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SMS Training Program

*See the document: **Working with Omni Manuals**
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Revision: Original

05 Sept 2017

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Insert all revisions immediately. Briefly describe the revision and record the effective date and the initials of the person inserting the revision.

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SMS Training Program

1. Introduction

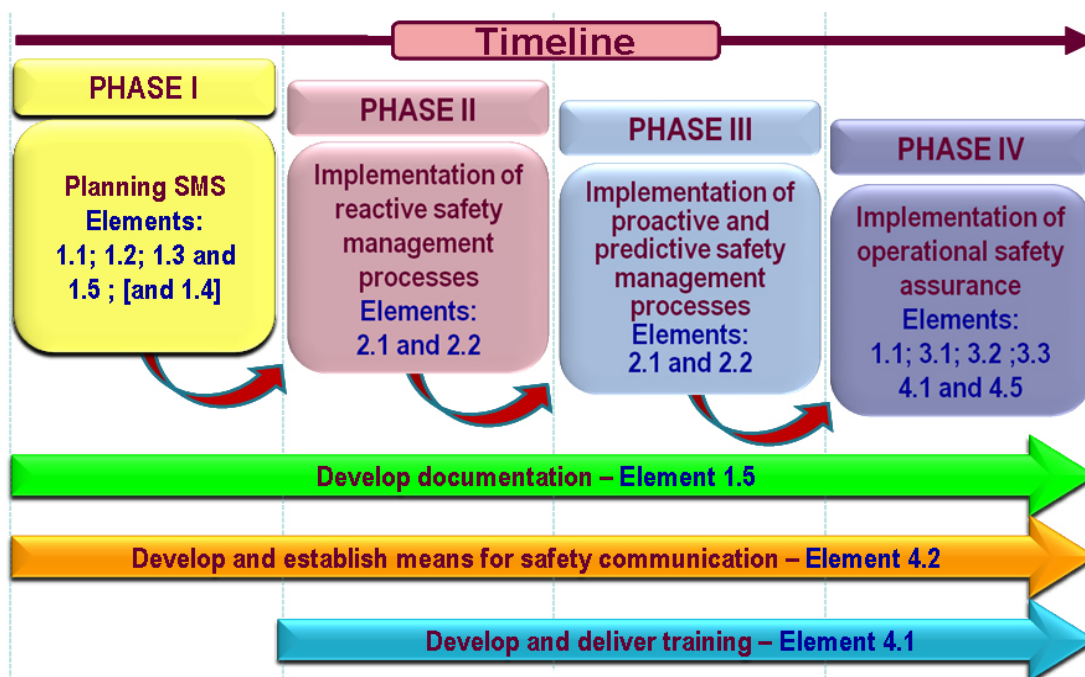
1.1 GENERAL INFORMATION

1.1.1 BACKGROUND

- (A) The Your Company **SMS Training Program** has been developed from guidance contained in ICAO Document 9859: Safety Management Manual and the FAA Academy’s International Training Program on Safety Management Systems.
- (B) This Program sets forth training and qualification methods, instructions and procedures for all front-line personnel, supervisors, managers, senior managers and the accountable executive regarding the YCO Safety Management System (SMS). SMS training is an important safety promotion element, which supports core SMS processes of safety risk management and safety assurance. Continued daily application of these core processes helps Your Company maintain the highest level of safety throughout the entire scope and life cycle of all systems and operational processes.

1.1.2 ALIGNMENT WITH ICAO SMS FRAMEWORK

- (A) SMS is a complex topic, and demands comprehensive training. At the same time, however, it is essential that students not be overwhelmed with the subject matter being presented. This is why Your Company has adopted ICAO’s recommended ‘building-block’ approach to SMS training.
- (B) Your Company delivers and administers a set of SMS e-learning courses, comprised of various modules which are approximately 20 – 30 minutes in length. Each module builds upon knowledge gained in previous modules, and each course of SMS training builds upon knowledge gained in previous courses.
- (C) Initial SMS training courses are aligned with the ICAO SMS Framework of four components and twelve elements. They are suitable for phases II, III, and IV of SMS implementation as set forth in ICAO Doc 9859.



1.2 POLICY

1.2.1 SMS TRAINING FOR SAFETY STAFF

- (A) Your Company delivers, or causes to be delivered, SMS training for safety staff and other personnel who hold key safety-related positions. SMS training may be conducted in-house via traditional classroom training, or outsourced to a reputable provider of aviation safety training.
- (B) When SMS training is [REDACTED] valid and current at the time of training.
- (C) When SMS training is outsourced, Your Company will provide company-specific SMS training. Company-specific SMS training should address Your Company's past safety record (including areas of systemic weakness), recent lessons learned, safety objectives, and company-specific procedures for voluntary and mandatory safety reporting.

NOTE:

Various industry courses are offered to provide safety staff members with a basic understanding of SMS theory and planning. Key personnel charged with implementing the YCO Safety Management System should possess significant education and Background in SMS, and receive additional training from industry sources in modern aviation safety management methods.

1.2.2 SMS TRAINING FOR ALL PERSONNEL, SUPERVISORS AND MANAGERS

- (A) All front-line personnel, supervisors, managers, [REDACTED] with the SMS and safety-related duties.
- (B) Front-line personnel must receive SMS training and have it documented prior to being released to work on their own.
- (C) Technical training and job-specific safety training is the responsibility of each department (e.g., dispatch, flight operations, station operations, maintenance & inspection).

1.2.3 PERSONNEL EXPECTATIONS (COMPETENCE)

- (A) Competency requirements ensure that personnel who perform safety-related functions have the knowledge, education, training and experience to carry out their duties with the highest level of professionalism and safety.
- (B) Successful completion and currency in the appropriate course of SMS training is a basic competency requirement for all personnel and managers.

1.2.4 BEST PRACTICES

- (A) Your Company has established the following best practices regarding the administration of Safety Management System training:
 - (1) All training administered will meet or exceed the minimum requirements of this program;
 - (2) All training materials utilized [REDACTED]
 - (3) Qualification shall be completed by written or electronic testing;
 - (4) All tests shall be considered satisfactory when the trainee achieves 100% test scores;
 - (5) All test results will be documented in training records;
 - (6) Adequate time shall be allocated to individual students, to ensure adequate learning has occurred.

1.3.3 SAFETY STAFF

- (A) Safety staff members must successfully complete all specified modules in the following courses of SMS training, as set forth in the **Table of SMS Training Courses and Categories** below:
- (1) Initial SMS Training for Personnel;
 - (2) Initial SMS Training for Managers;
 - (3) Recurrent SMS Training for Managers.

NOTE:

No employee of Your Company should be assigned to any duties with the company unless they have successfully completed the appropriate course of SMS training within the preceding 12 calendar months.

1.3.4 ACCOUNTABLE EXECUTIVE & SENIOR MANAGERS

- (A) Senior managers and the accountable executive should successfully complete all specified modules in the following courses of SMS training, as set forth in the **Table of SMS Training Courses and Categories** below:
- (1) Initial SMS Training for Personnel (specified modules only);
 - (2) Initial SMS Training for Managers (specified modules only);
 - (3) Recurrent SMS Training for Managers (specified modules only).

NOTE:

The accountable executive is responsible for assuring the overall performance of the YCO SMS. As a member of senior management, the accountable executive (and other senior managers) should therefore, at a minimum, complete the modules shown in the table below. **Senior managers are further encouraged to complete all training modules in all categories.**

2. Training Courses and Categories

COURSE OF TRAINING	Category of Training			
	Personnel	Supervisors & Managers	Safety Staff	AE & Senior Managers
INITIAL SMS TRAINING FOR PERSONNEL				
Introduction to SMS	X	X	X	X
Understanding the SMS	X	X	X	X
Roles & Responsibilities of Personnel	X	X	X	
Human Factors Awareness	X	X	X	
Safety Risk Management for Personnel	X	X	X	
Hazard Identification and Reporting	X	X	X	
Company Safety Policies and Objectives *	X	X	X	X
INITIAL SMS TRAINING FOR MANAGERS				
Introduction to SMS for Managers		X	X	
Roles & Responsibilities of Managers		X	X	X
Safety Promotion		X	X	X
Human Factors and Organizational Safety		X	X	
Safety Reports and Root Cause Analysis		X	X	
Safety Assurance and Internal Evaluation		X	X	
Safety Risk Management for Managers		X	X	
Management of Change		X	X	

* NOTE:

Safety policies and safety objectives are company-specific. Therefore, these subjects are administered in a formal classroom setting. Successful completion of all preceding e-learning modules within the course is a prerequisite to the classroom module: **Company Safety Policies and Objectives**.
Instructors may receive credit for all subjects taught.

Training Courses and Categories (continued)

COURSE OF TRAINING	Category of Training			
	Personnel	Supervisors & Managers	Safety Staff	AE & Senior Managers
RECURRENT SMS TRAINING FOR PERSONNEL				
Roles and Responsibilities of Personnel	X			
Avoiding Accidents	X			
Hazard Identification and Reporting	X			
Safety Performance Review & Lessons Learned *	X			
RECURRENT SMS TRAINING FOR MANAGERS				
Roles and Responsibilities of Managers	X	X	X	
Avoiding Accidents	X	X	X	X
Intro to Accident Investigation	X	X	X	
Safety Performance Review & Lessons Learned *	X	X	X	X

2.1 TRAINING INTERVALS

(A) Training should be completed satisfactorily within the preceding 12 calendar months for each person’s assigned duty position. Qualification is [redacted] depth so as to provide adequate knowledge for all personnel to accomplish their duties with the highest level of safety.

2.1.1 INITIAL SMS TRAINING

(A) Initial training (based on the appropriate category) is required for new-hires, for all persons whose currency has lapsed (re-qualification), and for personnel who are changing categories (e.g., a person who is being promoted to a supervisory position).

2.1.2 RECURRENT SMS TRAINING

(A) Recurrent SMS training is for all personnel who have received initial training within the last 12 calendar months. Recurrent SMS training should be [redacted] to have been completed in the person’s base month (the month in which training is due).

* NOTE:

Safety performance and lessons learned are company-specific. Therefore, these subjects are administered in a formal classroom setting. Successful completion of all preceding e-learning modules is a prerequisite to the classroom module: **Safety Performance Review and Lessons Learned**.

2.2 RESPONSIBILITIES

2.2.1 SAFETY DEPARTMENT MANAGER

- (A) The Director of Safety is responsible for assuring that all personnel complete the SMS training modules appropriate to their positions (including senior management) at least once every 12 months.
- (B) The Director of Safety shall [REDACTED] to supervisor or management duties.
- (C) The Director of Safety is responsible for assembling and maintaining a training folder for each individual who receives SMS Training. The Safety Department [REDACTED] using the SMS Training Status Board or other suitable method.
- (D) All records of training are maintained by the Safety Department in accordance with policies and procedures contained in the **RECORDKEEPING** paragraph below.

2.2.2 DEPARTMENT MANAGERS

- (A) Department managers are responsible for assuring that all personnel within their respective departments have received SMS training within the preceding 12 calendar months.

2.2.3 ALL PERSONNEL

- (A) No person may accept any assignment unless that person has received the appropriate course of SMS training within the last 12 months. Each person trained under this program is responsible for ensuring his or her SMS training interval does not exceed 12 calendar months.

NOTE:

Responsibility for assurance of SMS training currency is shared between the Safety Department, the manager who assigns duty, and the person to whom duty is assigned.

2.3 AUTHORITY

2.3.1 DIRECTOR OF SAFETY

- (A) The Director of Safety (or delegate) is [REDACTED] as set forth herein, at any time.

2.3.2 DEPARTMENT MANAGERS

- (A) Department managers are authorized to direct and assign their department's employees to take appropriate courses of SMS training as set forth herein, whenever the need is determined for initial, recurrent or remedial training.

2.3.3 ALL PERSONNEL

- (A) All personnel are authorized to respectfully decline an assignment for duty if they have not received SMS training within the last 12 calendar months.

2.4 SAFETY-RELATED SPECIFIC TRAINING

- (A) When safety-related specific training is required (e.g., first aid, fire-fighting, etc.), the Safety Department or appropriate department manager will coordinate [REDACTED] safety, and environmental information is included and conveyed to all personnel. Types of training may include:
- (1) Initial - New employees or those newly transferred to a position.
 - (2) Recurrent – Once-a-year refresher course.
 - (3) Remedial - Individuals who cause more than one accident, incident or injury will be retrained. Remedial training will also be [REDACTED] has resulted.
 - (4) First aid/CPR - FA/CPR will be provided at locations where adequate emergency vehicles are not available to company employees at all times.
 - (5) Specific Program Training - This training applies to hazardous work environments, such as confined spaces training, paint booth training, respirator training, etc. All specific program training will be documented in each employee's training file.

2.5 RECORDKEEPING

- (A) The Director of Safety is charged with the overall accuracy, completeness, maintenance and security of all SMS training files. The Director of Safety assembles and maintains a training folder for each individual who receives SMS training.
- (B) Training folders are kept in the training records files at the company's principal base of operations.
- (C) Training files contain a record of the [REDACTED] as the individual is performing duties for the company, and for no less than 2 years thereafter.

NOTE:

If approved by FAA / CAA, training records may also be kept in a computer-based recordkeeping system.

2.5.1 REDUCTION TO SINGLE-LINE ENTRIES

- (A) All records of training that are more than 12 months old may be reduced to single-line entries that contain the following information:
- (1) The name of the individual trained;
 - (2) The date training was completed;
 - (3) The person's category of training;
 - (4) The results of training (satisfactory or unsatisfactory).

2.6 SMS TRAINING STATUS

- (A) The Safety Department may elect to establish and maintain a Training Status Board at the Company's principal base of operations. This status board informs the Safety Department and other managers as to the SMS training status of personnel, [redacted] regarding SMS training.
- (B) The following table shows an example of the SMS Training Status Board. This Status board is checked by managers prior to assigning duties regarding the SMS. Only personnel that have been properly trained, qualified and are within currency should be assigned to duty. Further, no person should accept any assignment unless that person has been trained within the last 12 months.
- (C) Responsibility for training currency is therefore shared between the person who assigns duty and the person to whom duty is assigned.

2.6.1 STATUS BOARD

Names of Personnel	Category of Personnel	Date Trained	Expires	Records Review (Date & Initials)
Bob Jones (BJ)	Safety Staff	5/14/2017	5/31/2018	10/10/2017 BJ
Ali Etwebi	Personnel	Not yet assigned	---	N/A
Laars Hansenn	Accountable Exec.	In Training	---	N/A
Werner Gustav	Supervisor	3/25/2017	3/31/2018	10/10/2017 BJ
Wendy Carlos	Manager	4/2/2017	4/31/2018	10/10/2017 BJ

NOTE:

Personnel should know the status of their SMS training, and should confirm their training status with the Safety Department if any doubt as to their currency exists.

2.7 CONTROLS

- (A) The Safety Department conducts periodic records reviews of the training folders of each person, in conjunction with internal evaluations and compliance monitoring, as set forth in the YCO **Internal Evaluation Program**.
- (B) Any discrepancies between paper training records and computerized records should be carefully investigated to determine accuracy. If the discrepancy cannot be resolved, the individual must be retrained.
- (C) The person performing the review shall [redacted] the training records filing cabinet upon completion of the records review. The Safety Department may delegate this duty but remains responsible for its timely and accurate completion.

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3. SMS Training for Personnel

3.1 COURSE: INITIAL SMS TRAINING FOR PERSONNEL

3.1.1 TRAINING CATEGORY

(A) All company personnel, including supervisors / managers, safety staff, and senior managers.

3.1.2 COURSE OBJECTIVES

(A) To provide new-hire and current or previously qualified students with [redacted] attributes of a positive and “just” safety culture, and to actively participate in that culture; to understand and apply duties, responsibilities and authorities as they pertain to safety management; to [redacted] understand and be able to utilize the Employee Reporting System, without fear of retribution; to understand and apply basic Safety Risk Management techniques to daily activities.

3.1.3 PREREQUISITES

(A) Successful completion of YCO **Basic Indoctrination Training**.

3.1.4 COURSE STRUCTURE

(A) This course is comprised of eight modules, each with one or more topics. After each module is a quiz with multiple-choice, true / false and other question formats. The course:

- (1) Satisfies requirements for initial and re-qualification training;
- (2) May be completed in more than one session;
- (3) May be taken as many times or as often as the student desires, or as management requests.

3.1.5 INSTRUCTIONAL METHODS

(A) Instruction is delivered via [redacted] the last module: **Company Safety Policies and Objectives**.

3.1.6 COURSE ENROLLMENT

(A) Students login to the OmniSMS Learning Management Center to access the course. If the student is unable to complete the course in one session, the student may log out. The program records all module completions and every question answered. When returning to the course, the student may resume at the last point of progress.

3.1.7 COMPLETION STANDARD

(A) A student has successfully completed **Initial SMS Training for Personnel** when [redacted] **Training Courses and Categories**, and:

- (1) All associated quizzes have been successfully completed and corrected to 100%;
- (2) A certificate of completion resides in the student’s training records.

3.2 SYLLABUS: INITIAL SMS TRAINING FOR PERSONNEL

3.2.1 MODULE – INTRODUCTION TO SAFETY MANAGEMENT SYSTEMS

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student can demonstrate

the highest level of safety.

- Welcome Message
- Course Completion Standards
- SMS Participation
 - Ways to Improve Safety
 - Improving Safety Culture
 - Common Goals
 - Safety is Everyone's Job
- Benefits of Continuous Improvement:
 - Increased Production
 - Improved Company Performance
- New Ways to Think About Safety
- Making the SMS Work
- Quiz

3.2.2 MODULE – UNDERSTANDING THE SMS

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student can demonstrate

the four components of SMS and the role of each component in effective safety management.

- Safety Defined
- Important SMS Concepts
 - Processes and conditions
 - Systems and Interfaces
 - Controls
- Safety Management vs. Quality Management
- Safety Management System Defined
- SMS Components and Elements
 - Safety Policy & Objectives
 - Safety Risk Management
 - Safety Assurance
 - Safety Promotion
- The Purpose of the SMS
- Quiz

3.2.3 MODULE – ROLES & RESPONSIBILITIES OF PERSONNEL

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student can demonstrate

and limits of authority regarding the reporting of errors and active participation in the company's safety management efforts.

- Overview
- SMS Brings a New Perspective
 - SMS Objectives
 - Authority
- New Roles Regarding Safety Management
- New Responsibilities
 - Basic Safety
 - Fitness for work
 - Rules and Regulations
- Normalized Deviation
 - Feedback
- Standards and Best Practices
 - Standard Operating Procedures
- Lines of Safety Communication
- Continuous Improvement
- Quiz

3.2.4 MODULE – HUMAN FACTORS AWARENESS

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student can demonstrate

upgrade their job performance and thus contribute to errors, or to an accident.

- Overview and Background
- Human Error and Accidents
 - An Historical Example
 - Active Failures and Latent Conditions
- Human Factors Awareness
- Basic Human Senses
 - Detection and Perception
 - Habituation and Complacency
- Human Limitations
- Human Performance
- Fighting Human Error

- Managing Internal Factors
 - Physical factors
 - Physiological factors
 - Psychological factors
 - Psycho-social factors
- Determining Fitness
- Maintaining Vigilance
- Managing Errors
- Improving and Promoting Safety
- Quiz

3.2.5 MODULE – SAFETY RISK MANAGEMENT FOR PERSONNEL

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student can demonstrate [redacted] how to apply SRM to daily tasks and activities.

- Safety Risk Management (SRM) Defined
- Practical Application of SRM
- Time-Critical SRM and the Five Questions:
 - Why Am I Doing This Task?
 - What Could Go Wrong?
 - How Could It Affect Me or Others?
 - How Likely Is It To Happen?
 - What Can I Do About It?
- Safety Risk Management Principles
 - Accept No Unnecessary Risk
 - Make Risk Decisions at Appropriate Levels
 - Accept Risk Only When Benefits Outweigh the Costs
- Deliberate Safety Risk Management
- Responsibilities and Authority
- Quiz

3.2.6 MODULE – HAZARD IDENTIFICATION AND REPORTING

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student can demonstrate [redacted] and events require a report.

- Introduction
- Finding Hazards

- The Need for Non-punitive Reporting
- Hazard Sources
 - Objects
 - Conditions
 - Behaviors
- Significant Hazards
- Responsibilities and Accountability
 - Taking Action
 - Reporting Policies
 - Don't Overload the System
- Non-punitive Reporting
- Hazards and Events Requiring a Report
- Quiz

3.2.7 MODULE – COMPANY SAFETY POLICIES AND OBJECTIVES*

(A) **Completion Standards:** The module will be successfully completed when, by referring to policy statements in hand, the student can demonstrate

and understanding of YCO's safety objectives.

- Safety & Quality Policy
 - Our most important goals
 - Professionalism
 - Individual safety performance part of employee evaluations
- Non-punitive Reporting Policy
 - Acceptable Behaviors
 - Unacceptable behaviors
 - Disciplinary action when errors occur
- Safety Objectives
 - What are we measuring?
 - How can I participate?

* *Classroom module*

- END SYLLABUS: INITIAL SMS TRAINING FOR PERSONNEL-

3.3 COURSE: RECURRENT SMS TRAINING FOR PERSONNEL

3.3.1 TRAINING CATEGORY

(A) All company personnel **excluding** supervisors / managers, safety staff, and senior managers.

3.3.2 COURSE OBJECTIVES

(A) To provide company personnel with [redacted] of their roles, responsibilities and authorities as they pertain to the SMS; to provide an understanding of how organizational factors [redacted] in identifying hazards; to share recent past safety performance; to impart lessons learned; and to provide important safety communications to personnel.

3.3.3 PREREQUISITE

(A) Successful completion of the course: **Initial SMS Training for Personnel** within the previous 12 calendar months.

3.3.4 COURSE STRUCTURE

(A) This course is comprised of four modules, each with one or more topics. After each module is a quiz with multiple-choice, true / false and other question formats. The course:

- (1) Satisfies requirements for recurrent SMS training;
- (2) May be completed in more than one session;
- (3) May be taken as many times or as often as the student desires, or as management requests.

3.3.5 INSTRUCTIONAL METHODS

(A) Instruction is delivered via on-line computer program [redacted] r graphics.

(B) Classroom instruction is utilized for the last module: **Safety Performance Review & Lessons Learned**.

3.3.6 COURSE ENROLLMENT

(A) Students login to the OmniSMS Learning Management Center to access the course. If the student is unable to complete the course in one session, the student may log out. The program records all module completions and every question answered. When returning to the course, the student may resume at the last point of progress.

3.3.7 COMPLETION STANDARD

(A) A student has successfully completed **Recurrent SMS Training for Personnel** when instruction has been received in all appropriate modules as set forth in the **Table of SMS Training Courses and Categories**, and:

- (1) All associated quizzes have been successfully completed and corrected to 100%;
- (2) A certificate of completion resides in the student's training records.

3.4 SYLLABUS: RECURRENT SMS TRAINING FOR PERSONNEL

3.4.1 MODULE – ROLES & RESPONSIBILITIES OF PERSONNEL

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student can demonstrate

the company's safety management efforts.

- Overview
- Roles Regarding Safety Management
- Responsibilities
 - Fitness for work
 - Rules and Regulations
- Fighting Normalized Deviation
- Standards and Best Practices
- Lines of Safety Communication
- Continuous Improvement
- Quiz

3.4.2 MODULE – AVOIDING ACCIDENTS

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student can demonstrate

effective for the prevention of accidents.

- Overview
- Safety – The Traditional Approach
- The Evolution of Safety Management
 - Machine Period
 - Human Period
 - Organizational Period
- Human Error Fundamentals
- Accident Causation – the Reason Model
- The Organizational Accident
- Looking at the Whole System
- Strategies for Safety Management
 - Reactive Safety Strategy
 - Proactive & Predictive Safety Strategy
 - Personal Safety Strategies
- Quiz

3.4.3 MODULE – HAZARD IDENTIFICATION AND REPORTING

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student can demonstrate

hazards, occurrences and events require a report.

- Introduction
- Finding Hazards
- The Need for Non-punitive Reporting
- Hazard Sources
 - Objects
 - Conditions
 - Behaviors
- Responsibilities and Accountability
 - Taking Action
 - Reporting Policies
- Non-punitive Reporting
- Hazards and Events Requiring a Report
- Quiz

3.4.4 MODULE – SAFETY PERFORMANCE REVIEW AND LESSONS LEARNED*

(B) **Completion Standards:** The module will be successfully completed when the student can, through oral quiz, demonstrate a or more recent lessons learned.

- The Importance of Sharing:
 - Safety Performance
 - Lessons Learned
- Methods of Communication
- Lessons Learned:
 - External
 - Internal
- Safety Performance Review
 - Benefits Realized Through the YCO SMS
 - Improvements Made
- Oral Quiz

* Classroom module

- END SYLLABUS: RECURRENT SMS TRAINING FOR PERSONNEL-

4. SMS Training for Managers

4.1 COURSE: INITIAL SMS TRAINING FOR MANAGERS

4.1.1 TRAINING CATEGORY

(A) All supervisors, managers, safety staff, the accountable executive and senior managers.

4.1.2 COURSE OBJECTIVES

(A) To provide supervisors, managers, safety staff, senior management and the accountable executive with [redacted] management to daily activities; to develop risk controls and corrective actions, including follow-up procedures and recordkeeping; to effectively investigate accidents, incidents and near-accidents in order to discover contributing and causal factors; to perform internal [redacted] foster, promote and actively participate in the organization's positive safety culture.

4.1.3 PREREQUISITES

(A) Successful completion of: **Initial SMS Training for Personnel** within the previous 12 calendar months.

4.1.4 COURSE STRUCTURE

(A) This course is comprised of eight modules, each with one or more topics. After each module is a quiz with multiple-choice, true / false and other interactive question formats. The course:

- (1) Satisfies requirements for initial and re-qualification training;
- (2) May be completed in more than one session;
- (3) May be taken as many times or as often as the student desires, or as upper management requests.

4.1.5 INSTRUCTIONAL METHODS

(A) Instruction is delivered via on-line computer program interaction which includes [redacted] and other graphics.

4.1.6 COURSE ENROLLMENT

(A) Students login to the OmniSMS Learning Management Center to access the course. If the student is unable to complete the course in one session, the student may log out. The program records all module completions and every question answered. When returning to the course, the student may resume at the last point of progress.

4.1.7 COMPLETION STANDARD

(A) A student has successfully completed **Initial SMS Training for Managers** when instruction has been received in all appropriate modules as set forth in the **Table of SMS Training Courses and Categories**, and:

- (1) All associated quizzes have been successfully completed and corrected to 100%;
- (2) A certificate of completion resides in the student's training records.

4.2 SYLLABUS: INITIAL SMS TRAINING FOR MANAGERS

4.2.1 MODULE – INTRODUCTION TO SMS FOR MANAGERS

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the manager can demonstrate a [REDACTED] SMS components and elements into their daily activities.

- Introduction
- Making an Investment
- Maintaining Balance – Production vs Protection
- Accident Causation (review)
- Integration of SMS Components and Elements
 - Integrating Safety Risk Management into Daily Activities
 - Integrating Safety Assurance into Daily Activities
 - Integrating Safety Promotion into Daily Activities
- Making your SMS Effective
- Quiz

4.2.2 MODULE – ROLES AND RESPONSIBILITIES OF MANAGERS

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the manager can demonstrate [REDACTED] application of Safety Risk Management and Safety Assurance to the processes they own.

- Assuring Compliance
- Beyond Regulatory Compliance
- SMS Core Processes
 - Safety Risk Management
 - Safety Assurance
- System Design and Analysis
- Safety and Quality Management
- Ownership of Processes
- Continuous Monitoring
- Managing Risk and Quality for the Processes you Own
- Soliciting Ideas
- Targeting and Allocation of Resources
- Promoting a Positive Safety Culture
- Quiz

4.2.3 MODULE – SAFETY PROMOTION

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student manager can demonstrate a [redacted] to apply various safety promotion and communication methods.

- The Purpose of Safety Promotion
 - Supporting the SMS
 - SMS Training and Education
- Job-specific Safety Training
- Safety Communications / Lessons Learned
- Safety Culture Development and Just Culture
- Managers' Attitudes Regarding Human Error
 - Negligence vs. 'Honest Mistakes'
 - Drawing the Line Regarding Policy
 - Aligning Behavior with Policy
- Investigation of Errors
- Breaking Out of the Blame Cycle
- Safety Promotion Review
- Quiz

4.2.4 MODULE – HUMAN FACTORS AND ORGANIZATIONAL SAFETY

(A) **Completion Standards:** This module will be successfully completed when, by computer-based assessment, the student manager can demonstrate [redacted] organization can be improved through the application of human factors.

- Human Factors and System Safety
 - Organizational Safety and Process Design / Control
- Incorporating Human Factors and Controls
- Human Interfaces - SHELL Model Review
- Controls and Error Defenses
 - Error Reduction Strategies
 - Error Capturing Strategies
 - Error Tolerance Strategies
- Controlling Human Error
- Communications
- Resource / Workload Management
- Integrating Human Factors – Conclusion
- Quiz

4.2.5 MODULE – SAFETY REPORTS AND ROOT CAUSE ANALYSIS

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student manager can demonstrate

confidentiality of information.

- Commitments to Employees
- Reporting of Irregularities, Incidents and Accidents
 - Including Corrections / Suggestions
- Award Incentives
- Receipt of Reports
 - Managers' Authority
 - Resolve of Safety Issues & Reports Received
 - Anonymity / Confidentiality
- Improving Processes while Protecting Employees
- Reporting as a Safety Performance Measurement
- Quiz

4.2.6 MODULE – SAFETY ASSURANCE AND INTERNAL EVALUATION

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the manager can demonstrate

as well as how audit findings are channeled into Safety Risk Management for risk analysis, assessment and control.

- Safety Assurance in Plain Language
 - Assuring Safety Risk Controls
 - Internal Evaluation Activities
- Scope and Objectives of Internal Evaluation
- Continuous Monitoring vs. Internal Evaluation
- Internal Audits by Operational Departments
 - Regulatory Compliance
 - Conformance with Risk Controls
- Responsibility for Vendor Processes
- Managing Risk for Vendors' Products and Services
- Internal Evaluations by the Safety Department
 - Evaluating Operational Processes
 - Evaluating the SMS Itself
- Audit Findings and Disposition
- Continuous Improvement
- Quiz

4.2.7 MODULE – SAFETY RISK MANAGEMENT FOR MANAGERS

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student manager can demonstrate

planning and design.

- Safety Risk Management Review
- Benefits of SRM
- Reducing Risk and Improving Outcomes
- SRM Principles (review)
 - Accept No Unnecessary Risk
 - Make Risk Decisions at Appropriate Levels
 - Accept Risk Only When Benefits Outweigh the Costs
 - Integrate SRM Into Planning and Policy at All Levels
- The Six Steps of SRM
 - Identify Hazards
 - Analyze and Assess Risk
 - Analyze Control Measures
 - Make Control Decisions
 - Implement Risk Controls
 - Supervise and Review
- Implementing of Risk Controls
- Feedback During Operations
- Follow-up and Corrective Actions
- Quiz

4.2.8 MODULE – MANAGEMENT OF CHANGE

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student can demonstrate

must specifically be able to understand how to determine criticality of systems and activities, and the purpose of the safety review process.

- Overview
- Continuous Change
 - Internal Changes
 - External Changes
- Change Considerations
 - Criticality of Systems and Activities
 - Stability of Systems and Operational Environments
 - Past Performance

- Identifying Critical Changes
 - Review of System Description
 - Review of Baseline Hazard Analysis
- The Safety Review
- Application of Safety Risk Management:
 - To Identified Hazards
 - To Identified Safety Management Deficiencies
- Arrangements to Ensure Safety Performance
- Eliminating or Modifying Safety Risk Controls that are No Longer Needed
- Conclusion
- Quiz

- END SYLLABUS: INITIAL SMS TRAINING FOR MANAGERS-

4.3 COURSE: RECURRENT SMS TRAINING FOR MANAGERS

4.3.1 TRAINING CATEGORY

- (A) All supervisors, managers, safety staff, the accountable executive and senior managers.

4.3.2 COURSE OBJECTIVES

- (A) To provide supervisors, managers, safety staff, senior management and the accountable executive with continued SMS training; to foster and promote continued [REDACTED] investigation, and the unique roles of management in that regard; to share recent past safety performance; to impart lessons learned; and to disseminate important safety communications to management staff.

4.3.3 PREREQUISITES

- (A) Successful completion of: **Initial SMS Training for Managers** within the previous 12 calendar months.

4.3.4 COURSE STRUCTURE

- (A) This course is comprised of four modules, each with one or more topics. After each module is a quiz with multiple-choice, true / false and other interactive question formats. The course:
- (1) Satisfies requirements for initial and re-qualification training;
 - (2) May be completed in more than one session;
 - (3) May be taken as many times or as often as the student desires, or as upper management requests.

4.3.5 INSTRUCTIONAL METHODS

- (A) Instruction is delivered via on-line computer program interaction which includes [REDACTED] and other graphics.
- (B) Classroom instruction is utilized for the last module: **Safety Performance Review & Lessons Learned**.

4.3.6 COURSE ENROLLMENT

- (A) Students login to the OmniSMS Learning Management Center to access the course. If the student is unable to complete the course in one session, the student may log out. The program records all module completions and every question answered. When returning to the course, the student may resume at the last point of progress.

4.3.7 COMPLETION STANDARD

- (A) A student has successfully completed **Recurrent SMS Training for Managers** when instruction has been received in all appropriate modules as set forth in the **Table of SMS Training Courses and Categories**, and:
- (1) All associated quizzes have been successfully completed and corrected to 100%;
 - (2) A certificate of completion resides in the student's training records

4.4 SYLLABUS: RECURRENT SMS TRAINING FOR MANAGERS

4.4.1 MODULE – ROLES AND RESPONSIBILITIES OF MANAGERS

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the manager can demonstrate [REDACTED] responsibilities regarding applied Safety Risk Management and Safety Assurance to the processes they own.

- Assuring Compliance and Safety
- SMS Core Processes
- System Design and Analysis
- Ownership of Processes
- Continuous Monitoring
- Managing Risk and Quality for the Processes you Own
- Targeting and Allocation of Resources
- Promoting a Positive Safety Culture
- Quiz

4.4.2 MODULE – AVOIDING ACCIDENTS

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the student can demonstrate [REDACTED] f accidents.

- Overview
- Safety – The Traditional Approach
- The Evolution of Safety Management
 - Machine Period
 - Human Period
 - Organizational Period
- Human Error Fundamentals
- Accident Causation – the Reason Model
 - Latent Conditions
 - Active Failures
 - Defenses
- The Organizational Accident - Looking at the Whole System
- Strategies for Safety Management
 - Reactive Safety Strategy
 - Proactive & Predictive Safety Strategy
 - Personal Safety Strategies
- Quiz

4.4.3 MODULE – INTRODUCTION TO ACCIDENT INVESTIGATION

(A) **Completion Standards:** The module will be successfully completed when, by written test or computer-based assessment, the manager can demonstrate [redacted] regulatory and investigative bodies during an investigation.

- Overview
- Accident Causes (review)
 - Latent Conditions / Active Failures
 - Chain of Events
- Life Cycle of Accident Investigation
- Near-Accidents, Incidents, and Regulatory Non-Compliance
- Investigation Objectives
- Accident Investigation by Authorities
- Role of Civil Aviation Authorities
- Designation of Parties
 - Operator's Designation as Party to the Investigation
 - Dual Roles of Your Company Investigators
- Qualifications of Company Investigators
- Opportunities for Improvement
- Quiz

4.4.4 MODULE – SAFETY PERFORMANCE REVIEW AND LESSONS LEARNED*

(A) **Completion Standards:** The module will be successfully completed when the student can, through oral quiz, demonstrate a [redacted] of one or more recent lessons learned.

- The Importance of Sharing:
 - Safety Performance
 - Lessons Learned
- Methods of Communication
- Lessons Learned:
 - External
 - Internal
- Safety Performance Review
 - Benefits Realized Through the YCO SMS
 - Improvements Made
- Oral Quiz

* *Classroom module*

- END SYLLABUS: RECURRENT SMS TRAINING FOR MANAGERS -