

OPS/AW 1.1.063 / 1.2.063	 <b>CAAINJTJ</b>	OPS & AW Handbook
<b>Approval of an AOC &amp; AMO Safety management System (SMS)</b>		Revision 0
		03 NOV 2015

## 0. WTS codes

- 0.1. SMS Certification (phase 1): 1272
- 0.2. SMS Surveillance (Phase 2): 1694

## 1. Objective

- 1.1. This directive provides guidance for CAAI inspectors on the acceptance of chapter 13 Air Operator Certificate (AOC) holders' and their respective Approved Maintenance Organizations (AMO) Safety Management System (SMS) implementation plans.
- 1.2. The primary audience for this directive is OPS and AW inspectors of the Flight Standards Division, with direct responsibilities for oversight of chapter 13 AOC holders and AMOs.
- 1.3. This directive will be used during -
  - 1.3.1. initial certification of chapter 13 AOC applicant or an AMO applicant; or
  - 1.3.2. acceptance of a SMS of an existing AOC or AMO holder's; and
  - 1.3.3. the surveillance program.
- 1.4. This is a common directive for Airworthiness (AW) and Operations (OPS).
- 1.5. Close coordination between AW and OPS inspectors executing this directive is required.

## 2. General

- 2.1. Regulatory Requirements
  - 2.1.1. Regulation 397A of Air Navigation Regulations (operation of Aircraft and rules of flight), 1981 (hereinafter - ANR.OPS.), and regulation 24 of Air Navigation

OPS/AW 1.1.063 / 1.2.063	 <b>CAAINJT1</b>	OPS & AW Handbook
<b>Approval of an AOC &amp; AMO Safety management System (SMS)</b>		Revision 0
		03 NOV 2015

Regulations (Approved Maintenance Organizations), 2013 (hereinafter - ANR.AMO) require an AOC holder or an AMO which provides services to AOC holders operating under chapter 13, to maintain a Safety Management System (SMS) that is acceptable to the Director General of the CAA.

2.1.2. Regulations 545D to the ANR.OPS and 44 to the ANR.AMO sets the timeframe and process for the acceptance of documents, systems etc.

2.2. General Information:

2.2.1. ICAO has issued guidance material regarding the establishment and implementation of SMS in Doc 9859 – Safety Management Manual, in support of the relevant ICAO SARPs.

2.2.2. The CAAI has addressed ICAO provisions through the ANR's. The regulations detailed in 2.1.1 above specify ICAO Doc 9859 as guidance material for the development and implementation of the SMS.

2.2.3. According to ICAO guidance material, the applicant / certificate holder shall develop a document (usually titled the SMS manual) describing the SMS, its functions, procedures, relevant personnel and their responsibilities and accountabilities.

2.3. **Definitions** – when the following terms are used in this directive they have the following meaning:

2.3.1. "applicant"–

2.3.1.1 any person applying for chapter 13 AOC

2.3.1.2 an AMO requesting an approval to act as a maintenance organization for chapter 13 AOC holder

OPS/AW 1.1.063 / 1.2.063		OPS & AW Handbook
<b>Approval of an AOC &amp; AMO Safety management System (SMS)</b>		Revision 0
		03 NOV 2015

- 2.3.1.3 existing chapter 13 AOC holders applying for the acceptance of it's SMS
- 2.3.1.4 existing AMOs approved as maintenance organization for chapter 13 AOC holders applying for the acceptance of it's SMS
- 2.3.2. applicant's POI/PMI -
  - 2.3.2.1 The POI of applicant specified in 2.3.1.1 and 2.3.1.3
  - 2.3.2.2 The PMI of an applicant specified in 2.3.1.2 ad 2.3.1.4

### 3. Reference Material, Forms & Job-Aids

#### 3.1. Reference Material

- 3.1.1. ANR.OPS. 397A and ANR. AMO 24
- 3.1.2. ICAO Annex 19 – Safety Management
- 3.1.3. ICAO Doc. 9859 – Safety Management Manual
- 3.1.4. FAA Notice N8900.281
- 3.1.5. FAA AC120-92B
- 3.1.6. FAA CFR 14 Chapter I, Part 5

#### 3.2. Check list:

- 3.2.1. The following evaluation tools have been developed:
  - 3.2.1.1 Phase 1 Basic SMS Evaluation Framework (FORM 1.1.063 / 1.2.063 - 1)
  - 3.2.1.2 Phase 2 SMS Evaluation Tool (FORM YYY)

### 4. Process

#### 4.1. Phase 1 – Gap analysis:

- 4.1.1. The applicant's POI/PMI shall direct the applicant to fill the "Phase 1 Basic SMS Evaluation Framework" (CAAI

OPS/AW 1.1.063 / 1.2.063	 <b>CAAI</b>	OPS & AW Handbook
<b>Approval of an AOC &amp; AMO Safety management System (SMS)</b>		Revision 0
		03 NOV 2015

Form 1.1.063/1.2.063 -1) and submit it to the CAAI. The POI/PMI shall recommend the applicant to make an appointment with the CAAI before initiating the process.

- 4.1.2. The applicant shall submit the filled "Phase 1 Basic SMS Evaluation Framework" form to the POI/PMI, along with any document listed by the applicant as reference material to establish/verify an SMS element (hard copy or digital).
- 4.1.3. The applicant's POI/PMI will evaluate the "Phase 1 Basic SMS Evaluation framework" and approach the applicant with questions if needed. According to regulations 545D to the ANR.OPS and 44 to the ANR.AMO a system is considered accepted unless otherwise formally notified by the CAAI within a set time limit of 45 days, which can be further extended by CAAI notification to 3 additional periods of 45 days each. The POI/PMI must pay attention that the initial response to the applicant shall be issued within 45 days from submitting the application.
- 4.1.4. The document evaluation shall be followed by an onsite inspection by the applicant's POI/PMI to verify that the SMS elements are as described in the "Phase 1 Basic SMS Evaluation framework" document.
- 4.1.5. Following the onsite evaluation, the applicant's POI/PMI shall return the "Phase 1 Basic SMS Evaluation framework" document to the applicant, with CAAI remarks and a WTS report listing the findings to be corrected by the applicant.
- 4.1.6. The applicant shall submit a Corrective action plan, listing the proposed actions to be taken and due dates for

OPS/AW 1.1.063 / 1.2.063	 <b>CAAI</b>	OPS & AW Handbook
<b>Approval of an AOC &amp; AMO Safety management System (SMS)</b>		Revision 0
		03 NOV 2015

completion of each action, in order to eliminate the deficiencies identified during the inspection.

4.1.7. The POI/PMI shall issue a "temporary SMS acceptance" document, valid to the period of the Corrective action plan submitted, after being satisfied of the Corrective action plan submitted, and after he/she considers the SMS acceptance process is ready for phase 2 (implementation oversight ) usually after 80% of the markers of phase 1 were found satisfactory.

4.2. Phase 2 – Implementation oversight:

4.2.1. Phase 2 takes place after issuance of a "temporary SMS acceptance" by the POI/PMI.

4.2.2. Phase 2 shall constitute a part of the surveillance plan of the applicant.

4.2.3. The POI/PMI shall notify the applicant at list 90 days in advance of the planned inspection, and direct him to fill and submit a "Phase 2 SMS Evaluation tool" (CAAI Form OPS/AW 1.1.063/ 1.2.063-2

4.2.4. The applicant should fill the "Phase 2 SMS Evaluation Tool (Attachment B)" in accordance with the instructions in the tool and submit it to the CAAI for evaluation at least 60 days in advance of the planned inspection.

4.2.5. The POI/PMI will evaluate the "Phase 2 SMS Evaluation Tool" and approach the applicant with questions if needed.

4.2.6. The POI/PMI will schedule an onsite inspection as part of the applicant's annual surveillance plan in order to verify the SMS implementations as described in the "Phase 2 SMS Evaluation Tool".

OPS/AW 1.1.063 / 1.2.063	 <b>CAAI</b>	OPS & AW Handbook
<b>Approval of an AOC &amp; AMO Safety management System (SMS)</b>		Revision 0
		03 NOV 2015

- 4.2.7. The POI/PMI shall issue the applicant "Phase 2 SMS Evaluation Tool" with the CAAI remarks and the WTS report listing the findings to be corrected by the applicant.
- 4.2.8. The applicant shall submit a reply to the WTS report including corrective measures taken and proposed.
- 4.2.9. Phase 2 will be completed only after the POI/PMI is satisfied with the implementation of all corrective action plans. Following the completion of phase 2, the applicant's SMS is considered as accepted by the Director General of the CAAI.

## 5. Task Outcomes

- 5.1. Phase 1 - "Temporary SMS acceptance" document, valid to the period of the Corrective action plan submitted by the applicant;
- 5.2. Phase 2 – applicant's SMS accepted by the Director General.
- 5.3. The POI/PMI shall maintain a record of the acceptance process which shall include:
  - 5.3.1. Phase 1 Basic SMS Evaluation Framework – filled by the applicant with the CAAI remarks.
  - 5.3.2. Corrective action plan submitted to correct findings discovered during the Phase 1 Basic SMS Evaluation Framework;
  - 5.3.3. Phase 2 SMS Evaluation Tool – filled by the applicant with the CAAI remarks;
  - 5.3.4. corrective measures taken and proposed during phase 2 Implementation oversight
  - 5.3.5. final acceptance communication by POI/PMI
  - 5.3.6. WTS record