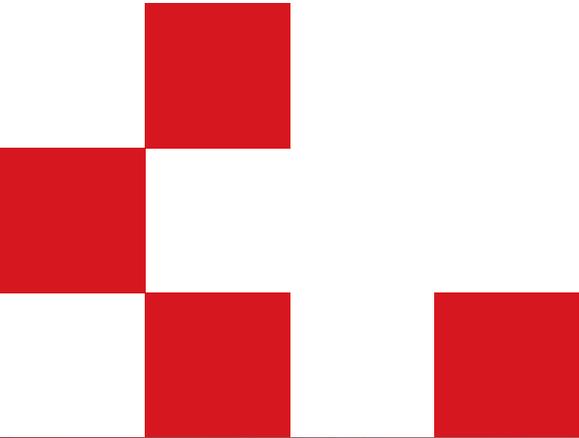


Safety Management Systems

HANDBOOK

First Edition 2016





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FOREWORD



The idea of an ACI guidance handbook on Safety Management Systems (SMS) emerged from discussions in the Safety and Technical Standing Committee. ACI had already published an SMS Gap Analysis Tool and a chapter on SMS in the Airside Safety Handbook, and wished to follow up by producing an action-orientated guide on SMS for aerodrome operators. Members of the committee developed a table of contents and wrote and sourced material, including best practices from both inside and outside the aviation industry. We especially acknowledge the ICAO materials that are referenced.

The handbook now before you is a useful summary of the action that aerodrome operators should take to develop an SMS. This can never be an “off-the-shelf” system because, in order to function properly, such a system must be fully tailored to the circumstances of the individual aerodrome.

We sincerely hope that this handbook will help our members to produce better, more appropriate, responsive and interactive SMS.

As a complement to this handbook, ACI Global Training offers safety management training along with a range of courses relevant to safety, both online and in the classroom.

I commend the handbook to you, and thank its authors for giving so generously of their time and expertise.

Angela Gittens

A handwritten signature in black ink, appearing to read 'Angela Gittens', written in a cursive style.

Director General
ACI World

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INTRODUCTION

According to ICAO Annex 14, it is mandatory for a certified aerodrome to have a Safety Management System (SMS). This is a standard for aerodromes used for international operations and is recommended that it should also apply to aerodromes open to public use for domestic operations.

Ref: ICAO Annex 14 Standard 1.4.4

1.4.4 As part of the certification process, States shall ensure that an aerodrome manual which will include all pertinent information on the aerodrome site, facilities, services, equipment, operating procedures, organization and management including a safety management system, is submitted by the applicant for approval/acceptance prior to granting the aerodrome certificate.

Note.— The intent of a safety management system is to have in place an organized and orderly approach in the management of aerodrome safety by the aerodrome operator. Annex 19 — Safety Management contains the safety management provisions applicable to certified aerodromes. Guidance on an aerodrome safety management system is given in the Safety Management Manual (SMM) (Doc 9859) and in the Manual on Certification of Aerodromes (Doc 9774).

1.0 Purpose: This handbook should be of interest to airport managers and others responsible for preparing and implementing SMS at their airports. It provides a reference based on ICAO SMS principles but it is specifically adapted to the aerodrome-operator domain. The handbook will help the user understand what constitutes an airport SMS. It describes the components of an SMS and their interactions and offers guidance in the planning, implementation, and operation of an airport SMS. It also provides detailed information on how to carry out each of the necessary SMS steps. This handbook provides an overview of SMS and explains how a systems approach to safety management can benefit both the safety operations and the business activities of airports.

1.1 The handbook outlines the methods used to support the implementation of SMS principles by:

- Step 1 (PLAN): Establish a safety management framework;
- Step 2 (DO): Implement safety risk management;
- Step 3 (CHECK): Evaluate achievements through safety assurance;
- Step 4 (ACT): Continuous improvement through safety promotion; and
- Annexes: Best practices of airports.

1.2 General: This handbook is organized according to the four components and 12 elements of SMS identified by ICAO.

Ref: ICAO Annex 19 Appendix 2 Framework for a Safety Management System

This appendix specifies the framework for the implementation and maintenance of an SMS. The framework comprises of four components and 12 elements as the minimum requirements for SMS implementation.

a. Safety policy and objectives

- i. Management commitment and responsibility
- ii. Safety accountabilities
- iii. Appointment of key safety personnel
- iv. Coordination of emergency response planning (accident and incident investigation)
- v. SMS documentation

b. Safety risk management

- i. Hazard identification
- ii. Safety risk assessment and mitigation

c. Safety assurance

- i. Safety performance monitoring and measurement
- ii. The management of change
- iii. Continuous improvement of the SMS

d. Safety promotion

- i. Training and education
- ii. Safety communication

