



NPA 01/2011 CAR PART X – SAFETY MANAGEMNET SYSTEM REQUIREMENTS

Release Date: 02/01/2011

Pursuant to Article 7 of the Federal Civil Aviation Law No. 4 of 1996, the competent authority is responsible for promulgating and proposing regulations which ensure safe operation of organisations offering Civil Aviation Services within UAE territory.

As being the competent authority of the UAE, the General Civil Aviation Authority (GCAA), and after reviewing CAR Part X, has decided to promulgate a new issue of this Part to be in line with the latest ICAO requirements and to include organisations which have not been included previously under the existing Part X.

This regulation conforms to the ICAO "Safety Management System Manual (Doc. 9859)".

This notice is published to announce to the public this proposed re-issue of CAR Part X and to entitle all concerned parties, especially organisations required to comply with Part X, to:

1. Review the attached proposed regulations; and
2. email their comments to the below address:

Mr. Walid ALRAHMANI

Manager State Safety Programme

General Civil Aviation Authority

e.mail: wrahmani@gcaa.ae

cc: reg.inv@gcaa.ae

The comments on the proposal must be received at the above addresses within [30] days of publishing this notice.

For/Director General
Omar Bin Ghaleb





United Arab Emirates



وزارة الامتدادات الجوية
الهيئة العامة للطيران المدني
UAE General Civil Aviation Authority

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Saif Al Suwaidi
Director General
General Civil Aviation Authority

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CAR PART X

SAFETY MANAGEMENT SYSTEM REQUIREMENTS

AMENDMENTS HISTORY

Amendment	Source(s)	Subject(s)
xx	<i>These changes were made to make a more precise ref to laws</i>	STATUTORY BASIS
	<i>These changes were made to include additional organisations as per ICAO Annexes.</i>	SCOPE Flight training organisations and CAR 21 (subpart G and J) organisations were added to the scope.
	<i>It is not reasonably practical to mandate SMS on all CAR 145 organisations</i>	CAR 145 organisations required to comply with SMS have been confined to those with "A" class ratings.
	<i>Definitions section has been removed to standardise CAR's structures.</i>	DEFINITIONS section deleted
	<i>Additional organisations have been added as per ICAO Annexes. Compliance dates set for the newly introduces organisations</i>	GENERAL. Section no. changed to 3. Additional organisations have been added as per ICAO Annexes. Compliance dates set for the newly introduces organisations
	<i>Guidance for application was not enough</i>	APPLICATION. Section no. changed to 4. Reference to CAAP 50 added where detailed guidelines for SMS application and acceptance
	<i>To be in line with latest ICAO SMS manual</i>	SAFETY POLICY AND OBJECTIVES. Section no. changed to 5. (iv) added to paragraph (d)
	<i>Editorial changes and additional sentences to clarify requirements</i>	ORGANISATIONAL STRUCTURE AND RESPONSIBILITIES. Section no. changed to 6. Paragraphs (f) and (g) added.
	<i>Implementation plan transferred to CAAP 50. It is not mandatory to comply with the proposed plan.</i>	SMS IMPLEMENTATION PLAN. Deleted
	<i>Section added as a result of routine review</i>	FACILITY REQUIREMENTS. New section added. Section no. is (7)

<i>After routine routine review, guidance moved to CAAP 50.</i>	COORDINATION OF EMERGENCY RESPONSE PLAN. Title amended. Section no. changed to (8). Guidance transferred to CAAP 50. Provision for relief from ERP added.
<i>To be in line with latest ICAO SMS Manual. Guidance material transferred to CAAP 50.</i>	DOCUMENTATION. Section no. changed to (9). SMSM Guidance moved to CAAP 50. Approval requirement replaced with "Acceptance". (a)(iv) amended.
<i>After review of PART X, it was determined that there is a need for this new section</i>	RECORD KEEPING. New section. Section no. is (10)
<i>After review of PART X and in consideration of the industry's practices, it was determined that there is a need for this new section</i>	SUBCONTRACTING AND PURCHASING. New section added. Section no. is (11)
<i>Result of routine review.</i>	SMS IMPLEMENTATION PLAN. Moved from (8) to (12). Paragraph (a) amended. Guidance moved to CAAP 50. Paragraph (c) added
<i>Amended for clarity.</i>	SAFETY RISK MANAGEMENT. Section no. changed to (13). Paragraph (a) added.
<i>Editorial amendments for clarity.</i>	SAFETY ASSURANCE. Section no. changed to (14). Sentences replaced / amended/ added under the subsections for clarity purposes.
<i>Editorial amendments for clarity.</i>	SAFETY PROMOTION. Section no. changed to (15). Sentences replaced / amended/ added under the subsections for clarity purposes
<i>Result of routine review.</i>	QUALITY POLICY. Title amended. Section no. changed to (16). Annual requirement for internal auditing added .

SAFETY MANAGEMENT SYSTEM REQUIREMENTS

1. STATUTORY BASIS

This regulation is promulgated under the statutory authority in the United Arab Emirates Civil Aviation Law (Federal Act No.20 of 1991) and United Arab Emirates General Authority of Civil Aviation Law (Federal Law No.4 of 1996).

2. SCOPE

This regulation establishes the requirements for Organisations' safety management system (SMS) operating in accordance with CAR Part IV Operations Regulation (Sections 1 and 3), CAR Part V Airworthiness Regulations (CAR 145), CAR Part VIII Air Navigation Regulations, CAR Part IX Aerodrome Regulations, CAR Part IV Special Purpose Operations (Section A); and CAR 21(Subparts G and J).

Within the context of this regulation, "Organisation" means any organisation certified to provide aviation related services. The term encompasses aircraft operators, maintenance organisations involved in maintenance of aircraft approved under CAR 145 with Category A Class rating, air traffic Organisations, aerodrome operators, flight training organisations, and CAR 21 Production and Design approved organisations as applicable.

Note: For a CAR 145 organisation that holds Class A ratings in addition to other ratings, the SMS should encompass all of the class ratings.

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

The Organisation is responsible for the safety of services or products contracted to or purchased from other organisations.

3. GENERAL

- (a) As of December 31st 2010, a UAE based Organisation who is certified under CAR-OPS 1, CAR-OPS 3, CAR 145 (Maintenance Organisation with Class A rating), CAR Part VIII, or CAR Part IX, shall show a complete compliance with this regulation by establishing a safety management system that is acceptable to the GCAA, maintaining it, and completing its implementation by establishing all of the four components detailed in Chapter 2 of CAAP 50.
- (b) As of December 31st 2011, a UAE based flight training organisation which is certified under CAR PART IV, Special Purpose operations, Section "A" shall show a complete compliance with this regulation by establishing a safety management system that is acceptable to the GCAA, maintaining it and completing its implementation by establishing all of the 4 components detailed in Chapter 2 of CAAP 50.
- (c) As of November 14th 2013, a UAE based CAR 21 organisation approved in accordance with subpart G or Subpart J shall show a complete compliance with this regulation by establishing a

safety management system that is acceptable to the GCAA, maintaining it and completing its implementation by establishing all of the 4 components detailed in Chapter 2 of CAAP 50.

- (d) An Air Operator/Private Operator that holds a certificate issued under CAR OPS 1 or CAR OPS 3, or a flight training organisation certificate and at the same time holds a Maintenance Organisation Approval issued under CAR 145 shall establish an integrated Safety Management System.
- (e) Applicants for GCAA Certificates as specified under the scope of this regulation who are submitting their applications after 31st December 2010 shall comply with the requirements of this part within a timeframe agreed with the GCAA.
- (f) The safety management system shall be appropriate to the size, nature and complexity of the operations authorized to be conducted under its operations certificate and shall, at least, comply with the following requirements:
 - (i) identify safety hazards and assesses and mitigate risks
 - (ii) ensure that remedial action necessary to maintain an acceptable level of safety is implemented;
 - (iii) provide for continuous monitoring and regular assessment of the safety level achieved; and
 - (iv) aim to make continuous improvement to the overall level of safety.

4. APPLICATION

The applicant shall provide, at least, the following information:

- (a) Name of the Accountable Manager and the assigned Safety Management post holder.
- (b) A proposed Implementation Plan with emphasis on time-lines.
- (c) A draft of the SMS Manual, if available.

Further guidance on the application and acceptance processes can be found in Appendix E of CAAP 50.

5. SAFETY POLICY AND OBJECTIVES

The accountable manager of the organisation shall define and sign a safety policy statement that, at least, shall:

- (a) Be in accordance with all applicable legal requirements and international standards, best industry practices and shall reflect organisational commitments regarding safety.
- (b) Be communicated, with visible endorsement, throughout the organisation.
- (c) Include a clear statement about the provision of the necessary human and financial resources for its implementation.
- (d) include the following objectives:
 - (i) commitment to implement the safety management system;
 - (ii) commitment to the management of safety risks;

- (iii) commitment to encourage employees to report safety issues;
 - (iv) commitment to continual improvement of safety
 - (v) establishment of clear standards for acceptable behaviour; and
 - (vi) identification of responsibilities of management and employees with respect to safety performance.
- (e) The safety objectives should be linked to the safety performance indicators, safety performance targets and safety requirements of the Organisation's SMS.
- (f) The safety policy shall be reviewed periodically to ensure it remains relevant and appropriate to the organisation.

6. ORGANISATIONAL STRUCTURE AND RESPONSIBILITIES

- (a) The Organisation shall establish and document the safety structure necessary for the implementation and maintenance of the organisation's SMS. Safety accountabilities of managers and appointed key safety personnel shall be included.

The Structure shall include the Accountable Manager of a n who shall have the authority for ensuring that all activities are financed and carried out to the standard required by this Part. The Organisation shall notify the GCAA the name of the Accountable Manager.

The Accountable Manager shall have:

- (i) full control of the human resources required for the operations authorized to be conducted under the operations approval certificate/ license;
 - (ii) full control of the financial resources required for the operations authorized to be conducted under the operations approval certificate/ license;
 - (iii) final authority over operations authorised to be conducted under the Operations approval certificate/ license;
 - (iv) direct responsibility for the conduct of the organisation's affairs; and
 - (v) final responsibility for all safety issues.
- (b) The Organisation shall identify a Safety Management post holder to be the member of management who shall be the responsible individual and focal point for the development and maintenance of an effective safety management system.
- (c) The safety management post holder shall:
- (i) ensure that processes needed for the SMS are established, implemented and maintained;
 - (ii) report to the Accountable Manager on the performance of the SMS and on any need for improvement; and
 - (iii) ensure safety promotion throughout the organisation.
- (d) The Organisation shall identify the safety responsibilities of all members of senior management, irrespective of other responsibilities

- (e) Safety-related positions, responsibilities and authorities shall be defined, documented and communicated throughout the organisation.
- (f) The Organisation shall have sufficient appropriately qualified staff for the planned tasks and activities
- (g) The Organisation shall maintain appropriate experience, qualification and training records to show compliance with paragraph (f) above.

7. FACILITY REQUIREMENTS

The organisation shall have adequate:

- (a) Facilities for all planned tasks and activities.
- (b) Office accommodation for the management of all planned tasks and activities.

8. EMERGENCY RESPONSE PLAN

The Organisation shall develop and maintain, or coordinate, as appropriate, an emergency response plan (ERP) that outlines what actions are to be taken following an accident or an emergency situation. The overall objective of Emergency response Plans is the safe continuation of operations or the return to normal operations as soon as possible.

Chapter 2 of CAAP 50 provides details of Emergency Response Plans requirements.

Where it is not reasonably practical for an Organisation to establish an ERP, the GCAA may accept removal of this requirement on a case by case basis

9. DOCUMENTATION

- (a) The Organisation shall develop and maintain SMS documentation, in paper or electronic form, to describe the following:
 - (i) safety policy;
 - (ii) safety objectives;
 - (iii) SMS requirements, procedures and processes;
 - (iv) Accountabilities, responsibilities and authorities for procedures and processes; and
 - (v) SMS outputs.
- (b) The Organisation shall, as part of the SMS documentation, develop and maintain a safety management system manual (SMSM), to communicate the organisation's approach to safety throughout the organisation.
- (c) The SMSM shall document all aspects of the SMS Typical contents of an SMSM are detailed in chapter 2 of CAAP 50.
- (d) The SMSM shall be accepted by the GCAA.

NOTE: A sample SMSM for a small operator can be found in Appendix F of CAAP 50.

10. RECORDKEEPING

- (a) The Organisation shall establish a system of record keeping that allows adequate storage and reliable traceability of all activities developed, covering in particular all the elements indicated in 3 (f), 5, 6(e), and 6(g) of this PART.
- (b) The format of the records shall be specified in the Organisation's procedures.
- (c) Records shall be stored in a manner that ensures protection from damage, alteration and theft.
- (d) Records shall be accessible to the GCAA.

11. SUBCONTRACTING AND PURCHASING

- (a) The Organisation shall have a documented process to ensure that when subcontracting or purchasing any part of its SMS activity, the subcontracted or the purchased service or product conforms to applicable requirements.
- (b) The subcontracted organisation and its products/ services/ credentials shall be evaluated periodically by the subcontracting Organisation. Upon request, the Organisation shall ensure that the GCAA is given access to the subcontracted organisation, to determine continued compliance with the applicable requirements.

12. SMS IMPLEMENTATION PLAN

- (a) Prior to it being authorised to operate in accordance with its SMS, the Organisation shall develop, and adhere to, an SMS implementation plan.
- (b) The SMS implementation plan shall be the definition of the approach the Organisation will adopt for managing safety in a manner that will meet the Organisation's safety objectives.
- (c) The SMS implementation plan shall be endorsed by the accountable manager and / or the senior management of the Organisation.
- (d) The SMS implementation plan shall be implemented within a timeframe agreed with the authority

Note: Appendix C of CAAP 50 provides a sample of a typical SMS implementation plan.

13. SAFETY RISK MANAGEMENT

13.1 General

- (a) The Organisation shall document, develop and maintain a formal process that ensures that hazards in operations are identified.
- (b) The Organisation shall establish a Safety Data Collection and Processing System (SDCPS) that shall include reactive, proactive and predictive methods of safety data collection.
- (c) The Organisation shall develop and maintain an SDCPS that provide for the identification of hazards and the analysis, assessment and control of risks.

13.2 Hazard Identification

The Organisation shall document, develop and maintain formal means of collecting, recording, acting on and generating feedback about hazards in operations, which combine reactive, proactive and predictive methods of safety data collection. This includes mandatory, voluntary and confidential reporting systems.

The hazard identification process shall, at least, be processed as the following steps:

- (a) reporting of hazards, events or safety concerns;
- (b) collection and storing the safety data;
- (c) analysis of the safety data; and
- (d) distribution of the safety information distilled from the safety data.

13.3 Risk Management

- (a) The Organisation shall develop and maintain a formal risk management process that ensures the analysis, assessment and control of risks to an acceptable level.
- (b) The risks in each hazard identified through the hazard identification processes described above shall be analysed in terms of probability and severity of occurrence, and assessed for their tolerability.
- (c) The organisation shall define the levels of management with authority to make safety risk tolerability decisions.
- (d) The organisation shall define safety controls for each risk assessed as intolerable.

14. SAFETY ASSURANCE

14.1 General

- a) The Organisation shall document, develop and maintain safety assurance processes to ensure that the safety risks controls developed as a consequence of the hazard identification and risk management activities achieve their intended objectives.
- b) Safety assurance processes shall apply to an SMS whether the activities and/or operations are accomplished internally or outsourced.
- c) The safety data analysis programme shall be non-punitive and contain adequate safeguards to protect the source(s) of the data. However, in exceptional cases, e.g. cases of wilful disregard of operating procedures, a safety data analysis programme cannot be considered non-punitive, if wider safety interests are to be maintained.

14.2 Safety Performance Monitoring and Measurement

The Organisation shall, as part of the SMS quality system, document, develop and maintain the necessary means to verify safety performance of the Organisation in reference to the safety performance indicators and safety performance targets of the SMS, and to validate the effectiveness of safety risk controls.

Safety performance monitoring and measurement means shall include the following:

- (h) safety reporting;
- (i) safety audits;
- (j) safety surveys;
- (k) safety reviews;
- (l) safety studies; and
- (m) internal safety investigations

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

14.3 Management of Change

The Organisation shall, as part of the SMS safety assurance activities, develop and maintain a formal process for the management of change.

The formal process for the management of change shall:

- (a) identify changes within the Organisation which may affect established processes and services;
- (b) describe the arrangements to ensure safety performance before implementing changes; and
- (c) eliminate or modify safety risk controls that are no longer needed due to changes in the operational environment.

14.4 Continuous Improvement of the Safety Management System

The Organisation shall, as part of the SMS quality system, develop and maintain formal processes to set goals for the improvement of aviation safety, identify the causes of under-performance of the SMS, determine the implications on its operation, and rectifying those situations involving below standard performance in order to ensure the continual improvement of the SMS.

Continuous improvement of the Organisation SMS shall include:

- (a) proactive and reactive evaluations of facilities, equipment, documentation and procedures, to verify the effectiveness of strategies for control of safety risks; and
- (b) proactive evaluation of the individuals' performance, to verify the fulfilment of safety responsibilities.

14.5 Management Review

Top Management shall conduct regular reviews of the SMS, including the output of the Safety Risk Management and assess the need for changes to the Organisation.

15. SAFETY PROMOTION

15.1 General

The Organisation shall document, develop and maintain formal safety promotion system as detailed in 15.1 and 15.2 below. The purpose of safety promotion is to create an environment where the safety objectives of the Organisation can be achieved.

15.2 Safety Training

- (a) The Organisation shall, as part of his safety promotion activities, develop and maintain a safety training programme and communication activities that ensure that personnel—are trained and competent to perform the SMS duties.
- (b) The scope of the safety training shall be appropriate to the individual's involvement in the SMS.
- (c) The accountable manager shall receive safety awareness training regarding:
 - (i) safety policy and objectives;
 - (ii) SMS standards
 - (iii) SMS roles and responsibilities; and
 - (iv) safety assurance.

15.3 Safety Communication

- (a) The Organisation shall, as part of his safety promotion activities, develop and maintain a safety communication policy in order to

- (i) ensure that all staff is aware of the SMS (this awareness should be appropriate to the individual's involvement in the SMS);
 - (ii) convey safety critical information;
 - (iii) explain why particular safety actions are taken; and
 - (iv) explain why safety procedures are introduced or changed.
 - (v) convey generic safety information
- (b) The Organisation shall establish formal means of safety communication.

16. QUALITY ASSURANCE

The Organisation shall document and implement a quality assurance programme commensurate with the size and complexity of the operation. The programme shall ensure that the Organisation quality policy is consistent with, and supports the fulfilment of the activities of the SMS.

Internal Safety Audits covering all aspects of the SMS shall be performed annually by the Organisation.

The Accountable Executive is ultimately responsible for the resolution of the audit findings.