

## **Appendix A – Implementation of the SMS**

This regulation proposes, but does not mandate, a phased implementation of a service provider SMS, which encompasses four phases as described in paragraph 1 through paragraph 4 hereunder.

1. **Phase 1 – *Planning*** should provide a blueprint on how the SMS requirements will be met and integrated to the organization’s work activities, and an accountability framework for the implementation of the SMS:
  - 1.1 Identify the accountable executive and the safety accountabilities of managers;
  - 1.2 Identify the person (or planning group) within the organization responsible for implementing the SMS;
  - 1.3 Describe the system (Air operator, ATC services provider, approved maintenance organization, certified aerodrome operator);
  - 1.4 Conduct a gap analysis of the organization’s existing resources compared with the national and international requirements for establishing an SMS;
  - 1.5 Develop an SMS implementation plan that explains how the organization will implement the SMS on the basis of national requirements and international standards and recommended practices, the system description and the results of the gap analysis;
  - 1.6 Develop documentation relevant to safety policy and objectives; and
  - 1.7 Develop and establish means for safety communication.
  
2. **Phase 2 – *Reactive processes*** should put into practice those elements of the SMS implementation plan that refer to the safety risk management reactive processes:
  - 2.1 hazard identification and risk management using reactive processes;
  - 2.2 training relevant to:
    - 2.2.1 SMS implementation plan components; and
    - 2.2.2 safety risk management (reactive processes).
  - 2.3 documentation relevant to:
    - 2.3.1 SMS implementation plan components; and
    - 2.3.2 safety risk management (reactive processes).

3. **Phase 3 – *Proactive and predictive processes*** should put into practice those elements of the SMS implementation plan that refer to the safety risk management proactive and predictive processes:
  - 3.1 hazard identification and risk management using proactive and predictive processes
  - 3.2 training relevant to:
    - 3.2.1 SMS implementation plan components; and
    - 3.2.2 safety risk management (proactive and predictive processes).
  - 3.3 documentation relevant to:
    - 3.3.1 SMS implementation plan components; and
    - 3.3.2 safety risk management (proactive and predictive processes).
  
4. **Phase 4 – *Operational safety assurance*** should put into practice operational safety assurance:
  - 4.1 development and agreement on safety performance indicators and safety performance targets;
  - 4.2 SMS continuous improvement ;
  - 4.3 training relevant to operational safety assurance;
  - 4.4 documentation relevant to operational safety assurance; and
  - 4.5 maintain means of safety communication.

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