

GOVERNMENT NOTICE NO. published on.....

THE CIVIL AVIATION ACT
(CAP.354.....)

REGULATIONS

(Made under Section)

THE CIVIL AVIATION (SAFETY MANAGEMENT) REGULATIONS,2019

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THE CIVIL AVIATION (SAFETY MANAGEMENT) REGULATIONS, 2019

ARRANGEMENT OF REGULATIONS

PART I
PRELIMINARY PROVISIONS

Title

1. These Regulations may be cited as the Civil Aviation (Safety Management) Regulations, 2019.

Interpretation

2. In these Regulations, unless the context otherwise requires:
"Accident" means an occurrence associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down, 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 a single engine, (including its cowlings or accessories), to propellers, wing tips, antennas, probes, vanes, tires, brakes, wheels, fairings, panels, landing gear doors, windscreens, the aircraft skin (such as small dents or puncture holes), or for minor damages to main rotor blades, tail rotor blades, landing gear, and those resulting from hail or bird strike (including holes in the radome); or
c) the aircraft is missing or is completely inaccessible.
- ” **Acceptable level of safety performance (ALoSP)**” means the minimum level of safety performance of civil aviation in a State, as defined in its State safety programme, or of a service provider, as defined in its safety management system, expressed in terms of safety performance targets and safety performance indicators.
- “**acceptable performance**” means normal expected behaviour and includes unintended errors and some minor violations or deviations;
- “**Aeroplane**” means a power-driven heavier-than-air aircraft, deriving its lift in flight chiefly from aerodynamic reactions on surfaces which remain fixed under given conditions of flight.
- “**Aircraft**” means any machine that can derive support in the atmosphere from the reactions of the air other than the reactions of the air against the earth’s surface.
- “**Authority**” means the State Civil Aviation Authority established by section of the Act;
- “**Hazard**” ~~means a condition that can lead to injury, illness or death to people; damage to or loss of a system, equipment, or property; or damage to the environment.~~
- means a condition or an object with the potential to cause or contribute to an aircraft incident or accident.**
- “**Helicopter**” means a heavier-than-air aircraft supported in flight chiefly by the reactions of the air on one or more power-driven rotors on substantially vertical axes.
- “**incident**” means an occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation;
- “**large aeroplane**” means an aeroplane with a maximum take-off weight of more than 5 700 kg;
- “mitigation” means measures to address the potential hazard or to reduce the risk probability or severity;
- “**Operational personnel**” means Personnel involved in aviation activities who are in a position to report safety information.
- “**predictive**” means capturing the system performance as it happens in real time normal operations so as to identify potential future problems;
- “**prescribed**” means prescribed by the Authority;
- “**proactive**” means actively identifying safety risks through the analysis of the organization’s activities.
- “**process**” means 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);

“**protection**” means providing defence;

“**reactive**” means responding to events that have already happened such as incidents and accidents;

“**risk assessment**” means the assessment in terms of predicted probability and severity, of the consequence(s) of a hazard taking as a reference the worst foreseeable situation;

“**Risk control**” means a means to reduce or eliminate the effects of hazards;

“**safety**” means a state in which risks associated with aviation activities, related to, or in direct support of the operation of aircraft, are reduced and controlled to an acceptable level.

“**safety assurance**” means processes within the SMS that function systematically to ensure the performance and effectiveness of safety risk controls and that the organization meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

“**Safety data**” means defined set of facts or set of safety values collected from various aviation-related sources, which is used to maintain or improve safety. Such safety data is collected from proactive or reactive safety-related activities, including but not limited to:

- a) accident or incident investigations;
- b) safety reporting;
- c) continuing airworthiness reporting;
- d) operational performance monitoring;
- e) inspections, audits, surveys; or
- f) safety studies and reviews.

“**Safety information**” means Safety data processed, organized or analysed in a given context so as to make it useful for safety management purposes.

“**safety manager**” means the individual, responsible for the development, operation and continuous improvement of the safety management system deployed by an operator/service provider and may be referred to as Director of Safety. He/she acts as a focal point for safety management issues in the organisation;

“**safety management system (SMS)**” means a systematic approach to managing safety, including the necessary organizational structures, ~~accountabilities,~~ **accountability, responsibilities,** policies and procedures.

“**safety oversight**” means ~~what the State performs with regard to the SMS of the operators/service providers;~~

a function performed by a State to ensure that individuals and organizations performing an aviation activity comply with safety-related national laws and regulations.

“**Safety objective**” means a measurable goal or desirable outcome related to safety.

“**Safety performance**” means a State or a service provider’s safety achievement as defined by its safety performance targets and safety performance

indicators;

“Safety performance indicator” means a data-based parameter used for monitoring and assessing safety performance.

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

“Safety policy” means the certificate holder’s documented commitment to safety, which defines its safety objectives and the accountabilities and responsibilities of its employees in regards to safety;

“Safety promotion” means a combination of training and communication of safety information to support the implementation and operation of an SMS in an organization.

“safety risk” means the predicted probability and severity of the consequences or outcomes of a hazard;

“Serious injury” means an injury which is sustained by a person in an accident and which:

- a) requires hospitalization for more than 48 hours, commencing within seven days from the date the injury was received; or
- b) results in a fracture of any bone (except simple fractures of fingers, toes or nose); or
- c) involves lacerations which cause severe haemorrhage, nerve, muscle or tendon damage; or
- d) involves injury to any internal organ; or
- e) involves second or third degree burns, or any burns affecting more than 5 per cent of the body surface; or
- f) involves verified exposure to infectious substances or injurious radiation.

“service provider” means

- (a) approved training organizations, in accordance with Civil Aviation (Approved Training Organisation) Regulations, 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 Civil Aviation (Air Operator Certification and Administration) Regulations;
- (c) approved maintenance organizations providing services to operators of aeroplanes or helicopters engaged in international commercial air transport in accordance with Civil Aviation (Approved Maintenance Operator) Regulations;
- (d) organizations responsible for the type design or manufacture of aircraft in accordance with in Civil Aviation (Airworthiness) Regulations;
- (e) Air Traffic Services providers in accordance with Civil Aviation (Air Navigation Services) Regulations;
- (f) operators of certified aerodromes in accordance with Civil Aviation (Aerodromes) Regulations.

“State safety assurance” means what the State performs with regard to the

safety performance of its SSP and operators/service providers perform with regard to the safety performance of their SMS, including monitoring and measurement;

“**State of Design**” means the State having jurisdiction over the organization responsible for the type design;

“**State of Manufacture**” means the State having jurisdiction over the organization responsible for the final assembly of the aircraft;

“**State of the Operator**” means the State in which the operator’s principal place of business is located or, if there is no such place of business, the operator’s permanent residence;

“**state safety oversight**” means a function by means of which a state ensures effective implementation of the safety related standards and recommended practices and associated procedures contained in the annexes to the convention on international civil aviation and related ICAO documents; and

“**state safety programme (SSP)**” means an integrated set of regulations and activities aimed at improving safety.

“**Surveillance**” means the State activities through which the State proactively verifies through inspections and audits that aviation licence, certificate, authorization or approval holders continue to meet the established requirements and function at the level of competency and safety required by the State.

Application

3. (1) These Regulations shall apply to safety management functions related to, or in direct support of, the safe operation of **civil** aircraft.
- (2) Except where otherwise specified, these Regulations shall not apply to occupational safety, environmental protection, customer service or product quality.

PART II

STATE SAFETY MANAGEMENT RESPONSIBILITIES

State Safety Programme (SSP)

4. (1) The State safety oversight (SSO) system critical elements (CEs) found in the First Schedule of these regulations shall constitute the foundation of an SSP.
- (2) The Authority shall establish and maintain a State Safety Programme (SSP) that is commensurate with the size and complexity of the State’s civil aviation system.

State safety policy, objectives and resources- Primary Aviation Legislation

5. (1) States the authority has shall established primary aviation legislation in accordance with the first paragraph of the First schedule to these regulations.
- (2) The Authority has shall established an enforcement policy that specifies the conditions and circumstances under which service providers 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 Authority.

Specific Operating Regulations

- 6.—(1) These regulations have been established in accordance with paragraph two of the First Schedule to these regulations.
(2) These regulations, guidance material and implementing policies shall be reviewed periodically to ensure they remain relevant and appropriate.

State System and Functions

- 7.—(1) The Authority and its functions have been established in accordance with paragraph three of the First schedule to these regulations.

(2) The Authority shall identify, define and document the requirements, obligations, functions and activities regarding the establishment and maintenance of the SSP, including the directives to plan, organize, develop, maintain, control and continuously improve the SSP in a manner that meets the State's safety objectives.

(3) The Authority shall establish a safety policy and safety objectives that reflect their commitment regarding safety and facilitate the promotion of a positive safety culture in the aviation community.

(4) The safety policy and safety objectives ~~should~~ shall be published and periodically reviewed to ensure that they remain relevant and appropriate to the State.

Qualified Technical Personnel

- 8.—The Authority shall establish requirements for the qualification of technical personnel performing safety-related functions for or on behalf of the State authority, in accordance with paragraph four of the First Schedule to these regulations.

Technical Guidance, Tools and Provision of Safety-Critical Information

- 9.—The authority States shall establish technical guidance and tools and provide safety-critical information in accordance with paragraph five of the First Schedule to these regulations.

State safety risk Management-Licensing, Certification, Authorization and Approval Obligations

- 10.—The Authority shall meet the licensing, certification, authorization and approval obligations in accordance with paragraph six of the First Schedule to these regulations.

- 11.**—(1) The Authority shall require that the following service providers to implement an SMS:
- a) approved training organizations certified in accordance with the civil aviation (Approved Training Organizations) regulations, 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 the civil aviation (Operation of Aircraft) regulations. When maintenance activities are not conducted by an approved maintenance organization in accordance with the civil aviation (Operation of Aircraft) regulations, but under an equivalent system 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 civil aviation (Operation of Aircraft) regulations;
 - d) Organizations responsible for the type design or manufacture of aircraft, **engines or propellers** in accordance with the civil aviation (Airworthiness) regulations;
 - e) Air traffic services (ATS) providers certificated in accordance with the civil aviation (~~Air Navigation~~ **Air Traffic** Services) regulations; and
 - f) Operators of aerodromes certified in accordance with the civil aviation (Aerodromes) regulations.
- (2) ~~States should~~ **The authority shall** ensure that safety performance indicators and targets established by service providers and operators are acceptable.
- (3) The Authority shall **establish criteria to implement an SMS for** international general aviation operators of large or turbojet aeroplanes registered in Uganda in accordance with civil aviation (Operation of aircraft) regulations.
- (4) **The criteria established by the Authority in accordance with sub regulation (3) above shall address the SMS framework and elements contained in the second schedule to these regulations.**

- 12.**—The ~~State~~ authority ~~has~~ **shall** establish a process to investigate accidents and incidents in accordance with the civil aviation (Accidents and Incidents) regulations, in support of the management of safety in ~~the State~~

Uganda.

Hazard Identification and
Safety Risk Assessment

~~13.~~—(1) The Authority shall establish and maintain a process to identify hazards from collected safety data. ~~Additional information to identify hazards and safety issues on which to base preventive actions may be contained in the Final Reports of accidents and incidents.~~

(2) ~~States~~The authority shall develop and maintain a process that ensures the assessment of safety risks associated with identified hazards.

(3) ~~The Authority shall establish mechanisms for the resolution of safety issues in accordance with paragraph eight of the First Schedule to these regulations.~~

Management of Safety
Risks

~~14.~~—(1) The Authority shall establish mechanisms for the resolution of safety issues in accordance with paragraph eight of the First Schedule to these regulations.

(2) The Authority shall develop and maintain a process to manage safety risks, such actions taken to manage safety risks may include acceptance, mitigation, avoidance or transfer. ~~Safety risks and safety issues often have underlying factors which need to be carefully assessed.~~

State Safety Assurance-
Surveillance Obligations

~~15.~~—(1) The Authority shall meet the surveillance obligations in accordance with the seventh paragraph of the First Schedule to these regulations.

(2)The surveillance of the service provider shall take into consideration the safety performance as well as the size and complexity of its aviation products or services

(3)The Authority shall establish procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need. Organizational risk profiles, outcomes of hazard identification and risk assessment, and surveillance outcomes may provide information for the prioritization of inspections, audits and surveys.

(4) The Authority shall periodically review the safety performance of an individual service provider.

State safety assurance -
State Safety Performance

~~16.~~—(1) The Authority shall establish the acceptable level of safety performance to be achieved through the SSP.

(2) The Authority ~~should~~ shall develop and maintain a process to evaluate the effectiveness of actions taken to manage safety risks and resolve safety issues.

(3) States ~~should~~ shall evaluate the effectiveness of their individual SSPs to maintain or continuously improve their overall level of safety performance.

State safety promotion-
Internal Communication
and dissemination of
Safety Information

~~17.~~—The Authority shall promote safety awareness and the sharing and exchange of safety information to support, within Uganda ~~the State~~ aviation organizations, the development of a positive safety culture that fosters an effective SSP.

External Communication
and Dissemination of
Safety Information

~~18.~~—The Authority shall promote safety awareness and the sharing and exchange of safety information with the aviation community to foster the maintenance and improvement of safety and to support the development of a positive safety culture.

PART III SAFETY MANAGEMENT SYSTEM (SMS)

SMS by Service
Providers

~~19.~~—(1) The SMS of a service provider shall:
a) be established in accordance with the framework elements contained in the Second Schedule to these regulations; and
b) be commensurate with the size of the service provider and the complexity of its aviation products or services.

(2) The Authority shall ensure that the service provider develops a plan to facilitate SMS implementation.

(3) The SMS of an approved training organization, in accordance with the civil aviation (Approved Training Organizations) regulations, that is exposed to safety risks related to aircraft operations during the provision of its services shall be made acceptable to the State(s) responsible for the organization's approval.

(4) The SMS of a certified operator of aeroplanes or helicopters authorized to conduct international commercial air transport, in accordance with the civil aviation (Operation of Aircraft) regulations, shall be made acceptable to the State of the Operator.

(5) The SMS of an approved maintenance organization providing services to operators of aeroplanes or helicopters engaged in international commercial air transport, in accordance with the civil aviation (Operation of Aircraft) regulations, shall be made acceptable to the Authority.

(6) The SMS of an organization responsible for the type design of aircraft, engines or propellers, in accordance with the civil aviation (Airworthiness) regulations, shall be made acceptable to the State of Design.

(7) The SMS of an organization responsible for the manufacture of aircraft, engines or propellers, in accordance with the civil aviation (Airworthiness)

regulations, shall be made acceptable to the State of Manufacture.

(8) The SMS of an ATS provider, in accordance with the civil aviation (Air ~~Navigation~~ Traffic Services) regulations, shall be made acceptable to Authority.

(9) The SMS of an operator of a certified aerodrome, in accordance with the civil aviation (Aerodromes) regulations, shall be made acceptable to the Authority.

International General
Aviation — Aeroplanes

~~20.~~—(1) The SMS of an international general aviation operator, conducting operations of large or turbojet aeroplanes registered in the state, in accordance with the civil aviation (Operation of Aircraft) regulations, shall be commensurate with the size and complexity of the operation **and meet the criteria established by the Authority.**

~~(2) The service provider's SMS required by sub regulation (1) shall be commensurate with the size of the service provider and the complexity of its aviation products or services.~~

(3) An international general aviation operator of large aeroplane or turbojet aeroplane, shall establish and implement a Safety Management System acceptable to the Authority

~~(4) A service provider shall be responsible for the safety of services or products contracted or subcontracted to, or purchased from, other organizations.~~

(5) A flight data analysis programme shall be non-punitive and contain adequate safeguards to protect the source of the data.

PART IV

SAFETY DATA AND **SAFETY INFORMATION** COLLECTION, ANALYSIS, **PROTECTION, SHARING AND EXCHANGE**

Safety Data Collection
and Processing Systems

~~21.~~—(1) **States** The authority shall establish safety data collection and processing systems (SDCPS) to capture, store, aggregate and enable the analysis of safety data and safety information.

(2) SDCPS shall refer to processing and reporting systems, safety databases, schemes for exchange of information, and recorded information including but not limited to:

- a) data and information pertaining to accident and incident investigations;
- b) data and information related to safety investigations by **State** relevant authorities or aviation service providers;
- c) mandatory safety reporting systems as indicated in sub regulation (2);

- d) voluntary safety reporting systems as indicated in sub regulation (3); and
 - e) self-disclosure reporting systems, including automatic data capture systems, as described in the civil aviation (Operation of aircraft) regulations, as well as manual data capture systems.
- (3) The Authority shall establish a mandatory safety reporting system that includes the reporting of incidents.
 - (4) The Authority shall establish a voluntary safety reporting system to collect safety data and safety information not captured by mandatory safety reporting systems.
 - (5) The Authority and the Air Accident Investigation Agency shall have access to the SDCPS as referenced in sub regulation (1) to support their safety responsibilities, in accordance with the principles in the Third Schedule to these regulations.
 - (6) The safety database ~~should~~—shall use standardized taxonomy to facilitate safety information sharing and exchange.

Safety Data and **Safety Information** Analysis

~~22.~~—(1) The authority ~~States~~ shall establish and maintain a process to analyse the safety data and safety information from the SDCPS and associated safety databases.

(2) The purpose of the safety data and safety information analysis performed by the ~~authority State~~ shall be ~~is~~ to identify systemic and cross-cutting hazards that might not otherwise be identified by the safety data analysis processes of individual service providers and operators. ~~The process may include predictive methods of safety data analysis.~~

Safety Data and **Safety Information** Protection

~~23.~~—(1) The Authority shall accord protection to safety data captured by, and safety information derived from, voluntary safety reporting systems and related sources, such as individuals and organizations, in accordance with the Third Shedule to these regulations.

(2) ~~The authority shall States should~~ extend the protection referred to in sub regulation (1) to safety data captured by, and safety information derived from, mandatory safety reporting system and related sources.

(3) Subject to sub regulations (1) and (2) the Authority shall not make available or use safety data or safety information collected, stored or analysed in accordance with regulations 11 or 12 for purposes other than maintaining or improving safety, unless the competent authority determines, in accordance with the Third Schedule to these regulations, that a principle of exception applies.

(4) Notwithstanding sub regulation (3), the Authority shall not be prevented from using safety data or safety information to take any preventive, corrective or remedial action that is necessary to maintain or improve aviation safety.

(5) The authority ~~States~~ shall take necessary measures, including the promotion of a positive safety culture, to encourage safety reporting through the systems referred to in regulations 11(3) and 11(4).

Safety Information
Sharing and Exchange

24.—(1) If the Authority, in the analysis of the information contained in its SDCPS, identifies safety matters considered to be of interest to other States, that ~~the authority State~~ shall forward such safety information to them as soon as possible. ~~Prior to sharing such information, the authority States shall agree on the level of protection and conditions on which safety information will be shared. The level of protection and conditions shall be in line with the Third Schedule to these regulations.~~

(2) The Authority shall promote the establishment of safety information sharing or exchange networks among users of the aviation system, and facilitate the sharing and exchange of safety information, unless national law provides otherwise.

PART V GENERAL PROVISIONS

Consistency of Quality
Policy with SMS

25.—A service provider shall ensure that the organization’s quality policy is consistent with, and supports the fulfilment of the activities of the SMS.

administrative sanctions

26.—A person who fails to comply with the provision of these Regulations, is liable to administrative measure as may be prescribed in the Act or Regulations made thereunder.

Consequential
amendment.

27.—(1) The Regulations specified in the Fourth Schedule are amended by deletion of the respective regulation as set out in the third column to the schedule.

(2) Notwithstanding sub regulation (1) any acts done under the amended Regulations shall be continued as if they were instituted under these Regulations.

FIRST SCHEDULE

Made under Regulation 4

STATE SAFETY OVERSIGHT (SSO) SYSTEM CRITICAL ELEMENTS (CEs)

1. Primary aviation legislation (CE-1)

1.1 States shall promulgate a comprehensive and effective aviation law, commensurate with the size and complexity of their aviation activity and consistent with the requirements contained in the Convention on International Civil Aviation, to enable the oversight and management of civil aviation safety and the enforcement of regulations through the relevant authorities or agencies established for that purpose.

Note.— This includes ensuring that the aviation law remains relevant and appropriate to the State.

1.2 The aviation law shall provide personnel performing safety oversight functions access to the aircraft, operations, facilities, personnel and associated records, as applicable, of individuals and organizations performing an aviation activity.

2. Specific operating regulations (CE-2)

States shall promulgate regulations to address, at a minimum, national requirements emanating from the primary aviation legislation, for standardized operational procedures, products, services, equipment and infrastructures in conformity with the Annexes to the Convention on International Civil Aviation.

2. State system and functions (CE-3)

3.1 States shall establish relevant authorities or agencies, as appropriate, supported by sufficient and qualified personnel and provided with adequate financial resources for the management of safety.

3.2 States authorities or agencies shall have stated safety functions and objectives to fulfil their safety management responsibility. This includes the participation of the State aviation organizations in specific activities related to the management of safety in the State, and the establishment of the roles, responsibilities and relationships of such organizations.

3.3 The Authority should take necessary measures, such as remuneration and conditions of service, to ensure that qualified personnel performing safety oversight functions are recruited and

retained.

3.4 States shall ensure that personnel performing safety oversight functions are provided with guidance that addresses ethics, personal conduct and the avoidance of actual or perceived conflicts of interest in the performance of official duties.

3.5 The Authority should use a methodology to determine their staffing requirements for personnel performing safety oversight functions, taking into account the size and complexity of the aviation activities in their State.

4. Qualified technical personnel (CE-4)

4.1 States shall establish minimum qualification requirements for the technical personnel performing safety-related functions and provide for appropriate initial and recurrent training to maintain and enhance their competence at the desired level.

4.2 States shall implement a system for the maintenance of training records for technical personnel.

5. Technical guidance, tools and provision of safety-critical information (CE-5)

5.1 States shall provide appropriate facilities, comprehensive and up-to-date technical guidance material and procedures, safety-critical information, tools and equipment, and transportation means, as applicable, to the technical personnel to enable them to perform their safety oversight functions effectively and in accordance with established procedures in a standardized manner.

5.2 States shall provide technical guidance to the aviation industry on the implementation of relevant regulations.

6. Licensing, certification, authorization and approval obligations (CE-6)

States shall implement documented processes and procedures to ensure that individuals and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a licence, certificate, authorization or approval to conduct the relevant aviation activity.

7. Surveillance obligations (CE-7)

States shall implement documented surveillance processes, by defining and planning inspections, audits and monitoring activities on a continuous basis, to proactively assure that aviation licence, certificate, authorization and approval holders continue to meet the established requirements. This includes the surveillance of personnel designated by the Authority to perform safety oversight functions on its behalf.

8. Resolution of safety issues (CE-8)

8.1 States shall use a documented process to take appropriate actions, up to and including enforcement measures, to resolve identified safety issues.

8.2 States shall ensure that identified safety issues are resolved in a timely manner through a system which monitors and records progress, including actions taken by individuals and organizations performing an aviation activity in resolving such issues.

SECOND SCHEDULE Made Under Regulation 5 FRAMEWORK FOR A SAFETY MANAGEMENT SYSTEM (SMS)

This Schedule specifies the framework for the implementation and maintenance of an SMS. The framework comprises four components and twelve elements as the minimum requirements for SMS implementation:

1. Safety policy and objectives
 - 1.1 Management commitment
 - 1.2 Safety accountability and responsibilities
 - 1.3 Appointment of key safety personnel
 - 1.4 Coordination of emergency response planning
 - 1.5 SMS documentation
2. Safety risk management
 - 2.1 Hazard identification
 - 2.2 Safety risk assessment and mitigation
3. Safety assurance
 - 3.1 Safety performance monitoring and measurement
 - 3.2 The management of change
 - 3.3 Continuous improvement of the SMS
4. Safety promotion
 - 4.1 Training and education
 - 4.2 Safety communication

1. Safety policy and objectives

- 1.1 Management commitment

1.1.1 The service provider shall define its safety policy in accordance with international and national requirements. The safety policy shall:

- a) reflect organizational commitment regarding safety, including the promotion of a positive safety culture;
- b) include a clear statement about the provision of the necessary resources for the implementation of the safety policy;
- c) include safety reporting procedures;
- d) clearly indicate which types of behaviours are unacceptable related to the service provider's aviation activities and include the circumstances under which disciplinary action would not apply;
- e) be signed by the accountable executive of the organization;
- f) be communicated, with visible endorsement, throughout the organization; and
- g) be periodically reviewed to ensure it remains relevant and appropriate to the service provider.

1.1.2 Taking due account of its safety policy, the service provider shall define safety objectives. The safety objectives shall:

- a) form the basis for safety performance monitoring and measurement as required by 3.1.2;
- b) reflect the service provider's commitment to maintain or continuously improve the overall effectiveness of the SMS;
- c) be communicated throughout the organization; and
- d) be periodically reviewed to ensure they remain relevant and appropriate to the service provider.

1.2 Safety accountability and responsibilities

The service provider shall:

- a) identify the accountable executive who, irrespective of other functions, is accountable on behalf of the organization for the implementation and maintenance of an effective SMS;
- b) clearly define lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management;

- c) identify the responsibilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the organization;
- d) document and communicate safety accountability, responsibilities and authorities throughout the organization; and
- e) define the levels of management with authority to make decisions regarding safety risk tolerability.

1.3 Appointment of key safety personnel

The service provider shall appoint a safety manager who is responsible for the implementation and maintenance of the SMS. Depending on the size of the service provider and the complexity of its aviation products or services, the responsibilities for the implementation and maintenance of the SMS may be assigned to one or more persons, fulfilling the role of safety manager, as their sole function or combined with other duties, provided these do not result in any conflicts of interest.

1.4 Coordination of emergency response planning

The service provider required to establish and maintain an emergency response plan for accidents and incidents in aircraft operations and other aviation emergencies shall ensure that the emergency response plan is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its products and services.

1.5 SMS documentation

1.5.1 The service provider shall develop and maintain an SMS manual that describes its:

- a) safety policy and objectives;
- b) SMS requirements;
- c) SMS processes and procedures; and
- d) accountability, responsibilities and authorities for SMS processes and procedures.

1.5.2 The service provider shall develop and maintain SMS operational records as part of its SMS documentation. Depending on the size of the service provider and the complexity of its aviation products or services, the SMS manual and SMS operational records may be in the form of stand-alone documents or may be integrated with other organizational documents (or documentation) maintained by the service provider.

2. Safety risk management

2.1 Hazard identification

2.1.1 The service provider shall develop and maintain a process to identify hazards associated with its aviation products or services.

2.1.2 Hazard identification shall be based on a combination of reactive and proactive methods.

2.2 Safety risk assessment and mitigation

The service provider shall develop and maintain a process that ensures analysis, assessment and control of the safety risks associated with identified hazards. The process may include predictive methods of safety data analysis.

3. Safety assurance

3.1 Safety performance monitoring and measurement

3.1.1 The service provider shall develop and maintain the means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls.

3.1.2 The service provider's safety performance shall be verified in reference to the safety performance indicators and safety performance targets of the SMS in support of the organization's safety objectives.

3.2 The management of change

The service provider shall develop and maintain a process to identify changes which may affect the level of safety risk associated with its aviation products or services and to identify and manage the safety risks that may arise from those changes.

3.3 Continuous improvement of the SMS

The service provider shall monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.

4. Safety promotion

4.1 Training and education

4.1.1 The service provider shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform their SMS duties.

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

4.2 Safety communication

The service provider shall develop and maintain a formal means for safety communication that:

- a) ensures personnel are aware of the SMS to a degree commensurate with their positions;
- b) conveys safety-critical information;
- c) explains why particular actions are taken to improve safety; and
- d) explains why safety procedures are introduced or changed.

THIRD SCHEDULE
Made under Regulation 23
PRINCIPLES FOR THE PROTECTION OF SAFETY DATA, SAFETY
INFORMATION AND RELATED SOURCES

1. General principles

1.1 States shall, through national laws, regulations and policies protecting safety data, safety information and related sources, ensure that:

- a) a balance is struck between the need for the protection of safety data, safety information and related sources to maintain or improve aviation safety, and the need for the proper administration of justice;
- b) safety data, safety information and related sources are protected in accordance with this appendix;
- c) the conditions under which safety data, safety information and related sources qualify for protection are specified; and
- d) safety data and safety information remain available for the purpose of maintaining or improving aviation safety.

1.2 When an investigation under Annex 13 has been instituted, accident and incident investigation records listed in 5.12 of Annex 13 shall be subject to the protections accorded therein instead of the protections accorded by this Annex.

2. Principles of protection

2.1 States shall ensure that safety data or safety information is not used for:

- a) disciplinary, civil, administrative and criminal proceedings against employees, operational personnel or organizations;

- b) disclosure to the public; or
- c) any purposes other than maintaining or improving safety;

unless a principle of exception applies.

2.2 States shall accord protection to safety data, safety information and related sources by ensuring that:

- a) the protection is specified based on the nature of safety data and safety information;
- b) a formal procedure to provide protection to safety data, safety information and related sources is established;
- c) safety data and safety information will not be used in a way different from the purposes for which they were collected, unless a principle of exception applies; and
- d) to the extent that a principle of exception applies, the use of safety data and safety information in disciplinary, civil, administrative and criminal proceedings will be carried out only under authoritative safeguards.

3. Principles of exception

Exceptions to the protection of safety data, safety information and related sources shall only be granted when the competent authority:

- a) determines that there are facts and circumstances reasonably indicating that the occurrence may have been caused by an act or omission considered, in accordance with national laws, to be conduct constituting gross negligence, wilful misconduct or criminal activity;
- b) after reviewing the safety data or safety information, determines that its release is necessary for the proper administration of justice, and that the benefits of its release outweigh the adverse domestic and international impact such release is likely to have on the future collection and availability of safety data and safety information; or
- c) after reviewing the safety data or safety information, determines that its release is necessary for maintaining or improving safety, and that the benefits of its release outweigh the adverse domestic and international impact such release is likely to have on the future collection and availability of safety data and safety information.

4. Public disclosure

4.1 States that have right-to-know laws shall, in the context of requests made for public disclosure, create exceptions from public disclosure to ensure the continued confidentiality of voluntarily supplied safety data and safety information.

- 4.2 Where disclosure is made in accordance with section 3, States 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.

5. Responsibility of the custodian of safety data and safety information

States shall ensure that each SDCPS has a designated custodian to apply the protection to safety data and safety information in accordance with applicable provisions of this appendix. The custodian may refer to an individual or organization.

6. Protection of recorded data

6.1 States shall, through national laws and regulations, provide specific measures of protection regarding the confidentiality and access by the public to ambient workplace recordings.

6.2 States shall, through national laws and regulations, treat ambient workplace recordings required by national laws and regulations as privileged protected data subject to the principles of protection and exception as provided for in this appendix.

**FOURTH SCHEDULE
AMENDED REGULATIONS**

Implementation of the provisions of Annex 19—Dated will require making the following amendments in the following Regulations 2017

	Title of Regulation	Deleted regulation
2.	The Civil Aviation (Approved Training Organisation) Regulations – GN.	Rgn. 16
3.	The Civil Aviation (Air Operator Certification and Administration) Regulations – GN.	Rgn. 55
4.	The Civil Aviation (Approved Maintenance Organisation) Regulations – GN.	Rgn. 15
5.	The Civil Aviation (Aerodromes) Regulations – GN.	Rgn. 41