



# **UGANDA STATE SAFETY PROGRAMME MANUAL**

**Second Edition**

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## Uganda State Safety Programme (SSP) Document

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## FOREWORD

Uganda as a signatory to the Chicago Convention on International Civil Aviation (ICAO Doc 7300) has an obligation as a Contracting State to comply with the Convention as well as with Standards and Recommended Practices (SARPs) contained in Annexes to the Convention issued by the International Civil Aviation Organization (ICAO).

Article 37 of the Convention states:

*Each contracting State undertakes 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.*

Under Annex 19 to the Chicago Convention Contracting States are required to develop and maintain, the State Safety Programme (SSP). Uganda has developed an SSP as a system for the management of safety by the state.

Uganda has over the years established progressive safety oversight and accident investigation capabilities based on the eight critical elements of a safety oversight system and commensurate with its civil aviation industry.

The Ministry of Works and Transport (MoWT), Uganda Civil Aviation Authority of (UCAA) and the Accident and Incident Investigation Unit (AIIU) collectively have the public duty to uphold a safe aviation environment, facilitating the growth and development of the aviation industry in Uganda. UCAA has the responsibility to coordinate the implementation and maintenance of the State Safety Programme with other State agencies.

In this SSP Document, we have articulated our regulatory values, and commitments to achieve our safety objectives. This document also describes our safety frameworks, structures, and processes to drive aviation safety. Complementing the SSP Document is the National Aviation Safety Plan (NASP) documenting our strategic direction, safety priorities for improvements, and the actions needed to manage safety risks across the aviation sector.

The Civil Aviation Authority Act, assigns the responsibility of implementation and coordination of the State Safety Programme (SSP) to the Director General Uganda Civil Aviation Authority

Signed:  

**Director General**  
**Uganda Civil Aviation Authority**

## APPROVAL PAGE

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## UGANDA SAFETY POLICY AND OBJECTIVES

Uganda strives to develop, implement, maintain, and constantly improve strategies and processes to ensure that all aviation activities achieve the highest level of safety performance, while meeting both national and international standards. This is achieved through the implementation of the State Safety Programme (SSP). We aim to develop and foster a positive safety culture within our civil aviation system, where all individuals and organisations in the aviation industry take responsibility to uphold a high standard of safety. We will commit the necessary resources and equip our staff to carry out their functions proficiently. To this end, Uganda has established the following Safety Policy and Safety Objectives as part of its State Safety Programme.

Uganda commits as its Safety Policy to:

- a) develop and implement strategies, regulations, and systems that build upon safety management principles, for the safe operation and growth of the civil aviation industry.
- b) set and implement national policies and regulations that are consistent with the Standards, Recommended Practices and Procedures of ICAO.
- c) promote a positive safety culture supported by a strong reporting and continuous learning culture and an enforcement policy that builds trust within the aviation community.
- d) engage and collaborate with the industry and international partners to address safety matters.
- e) ensure sufficient financial and human resources for civil aviation including safety management, and accident and incident investigation functions.
- f) conduct both performance-based and compliance-oriented oversight activities, supported by analyses and prioritized resource allocation based on safety risks.
- g) adopt a risk-based and data-driven approach in the regulation and management of aviation safety, leveraging on safety data and information from different sources.
- h) oversee the implementation of SMS within aviation organizations as well as promote and educate the aviation industry on safety management concepts and principles.
- j) equip staff with the necessary skills and competencies to discharge their responsibilities.
- k) establish and implement policies for the protection of safety data and information and maintain a continuous flow and exchange of safety data and information between service providers and the State Authorities and
- l) establish and measure the realistic implementation of our SSP against safety indicators and safety targets which are clearly identified.

This policy must be understood, implemented, and observed by all staff involved in activities related to the State Safety Programme.

## **Safety Policy Communication**

This Safety Policy statement duly endorsed by the Accountable executives of the relevant State Civil Aviation Authorities shall be communicated, throughout the State Civil Aviation Authorities involved in safety oversight activities.

### **Safety Objectives**

Uganda aims to achieve the following Safety Objectives:

- (a) Enhance the level of safety of Uganda's aviation operations, and in particular, to maintain zero fatal accidents involving entities under its safety oversight.
- (b) Ensure that Uganda's aviation safety oversight, and investigative regimes are effective, robust, aligned with ICAO Standards and Recommended Practices and keep pace with industry developments.
- (c) Ensure that hazards in Uganda's aviation operating environment are proactively identified, and related risks assessed and mitigated to as low as reasonably practicable.
- (d) Ensure that employees are well-trained and prioritize safety in all they do.
- (e) Foster a positive safety culture and strengthen cooperation among industry stakeholders.
- (f) Participate in the pursuit for the enhancement of aviation safety regionally and globally.

## CHAPTER 1 SAFETY OVERSIGHT ARRANGEMENTS

### 1.1 Introduction

The International Civil Aviation Organisation (ICAO) defines safety oversight as a function by means of which States ensure effective implementation of the safety-related Standards and Recommended Practices (SARPs) and associated procedures contained in the Annexes to the *Convention on International Civil Aviation* and related ICAO documents. Safety oversight also ensures that the national aviation industry provides a safety level equal to, or better than, that defined by the SARPs. As such, an individual State's responsibility for safety oversight is the foundation upon which safe global aircraft operations are built. The SARPs contained in Annex 19 to the Convention requires States to establish and maintain a State Safety Programme (SSP) commensurate with the size and complexity of the State's civil aviation system.

As a signatory State to the Convention, Uganda's responsibility under the Convention and its Annexes includes, *inter alia*, the licensing of operational personnel; certification of aircraft, air operators, and aerodromes; the control and the supervision of licensed personnel, certified products, and approved organizations; the provision of air navigation services (inclusive of meteorological services, aeronautical telecommunications, search and rescue services, charts and the distribution of information); and the conduct of aircraft accident and incident investigation.

This manual has been developed using the ICAO framework and guidance material, including the ICAO SSP gap analysis document, Uganda National Aviation Safety Plan and international best practices.

#### 1.1.1 Purpose

This document has been developed to communicate the Uganda Civil Aviation State Safety Programme to all stakeholders. It focuses on roles and responsibilities of all stakeholders, as well as actions taken by the Uganda of Civil Aviation Authority (UCAA), as the responsible organization for Safety in Civil Aviation.

#### 1.1.3 Document Control

The SSP document will be made available to all the organizations responsible for the management of SSP and to all the State Authorities having safety oversight responsibilities. The document shall also be placed on UCAA website <http://caa.go.ug> .

Changes to this document will be achieved by a re-issue of the entire document rather than by the amendment of individual pages.

The SSP document will be reviewed and updated at least every five years by the Director General, UCAA in consultation with stakeholders.

## 1.2 Safety Policy, Objectives and Resources

### 1.2.1 Legislation

Uganda Civil Aviation Authority has promulgated a comprehensive and effective aviation law, commensurate with the size and complexity of its 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.

The Civil Aviation Act establishes the Uganda Civil Aviation Authority headed by the Director General, and is supported by appropriate and adequate technical and nontechnical staff and is provided with adequate financial resources. This manual amongst other documents outlines the safety regulatory functions, objectives and safety policies for the CAA and other State aviation Authorities.

The Civil Aviation Act was amended in 2019 to provide for the establishment of an independent aircraft accident unit under the Ministry of Works and Transport. The Accident and Incident Investigation Unit (AIIU) is headed by the Chief Aircraft Accident Investigator.

### 1.2.2 Discharge of Functions

UCAA carries out both regulatory and service provider functions (in the areas of air navigation services and aerodrome operations). The UCAA functional organisation structure (ref. UCAA HR Manual of Policies and Procedures) provides for a clear functional separation as to the discharge of UCAA's regulatory and service provider functions that are stipulated in the CAA Act.

### 1.2.3 Civil Aviation Regulations

The CAA Act provides for the issuance of Civil Aviation Regulations by the MoWT. These Regulations contain detailed mandatory requirements for compliance with the aviation safety standards found in the Annexes to the Chicago Convention, and have been issued for areas such as airworthiness of aircraft, aerodrome operations, air navigation services provision, and personnel licensing and training.

The Ugandan Aviation legislative system includes specific operating regulations in the form of the Civil Aviation Regulations, Aeronautical Information Circulars (AIC) and Aeronautical Information Publications (AIP). These are supported by guidance and advisory material.

UCAA promulgates 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. The list of Civil Aviation Regulations can be found in **Appendix 4**.

#### **1.2.4 Technical Guidance Material**

Technical Guidance Material (TGM) provide detailed information on topics such as the policies and regulations issued by the MoWT, guidelines for regulatory processes and administrative instructions. Where appropriate, guidance material also provides service providers with the acceptable means of compliance with the Civil Aviation Regulations. UCAA may also accept alternative means of compliance, if they can adequately meet the equivalent level of safety required by the regulations. TGMs for the industry can be found on the UCAA website ([www.caa.go.ug](http://www.caa.go.ug)).

The following publications and technical guidance material are issued to the aviation industry for the implementation of relevant regulations

- a) Aeronautical Information Products such as AIP,AICs and NOTAMs
- b) Orders/directives
- c) Advisory Circulars
- d) Notices to licensed aircraft engineers and owners of civil aircraft
- e) Manuals and
- f) any other

#### **1.2.5 Review of Legislation and Civil Aviation Regulations**

Uganda regularly reviews its aviation safety policies, legislation, regulations, guidance material and procedures, to ensure that they remain effective, relevant, and in compliance with ICAO Standards and Recommended Practices. A system for monitoring release of amendments to ICAO Annexes has been institutionalized wherein these are monitored on a continuous basis for timely inclusion in the regulations.

The UCAA oversees the development and review of policies and rules as well as the rule development process. The rule development process may be triggered by the introduction of new or amended ICAO Standards and Recommended Practices, changes to policies, industry feedback and new aviation developments. Through regular reviews and consultations with the industry, UCAA keeps its safety regulations up to date and relevant.

#### **1.2.6 Compliance with Legislation & Regulations**

Compliance with Uganda's aviation safety legislation and regulations by organisations and persons is crucial to effective safety management. Through various surveillance activities like audits and inspections, UCAA ensures service provider's and individual compliance with regulations.

In the event of non-compliance, UCAA's primary focus, as articulated in its enforcement policy, is to address the root cause of the non-compliance, and bring the individual or organisation back to compliance. Where necessary, UCAA will take immediate remedial actions to address any imminent safety risks.

UCAA, guided by Uganda's Safety Policy, is committed to fostering a positive safety culture in the aviation community. UCAA strives to create an environment of openness, fairness, and trust in which organisations and individuals are encouraged to report or share safety-related information, including their own errors. Accountability is important to ensure integrity of the system, and unacceptable behaviours such as gross negligence and intentional and wilful acts to flout our rules, are not tolerated.

When considering whether enforcement action should be taken, UCAA considers: (a) type, counts and duration of contravention; (b) circumstances of the contravention; (c) adverse effect on aviation safety; (d) aggravating and mitigating considerations; (e) potential efficacy of proposed actions; (f) totality and parity principles. Where warranted, UCAA may take enforcement action, ranging from administrative action to prosecution, on the holder of its certificates, licences or approvals.

### **1.2.7 Policies and Procedures**

UCAA has put in place internal policies and procedures on safety oversight, safety management and other areas. They cover functional areas such as rule development, issue of licences /authorizations/certificates/approvals, delegation of powers to inspectors and enforcement personnel, surveillance, investigation, and enforcement. They also provide guidance on governance matters such as personal conduct, training and capability building matters as well as administrative matters such as the management of State Letters issued by ICAO. AIIU also has policies and procedures for the investigation of aircraft accidents and incidents. They include notification of occurrences, powers of investigators, issuance of safety recommendations, and publications of reports.

UCAA and AIIU have established mutually agreed policies and procedures to coordinate their work and resources, and to strengthen the interfaces between the two authorities, with a view to avoiding overlapping of roles in the implementation of the SSP.

### **1.2.8 Regional Safety Arrangements**

The Republic of Kenya, the Republic of Uganda and The United Republic of Tanzania signed a Treaty on 30th November 1999 for the establishment of the East African Community. Pursuant to the provisions of the EAC treaty, the Partner States established the Civil Aviation Safety and Security Oversight Agency (CASSOA) on 18th of April 2007 via a protocol. The Republic of Burundi, the Republic of Rwanda, Republic of South Sudan and the Democratic Republic of Congo have since joined the East African Community and are consequently full members of CASSOA. Article 92 of the Treaty requires the Partner States to harmonise the policies on civil aviation in order to promote the development of safe, reliable, efficient and economically viable civil aviation with a view to developing appropriate infrastructure, aeronautical skills and technology as well as the role of civil aviation in support of other economic activities.

Establishment of the RSOO has enabled harmonisation in several areas such as Legislation ( primary and secondary law), Technical guidance Material ( for both inspectors and industry) and examinations for licensing of personnel.

This regional cooperation has also facilitated sharing of resources as well as the sharing and exchange of safety information and data among EAC Partner States. This offers an opportunity

not only to enhance safety, but also to promote compatibility among safety management systems, to improve efficiency and effectiveness and to reduce the economic burden on airlines and other aviation activities.

## CHAPTER 2 STATE SAFETY AUTHORITIES

### 2.1 Introduction

Uganda has identified, defined and documented the requirements, responsibilities and accountabilities regarding the establishment and maintenance of the SSP. This includes the directives to plan, organize, develop, maintain, control and continuously improve the SSP in a manner that meets the State's safety objectives. It also includes a clear statement about the provision of the necessary resources for the implementation of the SSP.

The following State authorities with a key role in aviation safety are involved in the establishment and maintenance of the SSP. This involvement will include coordination of key SSP activities.

- a) The Ministry of Works and Transport (MoWT)
- b) Uganda Civil Aviation Authority (UCAA)
- c) Accident and Incident Investigation Unit (AIIU)

### 2.2 Ministry of Works and Transport

The Ministry of Works and Transport (MoWT) is the line ministry for UCAA and AIIU. MoWT's mission is to promote adequate, safe, and well-maintained Works and Transport infrastructure and services for social economic development of Uganda.

The Ministry also provides policy and strategic guidance to parastatal bodies under its supervision namely: Uganda National Roads Authority (UNRA), Uganda Civil Aviation Authority (UCAA) and Standard Gauge Railway and Uganda Railways Corporation (URC).

The MoWT represents the ultimate aviation body whose main objective includes ensuring of regulated, safe, secure and orderly air transportation.

#### 2.2.1 Mandate of the MoWT

The key functions of the MoWT include:

- (a) Initiate, formulate and develop National Policies, Plans and Programmes for safe and efficient Public Transport Infrastructure and Services
- (b) Monitor and evaluate the implementation of National Policies, Plans and Programmes for safe and efficient Works and Public Transport Physical Infrastructure and Services
- (c) Initiate new and review existing Laws and Regulations on Works and Transport Infrastructure and Services

### 2.3 Uganda Civil Aviation Authority

#### 2.3.1 Responsibilities of the Uganda Civil Aviation Authority

Uganda Civil Aviation Authority (UCAA) is a statutory body under the MoWT and its responsibilities are enlisted in the CAA Act. The CAA Act provides for the appointment of the UCAA Director General and Authority members. UCAA regulates and promotes safety and security in civil aviation, and facilitates the development of civil aviation capabilities, skills and services in Uganda.



The functions and duties of UCAA which are set out in section 6 of the CAA Act, include the following:

- 1) Advise Uganda Government—
  - (a) on policy matters concerning civil aviation generally; and
  - (b) with regard to international conventions relating to civil aviation and the adoption of measures necessary to give effect to the standards and recommended practices under those conventions.
- 2) UCAA shall be responsible for—
  - (a) the licensing of air transport;
  - (b) the designation of domestic and international air carriers;
  - (c) the validation of foreign air operators operations in and out of Uganda;
  - (d) the regulation, supervision and monitoring of the activities of the National and Foreign carriers operating in Uganda, in addition to keeping their register;
  - (e) the provision of air navigation services;
  - (f) the establishment, maintenance, development, operation and ownership of aerodromes;
  - (g) the provision of rescue and fire fighting services at aerodromes;
  - (h) the provision of assistance and information, including aeronautical information services;
  - (i) the coordination and direction of search and rescue services;
  - (j) the registration of aircraft;
  - (k) the safety regulation of civil aviation;
  - (l) the provision, in conjunction with other agencies of the Government, including the military, of arrangements to prevent or deal with all unlawful interferences with aviation security (including passenger screening) in Uganda;
  - (m) the control of air traffic;
  - (n) the certification of air operators;
  - (o) the licensing of civil aviation personnel;
  - (p) the licensing and certification of aerodromes and regulated agents;
  - (q) the provision of meteorological information to aircraft;
  - (r) the publication and dissemination of all regulations pertaining to civil aviation;
  - (s) the certification of aircraft;
  - (t) the issuance of a certificate of airworthiness;
  - (u) the certification of Air Navigation Service Provider;
  - (v) the establishment, implementation and maintenance of a quality management System in accordance with the requirements of ISO 9001;
  - (w) the establishment, co-ordination and maintenance of state safety programme;
  - (x) any other functions that may be conferred on it by the Minister or any other law.

The CAA Act designated UCAA as the organisation responsible for establishment, co-ordination, implementation, and maintenance of Uganda State Safety Programme. The Minister of Works and Transport designated the Director General of UCAA as the office-holder accountable for discharging this responsibility.

### **2.3.2 Directorate of Safety, Security and Economic Regulation**

UCAA's Directorate of Safety, Security and Economic Regulation (DSSER) is responsible for UCAA's performance of its safety regulatory oversight responsibilities which include development and review of aviation safety policies, licensing, and certification of individuals and organisations in the aviation system, safety surveillance and enforcement, and safety promotion.

The Directorate consists of the following four departments and one unit:

- Flight Safety Standards (OPS, AIR and PEL)
- Air Navigation Services and Aerodrome Standards (ANS and AGA)
- Economic Regulation
- Aviation Security and Facilitation
- SSP and National Continuous Monitoring Coordination Unit

### **2.3.3 Directorate of Air Navigation Services**

This Directorate delivers a range of air navigation services under four departments and one unit:

- Air Traffic Management
- Aeronautical Information Management
- Communication, Navigation, Surveillance
- Safety Management Systems
- Research and Development Unit

It is associated with the Uganda National Meteorology Authority that provides weather information for use by pilots during pre-flight briefing and in flight.

### **2.3.4 Directorate of Airports and Aviation Security**

The Directorate is charged with the responsibility to develop, operate, and maintain aerodromes as commercially viable entities. Operational responsibilities include Crash Fire & Rescue Services, Security, Passenger facilitation and airfield services.

The Engineering section takes charge of routine maintenance and capital development projects while the Commercial section is responsible for property rentals, concessions, and non-aeronautical revenue development in general.

The gazetted aerodromes under the Directorate of Airports are Entebbe International Airport and thirteen (13) domestic airports located at Arua, Gulu, Kasese, Lira and Masindi, Mbarara, Moroto, Pakuba, Soroti, Tororo, Kabale, Kisoro and Jinja.

## **2.4 Accident and Incident Investigation Unit**

### **2.4.1 Establishment of the Accident and Incident Investigation Unit (AIIU)**

The Accident Investigation Authority is established under the MoWT as an independent body responsible for investigating aircraft accidents and serious incidents. It conducts air safety investigations in accordance with Civil Aviation (Aircraft Accident and Incident Investigation) Regulations and Annex 13 to the Chicago Convention.

The sole objective of AIIU's investigations is the prevention of aviation accidents and incidents and **NOT** to apportion blame or liability.

### **2.4.2 AIIU Functions**

AIIU's functions pertaining to aircraft accidents and incidents, which are set out in Section 38A of the CAA Act, include the following:

- (a) maintain a system for voluntary reporting of aviation accidents and serious incidents and incidents;
- (b) organize, participate and control an investigation in relation to the safety of an aircraft;
- (c) keep records of investigations and maintain an information database for aviation events;
- (d) prepare and disseminate an annual analysis and a newsletter of aviation events;
- (e) analyze actions of individuals and legal entities in the field of aviation and the functioning of the objects and facilities related to a specific event for purposes of ensuring safety during investigations;
- (f) collect, analyze and disseminate data on aviation safety;
- (g) gather, record, analyze and publish relevant information of any accident or incident;
- (h) issue safety recommendations where appropriate;
- (i) determine the causes or contributing factors of accidents and incidents where possible; and
- (j) compile final accident reports.

## **2.5 Coordination within Ugandan Aviation System**

### **2.5.1 National Aviation Safety Coordination Committee**

The National Aviation Safety Coordination Committee (NASC) is a national-level committee established to oversee and coordinate the implementation of the SSP. Chaired by the DG UCAA, the NASC comprises representatives from MoWT, AIIU and DSSER UCAA.

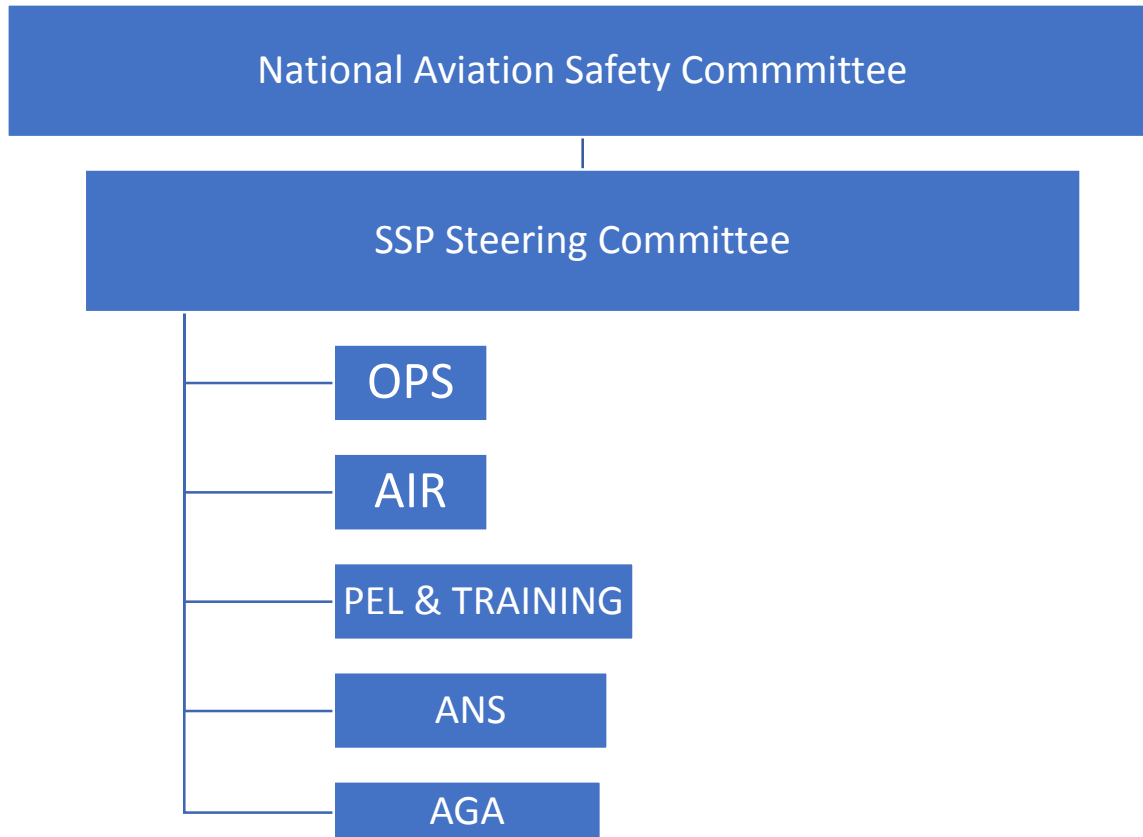
The Uganda People's Defense Force - Air Force (UPDAF) participates in the NASC as an observer. UPDAF coordinates with UCAA in airspace planning and use.

The NASC reviews the safety performance and sets strategic direction for safety enhancements. It approves key changes to the SSP such as the safety policy and objectives, State-level safety risks and safety performance indicators.

The SSP Steering Committee supports the NASC and coordinates all SSP activities to ensure their effectiveness and alignment to national legislation and regulations. It comprises representatives from AIIU and UCAA Directorate of Safety, Security and Economic Regulation (AIR, ANS, AGA, OPS, PEL). The SSP Steering committee reviews the implementation of SSP-related initiatives with its stakeholders.

The composition and TORs of the NASC are detailed in **Appendix 3**.

## 2.5.2 Structure of the NASC



## 2.5.3 Coordination within UCAA

In order to manage the SSP and ensure implementation of requirements of SMS by stakeholders, Uganda has established an SSP department/section which is under to DSSER. The SSP/SMS head of department/unit works with the SSP Steering committee to ensure establishment and maintenance of the SSP.

The SSP/SMS department/section has the following functions and responsibilities:

- a) To assist the NASC in the preparation and implementation of SSP,
- b) Coordination, monitoring and review of implementation of SSP,
- c) To assist the Steering Committee in the preparation and implementation of SSP,
- d) Coordination, monitoring and review of implementation of SSP,
- e) Any other work relating to SSP/SMS as assigned by Director General and NASC.

#### **2.5.4 Coordination between UCAA and AIIU**

UCAA and AIIU have signed a Memorandum of Understanding (MoU) for the coordination and collaboration in support of the SSP. Under the MoU, the two authorities have established joint procedures and areas of collaboration as follows:

#### **2.5.5 Classification of occurrences**

UCAA and AIIU ensure consistency in the classification of occurrences involving air operators, aircraft, the aerodrome operator, and the air navigation service provider.

#### **2.5.6 Sharing of safety information**

UCAA and AIIU shall exchange and share information to support proactive safety management at the State-level, with a view to improving aviation safety. Safety information that may be shared includes de-identified information from Voluntary Occurrence Reporting (VOR) system, hazards that are contained in the State Hazard Register, and hazards identified during accident and incident investigations.

#### **2.5.7 Issuance of safety recommendations**

AIIU shall issue, for UCAA' action, safety recommendations. AIIU will also forward safety recommendations issued to UCAA by foreign investigation authorities for UCAA' actions. In addition, AIIU will inform UCAA of any safety recommendations issued to the Ugandan aviation industry. Such additional information may be used to support UCAA' conduct of safety oversight.

#### **2.5.8 Technical support for investigation**

AIIU may request UCAA to nominate a suitable advisor(s) with required expertise to assist in an AIIU investigation carried out in accordance with the Civil Aviation (Aircraft Accident and Incident Investigation) Regulations when there is no potential conflict of interest.

#### **2.5.9 Human Resources**

UCAA is adequately staffed to carry out its functions. UCAA has over 55 staff responsible for safety oversight and safety management activities.

AIIU being newly established employs a Chief Accident Investigator who reports to the MoWT. The aircraft accident and incident investigators are currently part time with investigation teams constituted on an adhoc basis. The AIIU also has access to other relevant technical experts when needed.

UCAA and AIIU ensure that their respective staff are equipped with the necessary skills and competencies. Both have institutionalised training frameworks to build technical and functional competencies among their staff at basic and advanced levels, covering various aviation domains.

AIIU officers undergo training at different phases (such as during the early stage of induction when they first join the respective organisations), and specific and recurrent functional and on-the-job-training. UCAA's training framework equips relevant UCAA officers with the necessary knowledge, skills, and experience to carry out their safety

regulation duties effectively. The AIIU safety investigators are also put through practical training, investigation exercises, and equipped with foundational SMS and SSP knowledge. These SMS and SSP training help investigators to investigate into the safety management related aspects of an occurrence. Training is conducted mainly conducted overseas where officers are sent for specific training when required.

### **2.5.10 Financial Resources**

UCAA and AIIU have the necessary financial resources to carry out their functions. Adequate financial resource allocation is part of our commitments as contained in our Safety Policy.

UCAA, as a statutory body, is self-funded from its revenue streams while AIIU is funded through the MoWT's budget which is approved annually as part of the Ugandan Government Budget.

## **2.6 Safety Responsibilities and Accountabilities for SSP in Uganda**

### **2.6.1 SSP Steering Committee**

Uganda has put in place an SSP Steering Committee charged with guiding implementation and coordination of the programme. The committee is responsible for conducting a gap analysis of the State's safety system to determine which components and elements of an SSP are currently in place and which components and elements must be added or modified to meet the implementation requirements. The completed and documented gap analysis has been used as a basis for the SSP implementation plan attached as **Appendix 1** to this Manual.

The SSP Steering Committee gives guidance to DG UCAA to plan, organize, develop, maintain, control and continuously improve the SSP in a manner that meets the safety policy and objectives of Uganda. Uganda through the UCAA and AIIU will ensure that the necessary resources are committed to ensure success of the programme. The State Safety Programme Coordinator will manage the SSP Steering Committee activities.

### **2.6.2 SSP Steering Committee**

The SSP Steering Committee will coordinate and, when necessary, participate in the safety risk management processes and provide advice, on the basis of the quality of collected information. Specifically, the Committee will be tasked with the following:

- a) identify risk through utilization of different evaluation processes;
- b) assess identified risks and supporting data;
- c) identify new and potential safety data sources and data handling methods;
- d) assess mitigation actions;
- e) share and coordinate safety information among the State Aviation Organisations and CASSOA;
- f) propose guidance and direction to UCAA on safety risk matters; and
- g) contribute to and where possible improve the SSP of Uganda.

## 2.8 Accident and Incident Investigation

Uganda has established an independent accident and incident investigation process, functionally separate from other State aviation organizations, the sole objective of which is the prevention of accidents and incidents, and not the apportioning of blame or liability. Such investigations are in support of the management of safety in Uganda.

In compliance with Annex 13 – Accident Investigation, *Uganda* has adopted ICAO SARPs in the current Accident and Incident Regulations.

## 2.9 Search and Rescue

Uganda's Search and Rescue Plan has been developed in accordance with requirements of the Civil Aviation (Aeronautical Search and Rescue) Regulations and the Manual on Aeronautical and Maritime Search and Rescue (IAMSAR). Within the national system, focus on aeronautical and maritime search and rescue as a distinct integrated activity is maintained through the National Aeronautical and Maritime Search and Rescue (NAMSAR) Committee objectives. Uganda coordinates actions and exchanges information with centres of the surrounding States on the bases of bilateral agreements signed as well as with the COSPAS-SARSAT organization for receiving information obtained from satellites over the Uganda's territory.

The Directorate of Air Navigation Services of UCAA is responsible for maintaining and implementing Search and Rescue plans that involve aeronautical incidents. The Directorate Air Navigation Services (DANS) of CAA has developed a SAR Plan that contains information on authority, the organization of SAR in Uganda, area of jurisdiction, coordination, communication, primary SAR agencies and voluntary organizations, training of SAR personnel, SAR exercises, local and international agreements, and memoranda of understanding. The plan seeks to integrate into a cooperative organization all available SAR resource. The Maritime Administration under the MoWT is responsible for coordinating maritime search and rescue activities in Uganda.

Aeronautical Search and Rescue services in Uganda and such portions of the territorial waters that lie within the Uganda Search and Rescue Region (SRR) are under the coordination and direction of the Air Navigation Services of UCAA. This function exercised in close collaboration with the primary SAR agencies.

The State Aviation Organizations that constitute the SSP will normally be part of Search and Rescue activities while playing a vital role in service providers' emergency response coordination.



## CHAPTER 3 SAFETY RISK MANAGEMENT

This section sets out the proactive measures to be implemented in the Uganda aviation industry, intended to identify, and mitigate risks prior to their effects. Specifically, it includes the elements of rulemaking and prioritization of surveillance activities based on risk assessment; hazard identification, risk mitigation and interface risk management contained within the civil aviation requirements on a Safety Management System.

It aims to move to a performance-based safety management process in Uganda, with each applicable service provider taking proactive responsibility for the management of safety, with UCAA's DSSER providing oversight and regulatory control.

The identification and management of aviation safety risk across the aviation industry is carried out based on analysis of aggregate safety data drawn from the data bases maintained by DSSER and stakeholders. From this process, DSSER develops the National Aviation Safety Plan (NASP) with guidance provided in Global Aviation Safety Plan (GASP) and the Revised Abuja Safe Targets set for the AFI region. The plan contains National safety goals, targets, operation safety risks expressed in terms of key safety priorities & Safety Performance Indicators (SPIs), other safety issues and safety action plans. The key safety priorities cover all the aviation sectors. The plan is regularly reviewed to ensure that current safety risks are captured.

### 3.1 SMS Regulatory Requirements

The Civil Aviation (Safety Management) Regulations require the following service providers to implement a safety management system (SMS) including hazard identification processes and the management of associated safety risks:

- (a) Uganda air operators;
- (b) Approved maintenance organisations;
- (c) Aviation training organisations (ATOs) that are exposed to safety risks during the provision of their services;
- (d) Air navigation service (ANS) providers in Uganda;
- (e) Operators of certified aerodromes in Uganda;and
- (f) General aviation operators of large/ turbo-jet aeroplanes and helicopters; or corporate aviation operations.

#### 3.1.1 Safety requirements for service providers SMS

Civil Aviation (Safety Management) Regulations require service providers to establish a Safety Management System that:

- ✓ identifies actual and potential safety hazards.
- ✓ ensures the implementation of remedial action necessary to maintain agreed safety performance.
- ✓ Monitors the effectiveness of remedial action taken
- ✓ provides for continuous monitoring and regular assessment of safety performance; and
- ✓ aims at a continuous improvement of the overall performance of the SMS.

UCAA has developed Civil Aviation (Safety Management) Regulations which require service providers to conduct continuous identification of hazards and evaluation and reduction of risk while performing their operations in order to eliminate hazards and manage risk at the established acceptable level.

A standardized performance-based methodology is used to evaluate the maturity level of SMS implementation by service providers. Furthermore, UCAA works with service providers to continually improve the effectiveness of their SMS through regular engagements and assessments. UCAA intends to put more focus on SMS interface risk management through development of regulations and technical guidance material.

### **3.1.2 SMS Acceptance**

UCAA ensures that service providers' SMS is acceptable by establishing timelines and milestones that represent the required SMS implementation progress.

Service providers are required to define safety performance measurements as part of their SMS performance monitoring mechanism. These measurements include safety indicators, alerts and targets used to measure and monitor safety performance over time. The service providers also review their safety performance measurements regularly in consultation with UCAA safety inspectors (DSSER) to ensure that they remain relevant, are aligned with their safety objectives, and address prevailing hazards and risks.

DSSER will agree with individual service providers on the safety performance of their SMS. The agreed safety performances of individual service providers SMS will be reviewed regularly to ensure they remain relevant and appropriate to the service providers.

As part of acceptance of each service providers' SMS, UCAA will agree on, and accept, safety performance of the service provider that includes Safety Targets. These Safety Targets will be commensurate to the complexity of individual service provider's specific operational contexts and the availability of individual service provider's resources to address safety risks.

### **3.1.3 Safety Oversight of Service Providers' SMS**

Under Uganda's safety oversight system, UCAA ensures ongoing compliance with regulatory requirements by service providers through surveillance activities such as audits, inspections, and onsite/offsite checks. These activities are carried out on a continuous

monitoring basis using a data-driven, risk-based approach to place priority on areas of greater safety concern or need.

Non-compliances or deficiencies may be identified during surveillance activities and when identified, the service provider concerned is required to take appropriate corrective actions within a stipulated timeframe. Where safety risk is assessed to be imminent, immediate enforcement action as stipulated in the Enforcement Manual may be taken including suspension or imposing conditions.

UCAA applies basic safety management principles to the medical assessment process of licence holders, that as a minimum include:

- a) routine analysis of in-flight incapacitation events and medical findings during medical assessments to identify areas of increased medical risk; and
- b) continuous re-evaluation of the medical assessment process to concentrate on identified areas of increased medical risk.
- c) Continuous safety promotion activities on identified areas of increased risk.

## **3.2 State Safety Risk Management Framework**

The State Safety Risk Management Framework includes the following: -

- a. Identification of State safety risks
- b. Safety performance monitoring (SPM)
- c. Hazard identification and risk assessment (HIRA)
- d. Development of safety plans and actions
- e. Safety data collection and processing systems (SDCPS)

### **3.2.1 Identification of State safety risks**

State safety risks include risks that are common among more than one aviation domain or those may result in significant detrimental consequences to the aviation system if not sufficiently mitigated. They are identified by considering the following factors:

- (a) global and regional benchmarking, including from the ICAO Global Aviation Safety Plan and the Revised Abuja Safety targets.
- (b) global or regional developments.
- (c) safety performance, data and trends, including data from safety reporting systems and surveillance activities.
- (d) outcomes of investigations into safety occurrences.
- (e) hazard identification and risk mitigation activities.
- (f) service providers' safety data and analysis.

### 3.2.2 Hazard Identification and Risk Assessment

UCAA has a hazard identification and risk assessment framework to facilitate a more systematic analysis and management of the hazards and safety risks within Uganda's aviation environment. This framework includes:

- a. identification of hazards.
- b. recording of the hazards in the State Hazard Register.
- c. analysis of the potential consequence(s) of these hazards.
- d. determination of the existing defences to prevent or mitigate the consequence(s) contributed by the hazards.
- e. assessment of new defences to prevent or mitigate the consequence(s) contributed by the hazards.
- f. determination of the risks associated with the consequence(s); and
- g. conduct of a safety risk management (SRM) exercise where required.

### 3.2.3 Safety Data and Information from Accident, Incident and Safety Investigations

AIIU's investigations are independent and separate from judicial or administrative proceedings. Through its investigations, AIIU analyses the circumstances leading to the occurrences of accidents and serious incidents, identifies other safety issues and makes recommendations to address these safety issues.

UCAA (DSSER) also conducts investigations of occurrences to expeditiously determine safety gaps and prevent recurrence, to determine whether enforcement action should be taken where there is a contravention of legislation and regulations, and to identify improvement areas in the safety regulations and oversight processes.

UCAA (DSSER) and service providers may receive safety recommendations from investigation authorities arising from the accident and incident investigations. Where these safety recommendations are adopted and implemented by UCAA or service providers, UCAA monitors the implementation of the safety recommendation(s). DSSER shares any safety significant information arising out of safety occurrence reports and investigation reports with the relevant stakeholders.

### 3.2.4 Mandatory Safety Reporting

The Uganda Mandatory Occurrence Reporting System (MORS) provides a forum for persons to report to UCAA on safety matters in accordance with section 64A of the CAA Act. The Civil Aviation (Aircraft Accident and Incident Investigation) Regulations and the technical guidance material specify the mandatory reportable occurrences and events and the processes for reporting. While potential safety deficiencies or hazards are not required

to be reported in a mandatory safety report, UCAA encourages the reporting of potential safety deficiencies or hazards that could affect aviation safety through the MORS as well.

### **3.2.5 Voluntary Safety Reporting**

UCAA has entered an agreement with Uganda air operators and the aerodrome operator on the sharing of safety information from their voluntary reporting systems. In line with safety information protection principles, such safety information shared by the service providers will be used solely for improving aviation safety.

### **3.2.6 Other Sources of safety data**

UCAA also collects data and information from its surveillance activities, de-identified information provided by AIIU and other sources. UCAA analyses this data and information for the purposes of improving safety. Hazard identification and risk assessment are carried out for significant events and as required for safety risk management.

In the context of safety data collection and analysis, the term safety database may include the following type of data or information which can be used to support safety data analysis:

- (a) Accident and Serious Incidents investigation data
- (b) Incident investigation data
- (c) Voluntary reporting data
- (d) Service provider operational data
- (e) Safety risk assessment data
- (f) Data from audits, inspections, and surveillance findings
- (g) Data from safety studies/ review
- (h) Safety data from other States, Regional Safety Organizations

### **3.2.7 Protection of Safety Data and Safety Information**

Uganda has developed appropriate safety information protection policies to ensure the continued availability of safety information that is voluntarily reported. These policies are aligned with the safety information protection principles in Annex 19 to the Chicago Convention. They aim to safeguard safety information and their sources, build trust, and promote information sharing, and encourage active sharing of safety issues without fear of punitive consequences.

Records of accident and incident investigations conducted under Annex 13 to the Chicago Convention are accorded the necessary protection under section 64A of the CAA Act. Safety information that is essential to safety management is accorded the appropriate protection too.

### **3.3 Enforcement Policy**

#### **3.3.1 Enforcement Policy**

Uganda has put in place an enforcement mechanism that defines conditions and circumstances under which to deal with safety deviations through established enforcement procedures.

UCAA issues individual licences to pilots, air traffic controllers, aircraft maintenance engineers, aircraft operators, aircraft maintenance organisations, and airport operators. Arrangements have been made to issue certificates to air navigation service providers. All the licences/certificates are issued by UCAA on the basis of the CAA Act together with applicable regulations. Enforcement action may therefore be taken by the Authority where obvious contraventions are found during its oversight activities.

#### **3.3.2 Enforcement in an SMS Environment**

Uganda recognizes that the safety management process will not be sustainable where reports of safety infractions always result in enforcement action by the Authority. It is therefore essential that, as part of the SSP, the enforcement policy is revised to ensure continuing flow and exchange of proactive and predictive safety management information with service providers who operate under an SMS environment.

The enforcement policy will therefore allow service providers to deal with certain safety concerns internally, within the context of their SMS. In this environment service providers will be required to provide the Authority with a clear definition of the safety concern, including deviations and/or minor violations, and a mitigation plan for its resolution that satisfies the Authority.

Gross negligence, reckless conduct and wilful deviations will be dealt through the established regulatory enforcement procedures.

## CHAPTER 4 STATE SAFETY ASSURANCE

### 4.1 Introduction

To assure that Uganda's safety processes and safety risk controls are effective, and in line with its safety objectives, UCAA has established appropriate monitoring mechanisms. These mechanisms include having safety indicators to monitor safety performance, conducting surveillance activities to ensure service providers meet safety standards, and carrying out regular external audits on its safety oversight and investigation systems.

### 4.2 Safety Performance Monitoring

Uganda monitors and tracks the safety performance of its aviation activities through a set of safety performance indicators (SPI). The SPIs are reviewed regularly, and revised as necessary, to ensure their relevance to the current operating environment and to the State safety objectives. The SPIs are also used to assess whether the risk controls are effective in addressing the safety risks identified. A mix of leading and lagging safety indicators have been chosen to provide a balanced view of the safety performance.

Uganda determines the SPIs to be monitored through a frequentative process based on the following considerations:

- a) applicability to the operations in Uganda and the operations of entities approved by UCAA outside Uganda.
- b) relevance to State safety objectives.
- c) relevance to identified State-level risks.
- d) availability of data and reliability of its measurements; and
- e) appropriately specific and quantifiable

Safety targets are set to maintain safety performance or to drive improvements in safety performance. Safety triggers to alert of adverse safety trends are also set.

The following factors are considered when setting safety performance targets:

- a) prevailing level of safety risks,
- b) historical performance of the SPI (where data is available)
- c) Regional targets set, and
- d) Benchmarking with States of similar size and complexity

These safety performance indicators include accidents, serious incidents and other occurrences in various sectors of Uganda's aviation operations, namely, air navigation services, aerodrome operations, flight operations); and process indicators on State safety oversight responsibilities including safety oversight, rulemaking and enforcement. Based on the targets and safety triggers designed for these indicators, UCAA develops follow-up actions, including rules amendments, focused surveillance activities, or increased stakeholder engagements, to address safety issues in a timely manner.

The NASC approves and periodically reviews these indicators. The SSP Steering committee monitors the performance of these indicators and initiates appropriate interventions. Safety performance is also reported to the NASC. Supporting these safety indicators are safety data and information that are collected through the various safety data collection and processing systems

### **4.3 Data – Driven Safety oversight**

UCAA adopts a balanced safety oversight system where both the Authority and the aviation community share responsibility for the safe, regular, and efficient conduct of civil aviation activities.

UCAA intends to prioritize its surveillance activities, so that resources are deployed in areas that require greater focus. To this end, UCAA is transitioning from a compliance based to a risk-based approach for the planning of surveillance activities.

This will enable re adjustment of the scope, depth and/or frequency of all surveillance activities based on each operator's or service provider's risk profile. The risk profiling will take into consideration factors such as the operator's or service provider's safety performance track record, the scope and complexity of work that the organisation is involved in, the trends of operational events, and the presence of any significant safety issues.

### **4.4 Quality Assurance of Uganda's Safety Oversight System**

Uganda is committed to fulfilling its ICAO USOAP CMA obligations. The State Aviation Activity Questionnaire, compliance checklists for the safety-related Annexes, and corrective action plans are updated on the ICAO USOAP Online Framework. In addition to the regular conduct of self-assessments, the quality and effectiveness of the Uganda's safety oversight function is monitored through regular audits or technical missions carried out by either an appropriately trained internal audit team or a team of external subject matter experts from ICAO ESAF regional office or the RSOO.

Uganda's safety oversight system is the foundation of the SSP and a fundamental component of its safety assurance. Traditionally, the objectives of the State's safety oversight function have been satisfied through administrative controls (inspections, audits, and surveys) carried out by UCAA regularly, however, not comprising of safety risk controls. Uganda will by the means of the SSP will turn the outcomes of safety oversight into safety risk controls. Regulations as safety risk controls require, through safety risk management that the process of rulemaking is conducted using principles of safety risk management:

1. Identify hazards,
2. Assess the safety risks of the consequences of the hazards, and
3. Develop regulations that provide acceptable mitigation/control of the consequences of the hazards).



4. Monitor, through safety assurance, the effectiveness and efficiency of regulations as safety risk controls.

UCAA uses Regulations as administrative controls and as safety risk controls which underlie the shift from solely prescriptive regulation to the combined prescriptive and performance-based regulation. Furthermore, the integration into the SSP, as appropriate, of the principles underlying the role of the eight critical elements of the State's safety oversight function is expected to yield a more robust and effective SSP.

Safety performance and monitoring information comes from a variety of sources, including formal auditing and evaluation, investigations of safety-related events, continuous monitoring of day-to-day operational activities related to the delivery of services, and input from employees through hazard reporting systems.

UCAA ensures the sources used are described in the service provider/operator's SMS Manual. Information sources for safety performance monitoring and measurement may include:

- hazard reporting.
- safety studies.
- safety reviews.
- audits.
- safety surveys; and
- internal safety investigations.

## **4.5 Safety data collection, analysis and exchange**

### **4.5.1 Safety Data and Information from Accident, Incident and Safety Investigations**

AIIU's investigations are independent and separate from judicial or administrative proceedings. Through its investigations, AIIU analyses the circumstances leading to the occurrences of accidents and serious incidents, identifies safety issues and makes recommendations to address these safety issues.

UCAA conducts investigations of occurrences. Such investigations aim to expeditiously determine safety gaps to prevent recurrence, to determine whether enforcement action should be taken where there is a contravention of legislation and regulations, and to identify improvement areas in the safety regulations and oversight processes.

UCAA and service providers may receive safety recommendations from investigation authorities arising from the accident and incident investigations. Where these safety recommendations are adopted and implemented by UCAA or service providers, UCAA will monitor the implementation of the safety recommendation(s).

### **4.5.2 Mandatory Safety Reporting**

The Uganda Aviation Accidents / Incidents Reporting System allows persons or organisations to make reports to UCAA on safety matters in accordance with the Civil

Aviation (Aircraft Accident and Incident Investigation) Regulations. These Regulations specify the mandatory reportable occurrences and events and the processes for reporting. While potential safety deficiencies or hazards are not required to be reported in a mandatory safety report, UCAA encourages the reporting of potential safety deficiencies or hazards that could affect aviation safety through the Ugandan Aviation Accident and Incident Reporting System as well.

#### **4.5.3 Voluntary Safety Reporting**

UCAA employs several mechanisms to promote voluntary reporting. These mechanisms aim to enhance aviation safety through the collection of voluntary feedback on aviation hazards and safety deficiencies. The sources of voluntarily provided information are protected by the CAA Act and through de-identification of the reports.

*The voluntary Reporting System* does not eliminate the requirement for mandatory reporting of aircraft accidents and incidents to UCAA and AIIU under the CAA Act and other relevant authorities under the existing law.

To better identify safety risks and hazards in aircraft and aerodrome operations, UCAA has entered an agreement with Uganda air operators and the aerodrome operator on the sharing of safety information from their voluntary reporting systems. In line with safety information protection principles, such safety information shared by the service providers is to be used solely for improving aviation safety.

Uganda has also established and maintains a safety database to facilitate the effective analysis of information on actual or potential safety deficiencies obtained, including that from its incident reporting systems, and to determine any actions required for the enhancement of safety.

It is imperative for the State to develop and implement data exchange mechanism with the service providers to enable reliable assessment of the State's safety system and instituting measures for continuous improvement and identification of areas of greater concern or need. In this way, both the State and Service Providers will benefit in assessing the oversight capability and safety performance respectively. To achieve this, taxonomy has to be developed and promulgated including building of confidence among service providers on the use of the exchanged information and safety data.

#### **4.5.4 Other Sources of Safety Data and Information**

Besides collecting data and information through the MOR and VOR systems, UCAA collects data and information from its surveillance activities, de-identified information provided by AIIU and other sources. UCAA analyses this data and information for the purposes of improving safety. Hazard identification and risk assessment are carried out for significant events and as required for safety risk management.

#### **4.5.5 Protection of Safety Data and Information**

Uganda has enacted legislation and regulations to protect information gathered from safety data collection and processing systems (SDCPS), while allowing for the proper

administration of justice. The objective is to prevent the inappropriate use of information collected solely for the purpose of improving aviation safety.

Subsequently, Civil Aviation (Safety Management) as well as (Aircraft Accident and Incident Investigation) Regulations provide the principles and mechanism for protection of safety data and safety information.

Uganda has developed appropriate safety information protection policies to ensure the continued availability of safety information that is voluntarily reported. These policies are aligned with the safety information protection principles in Annex 19 to the Chicago Convention. They aim to safeguard safety information and their sources, build trust, and promote information sharing, and encourage active sharing of safety issues without fear of punitive consequences.

Safety information that is essential to safety management is accorded the appropriate protection under Section 64A of the CAA Act.

#### **4.5.6 Safety Data and safety information Protection Exceptions**

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, willful 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.

#### **4.5.7 Safety Data and Safety Information Exchange**

Uganda promotes the establishment of safety data safety information sharing networks among all users of the aviation system and facilitates the free exchange of information on actual and potential safety deficiencies.

Safety deficiencies as well as periodic aggregate safety data are disseminated to relevant stakeholders including service providers, CASSOA and ICAO. Standardized definitions, classifications, and formats are used to facilitate data exchange.

## **4.6 Safety data driven targeting of oversight of areas of greater concern or need**

UCAA has established procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need, as identified by the analysis of data on hazards, their consequences in operations, and the assessed safety risks.

Based on the analysed accident/incident data, hazard reporting and surveillance reports, the UCAA will review existing oversight procedures and, if necessary, define new procedures that will prioritize auditing of those identified areas of greater safety concern or need. This data including information from aviation industry, region and other aviation safety agencies will be used to identify existing and emerging risks in Uganda which will be managed through SEIs stipulated in the NASP.

UCAA will ensure that service providers' hazard identification and safety risk management processes follow established regulatory requirements and that safety risk controls are appropriately integrated into the service providers' SMS. This will be achieved through oversight activities that include inspections audits and surveys.

Information from the analysed safety data will be used to prioritize and focus the oversight activities on specific areas including those areas of greater safety concern or need, as identified by the analysis of data on hazards, their consequences in operations, and the assessed safety risks.

The findings of accident investigations are recorded in the AIIU database, including recommendations on industry safety issues and required corrective actions. The AIIU will document on the annual report the risks identified by investigations and the associated safety actions undertaken in the previous year.

### **4.6.1 Service Provider's Safety Performance**

Service providers are required to define safety performance measurements as part of their SMS performance monitoring mechanism. These measurements refer to the indicators, alerts and targets used to measure and monitor safety performance over time. Safety performance measurements consider the nature of the operations, the safety objectives of the service providers, the state-level safety risks and operational safety risks faced. The service providers also review their safety performance measurements regularly in consultation with UCAA safety inspectors to ensure that they remain relevant, are aligned with their safety objectives, and address prevailing hazards and risks.

## CHAPTER 5 STATE SAFETY PROMOTION

Through the SSP, Uganda is committed to actively engage and collaborate with the aviation industry on safety matters via various safety promotion efforts, in line with the Safety Policy. UCAA and AIIU carry out a series of activities to communicate safety information and to encourage dialogue with the aviation industry and the public in a bid to foster a positive safety culture.

### 5.1 Internal communication and dissemination of safety information

The NASC and the SSP Steering committee meet regularly to discuss, coordinate, and disseminate relevant safety policies and safety information. In addition, the UCAA and AIIU communicate and regularly exchange relevant safety information in accordance with the MOU.

UCAA holds regular internal meetings and engagement sessions, providing opportunities for senior management to engage staff or for staff to exchange information amongst themselves on aviation safety issues, ranging from international developments, work plans, culture, to training. Safety inspectors are encouraged to share and exchange their experience on topical issues. AIIU investigators are also invited to such sharing sessions.

AIIU conducts unit and investigation meetings regularly to ensure sharing of essential information among staff. Active communication of safety information within the workforce is encouraged and practiced.

Collected safety information through the established mandatory and voluntary incidents and hazards reporting systems should be communicated to the respective CAA staff responsible for safety oversight of service providers. The information may be used for investigation or for information only. When action is taken this should be documented and stored for traceability and history.

Additionally, CAA will promote two-way communication of relevant safety-related information amongst the State aviation organisations and support development of an organizational safety culture that promotes an effective and efficient SSP.

UCAA will organize an in-house workshop annually to discuss and promote relevant safety information including relevant safety related industry changes.

The following are the methods of communicating and disseminating safety-relevant information within the UCAA and relevant State Aviation Organizations:

For critical safety-relevant information:

- a) Confidential Letters.
- b) Secure Emails.

- c) Safety Reviews
- d) UCAA website
- e) Workshops

For non-critical safety-relevant information:

- a) UCAA Intranet.
- b) Safety Notice Boards.
- c) Safety Alerts.
- d) Safety Newsletters.
- e) Safety Journals.

UCAA as a body responsible for the SSP has developed a safety training programme. The training programme includes National Aviation Safety Plan and its relationship with ICAO Global Aviation Safety Plan and AFI Regional Aviation Safety Plan. This ensures that personnel are trained and competent to perform the SSP duties.

Every inspector's development and training needs including SSP/SMS is assessed upon induction at UCAA by DSSER. Both initial and recurrent training is provided to officials/inspectors. The trainings are conducted at regular intervals as per the annual training programme.

Mandatory Occurrence Reports (MORs) and Voluntary Occurrence Reports (VORs) are received by UCAA. These are then submitted to DSSER UCAA for investigation or information and, in many cases, are required to provide feedback on action taken so that the MORs, VORs can be officially 'closed'. The information of MORs and VORs is shared with other Directorates within UCAA and the relevant external civil aviation stakeholders. This is an important part of the UCAA's safety risk management process.

## **5.2 External communication and dissemination of safety information**

UCAA holds regular meetings and engagements with its service providers to discuss aviation safety issues as well as exchange information on new developments in our aviation environment. This to ensure that:

- (a) service provider personnel are fully aware of the SSP and its relationship with the SMS.
- (b) safety critical information is conveyed to service providers.
- (c) service providers understand why particular safety actions are taken.
- (d) service provider and its personnel understand the importance of reporting.

UCAA has various engagement platforms such as the Aviation Safety Fora and UCAA Aviation Safety Series to keep the aviation industry up-to-date on developments in safety policies and regulations. The AIIU organises conferences and seminars to discuss issues relating to the organisation, infrastructure and management of accident and incident investigation. AIIU also disseminates safety lessons learnt from foreign investigations which are appropriate to the local aviation industry. Engagement tools such as webinars,

social media, and surveys are used to engage and seek inputs on safety matters such as safety culture and unmanned aircraft. In addition, UCAA continues to maintain its traditional outreach platforms, such as through publications of administrative circulars.

Both UCAA and AIIU maintain their corporate websites, sharing up-to-date information such as changes to requirements and investigation reports. As part of its safety promotion efforts, the UCAA DSSER and AIIU work together to curate and conduct aviation safety courses on topics such as SMS and SSP implementation, to cater to a wide range of participants, from industry to regulators, at various levels.

UCAA has developed a National Aviation Safety Plan which describes in more detail the high-level safety objectives and outlines UCAA's programme of work to achieve continuous safety improvement and is published on UCAA's website. The ICAO Global Aviation Safety Plan, AFI Regional Aviation Safety Plan, National Safety Enhancement Initiatives (SEIs) are also communicated to the stake holders through National Aviation Safety Plan and in the form of circulars.

The critical safety-relevant information is communicated and disseminated nationally and internationally through Aeronautical Information Publication (AIP), AIP supplements, Aeronautical Information Circular (AIC) and Notice to Airmen (NOTAM). This keeps aviation personnel updated with the current operational information.

## **6.3 Training**

### **6.3.1 Internal training**

UCAA provides training and fosters awareness and two-way communication of safety relevant information to support, within State aviation organizations, the development of an organizational culture that fosters an effective and efficient SSP.

Training of UCAA staff and other State Aviation Organisations' staff has been an ongoing undertaking and has always received the attention it deserves. UCAA has determined the minimum professional qualifications for technical personnel performing aviation safety oversight functions and other related activities. Initial and periodic and theoretical specialised training including supervisory courses are undertaken as required under the relevant human resource programmes.

However it is recognised that additional specific safety training is required to oversight aviation safety effectively. The SSP Implementation Plan includes proposals for specific SSP and SMS training programmes for all relevant staff during implementation period and beyond. In developing the training plans priority is given to training of personnel involved in implementation of SSP.

As the coordinator of the SSP, UCAA develops programmes on SSP training for staff of all relevant departments including training relevant to personnel of other State Aviation Organisations. The programmes ensures that the appropriate personnel are qualified to perform SSP duties. The training programmes are reviewed periodically to ensure they



remain relevant to industry developments. The scope of the safety training shall be appropriate to the personnel's involvement in the SSP.

Safety training development will include a documented process to identify training requirements and training provided as well as a means to assess the effectiveness of training. Safety training is delivered by persons with appropriate knowledge skills, and experience in the applicable subject area.

Internal training requirements will be identified for all relevant staff. However the training programmes may be structured as SMS/SSP courses and delivered to joint audiences.

Safety training is developed in the following four levels:

a) Generic/Awareness Safety Training

The target audience will be all relevant UCAA staff including other State Aviation Organisations' relevant staff. The training objectives will be to introduce SSP policy and objectives and SSP/SMS fundamentals. The training will include overview of safety roles, and introduction to safety risk management, including hazard reporting.

b) Initial Safety Training

The target audience will be UCAA safety technical staff and relevant technical staff of other State Aviation Organisations. The training objectives will include in-depth knowledge of safety risk management, with emphasis on hazard identification and safety risk assessment.

c) Advanced Safety Training

The target audience will be relevant UCAA middle and senior managers including relevant managers from other State Aviation Organisations. The training objectives will be to develop in-depth knowledge of Safety Assurance, including safety roles, responsibilities, and accountabilities regarding the Safety Assurance component of an SSP.

d) High Level Executive Briefing

The target audience will be the SSP accountable person. High level aviation accountable executives of relevant State Aviation Organisations should also attend this briefing. The training objective will be to provide a broad perspective of SSP.

e) Refresher Training

Refresher safety training will be conducted once a year to all appropriate staff. This may be a one-day internal refresher training programme. Refresher training may be delivered jointly with service providers as an SMS/SSP course. Attendance of relevant outsourced training may also be credited towards refresher training depending on course content.



### 6.3.2 External Training

The UCAA runs seminars/ workshops for the industry to promote confidence among operational staff in encouraging and assessing SMS development and performance. The development of an active safety culture at all levels and in all functional areas in the aviation industry is seen as a key area of development.

The UCAA encourages a combined audience of State Aviation Organisations and Service Providers to foster a harmonised safety culture.

The training programmes are conducted at three levels:

- ✓ High Level Accountable Managers' Briefings
- ✓ Generic/Awareness SMS Training
- ✓ Initial SSP/SMS Training

### 6.3.3 Communication and Dissemination of Information

All the annual or periodic safety reports produced by UCAA that address safety will be communicated to the service providers for their information and education. Any changes in the objectives or safety risk evaluation methods or any similar taken safety-related action or activity by UCAA will also be communicated to service providers.

UCAA will, in coordination with other State aviation organizations conduct safety forum at least once a year with operators and service providers, to keep them advised of likely regulatory developments and brief on relevant safety information to develop the required safety culture.

## APPENDIX 1 SSP IMPLEMENTATION PLAN

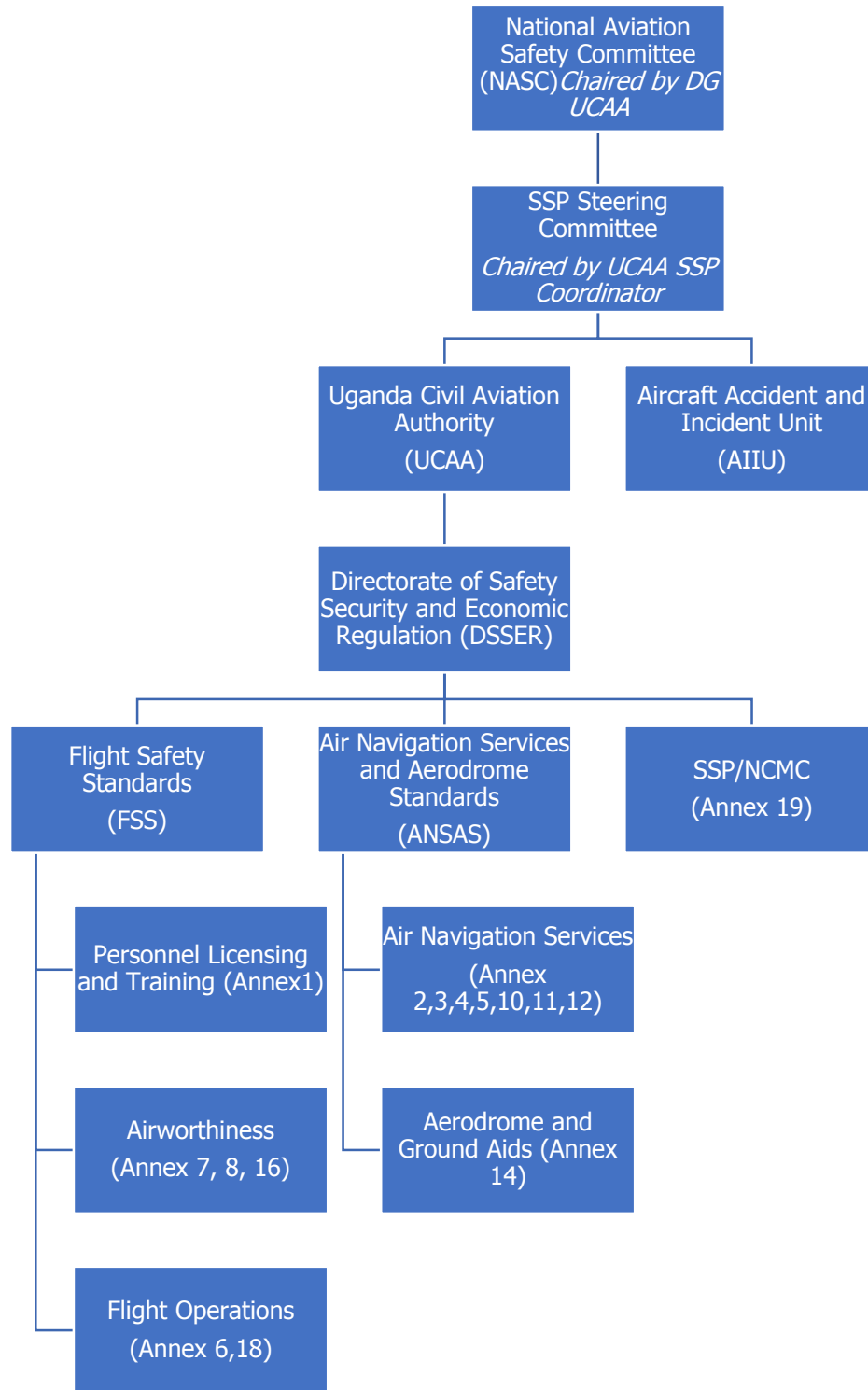
N <sup>o</sup>	SSP component/element	2022				2023				2024				2025				Status
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
<b>PHASE I</b>		<i>Uganda CAA</i>																
	Identify SSP Accountable Executive		X															completed
	Form SSP Team			X														started
	Conduct Gap Analysis	X																started
	SSP Budget Proposal		X															started
	SSP Implementation Plan			X	X													started
	SSP Team Training						X	X	X	X	X	X	X	X	X	X	X	Not started
	Establish a state safety coordination office	X																completed
	Develop & Promulgate SSP Policy			X	X													Started
	Develop SSP Responsibilities & Accountabilities			X	X													started
	Develop SSP Legislation and Regulations	X	X															Completed

N°	SSP component/element	2022				2023				2024				2025				Status
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
<b>PHASE I</b>		<b>Uganda CAA</b>																
	Schedule Staff Training Courses	X	X	X														started
	Develop & Promulgate Enforcement Policy				X	X												started
	Establish Independent Accident Investigation Department	X																started
<b>PHASE II</b>																		
	Staff SSP/SMS Generic Training				X	X	X	X	X	X	X	X	X	X	X	X	X	not started
	SSP/SMS Training to Key Personnel					X	X	X	X									not started
	SSP/SMS ToT Courses									X	X	X						not started
	Service Provider SMS Training							X	X	X	X	X	X	X	X	X	X	not started
	Develop Guidance Material & Orders		X	X	X	X	X	X										started
	Establish Safety Library					X	X	X										started

N <sup>o</sup>	SSP component/element	2022				2023				2024				2025				Status
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
<b>PHASE I</b>		<b>Uganda CAA</b>																
	Define Safety Indicators and Targets											X	X	X	X	X	X	not started
	Define Values for Indicators & Targets											X	X	X	X	X	X	not started
	Develop action plans to achieve targets			X	X	X	X	X	X	X	X	X	X	X	X	X	X	started
	Consultation with Service Providers on ALoSP and SMS implementation											X	X	X	X	X	X	not started
	Establish Safety Data Collection and Processing System (SDCPS)					X	X	X	X									started
	SDCPS Training to required staff									X	X	X	X					not started
	Develop mechanisms for SMS safety risk controls									X	X	X	X	X	X	X	X	Not started
		<b>PHASE III</b>																

N <sup>o</sup>	SSP component/element	2022				2023				2024				2025				Status
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
<b>PHASE I</b>		<b>Uganda CAA</b>																
	Agreement on safety performance of individual service providers' SMS										X	X	X					not started
	Establish safety data systems for high and low consequence outcomes												X	X				not started
	Implement mechanisms for exchange of safety information					X	X	X	X	X	X	X	X					not started
	Review safety and enforcement policy													X	X	X	X	not started
	Establish prioritized inspections, audits and surveys based on analyzed hazards and risks									X	X	X	X	X	X	X	X	not started
	Establish and communicate mature ALoS													X	X	X	X	not started

## APPENDIX 2 STATE SAFETY PROGRAMME ORGANISATION STRUCTURE



## **APPENDIX 3 COMPOSITION AND TORs FOR THE NATIONAL AVIATION SAFETY COMMITTEE (NASC)**

### **1. COMPOSITION OF THE NASC**

The NASC comprises senior management personnel from the State aviation safety regulatory organisations namely; UCAA and AIIU.

The committee headed by the Director General of UCAA consists of the following:

- a) Chief aircraft accident and incident investigator , MoWT
- b) Director Safety Security and Economic Regulation, UCAA and
- c) Member from UPDF-AF as an observer

The chair of the NASC is supported by the SSP/NCMC department in UCAA under DSSER which is responsible for the day to day planning and management of the SSP implementation. It ensures that the various aspects work together to deleiver Uganda’s safety objectives.

### **2. OBJECTIVE AND TERMS OF REFERENCE OF THE NASC**

#### **2.1 Objective**

The objective of the NASC is to coordinate the implementation and subsequent administration of the SSP amongst the various State aviation regulatory and administrative organisations to ensure that the development, periodic review, decision and policy making pertaining to SSP activities such as safety policy, safety indicators, enforcement policy, safety data protection and sharing, SMS regulatory requirements and internal SSP review and findings are carried out in an integrated and coordinated manner.

#### **1.2 Terms of Reference**

The Terms of Reference for the SSP Coordination Team are:-

- 1) To conduct a gap analysis based on the SSP framework to determine which components and elements of an SSP are currently in place and which components and elements must be added or modified to meet the implementation requirements.
- 2) To develop a SSP implementation plan based on the results of the Gap Analysis.
- 3) To develop regulations and technical guidance material for:
  - a) Enforcement
  - b) Service providers
- 4) To establish an acceptable level of safety for:
  - a) Aircraft Operators

- b) Aircraft maintenance organizations
- c) Air traffic service providers
- d) Aerodrome operators
- e) Approved training organizations



## APPENDIX 4 REFERENCE DOCUMENTS

### 1. **Uganda Legislation and Technical Requirements** (Available on the UCAA *website*)

#### **Primary Legislation**

- a) Civil Aviation Authority Act (CAP 354)
- b) Civil Aviation Authority (Amendment) Act, 2019

#### **Aircraft Operations**

- a) Civil Aviation (Aerial Work) Regulations,2022
- b) Civil Aviation (Air Operator and Administration) Regulations,2022
- c) Civil Aviation (Aeronautical Charts) Regulations,2022
- d) Civil Aviation (Commercial Air Transport by Foreign Air Operations in and out Uganda) Regulations,2022
- e) Civil Aviation (Operation of Aircraft) (Commercial Aviation) (Helicopters) Regulations,2022
- f) Civil Aviation (Operation of Aircraft) (Commercial Air Transport) Regulations,2022
- g) Civil Aviation (Operation of Aircraft) (General Aviation) (Aeroplanes) Regulations,2022
- h) Civil Aviation (Parachute Operations) Regulations,2022
- i) Civil Aviation (Safe Transport of Dangerous Goods by Air) Regulations,2022

#### **Unmanned Aircraft Operations**

- a) Civil Aviation (Unmanned Aircraft System) Regulations, 2022

#### **Personnel Licensing and Training**

- a) Civil Aviation (Approved Training Organisation) Regulations,2022
- b) Civil Aviation (Personnel Licensing) Regulations,2022
- c) Civil Aviation (Personnel Licensing) (Aircraft Maintenance Engineer's Licence) Regulations,2022

#### **Airworthiness**

- a) Civil Aviation (Aircraft Instrument and Equipment) Regulations,2022
- b) Civil Aviation (Nationality and Registration Marks) Regulations,2022
- c) Civil Aviation (Airworthiness of Aircraft) Regulations,2022
- d) Civil Aviation (Approved Maintenance Organisation) Regulations,2022

#### **Aerodromes**

- a) Civil Aviation (Aerodromes) Regulations,2022
- b) Civil Aviation (Heliport) Regulations,2022

### **Air Navigation Services**

- a) Civil Aviation (Aeronautical Charts) Regulations,2022
- b) Civil Aviation (Aeronautical Communication Procedures) Regulations,2022
- c) Civil Aviation (Aeronautical Communication Systems) Regulations,2022
- d) Civil Aviation (Surveillance and Collision Avoidance Systems) Regulations,2022
- e) Civil Aviation (Aeronautical Information Services) Regulations,2022
- f) Civil Aviation (Aeronautical Radio Navigation Aids) Regulations,2022
- g) Civil Aviation (Air Traffic Services) Regulations,2022
- h) Civil Aviation (Certification of Air Navigation Services) Regulations,2022
- i) Civil Aviation (Construction of Instrument Flight Procedures) Regulations,2020
- j) Civil Aviation (Units of Measurement for Air and Ground Operations) Regulations,2020
- k) Civil Aviation (Rules of the Air) Regulations,2020
- l) Civil Aviation (Search and Rescue) Regulations,2020
- m) Civil Aviation (Aeronautical Radio Frequency Spectrum Utilisation) Regulations,2020
- n) Civil Aviation (Meteorological Services for Air Navigation) Regulations,2022

### **Safety Management**

- a) Civil Aviation (Safety Management) Regulations,2022
- b) Civil Aviation (Fatigue Management) Regulations,2022

### **Accident Investigation**

- a) Civil Aviation (Accident and Incident Investigation) Regulations,2022

### **Aviation Security**

- a) Civil Aviation (Security) Regulations, 2022

## 2. **Guidance Material** *(Available on the UCAA website)*

- a) Advisory Circulars (ACs)
  - b) Aeronautical Information Circulars (ICs)
  - c) Safety Publications (SPs)
- ## 3. **Others** *(Available on the UCAA website)*
- a) National Aviation Safety Plan

## APPENDIX 5 DEFINITIONS AND ABBREVIATIONS

**Acceptable level of safety performance (ALoSP).** The level of safety performance agreed by State authorities to be achieved for the civil aviation system in a State, as defined in its State safety programme, expressed in terms of safety performance targets and safety performance indicators;

**Accident.** 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.

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.

**Accountable executive.** A single, identifiable person having responsibility for the effective and efficient performance of the service provider's SMS.

**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 (AMO).** An organization approved by a Contracting State, in accordance with the requirements of ICAO 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 (ATO).** An organisation established to conduct aviation training courses as approved by the Authority;

**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.

**Defences.** Specific mitigating actions, preventive controls or recovery measures put in place to prevent the realization of a hazard or its escalation into an undesirable consequence.

**Errors.** An action or inaction by an operational person that leads to deviations from organizational, or the operational person's, intentions, or expectations.

**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 or contribute to an aircraft incident or accident.

**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 a reliability 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.

**Partner States.** The parties to the Treaty for the Establishment of the East African Community i.e. The Republic of Burundi, The Republic of Kenya, The Republic of Rwanda, The Republic of South Sudan, The Republic of Uganda, and The United Republic of Tanzania.

**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.

**Risk mitigation.** The process of incorporating defences, preventive controls or recovery measures to lower the severity and/or likelihood of a hazard's projected consequence.

**Safety.** The 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 data.** A defined set of facts or set of safety values collected from various aviation-related sources, which is used to maintain or improve safety.

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

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

**Safety Objective.** A brief, high-level statement of safety achievement or desired outcome to be accomplished by the State safety programme or service provider's safety management system.

**Safety oversight.** 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 performance.** A State's or service provider's safety achievement as defined by its safety performance targets and safety performance indicators.

**Safety performance indicator.** A data-based parameter used for monitoring and assessing safety performance

**Safety performance target.** 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 risk.** The predicted probability and severity of the consequences or outcomes of a hazard.

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

**Surveillance.** 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.

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

**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.

**Service provider.** Any organization providing aviation services or products including approved training organizations that are exposed to safety risks during the provision of their services, aircraft operators, approved maintenance organizations, organizations responsible for type design and/or manufacture of aircraft, air traffic service providers and certified aerodromes, as applicable.

**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.

**Trigger.** An established level or criteria value for a particular safety performance indicator that serves to initiate an action required, (e.g., an evaluation, adjustment, or remedial action).

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

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

## ABBREVIATIONS

AIIU	Aircraft Accident Investigation Branch
AC	Advisory Circular
ADREP	Accident/incident data reporting (ICAO)
AEP	Aerodrome emergency plan
AIRPROX	Aircraft proximity
AIP	Aeronautical Information Publication
ALARP	As low as reasonably practicable
ALoSP	Acceptable level of safety Performance
AMO	Approved maintenance organization
AOC	Air operator certificate
ASR	Air safety report
ATC	Air traffic control
ATCO	Air traffic controller
ATM	Air traffic management
ATO	Approved training organisation
ATS	Air traffic service(s)
CASSOA	Civil Aviation Safety and Security Oversight Agency
CEO	Chief executive officer
CFIT	Controlled flight into terrain
CMC	Crisis management centre
CRM	Crew resource management
CVR	Cockpit voice recorder
Doc	Document (ICAO)
DoD	Department of Defence
EAC	East African Community
ECCAIRS	European Co-ordination Centre for Aviation Incident Reporting Systems
ERP	Emergency response plan
FDA	Flight data analysis
FDM	Flight data monitoring
FDR	Flight data recorder
FOD	Foreign object (debris) damage



GPS	Global positioning system
ICAO	International Civil Aviation Organisation
IMC	Instrument meteorological conditions
ISO	International Organization for Standardization
CAA	Civil Aviation Authority
UCARs	Uganda Civil Aviation Regulations
MOR	Mandatory occurrence report
MRM	Maintenance resource management
NM	Nautical mile(s)
QA	Quality assurance
QC	Quality control
QMS	Quality management system
RCC	Rescue Co-ordination Centre
RVSM	Reduced vertical separation minimum
SA	Safety assurance
SAG	Safety action group
SARPs	Standards and Recommended Practices (ICAO)
SDCPS	Safety data collection and processing systems
SHEL	Software/Hardware/Environment/Liveware
SMM	Safety management manual (ICAO Doc 9859)
SMS	Safety management system(s)
SMSM	Safety management systems manual
SOPs	Standard operating procedures
SRB	Safety review board
SRM	Safety risk management
SSP	State safety programme
USOAP	Universal Safety Oversight Audit Programme (ICAO)
VMC	Visual meteorological conditions