



**LIBYAN CIVIL AVIATION AUTHORITY**  
**FLIGHT SAFETY DEPARTMENT**  
**OPERATIONS SECTION**

**Safety Management Manual Approval Checklist**  
**(Reference to ORO.GEN.200 and all associated AMC/GM)**

The SM Manual should include the following items in so far as they are appropriate to the type of operations to be conducted. This form may be used as an applicant's compliance statement & CAA inspector checklist.

Name of Operator: \_\_\_\_\_ Date: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Name of Accountable manager \_\_\_\_\_ Tel. \_\_\_\_\_  
 Name of Head of SMS: \_\_\_\_\_ Tel. \_\_\_\_\_  
 Name of CAA Inspector conducting the review: \_\_\_\_\_

(A = Acceptable, U = Unacceptable, N/A = Not Applicable)

Ch	Subject	SM Man. reference	A	U	N/A
<b>1</b>	<b>Document Control</b>				
1.1	<b>Objective</b> How the operator does intends to keep the manual up to date and ensure that all personnel have the most current version.				
1.2	<b>Criteria</b> Hard copy or controlled electronic media are used for manual distribution. The initial correlation of this manual with other approved documentation, such as Company Exposition Manual, Maintenance Control Manual, Flight Operations Manual, as applicable. There is a process for periodic review of other safety management system related documentation and manuals to ensure their continuing suitability, adequacy and effectiveness. The manual is readily accessible by personnel. The manual is approved by the Accountable Manager.				
1.3	<b>Cross Reference Documents</b>				
<b>2</b>	<b>SMS Regulatory Requirements</b>				
2.1	<b>Objective</b> Elaborate on current LYCAA SMS regulations for necessary reference and awareness by all personnel				
2.2	<b>Criteria</b> Spell out current SMS regulations/standards. Include compliance timeframe and advisory material references as applicable. Where, appropriate, to elaborate or explain the significance and implications of those regulations to the organization. Where, relevant, correlation to other safety related requirements or standards may be highlighted such as ICAO Annexes.				
2.3	<b>Cross Reference Documents</b>				
<b>3</b>	<b>Scope and Integration of the Safety Management System</b>				
3.1	<b>Objective</b> Describe scope and extent of the organization's aviation related operations and facilities within which the SMS will apply. The scope of HIRA				



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	eligible processes, equipment and operations should also be addressed.				
Ch	Subject	Page-Paragraph	A	U	N/A
3.2	<p><b>Criteria</b></p> <p>Spell out nature of the organization's aviation business and its position or role within the industry as a whole. Identify equipment, facilities, work scope, capabilities and other relevant aspects of the organization within which the SMS will apply. Identify the scope of all relevant processes, operations and equipment which are deemed to be eligible for the organization's HIRA evaluation program; especially those which are pertinent to aviation safety. If the scope of HIRA eligible process, operations and equipment is too detailed or extensive, it may be controlled under a supplementary document as appropriate.</p> <p>Where the SMS is expected to be operated or administered across a group of interlinked organizations or contractors, such integration and associated accountabilities should be defined and documented as applicable.</p> <p>Where there are other related control/management systems within the organization such as ISO9000, HFEM, OHSAS, QMS, MEDA etc, their relevant integration (where applicable) within the aviation SMS should be identified.</p>				
3.3	<b>Cross Reference Documents</b>				
4	<b>Safety Policy</b>				
4.1	<p><b>Objective</b></p> <p>Describe the organization's intentions, management principles, and commitment to improving aviation safety in the company. A safety policy should be a short description similar to a mission statement.</p>				
4.2	<p><b>Criteria</b></p> <p>The safety policy should be appropriate to the size and complexity of the organization. The safety policy states the organization's intentions, management principles and commitment to continuous improvement in the aviation safety level. The safety policy is approved by the Accountable Manager. The safety policy is promoted by the Accountable Manager. The safety policy is reviewed periodically. Personnel at all levels are involved in the establishment and maintenance of the safety management system. The safety policy is communicated to all employees with the intent that they are made aware of their individual safety obligations. The safety policy should be signed by the Accountable Manager.</p>				
4.3	<b>Cross Reference Documents</b>				



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<b>5</b>	<b>Safety Objectives and Goals</b>				
5.1	<p><b>Objective</b></p> <p>Describe the safety objectives and the safety performance goals of the organization. The safety objectives would be a short statement that describes in broad terms what you hope to achieve. In some cases this statement may be incorporated into the Safety Policy Statement. Performance goals are specific and measurable goals that allow you to measure the degree of success of your SMS.</p>				
5.2	<p><b>Criteria</b></p> <p>Safety objectives are expressed as a top-level statement describing the organization's commitment to achieving safety. There is a formal process to develop a set of safety objectives/ goals necessary to provide direction and impetus to the SMS. These objectives/ goals can be supported by data based on safety indicators or parameters. Safety objectives/ goals are publicized and distributed. Resources have been allocated for achieving the objectives and goals.</p>				
5.3	<b>Cross Reference Documents</b>				
<b>6</b>	<b>Safety Accountabilities and Key personnel</b>				
6.1	<p><b>Objective</b></p> <p>Describe the safety authorities, responsibilities and accountabilities for personnel involved in the SMS.</p>				
6.2	<p><b>Criteria</b></p> <p>The Accountable Manager is responsible for ensuring that the safety management system is properly implemented and performing to requirements in all areas of the organization. Appropriate Safety Manager (office), Safety Committee or Safety Action Groups have been appointed as appropriate. Safety authorities, responsibilities and accountabilities of personnel at all levels of the organization are defined and documented. Safety authorities, responsibilities and accountabilities are promulgated to all personnel in key documentation and communication media. All personnel understand their authorities, responsibilities and accountabilities in regards to all safety management processes, decision and actions. A SMS organizational accountabilities chart is available.</p>				
6.3	<b>Cross Reference Documents</b>				
<b>7</b>	<b>Non-Punitive Reporting Policy (Just Culture)</b>				
7.1	<p><b>Objective</b></p> <p>Describe the system or policy under which employees are encouraged to report errors, safety deficiencies, hazards, accidents, and incidents.</p>				



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7.2	<p><b>Criteria.</b></p> <p>There is a policy in place that encourages employees to report errors, safety deficiencies, hazards or occurrences. Conditions under which punitive disciplinary action would be considered (e.g. illegal activity, recklessness, gross negligence or willful misconduct) are clearly defined. The policy is widely understood within the organization.</p>				
7.3	<b>Cross Reference Documents</b>				
8	<b>Safety Reporting</b>				
8.1	<p><b>Objective</b></p> <p>A reporting system should include both reactive (accident/incident reports etc) and proactive/ predictive (hazard reports etc) data. Describe how your reporting system is designed and how it works. Factors to consider include: report format, confidentiality, data collection and analysis and subsequent dissemination of information on corrective actions, preventive measures and recovery controls.</p>				
8.2	<p><b>Criteria</b></p> <p>The organization has a process or system that provides for the capture of internal information including incidents, accidents, hazards and other data relevant to SMS.</p> <p>The reporting process is simple, accessible and commensurate with the size of the organization. Reports are reviewed at the appropriate level of management. There is a feedback process to notify contributors that their reports have been received and to share the results of the analysis. The report form is simple, standardized and accessible across the organization. There is a process to ensure that information is received from all areas of the organization within the scope of the SMS. There is a process in place to monitor and analyze trends. The organization has a process for the systematic investigation and analysis of operational conditions or activities that have been identified as potential hazards</p>				
8.1	<b>Cross Reference Documents</b>				
9	<b>Hazard Identification and Risk Assessment</b>				
9.1	<p><b>Objective</b></p> <p>Describe your hazard identification system and related schemes and how such data are collated. Describe your process for any categorization of hazards/risks and their subsequent prioritization for a documented safety assessment. Describe how your safety assessment process is conducted and how preventive action plans are implemented.</p>				
Ch	Subject	Page-	A	U	N/A



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		Paragraph			
9.2	<p><b>Criteria</b></p> <p>There is a structured process for the assessment of risks associated with identified hazards, expressed in terms of consequence (severity) and likelihood (probability of occurrence), Hazard identification and risk analysis procedures to manifest aviation safety as its fundamental context.</p> <p>There is a criterion for evaluating risk and the tolerable level of risk the organization is willing to accept together with any mitigating factors. The organization has risk control strategies that include corrective, preventive and recovery action plans. The organization has a process for evaluating and updating the effectiveness of the corrective, preventive and recovery measures that have been developed. Corrective, preventive and recovery actions, including timelines, are <b>documented</b>.</p>				
9.3	<b>Cross Reference Documents</b>				
10	<b>Safety Performance Monitoring and Measurement</b>				
10.1	<p><b>Objective</b></p> <p>Describe how you plan to review the effectiveness of your SMS. This includes the safety performance of the company by reviewing the safety performance indicators.</p>				
10.2	<p><b>Criteria</b></p> <p>There is a formal process to develop and maintain a set of safety performance indicators for trend, target (desired level) as well as minimum acceptable (alert) level monitoring. Safety alert (caution) levels which are intended to constitute the organization's minimum Acceptable Level of Safety (ALoS) shall be identified accordingly. These established levels shall be identified in this section of the manual and shall be subject to LYCAA acceptance. Periodic planned reviews of company safety performance indicators including an examination of the company's Safety Management to ensure its continuing suitability, adequacy and effectiveness that have been identified as potential hazards</p>				
10.1	<b>Cross Reference Documents</b>				
11	<b>Safety Investigations</b>				
11.1	<p><b>Objective</b></p> <p>Describe how accidents/incidents are investigated. Explain how the contributing factors to an accident/incident are determined and how corrective action is recommended to prevent reoccurrence. Describe how such corrective/preventive actions are reviewed for updating any existing safety assessment or the need to initiate a safety assessment for newly uncovered hazards/risks.</p>				



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11.2	<b>Criteria</b> Measures exist that ensure reported occurrences and incidents are investigated where applicable. There is a process to ensure that such investigations include identification of active failures as well as contributing organizational factors. Investigation procedure and format includes the integration of safety related findings with the SMS. This ensures that appropriate SMS follow up actions on related as well as unrelated hazard or risks uncovered during the course of investigations are addressed.				
11.3	<b>Cross Reference Documents</b>				
12	<b>Safety Training and Communication</b>				
12.1	<b>Objective</b> Describe the type of SMS and other safety related training that staff receives and the process for assuring the effectiveness of the training. Describe how such training procedures are documented. Describe the safety communication processes/ channels within the organization.				
12.2	<b>Criteria</b> Training syllabus, eligibility and requirements are documented. There is a validation process that measures the effectiveness of training. The training includes initial, recurrent and update training, where applicable. The organization's SMS training is part of the organization's overall training program. SMS awareness is incorporated into employment or indoctrination program Safety communication processes/ channels within the organization.				
12.1	<b>Cross Reference Documents</b>				
13	<b>Continuous Improvement and SMS Audit</b>				
13.1	<b>Objective</b> Describe the processes for continuous improvement and review of your SMS.				
13.2	<b>Criteria</b> Regular audit/reviews of company safety performance indicators, including an internal assessment/ audit of the company's Safety Management System to ensure its continuing suitability, adequacy and effectiveness. Describe any other programs contributing to continuous improvement of the organization's SMS and safety performance e.g. MEDA, safety surveys, ISO systems, etc.				
13.3	<b>Cross Reference Documents</b>				
14	<b>SMS Data and Records Management</b>				
14.1	<b>Objective</b> Describe your method of recording and storing all SMS related documents.				
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14.2	<b>Criteria</b>				





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	The organization has a records system that ensures the generation and retention of all records necessary to document and support the SMS. Records kept include hazard reports, risk assessments reports, SAG/SRB meeting notes, safety performance monitoring charts, SMS audit reports, SMS training records, etc				
<b>14.3</b>	<b>Cross Reference Documents</b>				
<b>15</b>	<b>Management of Change</b>				
<b>15.1</b>	<b>Objective</b> Describe how you manage organizational internal/external/process changes that may have an impact on safety. How such processes are integrated with your SMS.				
<b>15.2</b>	<b>Criteria</b> The organization has a standard procedure or policy to perform or review safety assessments for all substantial internal or external changes which may have safety implications. There is procedure for performing safety assessment prior to introduction of new equipment or processes which may have safety implications before they are commissioned. All concerned stake holders within or without the organization are involved in such reviews. All such reviews are documented and approved by the management as applicable.				
<b>15.1</b>	<b>Cross Reference Documents</b>				
<b>16</b>	<b>Emergency Response Plan</b>				
<b>16.1</b>	<b>Objective</b> Describe the organization's intentions and commitment to dealing with emergency situations and their corresponding recovery controls. Outline the roles and responsibilities of key personnel. The Emergency Response Plan can be developed as a separate document or it can be placed in this manual.				
<b>16.2</b>	<b>Criteria</b> The organization has an emergency plan that outlines roles and responsibilities in the event of a major incident, crisis or accident. There is a notification process that includes an emergency call list and an internal mobilization process. The organization has arrangements with other agencies for aid and the provision of emergency services as applicable. The organization has procedures for emergency mode operations where applicable. There is a procedure for overseeing the welfare of all affected individuals and for notifying next of kin. The organization has established procedures for handling media and insurance related issues. There are defined accident investigation responsibilities within the organization.				
<b>Ch</b>	<b>Subject</b>	<b>Page-Paragraph</b>	<b>A</b>	<b>U</b>	<b>N/A</b>
	The requirement for preservation of evidence,				



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	<p>securing affected area and mandatory/governmental reporting is clearly stated. There is emergency preparedness and response training for affected personnel. A disabled aircraft or equipment evacuation plan is developed by the organization in consultation with aircraft/ equipment owners, aerodrome operators or other agencies as applicable. A procedure exists for recording activities during an emergency response.</p>				
<b>16.3</b>	<b>Cross Reference Documents</b>				
<p><b>Remarks:</b></p>					
<p><b>Action to Be Taken:</b></p>					