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AIC
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REQUIREMENTS FOR THE IMPLEMENTATION OF SAFETY MANAGEMENT SYSTEM (SMS)

1. PURPOSE

- 1.1 This Aeronautical Information Circular (AIC) specifies the requirements for service providers operating in accordance with Air Navigation Services Regulations 2013 and Aerodromes Regulations 2012 to develop and implement a safety management system as per ICAO Annex 19.
- 1.2 Within the context of these requirements the term —service provider would normally refer to approved training organizations, air traffic service providers and aerodrome operators.
- 1.3 The requirements address aviation safety-related processes, procedures and activities of the service provider, rather than occupational safety, environmental protection or other non-aviation-related activities.
- 1.4 The AIC establishes the minimum SMS framework requirements. The service provider can establish more stringent internal requirements.

2. BACKGROUND

Annex 19 contains Standards And Recommended Practices (SARPs) related to responsibilities and processes underlying the safety management by service providers and was first adopted by the Council On 25 February 2013 pursuant to the provisions of Article 37 of the Convention on International Civil Aviation (Chicago 1944), and it became applicable on the 14th November 2013. The SARPs were based on provisions for safety management initially adopted by the Council in Annexes 1; 6, Parts I, II and III; 8; 11; 13 and 14, Volume I, and on recommendations of the first special meeting of the Safety Management Panel (Montréal, 13 to 17 February 2012). It is from this new change that new SMS ICAO Protocol Questions were developed, hence the new requirements.

3. EFFECTIVE DATE

3.1 Effective 31st December 2015, Service Providers shall have in place a safety management system (SMS) acceptable to Aviation Safety Standards and Oversight (ASSO).

4. REQUIREMENTS

The service providers must establish an acceptable SMS that shall be:

- a) in accordance with the framework of components and elements as outlined in paragraph 4.2 to 4.5 of this AIC; and
- b) commensurate with the size of the service provider and the complexity of its services and addresses the following:

4.1 SAFETY POLICY AND OBJECTIVES

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

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

4.1.2 Safety accountabilities

The service provider shall:

- a) identify the accountable executive who, irrespective of other functions, has ultimate responsibility and accountability, on behalf of the organization, for the implementation and maintenance of the SMS;
- b) clearly define lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management;
- c) identify the accountabilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS;

- d) document and communicate safety responsibilities, accountabilities and authorities throughout the organization; and
- e) define the levels of management with authority to make decisions regarding safety risk tolerability.

4.1.3 Appointment of key safety personnel

The service provider shall appoint a safety manager who is responsible for the implementation and maintenance of an effective SMS.

4.1.4 Coordination of emergency response planning

The service provider shall ensure that an emergency response plan is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its products and services.

4.1.5 SMS documentation

4.1.5.1 The service provider shall develop an SMS implementation plan, formally endorsed by the organization that defines the organization's approach to the management of safety in a manner that meets the organization's safety objectives.

4.1.5.2 The service provider shall develop and maintain SMS documentation that describes its:

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

4.1.5.3 The service provider shall develop and maintain an SMS manual as part of its SMS documentation.

4.2 SAFETY RISK MANAGEMENT

4.2.1 Hazard identification

4.2.1.1 The service provider shall develop and maintain a process that ensures that hazards associated with its aviation products or services are identified.

4.2.1.2 Hazard identification shall be based on a combination of reactive, proactive and predictive methods of safety data collection.

4.2.2 Safety risk assessment and mitigation

- 4.2.2.1 The service provider shall develop and maintain a process that ensures analysis, assessment and control of the safety risks associated with identified hazards.

4.3 SAFETY ASSURANCE

4.3.1 Safety performance monitoring and measurement

- 4.3.1.1 The service provider shall develop and maintain the means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls.
- 4.3.1.2 The service provider's safety performance shall be verified in reference to the safety performance indicators and safety performance targets of the SMS.

4.3.2 The management of change

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

4.3.3 Continuous improvement of the SMS

- 4.3.3.1 The service provider shall monitor and assess the effectiveness of its SMS processes to enable continuous improvement of the overall performance of the SMS.

4.4 SAFETY PROMOTION

4.4.1 Training and education

- 4.4.1.1 The service provider shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform their SMS duties.
- 4.4.1.2 The scope of the safety training programme shall be appropriate to each individual's involvement in the SMS.

4.4.2 Safety communication

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

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