (SPIs).*
- b) *Safety performance monitoring and measurement should contain additional principles or explanation about;*
 - *The formal process to develop and maintain a set of safety performance indicators and their associated performance targets.*
 - *Correlation established between the SPIs and the organization's safety objectives where applicable and the process of regulatory acceptance of the SPIs where required.*
 - *The process of monitoring the performance of these SPIs including remedial action procedure whenever unacceptable or abnormal trends are triggered.*
 - *Any other supplementary SMS or safety performance monitoring and measurement criteria or process.*

X. Safety-related investigations and remedial actions illustrate ;

- a) *Describe how accidents/incidents/occurrences are investigated and processed within the organization, including their correlation with the organization's SMS hazard identification and risk management system.*
- b) *Safety-related investigations and remedial actions should contain additional principles or explanation about;*
 - *Procedures to ensure that reported accidents and incidents are investigated internally.*

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- *Dissemination of completed investigation reports internally as well as to the ECAA (regulatory) as applicable.*
- *A process for ensuring that corrective actions taken or recommended are carried out and for evaluating their outcomes/effectiveness.*
- *Procedure on disciplinary inquiry and actions associated with investigation report outcomes.*
- *Clearly defined conditions under which punitive disciplinary action would be considered (e.g. gross negligence or willful misconduct).*

XI. Safety training and communication illustrate ;


- a) Describe the type of SMS and other safety-related training that staffs receive and the process for assuring the effectiveness of the training. Describe how such training procedures are documented. Describe the safety communication processes/channels within the organization.*
 - b) Safety training and communication should contain additional principles or explanation about;*
 - *The training syllabus, eligibility and requirements are documented.*
 - *The training includes initial, recurrent and update training, where applicable.*
 - *The safety communication processes/channels within the organization.*
- Continuous improvement and SMS audit illustrate*

XII. Continuous improvement and SMS audit illustrate ;

- a) Describe the process for the continuous review and improvement of the SMS.*
- b) Continuous improvement and SMS audit should contain additional principles or explanation about;*
 - *The process for regular internal audit/review of the organization's SMS to ensure its continuing suitability, adequacy and effectiveness.*
 - *Describe any other programmes contributing to continuous improvement of the organization's SMS and safety performance, e.g. safety surveys, ISO systems*

XIII. SMS records management illustrate ;

- a) This part describes the method of storing all SMS-related records and documents.*

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b) *SMS records management should contain additional principles or explanation about;*

- *The organization has an SMS records or archiving system that ensures the retention of all records generated in conjunction with the implementation and operation of the SMS.*
- *Records to be kept include hazard reports, risk assessment reports, safety action group/safety meeting notes, safety performance indicator charts, SMS audit reports and SMS training records.*
- *Records should be traceable for all elements of the SMS and be accessible for routine administration of the SMS as well as internal and external audits purposes.*

XIV. Management of change illustrate ;

a) *Describe the organization’s process for managing changes that may have an impact on safety risks and how such processes are integrated with the SMS.*


b) *Management of change should contain additional principles or explanation about;*

- *Procedures to ensure that substantial organizational or operational changes take into consideration any impact which they may have on existing safety risks.*
- *Procedures to ensure that appropriate safety assessment is performed prior to introduction of new equipment or processes which have safety risk implications.*
- *Procedures for review of existing safety assessments whenever there are changes to the associated process or equipment.*

XV. Emergency/contingency response plan illustrate ;

a) *This part describes the organization’s intentions regarding, and commitment to dealing with, emergency situations and their corresponding recovery controls. Outline the roles and responsibilities of key personnel. The emergency response plan can be a separate document or it can be part of the SMS manual.*

b) *Emergency/contingency response plan should contain additional principles or explanation about;*

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- *The organization has an emergency plan that outlines the roles and responsibilities in the event of a major incident, crisis or accident.*
- *There is a notification process that includes an emergency call list and an internal mobilization process.*
- *The organization has arrangements with other agencies for aid and the provision of emergency services as applicable.*
- *The organization has procedures for emergency mode operations where applicable.*
- *There is a procedure for overseeing the welfare of all affected individuals and for notifying next of kin.*
- *The organization has established procedures for handling the media and insurance-related issues.*
- *There are defined accident investigation responsibilities within the organization.*
- *The requirement for preservation of evidence, securing the affected area, and mandatory/ governmental reporting is clearly stated.*
- *There is emergency preparedness and response training for affected personnel.*
- *A disabled aircraft or equipment evacuation plan has been developed by the organization in consultation with aircraft/equipment owners, aerodrome operators or other agencies as applicable.*
- *A procedure exists for recording activities during an emergency response.*