

# Annex 2

## 1 SMS-Implementation Phases

### Phase 1: Initial Assessment

Initial assessment requires that, by 01.01.2009, applicants provide FOCA:

- The name of the accountable executive;
- The name of the person responsible for implementing the SMS;
- A written Safety Policy, including a statement of commitment to the implementation of SMS (signed by the accountable executive); (*guidance for the development of an appropriate safety policy is provided in Annex 3 to this leaflet. The policy should be appropriate to the organization, and not simply a completed "template"*);
- Documentation of a gap analysis between the organization's existing system and the required SMS framework; (*a template for conducting such a gap analysis is provided in Annex 4 to this leaflet*);
- The organization's implementation project plan, based on the SMS framework and stakeholders' internal gap analysis. (No specific format is required; however the plan should be made using modern project management practices).

### Phase 2: One-Year Follow-up

After one-year, certificate holders will demonstrate that their system includes the following components:

- Documented policies and procedures relating to the required SMS components;
- A process for occurrence reporting with the associated supportive elements such as training, a method of collecting, storing and distributing data, and a **(reactive)** risk management process;
- Safety communication within the organization, as well as with associated organizations.

### Phase 3: Two-Year Follow-up

Two years after initial assessment, the certificate holder will demonstrate that, in addition to the components already demonstrated during Phase No.2, they also have a process for the **proactive** identification of hazards and associated methods of collecting, storing and distributing data and a risk management process. Required components:

- Documented policies and procedures relating to all required SMS components;
- Process for reactive occurrence reporting and training;
- Process for proactive identification of hazards.
- Selection of safety indicators and targets; acceptable level(s) of safety

**Phase 4: Three-Year Follow-up**

- One year following Phase No.3, certificate holders will demonstrate that, in addition to the components already demonstrated during Phases No.2 and No.3, they have also addressed:
- Training;
- Just culture;
- Quality Assurance;
- SMS continuous improvement;
- Emergency preparedness.

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