Kingdom of Saudi Arabia
General Authority of Civil Aviation
Safety and Economic Regulation

Safety Department
Aviation Safety Division

GUIDANCE MATERIAL ON GACA IMPLEMENTATION OF THE STATE SAFETY PROGRAM (SSP) A BRIDGE TO THE SMS

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FORWARD

This Manual is approved for use by the General Authority of Civil Aviation (GACA).

The Manual is intended for the use and guidance of GACA staff engaged in implementation of the State Safety Program (SSP). It defines the procedures to be followed by GACA staff involved in the Safety Management System acceptance of services providers and to provide guidance on how those procedures should be applied.

The Aviation Safety Division of the Safety Department is responsible for updating and over-sighting this Manual as required, the acceptance of SMS and SSP implementation.

The scope of this manual is confined to the safety, regularity and efficiency aspects of facilities, services, equipment and operational procedures and excludes the subjects of aviation security, air navigation services and other areas such as occupational health.

ORIGINAL SIGNED

April 2014

Captain MOHAMMED ALI JAMJOOM
Vice-President,
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Safety & Economic Regulation

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CHANGE SUMMARY

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NOTE:

1. When amended, this document will be re-issued in full. Each page will indicate the edition number and the effective date. The edition number should be the same on each page.
2. When printed this document is un-controlled. Check GACA website for the current release edition.

AMENDMENTS

The issue of amendments is announced regularly in the GACA website which the aviation services providers should consult. The space below is provided to keep a record of such amendments.

Record of Amendments and Corrigenda

Amendments		
Reference	**Date**	**Entered by**

Corrigenda		
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DEFINITIONS

Acceptable level of safety. Minimum degree of safety that must be assured by a system in actual practice.

Accident. An occurrence associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, in which:

a) a person is fatally or seriously injured as a result of:

— being in the aircraft, or

— direct contact with any part of the aircraft, including parts which have become detached from the aircraft, or

— direct exposure to jet blast, except when the injuries are from natural causes, self-inflicted or inflicted by other persons, or when the injuries are to stowaways hiding outside the areas normally available to the passengers and crew; or

b) the aircraft sustains damage or structural failure which:

— adversely affects the structural strength, performance or flight characteristics of the aircraft, and

— would normally require major repair or replacement of the affected component, except for engine failure or damage, when the damage is limited to the engine, its cowlings or accessories; or for damage limited to propellers, wing tips, antennas, tires, brakes, fairings, small dents or puncture holes in the aircraft skin; or

c) the aircraft is missing or is completely inaccessible.

Note 1.— For statistical uniformity only, an injury resulting in death within thirty days of the date of the accident is classified as a fatal injury by ICAO.

Note 2.— An aircraft is considered to be missing when the official search has been terminated and the wreckage has not been located.

Aerodrome certificate. A certificate issued by the appropriate authority under applicable regulations for the operation of an aerodrome.

Aeronautical Information Publication (AIP). A publication issued by or with the authority of a State and containing aeronautical information of a lasting character essential to air navigation.

Air operator certificate (AOC). A certificate authorizing an operator to carry out specified commercial air transport operations.

Approved maintenance organization. An organization approved by a Contracting State, in accordance with the requirements of Annex 6, Part I, Chapter 8 — Aeroplane Maintenance, to perform maintenance of aircraft or parts thereof and operating under supervision approved by that State.

Note.— Nothing in this definition is intended to preclude that the organization and its supervision be approved by more than one State.

Approved training. Training conducted under special curricula and supervision approved by a Contracting State that, in the case of flight crew members, is conducted within an approved training organization.

Approved training organization. An organization approved by a Contracting State in accordance with the requirements of Annex 1, 1.2.8.2 to perform flight crew training and operating under the supervision of that State.

Certification, A process performed by the appropriate authority in order to approve an established provider of Aviation related services.

Certified aerodrome. An aerodrome whose operator has been granted an aerodrome certificate.

Flight data analysis. A process of analysing recorded flight data in order to improve the safety of flight operations.

Hazard. A condition or an object with the potential to cause injuries to personnel, damage to equipment or structures, loss of material, or reduction of ability to perform a prescribed function.

Incident. An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation.

Note.— The types of incidents which are of main interest to the International Civil Aviation Organization for accident prevention studies are listed in the Accident/Incident Reporting Manual (ADREP Manual) (Doc 9156).

Investigation. A process conducted for the purpose of accident prevention which includes the gathering and analysis of information, the drawing of conclusions, including the determination of causes and, when appropriate, the making of safety recommendations.

Level of safety. Degree of safety of a system, representing the quality of the system, safety-wise, expressed through safety indicators.

Licensing Authority. The Authority designated by a Contracting State as responsible for the licensing of personnel.

Note.— In the provisions of Annex 1, the Licensing Authority is deemed to have been given the following responsibilities by the Contracting State:

a) assessment of an applicant's qualifications to hold a licence or rating;

b) issue and endorsement of licences and ratings;

c) designation and authorization of approved persons;

d) approval of training courses;

e) approval of the use of flight simulation training devices and authorization for their use in gaining the experience or in demonstrating the skill required for the issue of a licence or rating; and

f) validation of licences issued by other Contracting States.

Maintenance. The performance of tasks required ensuring the continuing airworthiness of an aircraft or ground based equipment in the service of the Aviation sector including any one or combination of overhaul, inspection, replacement, defect rectification, and the embodiment of a modification or repair.

Maintenance organization's procedures manual. A document endorsed by the head of the maintenance organization which details the maintenance organization's structure and management responsibilities, scope of work, description of facilities, maintenance procedures and quality assurance or inspection systems.

Maintenance programme. A document which describes the specific scheduled maintenance tasks and their frequency of completion and related procedures, such as are liability programme, necessary for the safe operation of aircraft or ground based equipment in the service of the Aviation sector to which it applies.

Maintenance release. A document which contains a certification confirming that the maintenance work to which it relates has been completed in a satisfactory manner, either in accordance with the approved data and the procedures described in the maintenance organization's procedures manual or under an equivalent system.

Operations specifications. The authorizations, conditions and limitations associated with the air operator certificate and subject to the conditions in the operations manual.

Performance criteria. Simple, evaluative statements on the required outcome of the competency element and a description of the criteria used to judge whether the required level of performance has been achieved.

Quality assurance. Part of quality management focused on providing confidence that quality requirements will be fulfilled.

Quality control. Part of quality management focused on fulfilling quality requirements.

Quality management. Coordinated activities to direct and control an organization with regard to quality.

Quality system. Documented organizational procedures and policies; internal audit of those policies and procedures; management review and recommendation for quality improvement.

Safety. The state in which the possibility of harm 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 safety risk management.

Safety indicators. Parameters that characterize and/or typify the level of safety of the

system.

Safety management system. A systematic approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures.

Safety programme. An integrated set of regulations and activities aimed at improving safety.

Safety risk. Assessment, expressed in terms of predicted probability and severity, of the consequences of a hazard, taking as reference the worst foreseeable situation.

Note. — Typically, safety risks are designated through an alphanumeric convention that allows for their measurement.

Safety risk management. A generic term that encompasses the assessment and mitigation of the safety risks of the consequences of hazards that threaten the capabilities of an organization, to a level as low as reasonably practicable (ALARP).

Safety risk probability. The likelihood that an unsafe event or condition might occur.

Safety risk severity. The possible consequences of an unsafe event or condition, taking as reference the worst foreseeable situation.

Safety targets. Concrete safety objectives to be achieved.

State of Manufacture. The State having jurisdiction over the organization responsible for the final assembly of the aircraft.

State of Registry. The State on whose register the aircraft is entered.

Note.— In the case of the registration of aircraft of an international operating agency on other than a national basis, the States constituting the agency are jointly and severally bound to assume the obligations which, under the Chicago Convention, attach to a State of Registry. See, in this regard, the Council Resolution of 14 December 1967 on Nationality and Registration of Aircraft Operated by International Operating Agencies which can be found in Policy and Guidance Material on the Economic Regulation of International Air Transport (Doc 9587).

Target level of safety (TLS).A generic term representing the level of risk which is considered acceptable in particular circumstances.

Value of a safety indicator. Quantification of a safety indicator.

Value of a safety target. Quantification of a safety target.

INTRODUCTION

1.1 Legal Background

A regulation on Safety Management is based on Articles 2, 3, 4, 5, 23, 35, 80, and 101 of the Civil Aviation Act that has been approved by the Council of Ministers Resolution No. 185 dated 17/07/1426H and issued by the Royal Decree No. M/44 dated 18/07/1426H, and are in accordance with ICAO Safety Management Manual (Doc 9859), and the requirements of GACA Regulations and ICAO Annex 19.

The promulgation of this regulation is based on the authority granted in Article 179 of the Civil Aviation Act, and is issued under the authority of the President, General Authority of Civil Aviation, as a duly delegated representative of the GACA Board of Directors, in accordance with Order No.T-41, dated 30/12/1429H (28/12/2008G).

The General Authority of Civil Aviation (GACA) is responsible for the preparation and distribution of all regulations in sufficient quantities so that all service providers and aircraft operators based in the Kingdom of Saudi Arabia are able to obtain an authentic copy prior to the effective date of the Regulation.

Based on the Section 19, The Kingdom of Saudi Arabia shall undertake, under its safety management, "*to collaborate in securing the highest practicable degree of uniformity in regulations, standards, procedures, and organization in relation to aircraft, personnel, airways and auxiliary services in all matters in which such uniformity will facilitate and improve air navigation.*"

1.2 Purposes of the Guidance Material on SSP implementation

This guidance Material is aiming to provide guidelines that would assist implementation and maintenance of the SSP as well as many suggestions for the improvements in the existing safety oversight system.

It is a guidance material for Saudi aviation industry as specialists, auditors, inspectors, services providers and managers involved in Safety. It has three main objectives:

- To set the regulatory requirement on SMS documentation and implementation
- To identify the SMS acceptance steps and procedures
- To monitor the enforcement process.

This Guidance represents the most effective and efficient international approach of meeting the long-term Saudi aviation safety requirement through the SSP implementation. Safety is the highest priority.

1.3 Roles and Responsibilities

a. Safety and Economic Regulation

The S&ER responsibilities on safety risk management are:

- Policy development based on hazard identification and analysis of the safety risks of the consequences of hazards
    - Regulations become safety risk controls when adopted by service providers' SMS
- Effective and efficient implementation of SSP oversight activities supported by hazard identification and safety risk analyses
- Effective and efficient implementation of oversight activities of service providers based on the assessment of safety performance of service providers' SMS
    - Priorities regarding resource allocation are based upon the severity of the safety risks of the hazards identified
    - Compliance monitoring is based on conventional auditing
- State must provide its staff
    - Competence and technical knowledge
    - Additional knowledge regarding hazard identification and safety risk analysis
- State must communicate its SSP internally and externally

b. Aviation Safety Division:

The safety division (ASD) responsibilities on safety risk management are:

- Developing, updating, implementing and enforcing the processes set out in this manual
- Establishing and maintaining appropriate safety standards and performance criteria for SMS implementation related to this manual
- Ensuring that sufficient competent staff are available to maintain an appropriate level of safety oversight
- Assign the SMS implementation acceptance specialist/inspector for each acceptance or audit/enforcement mandate
- Reviewing and revising the associated Regulations
- Developing and promoting safety guidance for the aviation services providers.

c. Safety SMS implementation specialist/inspector

The GACA Acceptance specialist/inspector is responsible for ensuring the processes set out in this manual are effectively implemented and in particular for:

- Managing surveillance and enforcement action in accordance with the regulations and the procedures set out in this manual
- Ensuring that sufficient competent Specialist Inspectors are available to undertake all necessary acceptance and surveillance activities and as necessary through the coordination with relative division

- Assign and supervise the Specialist Inspectors, if it is needed

d. Specialist Inspectors

Specialist Inspectors from GACA's other departments, contracting staff or staff from other service providers, and either full time or fixed term contract staff might be appointed as required to support specific acceptance or enforcement activities.

Specialist from other GACA departments and contract staff will act in as advisory capacity and will not be authorized to take enforcement action.

1.4 References

a. GACAR Section 19(SSP)

b. DOC 9859 (Safety Management Manual)

1.5 Contact Details

For guidance and policy on points that are not covered within this publication, advice should be sought from Aviation Safety Division, Safety and Economic Regulation of the General Authority of Civil Aviation.

Aviation Safety Division (ASD)
Safety and Economic Regulation
General Authority of Civil Aviation.

P.O. Box 887 Jeddah, 21421
Kingdom of Saudi Arabia
012-685-5494 (+3 GMT)
sd@gaca.gov.sa

1.6 Scope of the SMS acceptance

Safety Division is accepting an SMS when:

- The documentation is provided in accordance with the current Manual,
- The SMS is implemented properly,
- In case of deviation, an accepted Corrective action plan is provided and agreed with the SMS acceptance inspector.

The acceptance is ensured for

- A limited and a specified time and
- Within an established and identified entity.

1.7 The SMS service provider acceptance requirement

1. The service provider facilities and equipment are in accordance with the standards specified in the GACAR and meet all Aviation Safety requirements;
2. The service provider operation Manual contains all of the particulars required under the regulations, particularly:
    a. GACAR Section 19
    b. ICAO Doc. 9859
3. The service provider operating procedures, as documented in the service provider operation Manual, make satisfactory provision for the safety of aircraft, facilities and/or equipment and/or procedures.
4. The service provider shall be required to demonstrate the effectiveness of the plan by carrying out a full operational emergency exercise, if it is deemed identified necessary by the SMS acceptance inspector.
5. The applicant will be able to properly operate and maintain its facilities safely.
6. In assessing an application, the ASD will be looking particularly for evidence of:
    a. The SMS Manual is provided and the document is controlled and updated properly, frequently and owned by one of the senior management
    b. The SMS is implemented, including a clearly identification of:
        i. The safety policy and objectives, and that is owned by one of the senior management
        ii. A safety Risk Management, including, but not limited to, a hazard identification procedure and a risk assessment plan and mitigation
        iii. The safety assurance including, but not limited to, a safety performance monitoring and measurement
        iv. A Safety promotion including a clear training commitment.

1.8 Who is to apply for acceptance?

The following aviation service provider should have a accepted SMS to be able to operate in the KSA:

a) approved training organizations in accordance with Annex1 that are exposed to safety risks related to aircraft operations during the provision of their services;

b) operators of aeroplanes or helicopters authorized to conduct international commercial air transport, in accordance with Annex6,PartI or Part III, Section II, respectively;

Note.— When maintenance activities are not conducted by an approved maintenance organization in accordance with Annex 6, Part I, 8.7, but under an equivalent system as in Annex 6, Part I, 8.1.2, or Part III, Section II, 6.1.2, they are included in the scope of the operator's SMS.

c) approved maintenance organizations providing services to operators of aeroplanes or helicopters engaged in international commercial air transport, in accordance with Annex 6, Part I or Part III, Section II, respectively;

d) organizations responsible for the type design or manufacture of aircraft, in accordance with Annex 8;

e) air traffic services (ATS)providers in accordance with Annex 11; and

Note.—The provision of AIS, CNS, MET and/or SAR services, when under the authority of an ATS provider, are included in the scope of the ATS provider's SMS. When the provision of AIS, CNS, MET and/or SAR services are wholly or partially provided by an entity other than an ATS provider, the related services that come under the authority of the ATS provider, or those aspects of the services with direct operational implications, are included in the scope of the ATS provider's SMS.

f) operators of certified aerodromes in accordance with Annex 14.

1.9 How to apply for SMS acceptance?

Each applicant for Certification or recertification shall:

1. Prepare and submit an application, in a form and manner prescribed by this Manual, to GACA. The appendix 2 provides the Application Form (Form. ASD-SMS-001).
2. Submit with the application one hard copy of the service provider SMS Manual.
3. Submit with the application one hard copy of an ERP Manual.
4. Submit a soft copy of the application form, Service provider SMS Manual by email to sd@gaca.gov.sa.

1.10 The SMS amendment

The service provider should ask for acceptance amendment when:

1. There is a change in the ownership or management of the service provider.

2. There is a change in the use or operation of the facilities and equipment, including a change to the physical characteristics.
3. The holder of the already accepted SMS requests an amendment.

GACA determines that the aviation safety or the public interest requires an amendment.

1.11 Responsibility of GACA related to the SMS acceptance

In respect of service provider SMS acceptance, the GACA is responsible for:

1. Establishing and enforcing regulations and mandatory standards in respect to the safety of operation and services provided to an international civil aviation traffic
2. Accepting and assessing that the service provider subject to the regulations will achieve an acceptable level of safety when operated and maintained in accordance with an accepted service provider operation manual
3. Assuring the continued safety of operations at accepted SMS service provider facilities and equipment and procedures through guidance, inspection, audit and investigation

These responsibilities are delegated to the Aviation Safety Division (ASD).

1.12 The service provider acceptance process

STEP 1

- A formal Application Form for acceptance (*Form. ASD-SMS-001*) shall be submitted to the GACA requesting the issue/renewal of a SMS acceptance, at **least sixteen (16) weeks** prior to the operator's requested target date for the renewal or issue of the SMS acceptance.

STEP 2

- The service provider should submit the SMS Manual and the ERP at **least fourteen (14) weeks** before the requested target date. The Appendix I provide details on the content of the SMS Manual.
- Table 1 introduces the documents needed at the step 2 of the certification process.

Documents	Service Provider
An application form. Fourteen (14) weeks before the requested target date	✓ *Form.ASD-SMS-001*
SMS. Twelve (12) weeks before the requested target date	✓ Ref# Appendix I

Table 1 Documents should be provided by the service provider before the requested target date

STEP 3

GACA shall, upon receipt of the required documents:

- Assign an SMS Acceptance Specialist/Inspector

- Conduct a preliminary SMS acceptance inspection of the service provider facilities including auditing procedures, equipment and policies and any other related safety activities as per Appendix 3 at least **ten (10) weeks** before the requested target date.

The on-site verification, its organization and its SMS, assesses the service provider procedures based upon the contents of the SMS Manual. This includes technical inspections of the facilities, its equipment and safety procedures, as related to the requirements associated with the intended operations.

- Produce a report and send to the service provider Representative no later than **six (6) weeks** before the requested target date.

STEP 4

- The service provider Representative shall on receipt of the Inspectors Pre-acceptance / Renewal preliminary Inspection report, send a formal company acceptance confirmation of the report and submit a detailed action plan with timescales to the GACA to rectify or mitigate any findings to an acceptable level, under the operator/s Safety Management System (SMS) no later than **four (4) weeks** before the requested target date.
- At least **two (2) weeks** before the requested target date, GACA shall conduct a final acceptance/renewal inspection of the service provider facilities including auditing procedures, equipment and policies and any other related safety activities

STEP 5

- The GACA will only issue an acceptance Certificate, when the Authority is completely satisfied that all critical safety elements have been adequately addressed and this may require a further GACA audit/Inspection follow up.
- The service provider shall provide three hard copies of the final SMS and its related ERP manuals submitted to ASD in order to obtain the acceptance stamp and signature of the General Manager of Safety.
- The service provider acceptance will only be issued on receipt of **the appropriate fees**.

1.13 The SMS scope

Each accepted SMS holder required to have a Safety Management System (SMS) under this part and must establish and maintain an SMS that is appropriate to the size, nature and complexity of its organization and its operations. The SMS must include at least the following components:

a. Safety policy in accordance

b. Safety risk management in accordance

c. Safety assurance in accordance

d. Safety promotion in accordance

The SMS must ensure compliance with all the relevant regulatory requirements in the GACAR.

Each aviation organization required to have an SMS under this part must submit the Safety Management System documentation to the Safety Division for acceptance.

Any aerodrome operator should develop, update and own a SMS.

1.14 The SMS content

Appendix 1 introduces the service provider SMS content including extensive details. Table 2 summarize the service provider SMS content checklist, as expected by GACA.

Sections	Subsections	
1. Safety Policy and Objectives	1.1. Safety policy	
	1.2. Management commitment and safety accountabilities	
	1.3. Key safety personnel	
	1.4. Emergency preparedness and response	
	1.5. SMS documentation and records	
2. Safety Risk Management (SRM)	2.1. Hazard Identification and Analysis	2.1.1. System Description and Task Analysis 2.1.2. Identify Hazards
	2.2. Risk Assessment and Control	2.2.1. Analyze Safety Risk 2.2.2. Assess Safety Risk 2.2.3. Control/Mitigate Safety Risk
3. Safety Assurance (SA)	3.1. Safety performance monitoring and measurement	3.1.1. Continuous Monitoring 3.1.2. Internal Audits by Operational Departments 3.1.3. Internal Evaluation 3.1.4. External Auditing of the SMS 3.1.5. Investigation 3.1.6. Employee Reporting and Feedback System 3.1.7. Data Analysis 3.1.8. System Assessment
	3.2. The management of change	
	3.3. Continuous improvement	3.3.1. Preventive/Corrective Action 3.3.2. Management Review
4. Safety Promotion	4.1. Competencies and training.	4.1.1. Personnel Expectations (Competence) 4.1.2. Training
	4.2. Communication and awareness	

Table 2 SMS Contents Checklist

1.15 A Safety Training Programme

There is NO mandatory Personal Training Programme certified by GACA. However, an accepted SMS holder has to demonstrate that his personal involved in Safety are trained continuously based on the field of their tasks and duty. As the technology and the knowledge are evolving so quickly, the certificate holder should demonstrate a regular and recurrent training programme.

A practical exercise and simulation are part of the training programme of the safety personnel.

Each service provider personnel will maintain currency under GACAR Section 19 by taking annual recurrent training in (relevant to the personnel duties and responsibilities):

- SMS training
- Hazard and Risk identification and reporting
- Fatigue Risk Management
- Airport Familiarization
- Aircraft Familiarization
- Rescue and Firefighting Personnel Safety
- Emergency Communication on the Airport
- Use of Aircraft Firefighting Equipment
- Application of Aircraft Fire Extinguishing agents
- Emergency Evacuation of Aircraft and workplace
- Familiarization with Firefighters Duties under the Airport Emergency Plan
- Emergency Medical Care course

GACA ensures compliance through two interrelated activities: Inspection and Audits.

1.16 Enforcement and oversight recurrence

A continued oversight is established by GACA in order to ensure that compliance with regard to certification conditions and on-going additional requirements are maintained.

Each applicant for, or holder of, an accepted SMS must allow GACA to make any inspections, including unannounced inspections, or tests to determine compliance with the GACAR.

GACA will schedule periodic inspections as indicated in the table 3.

Service Provider	When (months)		
	6 to 12 cycle	12-18 cycle	18-24 cycle
Aerodrome / Heliport	✓		
Airlines		✓	
Others			✓

Table 3 Recurrence of enforcement

GACA has a range of enforcement measures available to address safety obligations. These measures may result in a variety of actions such as:

- cancelling,
- remedial training,
- amendment, suspension or withdrawal of acceptance, or
- prosecution

The enforcement action must be timely, fair, and consistent and applied without favour or prejudice.

APPENDIX I: SMS MANUAL REQUIREMENTS

CHAPTER 1 – DEFINITIONS

1.1 Definitions

When the following terms are used in this regulation, they shall have the following meanings:

Accident:

An occurrence associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, in which:

a) A person is fatally or seriously injured as a result of:

- being in the aircraft; or
- direct contact with any part of the aircraft, including parts which have become detached from the aircraft; or
- direct exposure to jet blast; except when the injuries are from natural causes, self-inflicted or inflicted by other persons, or
- when the injuries are to stowaways hiding outside the areas normally available to the passengers and crew; or

b) The aircraft sustains damage or structural failure which:

- adversely affects the structural strength, performance or flight characteristics of the aircraft; and
- would normally require major repair or replacement of the affected component, except for engine failure or damage, when the damage is limited to the engine, its cowlings or accessories; or
- for damage limited to propellers, wing tips, antennas, tires, brakes, fairings, small dents or puncture holes in the aircraft skin; or

c) The aircraft is missing or is completely inaccessible.

Acceptable Level of Safety:

Acceptable level of safety expresses the safety goals of an oversight authority, an operator, or a services provider. From the perspective of the relationship between oversight authorities and operators/services providers, it provides the minimum safety objective(s) acceptable to the oversight authority to be achieved by the operators/services providers while conducting their core business functions. It is a reference against which the oversight authority can measure safety performance.

Accountable Executive:

Is the person who has the full authority and responsibility for

- human resources issues,
- major financial issues,
- the conduct of the organization's affairs,
- operations under certificate,
- all safety issues

AIS:

Aeronautical Information Service, A service established within a defined area of coverage responsible for the provision of aeronautical information and data necessary for the safety, regulatory, and efficiency of air navigation.

ALARP:

Is used to describe a safety risk which has been reduced to a level that is as low as reasonably practicable.

ANSP:

Air Navigation Service Provider Any provider of:

a) Air Traffic Control (ATC) service;

b) Flight Information Service (FIS);

c) Air Traffic Advisory service;

d) Air Traffic Alerting service;

e) Aeronautical Information Service (AIS);

f) Meteorological service; or

g) Communications, Navigation or Surveillance (CNS) services.

ATC:

Air Traffic Control, A service provided for the purpose of preventing collisions between aircraft or between aircraft and obstructions (in the maneuvering area) and for the purpose of expediting and maintaining an orderly flow of air traffic.

ATS:

Air Traffic Services The provision of air traffic control, flight information and/or air-ground communications services.

Authority:

The Authority is the regulatory body with jurisdiction over users and service providers.

Consequence:

Potential outcomes of hazard.

Continuous Monitoring:

Uninterrupted watchfulness over the system.

Derived Safety Requirements:

Those Safety Requirements that have been generated by undertaking a hazard identification and risk assessment process.

Gap Analysis:

Identification of existing safety components compared to SMS program requirements.

Hazard:

Any condition, object or activity with the potential of causing injuries to personnel, damage to equipment or structures, loss of material, or reduction of ability to perform a prescribed function.

HAZOP:

Hazard and Operability study, A systematic functional hazard identification process that uses an expert group to conduct a structured analysis of a system using a series of guide words to explore potential hazards.

Incident:

An occurrence, other than an accident, associated with the operation of an aircraft, which affects, or would affect, the safety of operation.

Internal Safety Investigations:

Internal safety investigations are investigations performed by a service provider for events occurring within its organization that are not required to be reported to or investigated by civil authority.

Mitigation:

Measures to eliminate the potential hazard or to reduce the risk probability or severity.

MOR:

Mandatory Occurrence Reporting: Formal scheme for the national recording and reporting of safety-significant incidents.

Occurrence:

- Any accident or incident
- Any situation or condition that could, if left unattended, induce an accident or incident

Organization:

An organization is a formal activity that is subject to formal regulation.

Oversight:

A function that ensures the effective promulgation and implementation of the safety-related standards, requirements, regulations, and associated procedures.

Predictive:

The adoption of an approach, which emphasizes prevention through capturing system performance as it happens in real-time normal operations.

Proactive:

The adoption of an approach which emphasizes prevention through the identification of hazards and the introduction of risk mitigation measures before the risk-bearing event occurs and adversely affects safety performance.

Probability:

The chance that a situation of danger might occur.

Procedure:

A series of steps followed in a methodical manner to complete an activity (what shall be done and by whom; when, where and how it shall be completed; what materials, equipment, and documentation shall be used, and how it shall be controlled).

Process:

A set of interrelated or interacting activities, which transforms inputs into outputs.

Reactive:

The responding to the events that already happened, such as incidents and accidents

Risk:

A combination of the likelihood of a hazard occurring and the severity of the accident that could result; e.g. the higher the risk, the more likely the accident will occur and/or the more severe will be the consequence.

Risk Assessment:

A process that for identified hazards, evaluates their risk in terms of probability and severity of consequences.

Safety:

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

Safety Assessment:

A systematic, comprehensive evaluation of an implemented system.

Safety Assessment Criteria:

The set of quantitative or qualitative criteria to be used in a safety assessment to determine the acceptability of the assessed level of safety.

Safety Assurance:

SMS process management functions that systematically provide confidence that all service providers' products/services meet or exceed safety requirements.

Safety Audit:

Scheduled, formal reviews and verifications to evaluate how well the service provider is meeting its safety objectives.

Safety Barriers:

Term used to indicate systems, sub-systems or methods used to reduce the likelihood of a hazard escalating into an incident or accident, and/or reduces their severity.

Safety Management System (SMS):

The formal, top-down business-like approach to managing safety risk. It includes systematic procedures, practices, and policies for the management of safety (as described in this document it includes safety risk management, safety policy, safety assurance, and safety promotion).

Safety Management Manual:

ICAO SMM (Doc 9859) contains guidance and instruction for the development and implementation of SMS.

Safety Manager:

A person responsible for managing the system safety program.

Safety Objective:

The definition of a hazard together with its target maximum rate of occurrence. A goal or target that, where achieved, demonstrates that a tolerable level of safety is being, or will be achieved for the hazard concerned.

Safety Performance Indicator:

A measure (or metric) used to express the level of safety performance achieved in a system, generally expressed in terms of the frequency of occurrence of some event causing harm.

Safety Performance Target:

The required level of safety performance for a system comprises one or more safety performance indicators, together with desired outcomes expressed in terms of those indicators.

Safety Policy:

Is the outlines of the methods and processes that the service provider will use to achieve desired safety outcomes, and it serves as a reminder as to “how we do business here” and defines the fundamental approach to managing safety that is to be adopted within an organization. Safety policy further defines the service provider’s commitment to safety and overall safety vision.

Safety Promotion:

A combination of safety culture, training, and data sharing activities that supports the implementation and operation of an SMS in a service provider’s organization.

Safety Requirement:

Specified criteria of a system that is necessary in order to reduce the risk of an accident or incident to an acceptable level. Also a requirement that helps to achieve a Safety Objective.

Safety Risk:

The composite of the likelihood (i.e., risk) of the potential effect of a hazard, and predicted severity of that effect. As an example, the possibility of an overshoot by an aircraft landing on an icy runway would be considered a safety risk of the hazard. The hazard is “icy runway” and the risk is “possibility of an overshoot.”

Safety Survey:

Is a systematically examine or review of particular organizational elements or the processes used to perform a specific operation — either generally or from a particular safety perspective

Service Provider:

An organization, serving operators and other providers, that is part of the aviation activity and is functionally separated from its regulator.

Severity:

The consequence or impact of a hazard in terms of degree of loss or harm.

State Safety Program:

An integrated set of regulations and activities aimed at improving safety

System:

The organized set of equipment, procedures and/or personnel required to carry out a function.

System Description:

Includes:

- The system interactions with other systems in the air transportation system.
- The system functions.
- Required Human Factors considerations of the system operation.
- Hardware components of the system.
- Software components of the system.
- Related procedures that define guidance for the operation and use of the system.
- Operational environment
- Contracted and purchased products and services.

TLS:

Target Level of Safety A safety objective defined as a tolerable accident rate in terms of probability of an accident given a certain quantity of activity.

1.2 Abbreviations

AMODA	Assistant Minister of Defense and Aviation for Civil Aviation Affairs
ANS	Air Navigation Services
ATS	Air Traffic Services
ICAO	International Civil Aviation Organization
IIC	Investigator-in-Charge
GACA	General Authority of Civil Aviation
GACAR	GACA Regulation
GM	General Manager
KSA	Kingdom of Saudi Arabia
RSAF	Royal Saudi Air Force
SD	Safety Department
SDCPS	Safety Data Collection and Processing Systems
SMS	Safety Management System
S&ER	Safety and Economic Regulation
VP	Vice President
UTC	Universal Coordinated Time

CHAPTER 2 – SCOPE AND APPLICABILITY

2.1 Scope

2.1.1 This regulation describes the requirements for a service provider safety management system (SMS) operating in accordance with GACA Regulations and ICAO Annex 6 — Operation of Aircraft, Part I — International Commercial Air Transport — Aeroplanes, and Part III — International Operations — Helicopters, ICAO Annex 8 — Airworthiness of Aircraft, ICAO Annex 11 — Air Traffic Services, and ICAO Annex 14 — Aerodromes, Volume I — Aerodrome Design and Operations and the ICAO Safety Management Manual (Doc 9859).

2.1.2 Within the context of this regulation the term “service provider” must be understood to designate any service provider providing aviation related services. The term encompasses aircraft operators, maintenance organizations, air traffic service providers and aerodrome operators, as applicable.

2.1.3 This regulation addresses aviation safety related processes and activities rather than occupational safety, environmental protection, or customer service quality.

2.1.4 The service provider is responsible for the safety of services or products contracted to or purchased from other organizations.

2.1.5 This regulation establishes the minimum acceptable requirements; the service provider can establish more stringent requirements.

2.2 Applicability and Acceptance

2.2.1 Effective 1st of August 2009, a service provider shall have in place a safety management system (SMS) that is acceptable to the General Authority of Civil Aviation of the Kingdome of Saudi Arabia, that, as a minimum:

2.2.1.1 Identifies safety hazards;

2.2.1.2 Ensures the implementation of remedial action necessary to maintain agreed safety performance;

2.2.1.3 Provides for continuous monitoring and regular assessment of the safety level achieved; and

2.2.1.4 Aims at a continuous improvement to the overall performance of the safety management system.

2.2.2 In order to be acceptable to the General Authority of Civil Aviation of the Kingdome of Saudi Arabia, a service provider SMS shall meet the requirements set forth in this regulation.

CHAPTER 3 – REFERENCES

3.1 ICAO References

3.1.1 This regulation is in accordance with ICAO Safety Management Manual (Doc 9859) and the requirements of GACA Regulations and ICAO Annex 6 — Operation of Aircraft, Part I — International Commercial Air Transport — Aeroplanes, and Part III — International Operations — Helicopters, Annex 8 — Airworthiness of Aircraft ICAO Annex 11 — Air Traffic Services, and ICAO Annex 14 — Aerodromes, Volume I — Aerodrome Design and Operations).

3.2 GACA References

3.2.1 This regulation is in accordance with the GACA Safety Management Manual Regulations.

CHAPTER 4 – GENERAL

4.1 General

4.1.1 The Service provider shall establish, maintain and adhere to a safety management system (SMS) that is appropriate to the size, nature and complexity of the operations authorized to be conducted under its operations certificate and the safety hazards and risks related to the operations.

CHAPTER 5 – SAFETY POLICY AND OBJECTIVES

5.1 General requirements

5.1.1 The service provider shall define the organization's safety policy.

5.1.2 The safety policy shall be signed by the Accountable Executive of the organization.

5.1.3 The safety policy shall include the responsibilities of management and employees with respect to the safety performance of the SMS.

5.1.4 The safety policy shall include a clear statement about the provision of the necessary resources for its implementation.

5.1.5 The safety policy shall be communicated, with visible endorsement, throughout the organization.

5.1.6 The safety policy shall also include, inter alia:

5.1.6.1 A commitment to continual improvement in the level of safety;

5.1.6.2 The hazard reporting procedures; and

5.1.6.3 The conditions under which disciplinary action would be not be applicable following hazard reporting by employees.

5.1.7 The safety policy shall be in accordance with all applicable legal requirements and international standards, best industry practices and shall reflect organizational commitments regarding safety.

5.1.8 The safety policy shall be reviewed periodically to ensure it remains relevant and appropriate to the organization.

5.1.9 A service provider shall establish safety objectives for the SMS.

5.1.10 The safety objectives should be linked to the safety performance indicators, safety performance targets and safety requirements of the service provider's SMS.

5.2 SMS Organizational arrangements and safety accountabilities and responsibilities

5.2.1 A service provider shall identify an Accountable Executive to be responsible and accountable on behalf of the service provider for meeting the requirements of this regulation, and shall notify [State] the name of the person.

5.2.2 The Accountable Executive shall be a single, identifiable person who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the [organization], for the implementation and maintenance of the SMS

5.2.3 The Accountable Executive shall have:

5.2.3.1 Full control of the human resources required for the operations authorized to be conducted under the operations certificate;

5.2.3.2 Full control of the financial resources required for the operations authorized to be conducted under the operations certificate;

5.2.3.3 Final authority over operations authorized to be conducted under the operations certificate;

5.2.3.4 Direct responsibility for the conduct of the organization's affairs; and

5.2.3.5 Final responsibility for all safety issues.

5.2.4 A service provider shall establish the necessary organizational arrangements for the implementation, adherence and maintenance of the organization's SMS.

5.2.5 A service provider shall identify the safety accountabilities, responsibilities and authorities of all members of management as well as of all employees, irrespective of other responsibilities.

5.2.6 Safety-related accountabilities, responsibilities and authorities shall be defined, documented and communicated throughout the organization.

5.2.7 A service provider shall identify a safety manager to be the member of management to be the responsible individual and focal point for the implementation and maintenance of an effective SMS.

5.2.8 The Safety Manager shall inter alia:

5.2.8.1 Ensure that processes needed for the SMS are developed, implemented adhered to and maintained;

5.2.8.2 Report to the Accountable Executive on the performance of the SMS and on any need for improvement; and

5.2.8.3 Ensure safety promotion throughout the organization.

5.3 Coordination of emergency response planning

5.3.1 A service provider shall ensure its emergency response plan is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its services.

5.3.2 The coordination of the emergency response planning shall ensure the orderly and efficient transition from normal to emergency operations and the return to normal operations

5.3.3 The coordination of emergency response plan shall include, inter alia:

5.3.3.1 The designation of emergency authority;

5.3.3.2 The assignment of emergency responsibilities during the coordinated activities;

5.3.3.3 The coordination of efforts to cope with the emergency; and

5.3.3.4 The compatibility with other emergency response plans of other organizations.

5.4 Documentation

5.4.1 A service provider shall develop and maintain SMS documentation to describe:

5.4.1.1 The safety policy and objectives;

5.4.1.2 The SMS requirements;

5.4.1.3 The SMS processes and procedures;

5.4.1.4 The accountabilities, responsibilities and authorities for processes and procedures; and

5.4.1.5 The SMS outputs.

5.4.2 A service provider shall, as part of the SMS documentation, complete a system description..

5.4.3 The system description shall include the following:

5.4.3.1 The system interactions with other systems in the air transportation system;

5.4.3.2 The system functions;

5.4.3.3 Required human performance considerations of the system operation;

5.4.3.4 Hardware components of the system;

5.4.3.5 Software components of the system;

5.4.3.6 Related procedures that define guidance for the operation and use of the system;

5.4.3.7 Operational environment; and

5.4.3.8 Contracted, sub-contracted and purchased products and/or services.

5.4.4 A service provider shall, as part of the SMS documentation, complete a gap analysis, in order to:

5.4.4.1 Identify the safety arrangements and structures that may be already exist throughout an organization; and

5.4.4.2 Determine additional safety arrangements required to implement and maintain the organization's SMS.

5.4.5 A service provider shall, as part of the SMS documentation, develop, adhere to and maintain an SMS implementation plan

5.4.6 The SMS implementation plan shall be the definition of the approach the organization will adopt for managing safety in a manner that will meet the organization's safety objectives.

5.4.7 The SMS implementation plan shall explicitly address the coordination between the SMS of the service provider and the SMS of other organizations the service provider must interface with

during the provision of services

5.4.8 The SMS implementation plan shall include the following:

5.4.8.1 Safety policy and objectives;

5.4.8.2 System description;

5.4.8.3 Gap analysis;

5.4.8.4 SMS components;

5.4.8.5 Safety roles and responsibilities;

5.4.8.6 Hazard reporting policy:

5.4.8.7 Means of employee involvement;

5.4.8.8 Safety performance measurement

5.4.8.9 Safety training;

5.4.8.10 Safety communication; and

5.4.8.11 Management review of safety performance.

5.4.9 The SMS implementation plan shall be endorsed by senior management of the organization.

5.4.9.1 A service provider shall, as part of the SMS documentation, develop and maintain a safety management system manual (SMSM), to communicate the organization's approach to safety throughout the organization.

5.4.10 The SMSM shall document all aspects of the SMS, and its contents shall include the following:

5.4.10.1 Scope of the safety management system;

5.4.10.2 Safety policy and objectives;

5.4.10.3 Safety accountabilities;

5.4.10.4 Key safety personnel;

5.4.10.5 Documentation control procedures;

5.4.10.6 Coordination of emergency response planning;

5.4.10.7 Hazard identification and risk management schemes;

5.4.10.8 Safety performance monitoring;

5.4.10.9 Safety auditing;

5.4.10.10 Procedures for the management of change;

5.4.10.11 Safety promotion; and

5.4.10.12 Control of contracted activities.

Information note – Generic guidelines for SMS documentation development and maintenance can be found in Attachment H to ICAO Annex 6, Part I, and Attachment G to ICAO Annex 6, Part III, and Operator's Flight Safety Documents System.

CHAPTER 6 – SAFETY RISK MANAGEMENT

6.1 General

6.1.1 A service provider shall develop and maintain a formal process that ensures that hazards in operations are identified.

6.1.2 A service provider shall develop and maintain safety data collection and processing systems (SDCPS) that provide for the identification of hazards and the analysis, assessment and mitigation of safety risks

6.1.3 A service provider's SDCPS shall include reactive, proactive and predictive methods of safety data collection.

6.2 Hazard identification

6.2.1 A service provider shall develop and maintain formal means for effectively collecting, recording, acting on and generating feedback about hazards in operations, which combine reactive, proactive and predictive methods of safety data collection. Formal means of safety data collection shall include mandatory, voluntary and confidential reporting systems.

6.2.2 The hazard identification process shall include the following steps:

6.2.2.1 Reporting of hazards, events or safety concerns;

6.2.2.2 Collection and storing the safety data;

6.2.2.3 Analysis of the safety data; and

6.2.2.4 Distribution of the safety information distilled from the safety data.

6.3 Safety risk assessment and mitigation

6.3.1 A service provider shall develop and maintain a formal process that ensures analysis, assessment and control of the safety risks of the consequences of hazards during the provision of its services

6.3.2 The safety risks of the consequences of each hazard identified through the hazard identification processes described in section 6.2 of this regulation shall be analyzed in terms of probability and severity of occurrence, and assessed for their tolerability.

6.3.3 The organization shall define the levels of management with authority to make safety risk tolerability decisions.

6.3.4 The organization shall define safety controls for each safety risk assessed as tolerable.

CHAPTER 7 – SAFETY ASSURANCE

7.1 General

7.1.1 A service provider shall develop and maintain safety assurance processes to ensure that the safety risks controls developed as a consequence of the hazard identification and risk management activities identified in chapter 5 achieve their intended objectives.

7.1.2 Safety assurance processes shall apply to the SMS of a service provider regardless as to whether the activities and/or operations are accomplished internally or outsourced to another organization..

7.2 Safety performance monitoring and measurement

7.2.1 A service provider shall, as part of the SMS's safety assurance activities, develop and maintain the necessary means to verify safety performance of the service provider in reference to the safety performance indicators, and safety performance targets, and to validate the effectiveness of safety risk controls.

7.2.2 Safety performance monitoring and measurement means shall include the following:

7.2.2.1 Safety reporting;

7.2.2.2 Safety audits;

7.2.2.3 Safety surveys;

7.2.2.4 Safety reviews;

7.2.2.5 Safety studies, and

7.2.2.6 Internal safety investigations

7.2.3 The safety reporting procedures shall set out the conditions to insure effective reporting, including the conditions under which disciplinary/administrative action shall not apply.

7.3 Management of change

7.3.1 A service provider shall, as part of the SMS's safety assurance activities, develop and maintain a formal process for the management of change.

7.3.2 The formal process for the management of change shall:

7.3.2.1 Identify changes within the service provider's organization and organizational environment, which may affect established processes and services;

7.3.2.2 Describe the arrangements to ensure safety performance before implementing changes; and

7.3.2.3 Eliminate or modify safety risk controls that are no longer needed due to changes in the operational environment.

7.4 Continuous improvement of the safety system

7.4.1 A service provider shall, as part of the SMS's safety assurance activities, develop and maintain formal processes to identify the causes of under-performance of the SMS, determine the implications in its operation, and eliminate such causes, in order to ensure the continual improvement of the SMS.

7.4.2 Continuous improvement of the service provider SMS shall include:

7.4.2.1 Proactive and reactive evaluations of facilities, equipment, documentation and procedures, to verify the effectiveness of strategies for control of safety risks; and

7.4.2.2 Proactive evaluation of the individuals' performance, to verify the fulfillment of safety responsibilities.

CHAPTER 8 – SAFETY PROMOTION

8.1 General

8.1.1 Service providers shall develop and maintain formal safety training and safety communication activities to create an environment where the safety objectives of the organization can be achieved.

8.2 Safety training

8.2.1 A service provider shall, as part of its safety promotion activities, develop and maintain a safety training program that ensures that personnel are trained and competent to perform the SMS duties.

8.2.2 The scope of the safety training shall be appropriate to the individual's involvement in the SMS.

8.2.3 The Accountable Executive shall receive safety awareness training regarding:

8.2.3.1 Safety policies and objectives;

8.2.3.2 SMS roles and responsibilities;

8.2.3.3 SMS standards; and

8.2.3.4 Safety assurance.

8.3 Safety communication

8.3.1 A service provider shall, as part of its safety promotion activities, develop and maintain formal means for safety communication, to:

8.3.1.1 Ensure that all staff is fully aware of the SMS;

8.3.1.2 Convey safety critical information;

8.3.1.3 Explain why particular safety actions are taken; and

8.3.1.4 Explain why safety procedures are introduced or changed.

8.3.1.5 Convey generic safety information

8.3.2 Formal means of safety communication shall include:

8.3.2.1 Safety policies and procedures;

8.3.2.2 Newsletters;

8.3.2.3 Bulletins;

8.3.2.4 Classes;

8.3.2.5 Workshops; and

8.3.2.6 Seminars/ and

8.3.2.7 Websites.

CHAPTER 9 – QUALITY POLICY

9.1 Quality Policy

9.1.1 A service provider shall ensure that the organization quality policy is Consistent with, and supports the fulfillment of the activities of the SMS.

CHAPTER 10 – IMPLEMENTATIONS OF THE SMS

10.1 Implementation of SMS

10.1.1 This regulation proposes, but does not mandate, a phased implementation of a service provider SMS, which encompasses four phases as described in paragraph 10.2 through paragraph 10.5 hereunder.

10.2 Phase 1

Planning should provide a blueprint on how the SMS requirements will be met and integrated to the organization's work activities, and an accountability framework for the implementation of the SMS:

10.2.1 Identify the accountable executive and the safety accountabilities of managers;

10.2.2 Identify the person (or planning group) within the organization responsible for implementing the SMS;

10.2.3 Describe the system (Air operator, ATC services provider, approved maintenance service provider, certified aerodrome operator);

10.2.4 Conduct a gap analysis of the service provider's existing resources compared with the national and international requirements for establishing an SMS;

10.2.5 Develop an SMS implementation plan that explains how the service provider will implement the SMS on the basis of national requirements and international SARPs, the system description and the results of the gap analysis;

10.2.6 Develop documentation relevant to safety policy and objectives; and

10.2.7 Develop and establish means for safety communication.

10.3 Phase 2

Reactive processes should put into practice those elements of the SMS implementation plan that refer to the safety risk management reactive processes:

10.3.1 Hazard identification and risk management using reactive process; and

10.3.2 Training relevant to:

10.3.2.1 SMS implementation plan components; and

10.3.2.2 Safety risk management (reactive processes).

10.3.3 Documentation relevant to:

10.3.3.1 SMS implementation plan components; and

10.3.3.2 Safety risk management (reactive processes).

10.3.4 Documentation relevant to:

10.3.4.1 SMS implementation plan components; and

10.3.4.2 Safety risk management (reactive processes).

10.4 Phase 3

Proactive and predictive processes should put into practice those elements of the SMS implementation plan that refer to the safety risk management proactive processes:

10.4.1 Hazard identification and risk management using proactive and predictive processes

10.4.2 Training relevant to:

10.4.2.1 SMS implementation plan components; and

10.4.2.2 Safety risk management (proactive and predictive processes).

10.4.3 Documentation relevant to:

10.4.3.1 SMS implementation plan components; and

10.4.3.2 Safety risk management (proactive and predictive processes).

10.5 Phase 4

Operational safety assurance should put into practice operational safety assurance:

10.5.1 Development and agreement on safety performance indicators and safety performance targets;

10.5.2 SMS continuous improvement;

10.5.3 Training relevant to operational safety assurance; and;

10.5.4 Documentation relevant to operational safety assurance and

10.5.5 Maintain means for safety communication.

APPENDIX II: SMS FORMS

السلامة والتراخيص الإقتصادية
Safety & Economic Regulation

الهيئة العامة للطيران المدني
General Authority of Civil Aviation

Company Logo	SMS Manual
	GACA Acceptance

MANUAL NAME :

ISSUE NUMBER :

REVISION NUMBER :

ISSUE DATE :

الهيئة العامة للطيران المدني
General Authority of Civil Aviation

Accepted by :

Title:

Date:

Signature:

Official Stamp:

Form ASD-SMS-001

APPENDIX III: SMS ASSESSMENT CHECKLIST

SMS ASSESSMENT CHECKLIST

INPUT COLUMN: ANNOTATE "Y" for YES," N " for NO, "NA" for NOT APPLICABLE

Organisation Name				Date of Assessment			Assessed by POI/ PMI			
Components	**Elements**	**Level 1**	**Input**	**Doc Ref/ Remarks**	**Level 2**	**Input**	**Doc Ref/ Remarks**	**Level 3**	**Input**	**Doc Ref/ Remarks**
Safety Policy	NIL	SP/L1/1						SP/L3/1		
		There is a documented Safety Policy statement.			The Safety Policy is readily visible or accessible to all personnel.			There is evidence that the Safety Policy is communicated to all employees with intent that they are made aware of their individual safety obligations.		
		SP/L1/2			SP/L2/2			SP/L3/2		
		The Safety Policy is appropriate to the size, nature and complexity of the organisation.			The Safety Policy is endorsed by the Accountable Manager.			There is a periodic review of the Safety Policy by senior management or the Safety Committee		
		SP/L1/3			SP/L2/3					
		The Safety Policy is relevant to aviation safety.			The safety policy do address the provision of necessary human and financial resources for its implementation.					
Safety Roles & Accountabilities	Accountable Manager	AM/L1/1			AM/L2/1			AM/L3/1		
		There is a documented safety (SMS) accountability within the organisation that begins with the Accountable Manager			The Accountable Manager's terms of reference indicate his ultimate responsibility for the implementation and maintenance of the SMS			The Accountable Manager's terms of reference indicate his ultimate responsibility for all safety issues		
		AM/L1/2			AM/L2/2					
		The Accountable Manager has full control over financial and human resources associated with his Air Operator Cert/ Cert of Approval			The Accountable Manager's terms of reference indicate his final authority over all operations conducted under his Air Operator Cert/ Cert of Approval					

Components	Elements	Level 1	Input	Doc Ref/ Remarks	Level 2	Input	Doc Ref/ Remarks	Level 3	Input	Doc Ref/ Remarks
Safety Roles & Accountabilities	Safety (SMS) Manager	SM/L1/1			SM/L2/1			SM/L3/1		
		There is a Manager who performs the role of administering the SMS			The Manager responsible for administering the SMS does not hold other responsibilities that may conflict or impair his role as SMS manager.			The SMS Manager reports directly to the Accountable Manager, especially concerning SMS performance and improvement		
		SM/L1/2						SM/L3/2		
		The Manager performing the SMS role have relevant SMS functions included in his terms of reference						The SMS Manager is a senior management position not lower than or subservient to other operational or production positions		
	Safety Committee	SC/L1/1			SC/L2/1			SC/L3/1		
		There is a Safety Committee (or equivalent meeting) for purpose of reviewing safety performance			For a large organisation, there are departmental or section Safety Action Groups that work inconjunction with the Safety Committee			The Safety Committee is chaired by the Accountable Manager or (for very large organisations) by an appropriately assigned deputy, duly substantiated in the SMS manual		
		SC/L1/2			SC/L2/2			SC/L3/2		
		The Safety Committee do include relevant operational or departmental Heads as members			There is an appointed Safety (SMS) coordinator within the Safety Action Group			The Safety Action Groups are chaired by the divisional or section Head.		
Safety Objectives and Goals	NIL	SOG/L1/1			SOG/L2/1			SOG/L3/1		
		The organisation do establish safety objectives or goals relevant to its aviation operations or services.			The safety objectives/ goals are compatible with the organisation's Safety Policy			There is a periodic review of the safety objectives/ goals for continuing validity where applicable.		
		SOG/L1/2			SOG/L2/2			SOG/L3/2		
		There are safety objectives/ goals which are measurable.			The safety objectives/ goals are monitored for achievement			There is evidence that the safety objectives/ goals are communicated to all employees with intent that they are made aware of their individual obligations and contributions.		

Components	Elements	Level 1	Input	Doc Ref/ Remarks	Level 2	Input	Doc Ref/ Remarks	Level 3	Input	Doc Ref/ Remarks
Safety Performance & ALS	NIL	SPALS/L1/1			SPALS/L2/1			SPALS/L3/1		
		There are safety performance indicators relevant to aviation safety			The ALS safety performance indicators are based on data relating to occurrence of some safety or quality related events or reports			There is a procedure for corrective or follow up action to be taken when there is significant abnormal trend or breach of any Acceptable Level of safety (ALS).		
		SPALS/L1/2			SPALS/L2/2					
		There are identified safety performance indicators for monitoring the organisation's minimum Acceptable Level of Safety (ALS) in the SMS manual.			Safety performance indicators are reviewed by the safety committee for trend, minimum safety (alert) levels and targets (desired levels) where applicable.					
Hazard and Risk Management	Hazard Identification	HI/L1/1			HI/L2/1			HI/L3/1		
		There is a procedure to encourage voluntary hazards/ threats reporting by all employees.			In the hazard identification system, there is a clear differentiation between a hazard and risk.			There is a procedure to identify hazards/ threats from internal incident/ accident investigation reports for follow up risk evaluation where applicable.		
		HI/L1/2			HI/L2/2			HI/L3/2		
		There is a procedure for incident/ accident reporting by operational or production personnel.			There is a policy that provides immunity from disciplinary actions (with any exceptions indicated) for all employees that report safety related deficiencies, threats or hazards.			There is a procedure to review hazards/ threats from available industry service or incident/ accident investigation reports for follow up risk evaluation where applicable.		

Components	Elements	Level 1	Input	Doc Ref/ Remarks	Level 2	Input	Doc Ref/ Remarks	Level 3	Input	Doc Ref/ Remarks
Hazard and Risk Management		HI/L1/3						HI/L3/3		
		There is a procedure for investigation of incident/ accidents relating to quality or safety.						There is a procedure for personnel to report hazards/ threats not amounting to incident/ accidents.		
	Risk Management	RM/L1/1			RM/L2/1			RM/L3/1		
		There is a documented Hazard Identification and Risk Assessment (HIRA) procedure involving the use of objective risk analysis tools.			Risk assessment reports are approved by departmental managers or higher level where appropriate.			There is a procedure for periodic review of existing risk analysis records.		
		RM/L1/2			RM/L2/2			RM/L3/2		
		There is a procedure to account for mitigation actions whenever unaccceptable risks are identified.			There is a procedure to define acceptable and unacceptable risks.			There is a procedure for special review of risk analysis records when there are changes that may affect their associated hazards or risks.		
		RM/L1/3			RM/L2/3			RM/L3/3		
		There is a procedure for identification of operations/ processes/ facilities/ equipment which are deemed (by the organisation) as relevant for HIRA peformance.			There is a procedure to define mitigation actions which require senior management approval.			Recommended mitigation actions which require senior management decision or approval are accounted for and documented.		
		RM/L1/4			RM/L2/4			RM/L3/4		
		There is a program for progressive HIRA performance of all aviation safety-related operations/ processes/ facilities/ equipment as identified by the organisation.			There is a procedure to prioritise HIRA performance for operations/ processes/ facilities/ equipment with identified or known safety-critical hazards/ risks.			There is evidence of progressive compliance and maintenance of the organisation's HIRA performance program.		

Components	Elements	Level 1	Input	Doc Ref/ Remarks	Level 2	Input	Doc Ref/ Remarks	Level 3	Input	Doc Ref/ Remarks
Management of Change	NIL	MC/L1/1			MC/L2/1			MC/L3/1		
		There is a procedure for review of relevant existing aviation safety related facilities and equipment (including any HIRA records) whenever there are pertinent changes to those facilities or equipment .			There is a procedure for review of new aviation safety related facilities and equipment for hazards/ risks before they are commissioned.			There is a procedure for review of relevant existing facilities, equipment, operations or processes (including any HIRA records) whenever there are pertinent changes external to the organisation such as regulatory/ industry standards, best practices or technology.		
		MC/L1/2			MC/L2/2					
		There is a procedure for review of relevant existing aviation safety related operations and processes (including any HIRA records) whenever there are pertinent changes to those operations or processes.			There is a procedure for review of new aviation safety related operations and processes for hazards/ risks before they are commissioned.					
SMS Training, Communication & Promotion	NIL	STCP/L1/1			STCP/L2/1			STCP/L3/1		
		There is a documented personnel Safety (SMS) training procedure/ policy.			Personnel involved in conducting risk evaluations are provided with appropriate risk management training or familiarisation.			There is evidence of organisation wide SMS education or awareness efforts.		
		STCP/L1/2			STCP/L2/2			STCP/L3/2		
		The SMS manager has undergone an appropriate SMS training course or program.			Personnel directly involved in the SMS (Safety Committee/ SAG members) have undergone appropriate SMS training or familiarisation.			There is evidence of a Safety (SMS) publication, circular or channel for communicating Safety (SMS) matters to employees.		
		STCP/L1/3								
		The Accountable Manager has undergone appropriate SMS familiarisation, briefing or training.								

Components	Elements	Level 1	Input	Doc Ref/ Remarks	Level 2	Input	Doc Ref/ Remarks	Level 3	Input	Doc Ref/ Remarks
SMS Documentation and Records	SMS Manual/ Exposition	SME/L1/1			SME/L2/1			SME/L3/1		
		There is a documented SMS procedure or manual.which is approved by the Accountable Manager and accepted by DCA.			All 12 components of SMS regulatory requirements (SMS Handbook paragraph 7) are addressed in the SMS procedures.			The SMS procedures do reflect the integration of the various safety related control systems within the organisation such as Occupational Safety/ Flight Safety/ Quality Control/ Environmental Control as applicable.		
		SME/L1/2			SME/L2/2			SME/L3/2		
		The SMS procedures are documented in a systematic and consolidated manner.			All relevant elements within each component of the SMS regulatory requirements (SMS Handbook paragraph 9) are addressed in the SMS procedures.			The SMS procedures do reflect relevant coordination or integration with substantial external service providers or operators where applicable.		
		SME/L1/3			SME/L2/3					
		The SMS procedures is a stand alone controlled document or part of an existing controlled document.			There is a process to periodically review the SMS documentation to ensure its continuing suitability, adequacy and effectiveness.					
	SMS Records	SR/L1/1			SR/L2/1			SR/L3/1		
		Records pertaining to Safety Committee/ SAG meeting (or equivalent) minutes are maintained.			Records pertaining to Safety Committee/ SAG meeting (or equivalent) minutes are made available to all members and the Accountable Manager			There is a documented policy with respect to generation, distribution and retention of SMS records.		
		SR/L1/2			SR/L2/2			SR/L3/2		
		Records pertaining to Safety/ Risk Assessments performed are maintained.			Records pertaining to Safety/ Risk Assessments performed are assessible to all relevant parties.			Records pertaining to periodic review of existing Safety/ Risk Assessments or special review in conjunction with relevant changes are available.		
		SR/L1/3								
		Records pertaining to identified or reported hazards/ threats are maintained.								

Components	Elements	Level 1	Input	Doc Ref/ Remarks	Level 2	Input	Doc Ref/ Remarks	Level 3	Input	Doc Ref/ Remarks
Audit and Continuous Improvement	NIL	AAP/L1/1			AAP/L2/1			AAP/L3/1		
		There is a procedure for periodic internal audit/ assessment of the SMS			There is a follow up procedure to address audit corrective actions.			SMS audit/ assessment has been carried out according to plan.		
		AAP/L1/2			AAP/L2/2			AAP/L3/2		
		There is a current internal SMS audit/ assessment plan.			The internal SMS audit plan do cover SMS roles and procedures of all departments as defined within the scope of the SMS.			SMS audit/ assessment reports are reviewed by the Accountable Manager.		
		AAP/L1/3			AAP/L2/3			AAP/L3/3		
		There is a documented internal SMS audit/ assessment checklist.			The SMS audit plan do include the sampling of completed safety assessments.			The SMS audit plan do cover the SMS roles/ inputs of contractors where applicable.		
Emergency Response Plan	NIL	ERP/L1/1			ERP/L2/1			ERP/L3/1		
		There is a documented Emergency Response Plan or Procedure.			The ERP do include procedures for safe transition from normal to emergency and back to normal operations.			The ERP do address relevant integration with substantial external service providers or operators where applicable		
		ERP/L1/2			ERP/L2/2			ERP/L3/2		
		The ERP is appropriate to the size, nature and complexity of the organisation.			There is a plan for drills or exercises with respect to the ERP.			There is a procedure for periodic review of the ERP as well as after key ERP personnel or organisational changes.		
		ERP/L1/3			ERP/L2/3			ERP/L3/3		
		The ERP do include assignment of emergency responsibilities/ authority.			ERP drills or exercises are carried out according to plan and result of drills carried out are documented.			There is provision in ERP to address preservation of safety/ quality/ continuity of its aviation product/ services during emergency/ crisis/ AOG situations, where applicable.		

Components	Elements	Level 1	Input	Doc Ref/ Remarks	Level 2	Input	Doc Ref/ Remarks	Level 3	Input	Doc Ref/ Remarks

SUB-TOTAL	CATEGORY 1
Y	0
N	0
NA	0
NO OF QN	37
COMPLETED	0

CATEGORY 2
0
0
0
33
0

CATEGORY 3
0
0
0
30
0

GRAND TOTAL*	
Y	0
N	0
NA	0
NO. OF QN	100
COMPLETED	0

ASSESSMENT RESULT (% OF YES):

0.0%

CORRECTIVE ACTION NOTICE (CAN) PROCEDURE [WEF 1 JULY 2009]:

1) MINIMUM OVERALL (%) PERFORMANCE (All Questions):

Corrective Action Notice (CAN) to be issued for overall performance of less than 45% during 1st year of assessment.

90 days for corrective action to obtain not less than 45% overall performance.

Note: Minimum overall performance (%) criteria will be 65% for 2nd year of assessment and 85% for 3rd year of assessment (and thereafter)

2) MINIMUM COMPONENT PERFORMANCE (Level 1 Questions):

Corrective Action Notice (CAN) to be issued for "No" answers to any Level 1 Questions.
60 days for corrective action to obtain a "Yes" answer.