	TANZANIA CIVIL AVIATION AUTHORITY SAFETY REGULATION	Revision: 0
Document No. TCAA/QSP/SR/AC/SMS-???	ADVISORY CIRCULAR ON FRAMEWORK FOR SAFETY MANAGEMENT SYSTEMS (SMS)	Page 1 of 5

1. PURPOSE

The purpose of this Advisory Circular (AC) is to provide guidance on the framework for a safety management system (SMS) of an organization.

2. REFERENCES


Civil Aviation (SMS) Regulations
ICAO Safety Management Manual (Doc 9859)
ICAO Annexes 1, 6, 8, 11, 13, and 14

3. BACKGROUND

Regulation 4 of the Civil Aviation (SMS) regulations requires that a service provider shall have in place a safety management system (SMS) approved by the Authority that, as a minimum, identifies safety hazards, ensures the implementation of remedial action necessary to maintain agreed safety performance, provides for continuous monitoring and regular assessment of safety performance and aims at a continuous improvement of the overall performance of the safety management system. A service provider shall develop, establish, maintain and adhere to a safety management system (SMS) that is appropriate to the size, nature and complexity of the operations authorized to be conducted under its operations certificate, and the hazards and safety risks related to the operations. Further, a service provider shall be responsible for the safety of services or products contracted or subcontracted to, or purchased from, other organizations. This AC provides the framework for SMS implementation that will enable the service provider to comply with the requirements of this regulation.

4. REQUIREMENTS FOR SMS FRAMEWORK

An SMS is a management tool for the management of safety by an organization. The implementation of the SMS framework shall be commensurate with the size of the organization and the complexity of the services provided.

	TANZANIA CIVIL AVIATION AUTHORITY SAFETY REGULATION	Revision: 0
Document No. TCAA/QSP/SR/AC/SMS-???	ADVISORY CIRCULAR ON FRAMEWORK FOR SAFETY MANAGEMENT SYSTEMS (SMS)	Page 2 of 5

The SMS framework includes the following four components and twelve elements, representing the minimum requirements for SMS implementation:

4.1 Safety policy and objectives

- a) Management commitment and responsibility
- b) Safety accountabilities
- c) Appointment of key safety personnel
- d) Coordination of emergency response planning
- e) SMS documentation

4.2 Safety risk management

- a) Hazard identification
- b) Risk assessment and mitigation

4.3 Safety assurance

- a) Safety performance monitoring and measurement
- b) The management of change
- c) Continuous improvement of the SMS


4.4 Safety promotion

- a) Training and education
- b) Safety communication.

5. SAFETY POLICY AND OBJECTIVES

5.1 Management commitment and responsibility

The service provider shall define the organization's safety policy which shall be in accordance with the Civil Aviation (SMS) Regulations, and which shall be signed by the Accountable Executive of the organization. The safety policy shall reflect organizational commitments regarding safety; a clear statement about the provision of the necessary resources for the implementation of the safety policy;

	TANZANIA CIVIL AVIATION AUTHORITY SAFETY REGULATION	Revision: 0
Document No. TCAA/QSP/SR/AC/SMS-???	ADVISORY CIRCULAR ON FRAMEWORK FOR SAFETY MANAGEMENT SYSTEMS (SMS)	Page 3 of 5

and shall be communicated, with visible endorsement, throughout the organization. The policy shall include the safety reporting procedures; clearly indicate which types of operational behaviours are unacceptable; and include the conditions under which disciplinary action would not apply. The policy shall be periodically reviewed to ensure it remains relevant and appropriate to the organization.

5.2 Safety accountabilities

The service provider shall identify the Accountable Executive who, irrespective of other functions, shall have ultimate responsibility and accountability, on behalf of the organization, for the implementation and maintenance of the SMS. The service provider shall also 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. Safety responsibilities, accountabilities and authorities shall be documented and communicated throughout the organization, and shall include a definition of the levels of management with authority to make decisions regarding safety risk tolerability.

5.3 Appointment of key safety personnel


The service provider shall identify a safety manager as required by regulation 9 to be the responsible individual and focal point for the implementation and maintenance of an effective SMS.

5.4 Coordination of emergency response planning

The service provider shall ensure that an emergency response plan that provides for the orderly and efficient transition from normal to emergency operations and the return to normal operations is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its services.

5.5 SMS documentation

The service provider shall develop an SMS implementation plan, endorsed by senior management of the organization that defines the organization's approach

	TANZANIA CIVIL AVIATION AUTHORITY SAFETY REGULATION	Revision: 0
Document No. TCAA/QSP/SR/AC/SMS-???	ADVISORY CIRCULAR ON FRAMEWORK FOR SAFETY MANAGEMENT SYSTEMS (SMS)	Page 4 of 5

to the management of safety in a manner that meets the organization's safety objectives. The service provider shall develop and maintain SMS documentation describing the safety policy and objectives, the SMS requirements, the SMS processes and procedures, the accountabilities, responsibilities and authorities for processes and procedures, and the SMS outputs. Also as part of the SMS documentation, the service provider shall develop and maintain a safety management system manual (SMSM), to communicate its approach to the management of safety throughout the organization.

6. SAFETY RISK MANAGEMENT

6.1 Hazard identification

The service provider shall develop and maintain a formal process that ensures that hazards in operations are identified. Hazard identification shall be based on a combination of reactive, proactive and predictive methods of safety data collection.


6.2 Safety risk assessment and mitigation

The service provider shall develop and maintain a formal process that ensures analysis, assessment and control of the safety risks in service provider operations.

7. SAFETY ASSURANCE

7.1 Safety performance monitoring and measurement

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. The safety performance of the organization shall be verified in reference to the safety performance indicators and safety performance targets of the SMS. The service provider shall monitor and verify that the safety of services or products contracted, subcontracted to, or purchased from, other organizations meet the safety requirements of the organisation.

	TANZANIA CIVIL AVIATION AUTHORITY SAFETY REGULATION	Revision: 0
Document No. TCAA/QSP/SR/AC/SMS-???	ADVISORY CIRCULAR ON FRAMEWORK FOR SAFETY MANAGEMENT SYSTEMS (SMS)	Page 5 of 5

7.2 The management of change

The service provider shall develop and maintain a formal process to identify changes within the organization which may affect established processes and services; to describe the arrangements to ensure safety performance before implementing changes; and to eliminate or modify safety risk controls that are no longer needed or effective due to changes in the operational environment.

7.3 Continuous improvement of the SMS

The service provider shall develop and maintain a formal process to identify the causes of substandard performance of the SMS, determine the implications of substandard performance of the SMS in operations, and eliminate or mitigate such causes.

8. SAFETY PROMOTION

8.1 Training and education

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

8.2 Safety communication

The service provider shall develop and maintain formal means for safety communication that ensures that all personnel are fully aware of the SMS, conveys safety-critical information, and explains why particular safety actions are taken and why safety procedures are introduced or changed.

DIRECTOR SAFETY REGULATION