



Advisory Circular

AC 119-3

Air Operations - Safety Management Training

Initial Issue

01 March 2008

GENERAL

Civil Aviation Authority Advisory Circulars (AC) contain information about standards, practices and procedures that the Director has found to be an Acceptable Means of Compliance (AMC) with the associated rule.

An AMC is not intended to be the only means of compliance with a rule, and consideration will be given to other methods of compliance that may be presented to the Director. When new standards, practices or procedures are found to be acceptable, they will be added to the appropriate Advisory Circular.

PURPOSE

This Advisory Circular provides methods for showing compliance with the air operator certification requirements of Part 119, in relation to safety management systems, for air operations conducted in accordance with Civil Aviation Rule Parts 121, 125 and 135.

This AC contains only AMC material. Explanatory material is not provided.

RELATED CAR

This AC relates specifically to Civil Aviation Rule Part 119 but also refers to the operating rules in Part 121, 125 and 135.

CHANGE NOTICE

There was no previous issue of this AC, consequently no change is in effect.

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2. INTRODUCTION

This document sets out the criteria for a training course for Safety Managers. These are individuals who are, or will be, responsible for the implementation and maintenance of an AOC's Safety Management System ("SMS"), within the meaning of Part 119, Subpart D.

With any new process or system it is essential that the management representative responsible for the activity be appropriately trained to implement and continuously improve the system. Only with qualified management experience driving the process will a capable system evolve.

The suggested course criteria contained in this AC is intended to provide the training organisation with the core training components necessary to establish a course of safety management training. The person who successfully completes this training will be expected to have the skills necessary to implement and maintain a safety management system as required by Part 119, Subpart D.

This suggested criteria should not be seen as limiting further expansion of the training course beyond these minimum recommended components.

3. OVERVIEW

○

A training course for Safety Managers ("the Course") should teach the Safety Manager how to design, implement and maintain a SMS. The Course should address the four general requirements of SMS's, which are as follows:

▪ Senior management commitment to SMS

Chief Executives Officers or managers should demonstrate commitment by:

- Specifying the company's SMS standards;
- Allocating adequate resources to the SMS;
- Ensuring the standards are known and accepted by all staff; and
- Ensuring there is a system in place so that deviations from the standards are recognized and reported.

▪ Reporting and Notification System

An efficient and effective hazard and occurrence reporting and notification system is needed. This means:

- Hazards and occurrences are reported in a timely manner;
- All staff are encouraged to report hazards, occurrences and safety concerns;
- Procedures are in place to track significant events, and detect unexplained increases in safety related events; and

- There are processes to regularly review the effectiveness of the company reporting and notification system.

▪ **Evaluation and follow-up action**

Once an occurrence or hazard is identified, action to defend the operation from the associated risk involved must be taken. This can be done in three ways.

- Eliminate the hazard completely - this is the most effective defence, but is sometimes not practical;
- Change operational procedures to minimize the hazard; and
- Warn people about the hazard - by itself, this is the least effective action.

▪ **Maintenance of Standards**

To maintain standards, staff support is needed. This requires:

- That selected staff are involved in developing the standards;
- Responsibilities being clearly defined; and
- All staff consistently achieve the standards.

4. COURSE CONTENT

The Course should address the following twelve features of a SMS. Each feature should be taught as a separate unit of study with reference to the overview above. However, it is important that the Safety Manager learns how each unit works in conjunction with every other unit. Problem based learning is encouraged. The units, together with their purpose, learning outcomes and assessment methods are as follows:

UNIT ONE - SENIOR MANAGEMENT COMMITMENT:

Unit Rationale:

The purpose of this unit is to educate the student on the importance of top management commitment to, providing initiative to, and application of an SMS and how to achieve these management objectives.

Learning Outcomes:

The Safety Manager will learn to:

- Assist senior management to demonstrate commitment to the SMS to employees by a variety of techniques including leading by example; and
- Inform and update senior managers' knowledge of an organisation's SMS.

Assessment Method:

- Problem based questions;
- Demonstration of techniques for communicating with senior management; and
- Practical exercises.

UNIT TWO - RESPONSIBILITY FOR THE SMS

Unit Rationale:

It is important that Safety Managers are aware of their organisational role and how they should interact with the other people and groups within the organisation. This includes understanding how to simultaneously perform the functions of a Safety Manager alongside other responsibilities when required (especially useful for a small GA operator where the Safety Manager may also be, for example, the head of flying operations). Safety Managers who understand their own responsibilities may then implement a system in which everyone in the organisation can perform his/her role in the SMS.

Learning Outcomes:

The Safety Manager will learn to:

- Determine an organisation's structure efficiently and accurately including lines of communication and authority within an organisation; and
- Design systems for the maintenance and revision of the SMS, within a wide range of organisational structures, including inputs, outputs and feedback from all staff.

Assessment Methods:

The student should be assessed by:

- Problem based questions;
- Observations; and
- Demonstration of the ability to formally report on an organisation's management structure (flow charts, etc.).

UNIT THREE - ESTABLISHMENT OF A SAFETY ACTION GROUP

Unit Rationale:

It is important for an organisation to have a Safety Action Group that is an integral and essential part of management at every level. It is important that the Safety Manager understands that a Safety Action Group is not a 'paper tiger'.

Learning Outcomes:

The Safety Manager will learn to:

- Recognise the links between a SMS, the role of the Safety Action Group and an organisation's safety culture (including the effects of a poorly functioning safety action group) and be able to determine if the organisation's structure is such that a formalized Safety Action Group is appropriate.
- Identify those in an organisation who should constitute a Safety Action Group from time to time.
- Develop systems to implement a Safety Action Group's decisions and monitor that implementation.
- Be aware of methods to encourage the flow of information to the Safety Action Group, including the implications of blame free reporting of unsafe behaviour (covered in more detail in Unit 5).

Assessment Methods:

The student should be assessed by:

- Preparing sample documentation for reporting, etc:
- Designing systems to support safety action groups;
- Questioning;
- Observations; and
- Practical exercises.

UNIT FOUR - HAZARD IDENTIFICATION AND RISK MANAGEMENT

Unit Rationale:

Hazard Identification and Risk Management are crucial to understanding the practical threats to safety in an organisation. It is essential that these two processes are part of an organisation's SMS so that the maximum increases in safety can be achieved.

Learning Outcomes:

The Safety Manager will learn to:

- Determine “safety hazard” and “safety risk”;
- Identify hazards and risks using a variety of tested methods;
- Identify who to include in discussion groups who work to identify, prioritise and manage hazards and be aware of methods to assist these groups in their decision making processes;
- Enlist the assistance of any employee or manager to assist in mitigating a particular hazard - remembering that safety improvement is the obligation of all members of an organisation; and
- Demonstrate the ability to develop and utilize an effective Risk Management Tool.

Assessment Methods:

The student should be assessed by:

- Problem based questions;
- A report on a method for hazard identification and hazard management that identifies the method’s strengths and weaknesses;
- Observation; and
- Practical exercises.

UNIT FIVE - ONGOING OCCURRENCE AND HAZARD REPORTING SYSTEM

Unit Rationale:

It is important to maximise the quality and flow of safety hazard information. An important strategy, though one which is often difficult to implement, is to deal with reports of unsafe behaviours in a way which does not discourage further reporting.

Learning Outcomes:

The Safety Manager will learn to:

- Take advantage of existing reporting systems and develop further improvements to suit new situations, as appropriate;
- Determine what needs to be reported and by whom;
- Establish systems to ensure that reports are disseminated and acted upon;
- Avoid “shooting the messenger” to promote future reporting; and

- Develop and implement Data Management and Analysis processes.

Assessment Methods:

The student should be assessed by:

- Problem based written questions;
- Observation; and
- Practical exercises.

UNIT SIX - ESTABLISHING AND MAINTAINING A POSITIVE SAFETY CULTURE

Unit Rationale:

It is important that a Safety Manager understands what a safety culture is and the various approaches to establishing a safety culture. In particular, the student should understand how an SMS can alter an organisation's safety culture.

Learning Outcomes:

The Safety manager will learn to:

- Establish communication systems and understand communication techniques;
- Discuss with staff the nature of a positive safety culture and its theoretical foundations;
- Apply methods for assessing safety culture and appreciate their limitations;
- Know how to promote a positive safety culture within the context of every aspect of a SMS;
- Manage expectations, given the often gradual nature of cultural change; and
- When responding to system reports, distinguish between an employee who may have been a victim of organisational deficiencies or improper management pressures from an employee who conducted him/her self negligently or unsafely of his/her own volition and to respond appropriately.

Assessment Methods:

The student should be assessed by:

- Problem based questions on methods of cultural change;
- Questioning; and

- Practical exercises.

UNIT SEVEN - SAFETY INDUCTION AND RECURRENT TRAINING

Unit Rationale:

It is crucial to promote the application of SMSs and for every employee to be involved.

Learning Outcomes:

The Safety Manager will learn to:

- Record and review the current level of training, achievements and acceptance of SMSs by every employee;
- Realise that the form and content of safety training will have an impact on safety culture;
- Train all employees to work on managing their own safety as active SMS members; and
- Recognise the use informal opportunities to instruct employees and management on safety.

Assessment Methods:

- Problem based questions;
- Observations; and
- Demonstration of technique.

UNIT EIGHT - SAFETY AUDIT/ASSESSMENT

Unite Rationale:

Safety assessments are an important part of a SMS. It is important for Safety Managers to remain conscious of the overall objectives of an audit so that they are focused on safety improvement and not punishment. Further, audits represent an opportunity to demonstrate management commitment to the SMS. Within the context of a SMS, for example, an auditor should wear all appropriate personal protective equipment. A Safety Manager must be aware of these issues.

Learning Outcomes:

The Safety Manager will learn to:

- Plan an audit; prepare an audit checklist; conduct, report and evaluate the audit;

- Conduct audits in a way that is non-punitive and identifies successes as well as deficiencies;
- Realize the potential which audits have to impact upon safety culture and to complement all of the processes of the SMS; and
- Manage the SMS administrative processes and apply audit data to improve safety within the SMS.

Assessment Methods:

Students should:

- Demonstrate safety audit skills;
- Conduct a practical exercise; and
- Solve problems arising out of sample safety audit data.

**UNIT NINE - OCCURRENCE REPORTING AND EVALUATION
(INCLUDES QUALITY, AUDIT, COMPLIANCE, HAZARDS)**

Unit Rationale:

It is important for every organisation to comply with relevant legislation and regulations on reporting. At the same time, reporting and evaluation outcomes can assist the organisation to properly manage and learn from occurrences, incidents and accidents.

Learning Outcomes:

The Safety Manager will learn to:

- Interpret and comply with laws that apply to reporting of occurrences, incidents and accidents; and
- Analyse occurrence, incident and accident reports to improve organisational safety.

Assessment Methods:

- Problem based questions; and
- Demonstration of reporting and evaluation techniques.

UNIT TEN - SMS REVIEW AND EVALUATION

Unit Rationale:

It is essential to continually review and evaluate a SMS for the purpose of sustaining and improving it. It is import that the Safety Manager works on helping all members of an organisation to maintain interest in and commitment to the SMS.

Learning Outcomes:

The Safety Manager will learn to:

- Critically evaluate SMSs to determine its effectiveness;
- Seek out constructive criticism internally or from external sources as required; and
- Promote the SMS using appropriate techniques and to analyse the impact of these techniques on the safety culture. (For example, rewards for a reduction in incidents may simply stifle reporting.)

Assessment Methods:

- Critical evaluation of sample SMS scenarios and development of solutions; and
- Problem bases questions.

UNIT ELEVEN - EMERGENCY RESPONSE PLAN

Unit Rationale:

It is important that all employees know their role in an emergency. Safety Managers should have the skills to develop an emergency response plan.

Learning Outcomes:

The Safety manager will learn to:

- Develop a plan and support it with appropriate education, signs and appropriate contacts with emergency services;
- Recognise the psychological impact of disasters on employees, their families and the public, and know what to do; and
- Be aware of how to deal with the media.

Assessment Methods:

- Develop a component of an emergency response plan;
- Problem based questions; and
- Practical exercises.

UNIT TWELVE - DOCUMENTATION

Unit Rationale:

Documentation is good evidence of safety practices and it is an excellent source of data for reviews and comparisons with past performance. The SMS must be relevant to all employees and management, and therefore the SMS documentation must be clearly expressed and readily accessible.

Learning Outcomes:

The Safety Manager will learn to:

- Prepare, update and maintain SMS documentation;
- Record and retain (in a way which renders them useful) all safety related reports and management actions; and
- Establish database systems or direct and advise experts to establish them.

Assessment Methods:

- *Problem bases questions;*
- *Observations; and*
- *Preparation of sample documentation.*

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