CAYMAN ISLANDS AIRPORTS AUTHORITY (CIAA)

SAFETY MANAGEMENT SYSTEM (SMS)

MANUAL

Second Edition- 27 February 2012
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Revision History

1st Edition                     March 23, 2010

The CIAA Safety Management Systems (SMS) Manual has been written to provide the users of Owen Roberts and Gerrard-Smith International Airports an internationally approved framework from which to implement and maintain a Safety Management System at both Aerodromes. The manual was produced in accordance with ICAO Annex 14 vol. 1 paragraph 1.4.4 and 1.4.6, OTO article 85 paragraph 3, and OTAR 139.31(e) 5 this Safety Management System (SMS) manual contains all the processes, procedures and instructions for the safety management system within the Cayman Islands Airports Authority.

2nd Edition        February 27, 2012

The CIAA SMS Manual has been revised to incorporate a new format for the introduction leading up to section 1. The Roles and Responsibilities for all key personnel have been updated to reflect increased emphasis on SMS Initial and Annual Training. Per regulatory suggestion the introductory period has ended and we have established program performance indicators and goals. Lastly the evolution of the Safety Committee has demanded further refinement of the committee terms of reference, which are now added to the manual.

Record of Amendments

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PREFACE
A global shift in airport management began in 1987 when the British Airports Authority was privatized. As airports continued to evolve from public utilities to businesses concerned with making a profit, the International Civil Aviation Organization (ICAO) took steps to promote safety management as a prerequisite for a sustainable aviation business. In 2000, the ICAO Air Navigation Commission commenced the process to amend Annex 14, Volume I, *Aerodrome Design and Operations*. New airport licensing and certification requirements called for the development and implementation of a safety management system, and further to that point in paragraph 1.4.6 added that as of 24 November 2005, a certified Aerodrome shall have in operation a safety management system. Note that ICAO refers to airports as aerodromes, and uses “States” to refer to ICAO signatory countries.

Background
As Aerodromes restructured and became more business oriented it was realized that as with any other business, current production levels had to be recognized and in some instances new production levels would have to be created based on the monetary needs of sustaining and improving operations at the aerodrome. In order to achieve these production levels, the management of any business organization requires managing many business processes. Safety is one such business process. Safety Management is a core business function just as financial management, HR management, etc. The Safety Management System is a systematic approach to managing safety, including the necessary organizational structures, accountabilities, and policies and procedures. Three core aspects of a SMS are:

1) **Systematic**- Safety management activities are in accordance with a predetermined plan, and applied in a consistent manner throughout the organization;
2) **Proactive**- An approach that emphasizes hazard identification and risk control and mitigation, before events that affect safety occur;
3) **Explicit**- All safety management activities are documented and visible.
SMS Framework
The four basic building blocks and twelve elements of the safety management system are:

1. **Safety policy and objectives**
   1.2. Management commitment and responsibility
   1.3. Safety accountabilities and responsibilities
   1.4. Appointment of key safety personnel
   1.5. Coordination of emergency response planning
   1.6. SMS process and documentation

2. **Safety risk management**
   2.2. Hazard identification
   2.3. Risk assessment and mitigation

3. **Safety assurance**
   3.2. Safety performance monitoring and measurement
   3.3. The management of change
   3.4. Continuous improvement of the SMS

4. **Safety promotion**
   4.2. Training and education
   4.3. Safety communication

Application of Manual Content
This Safety Management System was developed based on the requirements of the OTARs, OTACs, and ICAO Annex 10, 11, and 14 and the other Annexes relevant to the operations of the Airports in the Cayman Islands. It is a annex of the Aerodrome manuals at these airports and as such any changes will require immediate approval from the Cayman Islands Civil Aviation Authority (CAACI). Nothing contained in this manual is meant to supersede any standard, order, instruction or recommendation issued by the Director General Civil Aviation. In the event any discrepancy is noticed in the material contained in this manual and that published by the regulators, the reader is advised to bring the same to the notice of the CIAA Senior Manager of Safety Management Systems so that a suitable amendment can be issued.

A safety management system takes into account that there will always be hazards and risks. The implementation of this document will help CIAA proactively manage and control the threats before they lead to mishaps. The implementation of a SMS represents a change in the safety culture of an organization. This change will not occur overnight and will take the commitment of all concerned parties in order to be fully implemented. The management of the Cayman Islands Airport Authority is committed to the further development of this SMS document which will direct the management of the safety management system at Owen Roberts and Gerard Smith International Airports.
Target Audience
Application of the material herein is not limited to operational personnel. Rather, it is relevant to the full spectrum of CIAA employees and customers involved in safety, including senior management.

Using this manual
The purpose of this manual is to assist all those who work at, work with or visit Owen Roberts or Gerard Smith International Airports in fulfilling the requirements of ICAO Annexes 6, 11 and 14 with respect to the implementation of SMS. In particular this material is aimed at personnel who are responsible for designing, implementing, managing, and performing safety activities, namely:

- CIAA officials with responsibilities for compliance with CAA regulations;
- CIAA operational staff
- Management of operational organizations, such as operators, ATS providers, concessionaires, maintenance organizations, contractors; and
- Safety practitioners, such as safety managers and advisers.
- Managers and staff of organizations conducting operations with the potential to affect safety at the airport.

Users should find sufficient information herein for operation of a viable SMS.
Manual Distribution Policy & Amendment Procedure

The latest version of this manual is available in electronic format on the CIAA’s website - [http://www.caymanairports.com](http://www.caymanairports.com) and can be viewed by selecting the “at the airports” button at the top of the page, then click the tab for publications. Hard copies are not produced for distribution, but may be printed for internal office use. Any hard copies printed by recipients of the electronic distribution are not controlled; therefore, care must be taken to ensure paper copies are replaced with the latest amended version. It is distributed electronically to the list of recipients in the following table.

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<tr>
<th>Chief Executive Officer Cayman Islands Airports Authority</th>
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The Senior Manager Safety Management Systems (SMSMS) is responsible for the development and electronic distribution of amendments to the CIAA Safety Management Systems Manual.

When the manual is to be amended, one electronic copy of the amended manual will be emailed to the Civil Aviation Authority of the Cayman Islands (CAACI) along with details of the amendment. Once the amended Manual is approved by the CAACI a copy of the approved manual will be returned to the SMSMS. The SMSMS will then distribute electronic copies to Manual recipients and load the approved amended version on internet site [http://www.caymanairports.com](http://www.caymanairports.com)

All airport staff, partners, and employees are hereby obligated to ensure material relevant to their respective duties or functions remain current and at any time a particular requirement of this manual cannot be complied with report such to The Senior Manager of the Safety Management Systems, who can be contacted at (345) 916-5317 or (345) 244-5835.
Glossary of Terms

**Quality assurance:** All those planned and systematic actions necessary to provide adequate confidence that a system, component, or facility will perform satisfactorily in service.

**Safety Management:** A systematic approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures.

**System (SMS):**

**Airside Personnel:** Persons assigned duties on airside that are either employees of the airport operator or those persons employed by third-party airside operators, including fixed-base operators, ground handling agencies, airlines and other organizations that perform activities independently at the airport in relation to flight or aircraft handling.

**Cost:** Activities, both direct and indirect, involving any negative impact, including money, time, labour, disruption, goodwill, political and intangible losses.

**Hazard:** A source of potential harm or a situation with a potential to cause loss.

**Incident:** Means an occurrence, other than an accident, associated with airside operations which affects, or would affect, the safety of operation.

**Likelihood:** Used as a qualitative description of probability or frequency.

**Monitor:** To check, supervise, observe critically, or record the progress of an activity or system on a regular basis in order to identify change.

**Probability:** The likelihood of a specific outcome.

**Risk:** The chance of something happening that will have an impact upon objectives. It is measured in terms of consequences and likelihood.
**Risk analysis:** A systematic use of available information to determine how often specified events may occur and the magnitude of their consequences.

**Risk assessment:** The overall process of risk analysis and risk evaluation.

**Risk evaluation:** The process used to determine risk management priorities by comparing the level of risk against predetermined standards, target risk levels or other criteria.

**Risk identification:** The process of determining what can happen, why and how.

**Risk level:** The level of risk calculated as a function of likelihood and consequence.

**Risk management:** The culture, processes and structures that are directed towards the effective management of potential opportunities and adverse effects.

**Safety Deficiency:** Means an unsafe condition or underlying factor with risks for which the defences are less than adequate.

**Serious Incident:** Means an incident involving circumstances indicating that an accident nearly occurred.
SECTION 1- Safety Policy and Objectives

1.1 Management commitment and responsibility

In order to understand safety management it is necessary to consider what is meant by the term “Safety”. ICAO has defined the term Safety as follows:

“Safety is the state in which the risk to persons or of property damage is reduced to, and maintained at or below, an acceptable level through a continuing process of hazard identification and risk management.”

While the elimination of accidents and incidents would be desirable, a one hundred percent safety rate is an unachievable goal. Failures and errors will occur, in spite of best efforts to avoid them. No human activity or human-made system can be guaranteed to be absolutely safe, i.e. free from risk. Safety is a relevant notion whereby inherent risks are acceptable in a “safe” system.

Safety is increasingly viewed as a management of risks. The primary purpose of the CIAA Safety Management Manual is to implement a system at all Airports under the control of the Authority for managing the core business process of safety and to ensure compliance with all ICAO and CAA requirements on safety management. In recognition of the importance that management places on safe operations, the following policy and objectives for safety in all areas under its control is hereby released and will be immediately incorporated into all processes and functions at the aerodrome.
CIAA Safety Policy

Safety is one of our core business functions. We are committed to developing, implementing, and improving strategies, and processes to ensure that all our aviation activities uphold the highest level of safety performance and meet national and international standards. We will report incidents, train staff on safety management procedures, and strive to make continuous proactive improvement to the overall level of safety performance in our organization. All levels of management and all employees are accountable for the delivery of this highest level of safety performance, starting with the Chief Executive Officer.

Our commitment is to:

- Support the management of safety by creating an organizational culture that encourages safe practices, effective safety reporting and communication, and actively manages safety with the same attention to results that is used in managing all systems that can cause bodily harm or destruction to property.
- Enforce the management of safety as the primary responsibility of all managers and employees.
- Clearly define for all staff, managers and employees alike, their accountabilities and responsibilities under the safety management system.
- Establish and operate hazard identification and risk management programs, including a hazard reporting system, in order to decrease or eliminate hazards resulting from our operations or activities. At a minimum, drive hazard levels to a point which is As Low As Reasonably Practicable (ALARP).
- Ensure that no action will be taken against any employee who discloses a safety concern through the hazard reporting system unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or wilful disregard of regulations or procedures.
- Comply with, and wherever possible exceed, legislative and regulatory requirements and standards.
- Ensure sufficient number and training of personnel to a level of competency to be able to implement safety strategies and processes, and are allocated only tasks commensurate with their skills.
- Establish and measure our safety performance against realistic safety performance indicators and safety performance targets.
- Continually improve our safety performance through management processes that ensure relevant safety action is taken and is effective.
- Ensure externally supplied systems and services to support our operations are delivered meeting our safety performance standards.

Jeremy Jackson
Chief Executive Officer
Cayman Islands Airports Authority
CIAA Safety Objectives:

Achievement of continuous improvement from the safety policy will require commitment to the following objectives:

a) **Safety Management System.** Appoint a Senior Manager for the Safety Management System to oversee the development and implementation of the program and ensure that the application of the SMS is integral to all our aviation activities;

b) **Safety Culture.** Develop and embed a safety culture in all our aviation activities that recognizes the importance and value of effective aviation safety management and acknowledges at all times that safety is paramount;

c) **Safety Accountabilities.** Clearly define for all staff their accountabilities and responsibilities for the development and delivery of aviation safety strategy and performance. Ensure that all staff provided with adequate and appropriate aviation safety information and training, are competent in safety matters and are only allocated tasks commensurate with their skills;

d) **Risk Management.** Minimize the risks associated with aircraft operations to a point that is as low as reasonably practicable and establish and measure our safety performance against realistic objectives and/or targets;

e) **Regulatory Compliance.** Actively develop and improve our safety processes to conform to ICAO and CAA standards. Comply with and, wherever possible, exceed legislative and regulatory requirements and standards. Ensure that externally supplied systems and services that impact upon the safety of our operations meet appropriate safety standards;

f) **Human Resources.** Ensure that sufficient skilled and trained resources are available to implement this safety policy and continually improve our Safety Performance; and

g) **Safety Oversight.** Conduct safety audits, including incident and accident investigations, and and ensure that relevant mitigation action is taken.
1.2 Safety accountabilities and responsibilities

Safety has always been the overriding consideration in all aviation activities. This is reflected in the aims and objectives of ICAO as stated in Article 44 of the Convention on International Civil Aviation (DOC 7300), commonly known as the Chicago Convention, which charges ICAO with ensuring the safe and orderly growth of international civil aviation throughout the world.

In establishing each States’ requirements for the management of Safety, ICAO has come up with the following definition and guidance on SMS. A safety management system is an organized approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures. In accordance with the provisions of Annex 6, 11, and 14, States shall require that individual operators, maintenance organizations, ATS providers, and certified aerodrome operators implement the SMS acceptable by the state. As a minimum, such SMS shall document and comply with processes to;

- Identify safety hazards;
- Ensure that remedial actions necessary to mitigate the risks/hazards are implemented; and
- Provide for continuous monitoring and regular assessment of the safety level achieved.

An organization’s SMS shall also clearly define lines of safety accountability, including a direct accountability for safety on the part of senior management. DGCA, in compliance with ICAO regulations and intentions outlined above, has issued Civil Aviation requirements on 31 July, 2006, requiring all airport operators to implement an SMS as conceived by ICAO and to comply with all provisions of ICAO Annexes 6, 11, and 14. The Airport’s SMS shall also be audited by the DGCA as a part of Licensing Audits for award and renewal of the Aerodrome Operating License.

Responsibility and accountability are interlinked. While individual staff members are responsible for their actions, they are also accountable to their supervisor or manager for the safe performance of their functions and may be called on to justify their actions. Accountability is a two-way street. Managers are also accountable for ensuring that their subordinates have the resources, training, experience, etc. needed for the safe completion of their assigned duties. Ultimate responsibility for safety in the CIAA rests with the CEO as the Accountable Manager.
Safety Accountabilities and Responsibilities of CIAA Executives

Chief Executive Officer (CEO)

Safety Accountability: The CEO is accountable to the CIAA Board of Directors for the safe management of Owen Roberts International Airport (ORIA) and Gerrard-Smith International Airport (GSIA).

Safety Responsibility: In discharging this accountability the CEO is responsible for:

- Authorizing a Safety Policy that indicates the CIAA’s commitment to safety;
- Ensuring a Safety Management System is implemented at ORIA and GSIA;
- Assuming the leadership role to ensure commitment throughout the CIAA; particularly at senior management level, to the safety management policy intent and safety management system requirements;
- Ensuring that ORIA and GSIA senior managers, managers, and staff are aware and held accountable for their safety performance; and
- Ensuring that CIAA safety management system and operational performance are evaluated for effectiveness on a regular basis.

Senior Manager Safety Management Systems (SMSMS)

Safety Accountability: The SMSMS is accountable to the CEO for:

- Providing advice and assurance relating to safety issues and performance; internal, external and international safety initiatives and requirements;
- Establishing safety standards;
- Establishing a system for safety management education and safety awareness;
- Establishing a safety audit and surveillance system;
- Effective interface with the CAA regarding safety matters; and
- Establishing safety relations with international bodies including ICAO.
Safety Responsibility: In discharging these accountabilities, the SMS is responsible for:

- Management of the SMS implementation plan on behalf of the CEO;
- Establishing and maintaining a safety management system including procedures for identifying, reporting, tracking and correcting safety issues;
- Performing/facilitating hazard identification and safety risk analysis;
- Establishing safety guidelines in accordance with local and international industry standards and publishing them to all ORIA and GSIA users;
- Providing independent advice on safety matters;
- Reviewing investigation of accidents, and incidents to promulgate lessons learned;
- Monitoring safety concerns in the aviation industry and their perceived impact on the organization’s operations aimed at service delivery;
- Preparing monthly report on safety issues for the CEO;
- Reviewing and verifying resolution on Aerodrome inspections and Hazard reports;
- The design, development and management of an effective audit program and record keeping program directed towards increasing the safety performance level of ORIA and GSIA;
- Monitoring that staff are receiving SMS training, and are qualified and competent to discharge their safety related obligations;
- Developing and promoting SMS training across ORIA and GSIA;
- Convening the CIAA Safety Committee in the absence of the CEO and maintaining the associated records and action items;
- Ongoing review of interface between ORIA and GSIA, the CIAA, the CAA, and other aviation organizations and ensuring improvements are made where required.
**Senior Manager Airport Operations (SMAO) ORIA**

Safety Accountability: The SMAO ORIA is accountable to the CEO to provide safe services and facilities, for customers and stakeholders, for the purpose of optimizing efficiency of airside operations at ORIA.

Safety Responsibilities: In discharging this accountability, the SMAO ORIA is responsible for:

- Overseeing the safe performance of daily operations at ORIA to include managing a system to ensure contractors from off-site register all works with airport Operations prior to commencement;

- Ensuring the application of change management procedures in accordance with SMS policy and procedures in this manual are followed and all works that will interfere with the normal operation of the aerodrome or its users is done in accordance with a Works Safety Plan approved by the Safety Office and that has been disseminated to the appropriate parties affected;

- Ensure that all work carried out by operational personnel under his charge is done utilizing the appropriate Personal Protective Equipment and standard Occupational Safety and Health rules and procedures as outlined in the Cayman Islands Labour Law 2008;

- Ensuring that safety issues are reported in a timely manner to the Senior Manager Safety Management Systems;

- Ensuring that all airport operations staff reporting to him receives initial SMS Training within the first 30 days of joining, and annual recurrent SMS training thereafter;

- **Ensuring that management of human resources is appropriate to facilitate safe operations.**
Senior Manager Airport Operations (SMAO) GSIA

Safety Accountability: The SMAO GSIA is accountable to the CEO to provide safe services and facilities, for customers and stakeholders, for the purpose of optimizing efficiency of airside operations at GSIA.

Safety Responsibilities: In discharging this accountability, the SMAO GSIA is responsible for:

- Overseeing the safe performance of daily operations at GSIA to include managing a system to ensure contractors from off-site register all works with Airport Operations prior to commencement;
- Ensuring the application of change management procedures in accordance with SMS policy and procedures in this manual are followed and all works that will interfere with the normal operation of the aerodrome or its users is done in accordance with a Works Safety Plan approved by the Safety Office and that has been disseminated to the appropriate parties affected;
- Ensure that all work carried out by operational personnel under his charge is done utilizing the appropriate Personal Protective Equipment and standard Occupational Safety and Health rules and procedures as outlined in the Cayman Islands Labour Law 2008;
- Ensuring that safety issues are reported in a timely manner to the Senior Manager Safety Management Systems;
- Ensuring that all airport operations staff reporting to him receives initial SMS Training within the first 30 days of joining, and annual recurrent SMS training thereafter;
- Ensuring that management of human resources is appropriate to facilitate safe operations.
Manager Engineering & Projects (MEP)

Safety Accountability: The MEP is accountable to the CEO to ensure the following services under his supervision are performed in accordance with the SMS manual guidelines:

- Maintenance of ORIA and GSIA pavements (runways, taxiways, aprons, etc), airport terminal electrical systems and other airport services including landscaping;
- Provision of Electrical Engineering and Maintenance at ORIA and GSIA such as elevators, baggage conveyors, air condition systems etc; and
- Provision of line power and backup power supply to all ORIA and GSIA installations including Communications equipment and Navigational Aids.

Safety Responsibilities: In discharging these accountabilities, the MEP is responsible for:

- Ensuring the application of change management procedures in accordance with SMS policy and procedures in this manual are followed and all works that will interfere with the normal operation of the aerodrome or its users is done in accordance with a Works Safety Plan approved by the Safety Office and that has been disseminated to the appropriate parties affected;
- Ensure that all work carried out by operational personnel under his charge is done utilizing the appropriate Personal Protective Equipment and standard Occupational Safety and Health rules and procedures as outlined in the Cayman Islands Labour Law 2008;
- Ensuring that safety issues are reported in a timely manner to the Senior Manager Safety Management Systems;
- Ensuring that all Electrical staff reporting to him receives initial SMS Training within the first 30 days of joining, and annual recurrent SMS training thereafter;
- **Ensuring that management of human resources is appropriate to facilitate safe operations.**
- Ensure that all bids or contracts for any construction, installation, repair/renovation, maintenance or improvement contain the necessary verbage and or clauses to bind the person or company or organization providing said work to include CIAA safety management policies and procedures in all work performed.
Senior Manager Air Navigation Services (SMANS)

Safety Accountability: The SMANS is accountable to the CEO for:
- Provision of services and facilities, for customers and stakeholders, for the purpose of the safe navigation of aircraft, within the administered airspace of the Cayman Islands.

Safety Responsibilities: In discharging these accountabilities, the SMANS is responsible for:
- Overseeing the safe performance of daily operations in ANS;
- Ensuring the application of change management procedures in accordance with SMS policy and procedures in this manual are followed and all works that will interfere with the normal operation of the aerodrome or its users is done in accordance with a Works Safety Plan approved by the Safety Office and that has been disseminated to the appropriate parties affected;
- Ensuring that safety issues are reported in a timely manner to the Senior Manager Safety Management Systems;
- Ensuring that all Air Navigation Services, managers, supervisors and staff are aware of, and held accountable for, their safety performance;
- Ensuring that all Air Navigation Services, managers, supervisors and staff are trained in SMS in the first 30 days of joining, and attend Annual SMS training thereafter;
- **Ensuring that management of human resources is appropriate to facilitate safe operations.**
Chief Financial Officer (CFO)
Safety Accountability: The CFO is accountable to the CEO for effective management of the financial resources and timely availability of funds to meet all requirements essential for ensuring operational safety.

Safety Responsibilities: In discharging this accountability the CFO is responsible for:
- Ensuring that in exercising its powers and performing its functions, the Finance Division regards aviation safety as an important commitment throughout the Finance Division to the safety management policy intent and safety management system requirements;
- Ensuring that all Finance managers, supervisors and staff are aware of, and held accountable for, their safety performance;
- Establishing the appropriate controls over financial activities to ensure the safety of ORIA and GSIA is not compromised by changes to the financial system;
- Ensuring the provision of adequately trained and competent manpower within the Finance Division to ensure that financial and commercial activities do not compromise the delivery of a safe airport service by the service delivery units; and
- Ensuring effective liaison is conducted between the Finance Division and other ORIA and GSIA Divisions, and relevant external organizations to ensure that the safety aspects for any change involving the Finance Division is fully considered before the change is implemented.

Human Resource Manager (CHRO)
Safety Accountability: The CHRO is accountable to the CEO for supporting operational Safety Management through:
- Developing personnel policies, personnel management and placement of personnel most suited for the task, and having the correct attitude towards operational safety;
- Career planning and management of performance appraisal records taking into consideration each employee's safety track record;
- Creation and review of manpower requirements (recruitment, training and counselling) in keeping with ORIA and GSIA overall Safety Performance Goals; and
- Implementation of aviation safety related government policies with respect to general administration matters like restrictions on duty hours etc.

Safety Responsibilities: In discharging these accountabilities, the CHRO is responsible for:
- Ensuring that safety considerations are given the foremost priority in decisions involving personnel management;
- Ensuring the application of the explicit safety management policy and procedures in accordance with CIAA Safety Management System within the HR Division;
- Ensuring that any safety issues are reported in a timely manner to the Senior Manager Safety Management Systems;
- Ensuring that all HR Division managers, supervisors and staff are trained in SMS in the first 30 days of joining, and attend annual SMS Refresher training thereafter,
- **Ensuring that management of human resources is appropriate to facilitate safe operations.**

**All CIAA Personnel**
All CIAA personnel have the following safety responsibilities:
- To comply with the relevant safety requirements and procedures outlined in:
  - CIAA Safety Management Manual (SMM) and any Supplementary Manuals
  - Aerodrome Manual; and Other duly authorised Manuals, Safety Directives, and Safety Advisories;
- To apply system safety measures as required by safety management procedures and instructions;
- To advise the Senior Manager Safety Management Systems of any safety occurrence or system failure and to identify and report any situation of potential risk or concern affecting system safety via one of the following means:
  - Report directly to their supervisor or the Senior Manager Safety Management Systems;
  - Submitting either an Incident/Accident report or a Confidential Report.
- Supporting safety audits as and when they occur; and
- Supporting safety investigations as and when they occur.
CIAA SMS ORGANIZATIONAL CHART

Chief Executive Officer

Senior Manager Safety Management Systems

Senior Manager Air Navigation Svcs
Senior Manager Airports Operation (GSIA)
Senior Manager Airports Operation (ORIA)
Senior Manager Info and Comm. Svcs
Chief Financial Officer
Chief Human Resource Officer
Appointment of Key safety personnel

Given the total costs of aviation accidents, many diverse groups have a stake in improving the management of safety. The principal stakeholders in safety at CIAA are listed below:

- CIAA Management;
- Aviation regulatory authority (DGCA);
- Regional ATS provider;
- Aircraft owners and operators (Airlines, Airside Concessionaires);
- International Civil Aviation Organization (ICAO); and
- The flying public.

All personnel should display attitudes and behaviours which reflect the primacy of safety in CIAA operations. Each person has a duty to identify and report factors or events which may impact safety of operations. Safety starts at the top. Therefore senior management must lead by example and provide an ambience and forum for open and unencumbered communication of safety concerns by all staff. Non punitive reporting is a cornerstone of any safety management program. Senior management must be open to employee safety concerns and promote and ensure that there is no punitive fallout for the reporting of safety concerns. All employees must feel free to report any safety concerns they have and have an expectation that they will be heard, that their concerns be taken seriously and that their career or employment will not be affected.

1.4 Coordination of emergency response planning

The Senior Manager Safety Management Systems will be responsible for the development and amendment of the Airport Emergency Plans. He will act as Chairman for the Airport Emergency Planning Committee at Owen Roberts and Gerrard-Smith Airports and schedule, plan and orchestrate all emergency exercises in order to test the plan and judge its effectiveness.
1.5 **SMS Process and Documentation**

The CEO has full accountability for the SMS program and must ensure the elements are in place for an effective program. The diagram below illustrates the interrelationship of the SMS program process:

![Diagram of SMS Process and Documentation](image)

In the diagram the CEO presides over the safety committee. His first requirement is the foundation documents for which he holds the approval authority. This includes job descriptions, guidelines, directives, agreements, policies and regulatory obligations. All responsibilities and procedures must be described in documents approved by the CEO or the regulator as applicable. This provides a clear commitment for the obligations required for the service provided, the user and the regulating auditor. In addition, records, data and reports produced for or submitted to the airport must be retained and made available to interested parties.
The CEO has the responsibility for chairing the safety committee, a forum for airport management to work with its users and staff to consider and address safety related issues. Membership is open to all interested parties.

In the absence of the CEO, the Safety Manager will serve as his communicator and facilitator and chair the meeting. The general role of that position is to:

- Facilitate the SMS program through the operational managers both internally and externally;
- Communicate issues, concerns and progress to the CEO;
- Advise the CEO when it is necessary to provide authoritative directions; and
- Arrange for regulatory assessments and the preparation of reports with recommendations for safety committee review.

The next illustration in the diagram lists the Safety Management tools expected to be used in this process:

- accident, incident and voluntary reporting;
- hazard identification;
- risk assessment;
- communication;
- self assessment

Each of these tools will be discussed in detail in the following sections of this manual.

The last entity in the diagram refers to subcommittees. From time to time the safety committee will create these subcommittees for focus on specific issues as required. They will be composed of the duty experts in the area under question. Such subcommittees can be created for an ongoing term of reference such as the apron management committee or for time specific issues.
1.5.1 The Aerodrome Safety Committee

A body which should possess the necessary expertise and experience to provide advice to airport management on airside and apron safety matters. The Safety Committee is of extreme importance to the SMS process as it provides a forum for Airport Management to work with its users and staff to consider and address safety related issues. The meetings should have a relaxed and open atmosphere so as to maximize the learning and development of recommendations to improve safety. Once the committee has voted in majority on a recommendation it will be relayed to the CEO for consideration and if approved will be issued as a Safety Directive or Advisory (depending on the level of importance). Whenever a Safety Directive is issued the compliance period will be clearly indicated.

The chairman of the committee shall be the CEO, assisted by the Secretary. Minutes of meetings will be kept and distributed to those attending. The Secretary will prepare and distribute the meeting minutes and agendas in a timely manner together with any relevant papers for member consideration. All committee members have the ability to submit potential agenda items via the Secretary or Chairman. The Chairman and Secretary will meet to review and finalize the agenda for the upcoming meeting. All documents for the upcoming meeting shall be distributed within the third week of each month. Any actions arising from meetings will be annotated in the Minutes as actionable items and a status will be expected at the next meeting.

The Committee may from time to time establish and nominate special Working Groups/sub committees to consider and report on particular safety issues. The SMSMS and his staff will coordinate activities and provide assistance to the safety committee and any sub-committees that from time to time may be formed. The Safety Committee will meet monthly on the last Tuesday of the month at 10:00 am in the CIAA training room. The standing agenda will include:

1) Review of Minutes of previous meetings;
2) Discussion on matters arising from Minutes;
3) Review of recent safety reports on incidents and investigations;
4) Open forum discussion on safety compliance issues and any other matters submitted by members.
The Safety Committee members shall include at a minimum:

- Chief Executive Officer or designate;
- The Senior Manager of Airport Operations or designate;
- The Senior Manager of Air Navigation Services or designate;
- The Senior Manager of Engineering and Projects or designate;
- Chief Financial Officer or designate;
- The Senior Manager Safety Management Systems;
- RFFS; and
- Airline, Island Air, RCIPS- Air Unit, and MRCU representatives.

Examples of other attendees could include:

- Aircraft Pilots;
- Ground Handlers;
- Aircraft catering companies;
- Aircraft cleaning companies; and
- Fuelling Companies

In short, everyone who has something to gain or lose is eligible to submit material through the Safety Manager or to attend the meetings in person.

**The committee shall:**

- Discuss airport safety matters affecting the airport and its users;
- Conduct periodic reviews of the Safety Management System as detailed in this document to recommend adjustments where required;
- Help identify hazards and risks and advise on safety measures to improve safety, for example:
  - apron congestion
  - foreign object debris
  - airside vehicle operations
  - noise, jet blasts
- Review safety procedures and recommend any necessary changes, for example:
  - standard vehicle operating procedures
  - apron management procedures
  - security escorts of arriving and departing passengers
  - use of vests and hearing protection
- Review reports on safety hazards/risks, incidents and accidents and action taken, or proposed;
- Receive reports on significant outages and breakdowns concerning airside fixed facilities;
- Provide advice on methods to develop and promote apron safety awareness initiatives, such as poster campaigns and safety presentations/exhibitions;
- Provide advice on safety measures to be incorporated into airport expansions or modifications.

The SMSMS is the administrator for the safety committee, providing support functions, and observing and reporting progress from the group to the CEO. The SMSM, under the direction of the Safety Committee will;
- Receive voluntary/involuntary or confidential hazard reporting forms;
- Identify hazards and carry out risk evaluation using the Risk Assessment forms provided in section 2 of this manual;
- Identify and document appropriate risk treatment/controls to reduce, eliminate or avoid risks;
- Periodically monitor the mitigation status of each identified hazard;
- Maintain records of the process described above for at least 7 years and make them available for inspection or audit by the CAA.
1.5.2 Data reporting

The primary objective is to avoid collisions and or strikes involving persons, aircraft or vehicles on the manoeuvring area that will result in death or injuries to persons. Success in meeting our goals and implementing our programs will be reported annually to all personnel. To achieve our goals, the CIAA will implement detailed safety policies and practices, as well as training and safety communication programs. Airport Management will monitor the implementation of these through the SMSMS and the Safety Committee. Indicators of the implementation of safety programmes, practices and training will also be reported annually. Key indicators include, for example:

- Number of examinations for airport drivers’ permits.
- Number and percentage of new airport personnel who received initial SMS training.
- Number and percentage of existing airport personnel who received annual SMS refresher training.
- The number of incident and accident reports addressed and not addressed within one month.
- Dates of the meetings of the Safety Committee and a summary of decisions and actions taken.
- A listing of periodic safety bulletins that were issued.
- A summary of new or revised safety practices and procedures that were developed and issued.
- A summary of communications initiatives taken during the year.
- A summary of special safety training seminars such as manual lifting, use of new tugs, etc., that were held and who attended.
- A summary of audit and monitoring reports and actions taken.

Annual Safety Meeting-
The SMSMS is responsible for preparing an Annual Safety Report that will address the key indicators and how well the Airport has met its safety objectives.
1.5.3 Data record keeping

The following records will be kept for at least 7 years:

- The original SMS documents and subsequent revisions.
- Risk assessments and associated action plans.
- Safety Hazard Reports.
- Safety Observations Report.
- Accident and Incident Analysis Forms.
- Minutes of the Meetings of the Safety Committee.
- Minutes of Safety Meetings
- Annual Safety Reports.
- Airport Airside Safety Directives, Policies, Practices and Rules
- Safety Bulletins.
- Description of Training Programs, who attended and when.
- Operational and maintenance records

All mandatory incident and accident reports will be kept for at least 7 years. If there is a legal action outstanding or anticipated regarding an incident or accident, then they will be kept until the legal action is completed.

1.5.4 Introduction to Reporting Systems

Safety management systems involve the reactive and proactive identification of safety hazards. Accident investigations reveal a great deal about safety hazards; but fortunately, aviation accidents are rare events. They are, however, generally investigated more thoroughly than incidents. Research leading to the 1:600 Rule showed that the number of incidents is significantly greater than the number of accidents for comparable types of occurrences. The causal and contributory factors associated with incidents may also culminate in accidents. Often, only good fortune prevents an incident from becoming an accident. Unfortunately, these incidents are not always known to those responsible for reducing or eliminating the associated risks. This may be due to the unavailability of reporting systems, or people not being sufficiently motivated to report incidents.
Need for safety reports
Knowledge derived from incidents can provide significant insights into safety hazards. Some safety databases contain a large quantity of detailed information. Safety reports systems should not just be restricted to incidents but should include hazards, i.e. unsafe conditions that have not yet caused an incident. Data from such reports facilitates an understanding of the causes of hazards, helps to define intervention strategies and helps to verify the effectiveness of interventions. Depending on the depth to which they are investigated, incidents can provide a unique means of obtaining first-hand evidence on the factors associated with mishaps from the participants. Incident data can also be used to improve operating procedures, and display and control design, as well as to provide a better understanding of human performance associated with the operation of aircraft, ATC and aerodromes.

Statutory requirements-
ICAO and DGCA require each airport to establish an incident reporting system to facilitate the collection of information on actual or potential safety deficiencies. In addition, personnel are encouraged to submit voluntary incident reports which:

a) Facilitate collection of information that may not be captured by a mandatory incident reporting system;
b) Is non-punitive; and
c) Affords protection to the sources of the information.

Non punitive reporting is a cornerstone of any safety management program. Senior management must be open to employee safety concerns and promote and ensure that there is no punitive fallout for the reporting of safety concerns. All employees must feel free to report any safety concerns they have and have an expectation that they will be heard, that their concern take seriously and that their career or employment will not be affected. As part of the education process, the SMSM will ensure that staff is made aware that they will not be penalized for submitting a report and their confidentiality will be protected if require.
**Mandatory incident reporting**

At ORIA and GSIA, it is mandatory to report any incident involving an unsafe, or potentially unsafe, occurrence or condition, irrespective of whether it involves injury or property damage or not. The report is to be submitted to the SMSM as soon as possible after the occurrence/incident but in any case not later than 24 hours after the incident. The accident/incident reports may be submitted in the format placed at Appendix “A” to this manual, or in any other format the user finds more suitable, may be used to submit other reports. The person reporting, at own discretion, may or may not disclose his/her identity. It is mandatory to report the following occurrence:

- Bird strike of an aircraft;
- Abnormal bird concentrations;
- Failure of Navigational/Landing Aids;
- Failure of Communication Services;
- Failure of Aerodrome lighting systems;
- Failure of any facility and procedure used in airside operations;
- Incorrect transmission, receipt or interception of radio telephone message (ground to air, ground to ground);
- Runway obstructed by foreign object;
- Presence of any wild animal in the operational area and likely to affect safe operations;
- going round of an aircraft on final approach due runway not being available;
- Major deterioration of services in aerodrome maneuvering area;
- Collision between moving aircraft and vehicles or any other ground equipment;
- Collision between vehicles or vehicles and GSE;
- Fuel spillage;
- Apron jet blast incident
- Breaches of airside driving rules resulting in hazards to aircraft;
- Failure to detect an unserviceable condition of airside facilities;
- Any incident of fire which either necessitates use of fire extinguishers or causes failure of any equipment or facility or disturbs smooth flow of air traffic or passengers or visitors;
- Any incident that has jeopardized safety of passengers / public and was avoided.
**Mandatory Reporting to SMS/ CAA**

In addition to the reporting mechanisms described previously, some incidents and accidents require mandatory reporting to the SMSM and the CAA, for the purpose of complying with the AN (OT) O Articles 139,140 and CAA Mandatory Occurrence Report Manual. Mandatory reporting is required for:

- Any accident or event that results in a fatality, injury or illness to person or damage to property or the environment.
- An event which if not corrected would likely endanger people, property or the environment, or an incident involving circumstances indicating that an accident nearly occurred. The following are examples of these types of incidents:
  - Failure or significant malfunction of airfield lighting.
  - Runways or aircraft manoeuvring areas obstructed by aircraft, vehicles or foreign objects, resulting in a hazardous or potentially hazardous situation.
  - Runway incursions.
  - Errors or inadequacies in marking of obstructions or hazards on runway or aircraft manoeuvring areas.
  - Collision between a moving aircraft and any other aircraft, vehicle or other ground object.
  - Jet or prop blast incidents that could have resulted in significant damage or serious injury.
  - FOD and wildlife on the runway that strikes an aircraft.
  - When an aircraft was, or could have been, endangered by the impairment of any member of ground staff.

The SMSM is responsible for ensuring that a Mandatory Safety Report is prepared when required. In some cases, the airline, air traffic service, the ground handling company, etc. may actually prepare the report and submit to the SMSMS and the CAA. In other cases, the SMSMS will have to prepare the report with the input of those that witnessed or observed the incident or accident. In all cases the report will be submitted as soon as practicable and by the quickest means practicable. Notwithstanding the requirements to actually prepare and file a Mandatory Report, it is the responsibility of every person working at ORIA or GSIA who observes or witnesses a mandatory incident or accident to inform the SMSM, or their respective supervisor or manager of the details of the incident or accident immediately.
**Voluntary Reporting**

Any person working at the airport may and is encouraged to report what they see as a potential safety hazard or concern which could lead to an accident, damage or injury. Examples include a driver not stopping for passengers, inadequate escorts for arriving or departing passengers, airside personnel potentially exposed to jet blast, FOD receptacles not emptied, vehicles left unattended on the apron, confusing signs, poor lighting, etc. The person who wants to make a report may do so by verbally telling the SMAS about his or her concern. This could take place while the SMAS is conducting routine safety observations, or by phone to the SMAS or by visiting the SMAS in his office. The person may also decide to prepare and submit a written report to the SMAS with a copy to the SMS SC submitted through the office of the Airport Manager. The person making the report can further elect whether to provide his or her name on the written report. The SMS will maintain the confidentiality of the person making a report. If a report is received verbally, the SMS will note the verbal report on his Safety Observation Report described subsequently without indicating who provided the report unless that person provides his or her approval to do so. Further, depending on the severity of the hazard or concern, recommendations will be made or action taken to mitigate the hazard as quickly as possible. Once the SMS receives a verbal or written report, the SMS will investigate the potential hazard, analyze the potential risk, and determine what action, if any, is required. For written reports, the SMSM will provide written feedback to the originator and the Safety Committee that the concern or potential hazard has been analyzed and that appropriate action has been taken, or why no action was taken if appropriate.
Handling Safety Reports
The safety reports received will be handled with absolute confidentiality as far as the names and identities are concerned. The reports which are mandatory to be transmitted to DGCA would be transmitted and followed up with a brief investigation report, where applicable. In any case, each report would be investigated, analysed and entered in a database. A trend projection and cause-effect analysis would be carried out and feedback provided to the management concerned and relevant authorities. Based on the above analysis, the need to review or reassess any safety measure will be evaluated, documented and acted upon accordingly. In order to ensure build up of user confidence in the system, it is important to provide a feedback to the reporting agency or employee on what action, if any, was taken on the report. It is important to remember that this feedback is even more important when no action was taken since in the absence of any visible action, the users may loose confidence in the system and stop reporting matters altogether. In the event the report received was anonymous, this feedback may be circulated in the form of a notice board entry/e-mail containing a brief statement of the problem and action taken to resolve the same without referring to the fact that the same was consequential to an anonymous report.

1.5.5 Safety Violations
Although the CIAA supports a “no-blame” accident and incident reporting policy, the CIAA will not tolerate violations of certain safety rules at the airport. Safety violations include, but are not necessarily, limited to the following:

- Failure to report damage to an aircraft;
- Smoking airside, except in designated area;
- Driving on the manoeuvring area without permission;
- Failure to report a potentially hazardous incident;
- Driving in front of, or behind an aircraft with aircraft engines still running and/or anti-collision warning lights on;
- Parking in areas marked as parking unsafe or prohibited;
- Leaving vehicle unattended with engine running on movement area.

Depending on the safety violation and previous history of the offender, the following are examples of disciplinary action that may be taken:

- Verbal caution – not recorded;
- Formal verbal caution, recorded on personal employment;
- Formal written caution, recorded on personal employment file for a specified period;
- Temporary airside driving ban for driving offences with requirement for retraining and testing;
- Permanent airside driving ban, for serious or persistent driving offences;
- Temporary or permanent withdrawal of airside pass; or
- Disciplinary action leading to downgrading, suspension or dismissal.
Appendix 1A
ORIA
Aerodrome Hazard Reporting Form

This form should be used to report any aerodrome hazard that has caused or could cause an accident or incident. Send to the SMAS as soon as possible after the hazard is identified. You can submit the form anonymously (if required) by omitting relevant details.

Your name........................................................................................................................................

Your employer/position held ...........................................................................................................

Location the hazard was observed ..................................................................................................

Time and date the hazard was observed..........................................................................................

What were you doing at the time
..................................................................................................................................................

Details of the hazard (attach additional pages if insufficient room)
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..........................................................................................................................................................
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..........................................................................................................................................................

Your recommendations (if any) to deal with this hazard (attach additional pages if insufficient room)
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..........................................................................................................................................................
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..........................................................................................................................................................
..........................................................................................................................................................
..........................................................................................................................................................

Signature.................................................................................................................. Date ..................... .
Safety Manager to complete the following sections including risk assessment

Date this report was received........................................ Level of risk assessed as............... 
Referred to Aerodrome Safety Committee: Y / N

Actions required: (attach additional pages if insufficient room) ..................................................
........................................................................................................................................
........................................................................................................................................
Person(s) responsible ................................................................................................................
Completion date(s) due ..............................................................................................................
Person making the report (if known) advised of outcome: Y / N date .................................
Aerodrome Risk Register updated (date) ...........................................

Signed .................................................................................................................................

Name ................................................................................................................................. (Aerodrome Manager)

Date .....................
SECTION 2 – SAFETY RISK MANAGEMENT

2.1 Hazard Identification
The SMSMS plays a big role and is central to the identification of hazards. As part of his or her daily responsibilities, the SMSMS is expected to spend a portion of his or her time physically touring the airport and its landside facilities as well as maintaining a presence on airside working areas. Operational tempo and manpower could dictate how much time will be spent in these activities. While there, the SMSMS role includes the observation of operations, maintenance and construction activities to ensure that safe practices and procedures are being followed. The SMSMS is also expected to talk with any available personnel working on the aerodrome to determine if they have any safety concerns or questions. A combination of this personal approach and a healthy reporting system should identify a large portion of the hazards that exist. Of course as the program matures and empirical data is collated, trend analysis can become an effective source of hazards as well.

2.1.1 Hazard Reporting
In the event that an accident or incident occurs and the SMSMS is not available notify airport security who will respond and record the appropriate information as needed. It is still the responsibility of the reporter of the incident or accident and their immediate supervisor to ensure SMSMS is notified of the occurrence within 24 hours. These procedures are very important to ensure timely investigation of the occurrence and for all concerned to benefit the most from lessons learned as a result of the occurrence. The following paragraphs are for information purposes and relate to airside occurrences.

2.1.2 Hazard Investigations
The guidance on investigating any occurrence airside is contained in DGCA Civil Aviation Requirements, Section 5 – Air Safety Series 'C' part I dated 13th October 2006. The sole objective of the investigation of an occurrence shall be the prevention. It is not the purpose of this activity to apportion blame or liability. For accidents, the Director-General may order the investigation under Rule 71, by general or special order & appoint any person for the purpose of carrying out such investigation. Depending on the size & complexity of the investigation, nature of accident and investigation skills available, DGCA may constitute appropriate groups as contained in guidelines on ICAO Doc 9756 Vol I after obtaining information from site and
analyzing the preliminary information and evidences on the accident. In addition the Director-General may order the investigation of any serious incident involving an aircraft or a person associated with the maintenance and operation of aircraft, or both. Incidents other than the serious incidents shall be investigated by the Permanent Investigation Board of the Airlines under supervision of Officer of the Regional Air Safety Offices.

2.1.3 **Hazard Responsibility**

The Aerodrome closest to the site of accident/ Serious Incident is responsible to take immediately all reasonable measures to protect the evidence and to maintain safe custody of the aircraft including parts thereof and its contents until the arrival of the Inspector of Accidents/ Inquiry Officer at the scene whenever accident/serious incident occurs at a place under their jurisdiction. Action must be taken for arranging for guarding of the wreckage including the preservation, by photographic or other means of any evidence which might be removed, effaced, lost or destroyed. This issue is more completely handled in Aerodrome Emergency Plan.
2.2 RISK MANAGEMENT

The purpose of identifying the hazards and assessing the airside risks is to determine whether enough has been done to prevent an incident or accident that may lead to fatalities, injuries and ill health, and/or damage to aircraft. Risk assessment can also indicate what improvements need to take priority, and thereby assist in developing budgets and business cases. A formal hazards identification and risk management process will be conducted:

a) At least once a year;
b) When major operational changes are planned; and
c) When new facilities are going to be constructed.

The seven step assessment process will be used for the hazards identification and risk management process. If the hazard has already been identified it will be necessary to start at step 3:

The Seven Step Assessment process-
Step 1- Development of a complete description of the system to be evaluated and of the environment, in which the system is to be operated;
Step 2- Identification of hazards;
Step 3- Estimation of the severity of the consequences of hazard occurring;
Step 4- Estimation of the likelihood of a hazard occurring;
Step 5- Evaluation of risk;
Step 6- Mitigation of risk; and
Step 7- Development of safety documentation.

For each hazard identified, the risk index is to be calculated based on its severity and likelihood as follows:
Qualitative Measures of Severity

<table>
<thead>
<tr>
<th>Level</th>
<th>Descriptor</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Insignificant</td>
<td>No injuries, low financial loss.</td>
</tr>
<tr>
<td>2</td>
<td>Minor</td>
<td>First aid treatment required, medium financial loss.</td>
</tr>
<tr>
<td>3</td>
<td>Moderate</td>
<td>Medical treatment required, high financial loss.</td>
</tr>
<tr>
<td>4</td>
<td>Major</td>
<td>Extensive injuries, major financial loss.</td>
</tr>
<tr>
<td>5</td>
<td>Catastrophic</td>
<td>Death, huge financial loss.</td>
</tr>
</tbody>
</table>

Qualitative Measures of Likelihood

<table>
<thead>
<tr>
<th>Level</th>
<th>Descriptor</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Certain</td>
<td>Is expected to occur in most circumstances.</td>
</tr>
<tr>
<td>4</td>
<td>Likely</td>
<td>Will probably occur at some time.</td>
</tr>
<tr>
<td>3</td>
<td>Possible</td>
<td>Might occur at some time.</td>
</tr>
<tr>
<td>2</td>
<td>Unlikely</td>
<td>Could occur at some time.</td>
</tr>
<tr>
<td>1</td>
<td>Rare</td>
<td>May occur in exceptional circumstances.</td>
</tr>
</tbody>
</table>
## Risk Assessment Matrix

<table>
<thead>
<tr>
<th>Likelihood</th>
<th>Insignificant</th>
<th>Minor</th>
<th>Moderate</th>
<th>Major</th>
<th>Catastrophic</th>
</tr>
</thead>
<tbody>
<tr>
<td>Almost certain</td>
<td>M</td>
<td>H</td>
<td>E</td>
<td>E</td>
<td>E</td>
</tr>
<tr>
<td>Likely</td>
<td>M</td>
<td>H</td>
<td>H</td>
<td>E</td>
<td>E</td>
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<tr>
<td>Possible</td>
<td>L</td>
<td>M</td>
<td>H</td>
<td>E</td>
<td>E</td>
</tr>
<tr>
<td>Unlikely</td>
<td>L</td>
<td>L</td>
<td>M</td>
<td>H</td>
<td>E</td>
</tr>
<tr>
<td>Rare</td>
<td>L</td>
<td>L</td>
<td>M</td>
<td>H</td>
<td>H</td>
</tr>
</tbody>
</table>

### Legend

- **E** Extreme risk, immediate action required
- **H** High risk, senior management attention needed
- **M** Moderate risk, management responsibility must be specified
- **L** Low risk; manage by routine procedures
## ORIA Aerodrome Risk Register

<table>
<thead>
<tr>
<th>Ref No.</th>
<th>Hazard</th>
<th>Risk</th>
<th>Risk treatments/controls</th>
<th>Residual risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td>2</td>
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**Notes:**

1. You must assess the risk that results from each of the hazards that you have identified and add the risk rating in this column.

2. You must assess the residual risk after taking the risk treatments and controls into consideration and add the residual risk rating in this column. If the risk rating is above acceptable levels, you must introduce additional treatments and controls.

3. This Risk Register must be reviewed periodically by the SMS Safety Committee. Any additional hazards that are identified must be added to the register and their risk assessed.
Note: Appropriate details including the numbers corresponding to the Likelihood and Consequence and the letters corresponding to Initial and Residual Risk must be inserted in this form

<table>
<thead>
<tr>
<th>Hazard ref.</th>
<th>Number</th>
<th>Likelihood</th>
<th>Consequence</th>
<th>Initial Risk</th>
<th>Treatment in place Y/N</th>
<th>Residual risk</th>
<th>Action to be Taken</th>
<th>Responsibility</th>
<th>Due date</th>
<th>Residual risk after action</th>
</tr>
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</tbody>
</table>

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The CIAA SMS process for Risk Management and Safety Assessment is summarized in the flow chart below.

1. Describe the system to be assessed
2. Describe the operational environment
3. Identify hazards
4. Identify consequences
5. Make estimate of risk
6. Is risk acceptable?
   - Yes: Document decision and proceed to next stage of development
   - No: Identify risk mitigation measures
     - Make new estimate of risk
       - Is risk acceptable?
         - Yes: Document decision and proceed to next stage of development
         - No: Is risk ALARP?
           - Yes: Document decision and proceed to next stage of development
           - No: Is risk tolerable?
             - Yes: Document decision and proceed to next stage of development
             - No: Abandon project or revise original project objectives
SECTION 3– SAFETY ASSURANCE

3.1 Introduction to Safety Performance indicators, Targets and Requirements

In any system, it is necessary to set and measure performance outcomes in order to determine whether the system is operating in accordance with expectations, and to identify where action may be required to enhance performance levels to meet these expectations. The acceptable level of safety expresses the safety goals (or expectations) of an oversight authority (DGCA), an operator or a service provider. It provides an objective in terms of the safety performance operators/service providers should achieve while conducting their core business functions, as a minimum acceptable to DGCA. It is a reference against which DGCA can measure safety performance. In determining an acceptable level of safety, it is necessary to consider such factors as the level of risk applicable, the cost/benefits of improvements to the system, and public expectations on the safety of the aviation industry. In practice, the concept of acceptable level of safety is expressed by two measures/metrics i.e. safety performance indicators and safety performance targets and implemented through various safety requirements. The following explains the use of these terms:

- **Safety performance indicators** are a measure of the safety performance of a department. Safety indicators should be easy to measure and be linked to the major components of a company's SMS. Safety indicators will therefore differ between departments, aircraft operators, aerodrome concessionaires or ATS providers.

- **Safety performance targets** (sometimes referred to as goals or objectives) are determined by considering what safety performance levels are desirable and realistic for individual departments, operators, concessionaires or service providers. Safety targets should be measurable, acceptable to stakeholders, and consistent with SMS.
• **Safety requirements** are needed to achieve the safety performance indicators and safety performance targets. They include the operational procedures, technology, systems and programmes to which measures of reliability, availability, performance and/or accuracy can be specified.

The relationship between acceptable level of safety, safety performance indicators, safety performance targets and safety requirements is as follows: *acceptable level of safety* is the overarching concept; *safety performance indicators* are the measures/metrics used to determine if the acceptable level of safety has been achieved; *safety performance targets* are the quantified objectives pertinent to the acceptable level of safety; and *safety requirements* are the tools or means required to achieve the safety targets.

Safety indicators and safety targets may be different (for example, the safety indicator is *0.5 fatal accidents per 100 000 hours for airline operators*, and the safety target is *a 40 per cent reduction in fatal accident rate for airline operations*), or they may be the same (for example, the safety indicator is *0.5 fatal accidents per 100 000 hours for airline operators*, and the safety target is *not more than 0.5 fatal accidents per 100000 hours for airline operators*).

3.1.1 The **Safety Indicator** for ORIA Passenger Injuries/Incidents over the past three years is:

1 injury/incident for every **160,000** passengers.

The **Safety Target** for 2012 in relation to this subject is:

To reduce the amount of injury/ incident per passenger by **14%**
3.2 Change Management

Hazards may inadvertently be introduced in an operation when there is change. Effective safety management requires that hazards be systematically and proactively identified and that risk management strategies be developed, implemented and subsequently evaluated. The objective is to reduce the safety risks resulting from changes to the provision, management or administration, of the Airport Services and products to a level as low as reasonably practical (ALARP). Change management is applied to a wide scope of activities; it is not limited to changes to services and systems but also extends to programs and products. As well, it includes not only technical changes but also management and administration changes such as organization structure, policies and procedures. Change management should be applied whenever:

- A major organizational change is being planned;
- The Organization is undergoing rapid expansion or contraction;
- Introduction of new equipment or facilities is being considered;
- Existing equipment is being decommissioned;
- Introduction of new procedures is being planned;
- Existing procedures are being revised;
- Changes to key personnel are taking place;
- There are changes to the legislation that the organization operates under.

There are three key requirements of the change management process.

1) The first is to develop a Safety Management Plan (SMP), whose purpose is to:
   - identify the requirement for safety management activities upon the type of change and complexity (gap analysis);
   - describe the activities necessary to fulfil those safety management requirements;
   - schedule those safety management activities
   - identify roles and responsibilities, and
   - allocate resources for the activities.
A key activity of the SMP is the conduct of the risk analysis management process, in particular, how many Hazards Identification and Risk Analyses (HIRA’s) will be required, which HIRA process will be required, which HIRA process(es) will be used, who is responsible for the HIRA, which stakeholders will participate and when will the HIRA be conducted. It is important to note that the HIRA is NOT part of the SMP; it is an activity that follows the SMP.

2) The second requirement is to apply a risk management process. Incorporating the appropriate system safety and Human Factors concepts and principles, that includes the following key activities:

- **Hazard Identification** – The system under study is systematically reviewed to identify the types of hazards present and/or those that may be introduced into the system by the proposed changes.

- **Risk Assessment / Analyses** – Once the hazards have been identified, the associated risks must be described and evaluated, in light of any existing and proposed mitigation, in order to determine whether it has been reduced to ALARP.

- **Risk Mitigation / Control** – If risks are not at a level that is as low as reasonably practicable, then further mitigation is required and risk control options are designed to mitigate the risk by either eliminating the hazard if possible, or reducing the frequency of the loss and/or consequences of the loss should it occur.

- **Risk Monitoring / Evaluation** – Risk monitoring is important given the assumptions made vis-à-vis mitigation and the continuously changing aviation environment. Risk monitoring has four primary functions:
  1. To detect and adapt to changing circumstances / SMS remains effective and relevant;
  2. To ensure that risk control and mitigation options are achieving the expected results;
  3. To verify correctness of assumptions (are we doing what we said?);
  4. To ensure proper implementation of risk control and communications strategies.
3) The third and final requirement of the change management process is the preparation of a Safety Management Report (SMR). If the Safety Management Plan describes what safety management activities are planned, the SMR describes the safety management activities that were undertaken along with the results of those activities. In general, the Safety Management Report will document the following:

- both the current baseline and the change in sufficient detail to allow an understanding of the safety issues including the known functional/performance characteristics of the system, equipment or facility;
- the impact of the change on operations;
- the operational risk management methodology(ies) used to identify the hazards and assess the risks;
- the risk control strategies identified, together with evidence that the mitigations are accurate and complete based on the thoroughness of the hazard analysis and risk assessment;
- conclusions, including any assumptions, limitations and a statement that safety risks have been reduced to ALARP.

Consultation should be sought with the Senior Manager Safety Management Systems (SMSM) on when to apply the change management process. By undertaking these activities, the Cayman Islands Airports Authority will be proactively identifying the hazards and managing the risks before the changes are implemented. Not only does this make sense from a safety perspective; it is also a much more cost-effective to not have to go back to the drawing board and address safety issues that were missed.

The diagram on the following page illustrates how all the elements of a SMS work together to create an ever-changing and always improving dynamic safety culture capable of maintaining safety while accepting change.
3.3 Continuous Improvement of the SMS

The number one way to ensure correct operation of the organizations SMS program is the audit process. Audits focus on the integrity of the organizations SMS, and periodically assess the status of safety risk controls. Audits are not intended to be in-depth audits of the technical processes but rather they are intended to provide assurance to managers that activities within their areas of responsibility are being conducted safely and conform to the safety management system requirements. It will also demonstrate to all employees that the management is taking a continuing interest in safety. Employees should not see auditing as a threat but rather as a co-operative activity to improve the level of service.

There are two general types of audits that we will be subject to on a regular basis;

- Internal audits- to confirm conformance with the safety management system
- External audits- to confirm conformance with the regulatory requirements.

The SMSM will arrange for an annual internal audit of the Safety Management System, including aerodrome facilities and equipment. Additionally, the SMSM will arrange for an external audit and inspection for the evaluation of contractors, sub-contractors or tenants of the aerodrome to comply with OTAR 139.71 (h). The format for these audits will be in compliance with the CAA Audit Policy and Procedure Manual.

All audits conducted, whether internal or external shall be conducted by a suitably qualified safety expert(s) who shall prepare and sign the report. Credentials shall be furnished in advance to the CIAA CEO and may be forwarded for review to the CAA regulator.

Safety Oversight of Third Party Contractors- Based on the need for auditing these entities CIAA should ensure that all contracts agreed with third party contractors will ensure compliance with CAA regulatory requirements. Related training and direct oversight of third party contractors will be provided by the CIAA based on requirements identified in each respective work plan.

Note: Please refer to the CIAA Aerodrome Manual Part 4.8, pg 18 for full details.
3.3.1 The audit process

A formal notification of intention to perform the audit is forwarded to the section to be audited in adequate time for any necessary preparations to be made. The section may be requested to provide preparatory material in advance of the actual audit, for example- training records. At the opening meeting, the person conducting the audit should briefly present the background for the audit, its purpose, and any specific issues to be addressed by the audit.

The techniques for gathering the information on which the audit team’s assessment will be made include:

- Review of records;
- Interviews with staff; and
- Observations by the audit team.

The auditor would work systematically through the items on the relevant checklist. Once the audit activities are completed, the audit or would review all observations and compare them against the relevant regulations and procedures. An assessment would be made of the seriousness of all discrepancies. The audit would not focus only on negative findings. An important objective of the safety audit is also to highlight good practices.

A closing meeting would be held with the management of the section to brief them on the audit observations and any resulting recommendations. At this time a representative of the section would be given a chance to correct any misunderstandings. Dates for issuing an interim audit report and for receiving comments on it would be mutually agreed upon. A draft copy of the final report should be left with management.

At the completion of an audit, planned remedial actions would be documented for all identified areas of concern. It is the responsibility of the management of the section being audited to develop a corrective action plan setting out the actions to be taken to resolve identified deficiencies or safety shortcomings within an agreed time period. When completed, the corrective action plan should be forwarded to the SMSM. The final audit report will include this corrective action plan and detail any follow-up audit action proposed. The manager of the area being
audited is responsible for ensuring the timely implementation of the appropriate corrective actions.

The audit report would be an objective presentation of the results of the safety audit. As soon as possible after completion of the audit, an interim audit report would be forwarded to the manager of the unit or section for review and comments. Any comments received would be taken into consideration in the preparation of the final report, which constitutes the official report of the audit.

An audit follow-up involves management of change. Upon receipt of the final audit report, management needs to ensure that progress is made to reduce or eliminate the attendant risks. The primary purpose of an audit follow-up is to verify the effective implementation of the corrective action plan. Follow-up is also required to ensure that any action taken pursuant to the audit does not in any way degrade safety. In other words, new hazards with potentially higher risks must not be allowed to enter the system as a consequence of the audit. Where a follow-up visit has been made, a further report of this visit will be prepared. This report will clearly indicate the current status of the implementation of the agreed corrective actions. If any non-compliance, deficiency or safety shortcoming remains unresolved, the auditor will highlight this in the follow-up report.
SECTION 4- SAFETY PROMOTION

4.1 Safety Training and Education

An organization’s safety culture is linked to the success of its safety management training program. All personnel must understand the organization’s safety philosophy, policies, procedures and practices, and they should understand their roles and responsibilities within that safety management framework. Safety training should begin with the initial familiarization of employees and continue throughout their employment. Specific safety management training should be provided for staff who occupies positions with particular safety responsibilities. The training program should ensure that the safety policy and objectives of the organization are understood and adhered to by all staff, and that all staff is aware of the safety responsibilities of their positions.

Competency training requirements for each area of work will be documented and training files maintained for each employee, including management, to assist in identifying and tracking employee training requirements. Documented competency training policies for each individual functional area can be found in respective functional area competency training manuals.

The SMSMS shall ensure that each staff member receives initial training and comprehends the SMS manual within a period of one month from the date of reporting for duty. For this purpose a copy of the SMS Manual shall be made available. A certificate from the staff member shall be obtained stating clearly that he/she has read and understood all the provisions of the SMS Manual.

4.2 Safety Communications

Safety communication is an essential foundation for the development and maintenance of an adequate safety culture. There are three basic elements used in safety communication- Safety communication, consultation and reporting.

The communications element captures the processes used to ensure the open exchange of safety-related information both externally and internally to the company. This element plays a critical role in ensuring that all the risks present in the air navigation system are recognized, registered and mitigated and the information gained, plus improvement measures, are disseminated across the whole company.
Consultation with all sections of CIAA and our customers and suppliers on all aspects of safety is an important aspect of safety management as it formalizes links of communication among the respective stakeholders of aviation safety.

Reporting the results of safety investigations, safety reviews, safety audits and overall safety activities and performance to the appropriate audience has many benefits. It promotes transparency, commitment, ownership of safety issues. The most important benefit of reporting safety issues and information is that it allows similar problems to be reported but most of all it allows for potential problems or issues to be eliminated before they happen. Prevention is always best.

The CIAA is committed to ensuring that all personnel working airside are informed about the safety policies and objectives, how well the airport is meeting safety objectives, results of accident and incident investigations, new safety practices, and other matters dealing with safety. Some of the methods used are discussed below.

4.2.1 Safety Meetings
At least once per year, the SMS will hold safety meetings with airport staff and other personnel working at the airport. The purpose of these meetings is to:

- Report on safety performance as detailed in section;
- Summarize the initiatives and action taken, or planned, to address safety concerns and potential hazards;
- Report on lessons learned and action taken as a result of any incidents and accidents, and;
- Discuss in an open forum the safety concerns that any of the participants might have.

4.2.2 Other Communication methods:
- Bulletin Board
- CIAA Safety Newsletter
- CIAA website
- e-mail to staff
- informal workplace meetings between staff and the accountable Manager or Senior Managers