

IRD No.

30-09/SAFETY MANAGEMENT/001



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DRAFT INTERIM REGULATORY DIRECTIVE (IRD)

A Directive by the UCAA on 30-09-2026

SAFETY MANAGEMENT

This Interim Regulatory Directive is issued for regulatory purposes pursuant to Section 15 (j) of the Uganda Civil Aviation Authority Act Cap. 348 as amended.

Under the powers conferred by Section 15 (j) of the Uganda Civil Aviation Authority Act as amended, the Director General of Uganda Civil Aviation Authority hereby issues this directive to guide the industry until such time that the following new or revised provisions are inserted in the Civil Aviation (Safety Management) Regulations, 2022 Statutory Instrument 91 dated 12th August 2022 as follows:

Interpretation

In the Civil Aviation (Safety Management) Regulations, unless the context otherwise requires—

“Human performance” means human capabilities and limitations which have an impact on the safety and efficiency of aeronautical operations.

“Organization responsible for the type design” means the organization that holds the type certificate, or equivalent document, for an aircraft, remote pilot station, engine or propeller type, issued by a Contracting state.

“Safety data” means a defined set of facts or values collected from various aviation related sources, for reference, processing or analysis which could be used to maintain or improve safety.

“Safety Information” means Safety data processed, organized or analysed in a given context to support safety management and the development of safety intelligence.

“Safety performance” means a state or service provider’s measurable effect on safety achievement.

“Safety performance indicator” means a metric used to measure and monitor a State or a service provider’s safety performance, including the progress towards achieving a safety objective.

“Safety performance target” means the State or service provider’s planned or intended target for safety performance indicator over a given period.

“State of manufacture” means the State having jurisdiction over the organization responsible for the final assembly of the aircraft, remote pilot station, engine or propeller.

“State of Registry” means the State on whose register the aircraft is entered.

“State Safety Programme” means an integrated set of laws, regulations, policies, objectives, processes, procedures and activities aimed at managing safety, at the State level.

Regulation 4 - State safety programme

- (1) The authority shall establish and manage an SSP in accordance with the four components of the SSP framework and supported by a system description.
- (2) The components are: State safety policy, objectives and resources, State safety risk management, State safety assurance and State safety promotion

Regulation 5 - State system and functions

- (1) The Authority shall establish State system and functions in accordance with Schedule 1 of the Civil Aviation (Safety Management) Regulations, 2022.
- (2) The Authority may delegate SSP functions and activities to another state, RSOO or RAIO.
- (3) The Authority shall establish a safety policy and safety objectives that reflect Uganda’s commitment regarding safety and facilitation of promotion of a positive safety culture.
- (4) The SSP functions, safety policy and safety objectives shall be documented and periodically reviewed to ensure that they remain relevant and appropriate to Uganda.
- (5) The role of Uganda Civil Aviation Authority shall be appropriately reflected in the National Emergency Response Planning and Crisis Management.

Regulation 7 - Enforcement Policy

- ~~(1) The authority shall develop an enforcement policy.~~
- ~~(2) The enforcement policy shall specify conditions and circumstances under which a service provider with a safety management system shall deal with events involving safety issues~~

Regulation 8 - Compliance with Schedule 1 to these Regulations

The Authority and the Aircraft Accident and Incident Investigation Unit shall in the performance of their functions comply with Schedule 1 to the Civil Aviation (Safety Management) Regulations, 2022.

Regulation 9 - Qualifications of technical personnel

The Authority shall establish requirements for the qualification of technical personnel in Schedule 1 to the Civil Aviation (Safety Management) Regulations, 2022.

Regulation 10 - Technical guidance, tools and provision of safety-critical information

The Authority shall establish technical guidance and tools and provide safety-critical information in accordance with Schedule 1 to the Civil Aviation (Safety Management) Regulations, 2022.

Regulation 11 – Licensing, certification, authorisation and approval obligations

- (1) The Authority shall ensure that the licensing, certification, authorization and approval obligations are met in accordance with Schedule 1 to the Civil Aviation (Safety Management) Regulations, 2022.

(2) Human performance implications shall be given consideration in the establishment and management of the SSP and;

Regulation 12 - Safety Management System (SMS) obligations

The following service providers under their authority shall implement a Safety Management System (SMS)—

- (a) approved training organizations in accordance with the Civil Aviation (Approved Training organisations) regulations, 2022 that are exposed to safety risks related to aircraft operations during the provision of their services.
- (b) air operator certificate holder operating aircraft registered in Uganda for the purpose of commercial air transport, in accordance with the Civil Aviation (Air Operator Certification and Administration) Regulations, 2022 ;
- (c) operators holding a remotely piloted aircraft system (RPAS) operator certificate and authorized to conduct international operations in accordance with the Civil Aviation (Unmanned aircraft systems) Regulations, 2022.
- (d) approved maintenance organizations certificated under the Civil Aviation (Approved Maintenance Organizations) Regulations, 2022”.
- (e) approved maintenance organizations providing services to operators authorized to conduct international RPAS operations in accordance with Civil Aviation (Approved maintenance organisations) Regulations, 2022;
- (f) organizations responsible for the type design or manufacture of aircraft, engines or propellers in accordance with the Civil aviation (Air worthiness of Aircraft) Regulations, 2022.
- (g) an air traffic service (ATS) provider certified in accordance with the Civil Aviation (Air traffic services) Regulations, 2022; and
- (h) operators of certified aerodromes or certified heliports in accordance with the Civil Aviation (Aerodromes) Regulations, 2022 and the Civil Aviation (Heliports) Regulations, 2022.

12 (6) Where maintenance activities are not conducted by an approved maintenance organization in accordance with Operation of aircraft and remotely piloted aircraft regulations, they shall be included in the scope of the operator’s SMS.

12 (7) An operator or a service provider shall develop a plan to facilitate SMS implementation.

Regulation 13 - Accident and incident investigation

The aircraft accident and incident investigation unit shall investigate incidents and accidents in accordance with the Civil Aviation (Aircraft Accident and Incident Investigation) Regulations, 2022, in support of the management of safety in Uganda.

Regulation 14 - Hazard identification and safety risk assessment

(1). The Authority shall establish and maintain a process to identify hazards at national level from collected safety data and safety information.

(2) The Authority shall develop and maintain a process that ensures the assessment of safety risks associated with hazards identified at the national level.

Regulation 15 - Management of safety risks

(2) The Authority shall develop, maintain and document the processes to manage safety risks arising from hazards identified at the national level.

(3) The Authority may periodically review the need to extend the SMS applicability to additional aviation sectors beyond those covered under regulation 12, in accordance with the SMS framework contained in Schedule 2 to the Civil Aviation (Safety Management) Regulations, 2022.

Regulation 16 - Surveillance obligations

(2) The Authority shall establish procedures to prioritize surveillance activities towards those areas of greater safety concern or need.

(3) The Authority shall inspect, audit and survey an area of greater safety concern or need.

(4) Information for the planning, prioritization and preparation of surveillance activities shall be provided by organizational risk profiles, including:

- a. outcomes of hazard identification
- b. safety risk assessment processes conducted as part of surveillance activities,
- c. SMS assessments and
- d. safety performance monitoring.

(5) The Authority shall implement mechanisms to:

- a) periodically assess the SMS of service providers and operators addressed in regulation 12 of the Civil Aviation (Safety Management) Regulations, 2022
- b) monitor the safety performance of service providers and operators addressed in regulation 12 of the Civil Aviation (Safety Management) Regulations, 2022.

(6) The Authority shall establish a surveillance policy that specifies the conditions and circumstances under which service providers and operators with an SMS are allowed to deal with and resolve, events involving certain safety issues, internally, within the context of their SMS and to the satisfaction of the appropriate Authority.

Regulation 17 - State safety performance measurement and monitoring

- (1) The Authority shall establish safety performance indicators, supported by qualitative means as needed, and safety performance targets where appropriate, to measure and monitor the safety performance of the State's civil aviation system and the progress towards achieving its safety objectives.
- (2) The Authority shall ensure that the means of safety performance measurement established by service providers and operators addressed in regulation 12 consider the safety performance measurement and monitoring at the national level.
- (3) The Authority shall develop and maintain a process to proactively manage changes at the State level, to ensure that the safety risks incurred by the changes are properly controlled while the desired outcomes are achieved.
- (4) The Authority shall periodically assess the effectiveness of their SSP processes and activities to support the continual improvement of their SSP.

State Safety Promotion (SSP Component 4)

Regulation 18

The Authority shall communicate the SSP functions, safety policy and safety objectives across their aviation community and with other stakeholders impacting aviation safety.

Regulation 19

The Authority shall implement means to promote safety in support of the achievement of their safety objectives and the development of a positive safety culture across their aviation community and with other stakeholders impacting aviation safety.

Regulation 20 – Safety Management System

(1) Compliance with safety regulations to obtain a license, certificate, authorization or approval shall be the foundation for the implementation of an SMS.

(2) The SMS of each service provider and operator addressed under regulation 12 of the Civil Aviation (Safety Management) Regulations, 2022 shall:

a) be established and managed in accordance with the framework elements contained in schedule 1 to the Civil Aviation (Safety Management) Regulations, 2022.

b) cover a defined scope of products and services; and

c) be supported by a system description, including the identification of relevant organizational interfaces.

3) The Authority shall ensure that each service provider and operator addressed under regulation 12 to the Civil Aviation (Safety Management) Regulations, 2022 develops a plan to facilitate SMS implementation.

(4) Human performance implications shall be given specific consideration in the establishment and management of an SMS,

(5) Service providers with multiple approvals requiring an SMS may choose to include them all under the scope of a single SMS.

(6) Service providers may choose to integrate their SMS with other management systems.

Regulation 21 – SMS Acceptability

(1) The SMS of an approved training organization, in accordance with the Civil Aviation (Approved Training Organization) Regulations, 2022, that is exposed to safety risks related to aircraft operations during the provision of its services shall be made acceptable to the Authority.

(2) The SMS of an air operator certificate holder operating aircraft registered in Uganda for the purpose of commercial air transport, in accordance with the Civil Aviation (Air Operator Certification and Administration) Regulations, 2022, shall be made acceptable to the Authority.

(3) When maintenance activities are not conducted by an approved maintenance organization in accordance with requirements of airworthiness, they shall include in the scope of the operator's SMS.

(4) The SMS of a certified remotely piloted aircraft system (RPAS) operator authorized to conduct international operations, in accordance with the Civil Aviation (Unmanned Aircraft systems) Regulations, 2022, shall be made acceptable to the Authority.

(5) The SMS of an approved maintenance organization certificated under the Civil Aviation (Approved Maintenance Organizations) Regulations, 2022 shall be made acceptable to the Authority.

(6) The SMS of an approved maintenance organization providing services to operators authorized to conduct international RPAS operations in accordance with the Civil Aviation (Air Operator Certification and Administration) Regulations, 2022, shall be made acceptable to the Authority.

(7) The SMS of an organization responsible for the type design of aircraft, engines or propellers, in accordance with requirements for airworthiness of aircraft, shall be made acceptable to the State of Design.

(8) The SMS of an organization responsible for the manufacture of aircraft, engines or propellers, in accordance with requirements for airworthiness of aircraft, shall be made acceptable to the State of Manufacture.

(9) The SMS of an ATS provider, in accordance with the Civil Aviation (Air Traffic Services) Regulations, 2022, shall be acceptable to the Authority.

(10) The SMS of an operator of a certified aerodrome or a certified heliport, certified under the Civil Aviation (Aerodromes) Regulations, 2022 and Civil Aviation (Heliports) Regulations, 2022 shall be acceptable to the Authority.

Development of safety Intelligence

Regulation 23

(1) The Authority shall establish a strategy for the development of safety intelligence that supports the management of safety and decision-making.

(2) The Authority shall establish Safety Data Collection and Processing Systems (SDCPS) under the State safety programme.

(3) The SDCPS established by the Authority under the State safety programme shall capture, store, aggregate and enable the analysis of safety data and safety information.

(4) For purposes of this regulation, SDCPS refers to processing and reporting systems, safety databases, schemes for exchange of information, and recorded information.

(5) SDCPS may include inputs from another State, an industry and public sources.

(6) The Authority shall ensure that the SDCPS is based on both proactive and reactive methods of safety data and safety information collection.

(7) The State Safety Programme and Aircraft Accident and Incident Investigation Unit are responsible for the implementation of the SSP and shall contribute and have access to safety data and safety information in the SDCPS to support their safety responsibilities.

(8) A service provider and operator required to establish and implement a Safety Management System (SMS) under these Regulations shall submit to the Authority safety occurrence reports and the findings of safety occurrence investigations conducted by the service provider, in the format and manner prescribed by the Authority.

(9) The reports and investigation findings shall be submitted within the timeframes specified by the Authority and in accordance with applicable requirements for the reporting, investigation, protection and use of safety information.

(10) An operator required to establish and maintain a Flight Data Analysis Programme in accordance with the Civil Aviation (Operation of Aircraft (Commercial Air Transport)(Aeroplanes) Regulations, 2022 shall:

(a). Submit Flight Data Analysis Reports to the Authority at such intervals, in such format, and containing such information as may be prescribed by the Authority.

(b). Submit an interim report to the Authority, upon request, where the Authority determines that the information is necessary for the discharge of its safety oversight responsibilities.

Regulation 24 - Mandatory safety reporting system

The Authority shall ensure that the safety data and safety information collected through mandatory safety reporting systems are incorporated into the SDCPS.

Regulation 26 - Access to SDCPS

The State authorities responsible for the implementation of the SSP shall contribute and have access to the SDCPS.

State authorities responsible for the implementation of the SSP include the—

(a) Authority; and

(b) Aircraft Accident and Incident Investigation Unit.

(3) The Authority shall use a taxonomy for safety reporting that is aligned with standardized taxonomies and that facilitate the:

a) identification of hazards at the national level as referenced in sub regulation 14(1)

b) consistent comparison of safety data and safety information; and

c) sharing and exchange of safety information as referenced in Regulation 30.

(4) The Authority shall establish a means for the governance of safety data and safety information.

Regulation 27 - Safety data and safety information analysis

The Authority shall establish and maintain processes to analyse safety data and safety information from the SDCPS. The processes shall include a variety of analysis methods to support the:

a) development of safety performance indicators, as referenced in regulation 17 as amended in this IRD

b) identification of hazards at the National level, as referenced in regulation 14.

c) identification of existing practices and operational strategies that resulted in positive safety outcomes; and

d) development of safety intelligence.

Regulation 28 - Safety data and safety information Protection

(1) The Authority and the aircraft accident and incident investigation unit shall accord protection to safety data captured by, and safety information derived from, voluntary safety reporting systems and related sources in accordance with Schedule 3.

(2) The Authority and the aircraft accident and incident investigation unit shall protect safety data captured by, and safety information derived from, the mandatory safety reporting system and related sources.

(3) Subject to sub-regulation (1), sources shall include individuals and organizations.

Regulation 29

(3) The Authority shall take necessary measures, including the promotion of a positive safety culture, to encourage safety reporting through Mandatory and Voluntary reporting systems.

Regulation 30

(3) The Authority shall facilitate the establishment of means for timely safety information sharing or exchange to promote collaboration within the aviation community, provided that proper measures are taken to ensure that safety information is only used for maintaining and improving safety.

(4.) Means for timely safety information sharing or exchange may include agreements, partnerships, collaborative safety teams, forums and digital/physical platforms.

(5) The Authority shall promote the sharing and exchange of relevant safety information and safety intelligence among service providers and operators, provided that proper measures are taken to ensure that safety information and safety intelligence are only used for maintaining and improving safety.

SCHEDULE 1

Paragraph 5 subparagraph (1)

The Authority and agencies in paragraph 3 shall provide technical guidance to the aviation industry on the implementation of relevant regulations.

Paragraph 3 subparagraph (5)

The Authority and agencies in subparagraph (1) shall use a methodology to determine their staffing requirements for personnel performing safety oversight functions.

Paragraph 7

The Authority implements documented surveillance processes, by defining and planning inspections, audits and monitoring activities on a continual basis, to proactively assure that a holder of an aviation license, a certificate, an authorisation or an approval continues to meet the established requirements. This includes the surveillance of personnel designated by the Authority to perform safety oversight functions on its behalf.

2ND SCHEDULE

Paragraph 1 title - Safety policy, objectives and resources (SMS Component 1)

Paragraph 2 title - Safety risk management (SMS Component 2)

Paragraph 3 title - Safety assurance (SMS Component 3)

Paragraph 4 title - Safety Promotion (SMS Component 4)

Paragraph 3 subparagraph (a) - Safety assurance

The safety assurance component shall comprise of the following elements—

- (a) safety performance measurement and monitoring;
- (b) management of change; and
- (c) continual improvement of the SMS.

SAFETY POLICY, OBJECTIVES AND RESOURCES

Paragraph 5 subparagraph 1 and 1(b)

(1) A service provider shall define its safety policy in accordance with international and national requirements and the safety policy shall—

(b) Include a clear statement about the provision of the necessary resources for the implementation of the safety policy

Paragraph 5 subparagraph 2(b)

- (c) reflect the service provider's commitment to maintain or continually improve the overall effectiveness of the SMS;

Paragraph 5 new subparagraph (3)

When defining safety objectives, the service provider shall consider safety objectives established at the National level, where appropriate.

Paragraph 9 new subparagraph (1) - Safety Management System (SMS) documentation

(1) A service provider shall develop and maintain an SMS manual that describes its—

- (a) safety policy, objectives and resources;

Paragraph 9 new subparagraph (2)

A service provider or operator shall develop and maintain SMS operational records as part of its SMS documentation.

Paragraph 9 new subparagraph (3)

The Safety Management System manual and Safety Management System operational records in subparagraph (2) may be in the form of stand-alone documents or may be integrated with other organisational documents or documentation maintained by the service provider or operator.

SAFETY RISK MANAGEMENT (SMS COMPONENT 2)

Paragraph 10 subparagraph (1)

A service provider or operator shall develop and maintain a process to identify hazards, including hazards related to internal and external interfaces, associated with its aviation products or services.

Paragraph 11 - Safety risk assessment and mitigation

A service provider or operator shall develop and maintain a process that ensures analysis, assessment and control of the safety risks associated with identified hazards.

SAFETY ASSURANCE (SMS COMPONENT 3)

Paragraph 12 - Safety performance measurement and monitoring

The service provider or operator shall establish means to:

- a) measure and monitor the safety performance of the organization;
- b) measure and monitor the progress towards achieving its safety objectives; and
- c) validate the effectiveness of safety risk controls.

Paragraph 14 - Continual improvement of the SMS

A service provider or operator shall monitor and assess its SMS processes to maintain or continually improve the overall effectiveness of the SMS.

SAFETY PROMOTION

Paragraph 15 - Training and education

(1) A service provider or operator shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform their SMS duties

SCHEDULE 3

PRINCIPLES FOR THE PROTECTION OF SAFETY DATA, SAFETY INFORMATION AND RELATED SOURCES

Paragraph 1 subparagraph (2)

When an investigation under the Civil Aviation (Aircraft Accident and Incident Investigation) Regulations, 2022 has been instituted, the incident and accident investigation records listed under the protection of accident and incident investigation records in the Regulations shall be subject to the protections accorded therein instead of the protections accorded by these Regulations.

Paragraph 4 subparagraph (2)(b)

Where disclosure is made in accordance with paragraph 3, the Authority shall ensure that—

- (a) public disclosure of relevant personal information included in the safety data or safety information complies with applicable privacy laws; or
- (b) public disclosure of the safety data or safety information is made in a de-identified, summarized or aggregate form.

For Further Information

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