

**Kingdom of Saudi Arabia
General Authority of Civil Aviation**

GACA REGULATION

Section 19 Safety Management

Edition 1.0

FOREWORD

Annexes 1, 6, 8, 11, 13 and 14 to the Convention on International Civil Aviation (Chicago Convention) include the requirement for Contracting States to establish a State Safety Program (SSP), in order to achieve an acceptable level of safety in civil aviation. An SSP is a system for the management of safety by each State.

SSPs are defined as integrated sets of regulations and activities aimed at improving safety. They include specific safety activities that must be performed by the State, together with regulations and directives to support fulfilment of the State's responsibilities concerning safe and efficient delivery of aviation activities in the State. An SSP combines the elements of both the prescriptive and performance based approaches to the management of aviation safety and incorporates four key components:

- State safety policy and objectives;
- State safety risk management;
- State safety assurance; and
- State safety promotion.

Each SSP provides the monitoring and governance framework within which operators and service providers establish and maintain a Safety Management System (SMS). States are responsible, under the SSP, for the acceptance and oversight of service providers' SMS.

Regulation of aviation safety relies on a broad approach that includes planning and accountability at an organisational level as well as appropriate technical standards.

Aviation service providers have a primary role in ensuring safety. The International Civil Aviation Organization (ICAO) has mandated that service providers implement a satisfactory SMS, which seeks to deliver a better safety culture across the board.

Broadly defined as a systematic approach to managing safety risks, an SMS encompasses organisational structures, policies and procedures. It is based on the idea that safety is best achieved through strong interwoven systems, rather than individual processes or practices. It is also underpinned by a philosophy of mutual responsibility and accountability, rather than relying solely on regulatory compliance.

In The Kingdom of Saudi Arabia, the General Authority for Civil Aviation (GACA) is working with industry to embed an SMS culture in the aviation industry. While much of the responsibility for implementing an SMS lies with industry, GACA recognises it must monitor and assess the effectiveness of these systems.

More broadly, there is a need to ensure the system of administering aviation safety remains coordinated and effective in managing both current and emerging risks,

while accommodating growth and diversity in the industry. This is the purpose of the KSA SSP.

KSA is developing a comprehensive and robust safety system with integrated safety management and regulatory approaches. KSA's aviation safety framework involves interaction among various government agencies with identified statutory responsibilities, the aviation industry and other stakeholders, all operating in the wider context of KSA's commitments to ICAO's global focus on safe, efficient and environmentally sustainable aviation.

The State Safety Program is implemented in KSA as the Civil Aviation Safety Program (CASP).

The following Regulation on Safety Management is based on Articles 2, 3, 4, 5, 23, 35, 80, and 101 of the Civil Aviation Act approved by the Council of Ministers Resolution No. 185 dated 17/07/1426H and issued by the Royal Decree No. M/44 dated 18/07/1426H, and are in accordance with ICAO Safety Management Manual (Doc 9859), and the requirements of GACA Regulations and ICAO Annex 1, Annex 6, Annex 8, Annex 11, Annex 13 and Annex 14.

The promulgation of this regulation is based on the authority granted in Article 179 of the Civil Aviation Act, and is issued under the authority of the President, General Authority of Civil Aviation, as a duly delegated representative of the GACA Board of Directors, in accordance with Order No.T-41, dated 30/12/1429H (28/12/2008G).

The General Authority of Civil Aviation is responsible for the preparation and distribution of all regulations in sufficient quantities so that all service providers and aircraft operators based in the Kingdom of Saudi Arabia are able to obtain an authentic copy prior to the effective date of the Regulation.

APPROVED:

Original Signed by

Fahad Bin Abdullah Al-Saud

President, General Authority of Civil Aviation
Kingdom of Saudi Arabia

Effective Date: 01 January 2013

CONTENT RULES

1) Organization Structure:

GACA has established Safety Department (SD) within the Safety and Economic Regulation Sector (S&ER) to carry out the function of safety regulation of aviation service providers' safety management systems and to ensure and enforce compliance with GACAR Section 19.

2) Rules of Construction

- a) To avoid any misunderstanding within this regulation, certain words are to be interpreted as having specific meanings when they are used, unless the context requires otherwise:
 - a) words importing the singular include the plural;
 - b) words importing the plural include the singular; and
- b) In this regulation, the following protocol is used:
 - (1) the words "**shall**" and "**must**" indicate that compliance is compulsory;
 - (2) The word "**should**" indicates a recommendation. It does not mean that compliance is optional but rather that, where insurmountable difficulties exist, the GACA- S&ER may accept an alternative means of compliance, provided that an acceptable safety assurance from the Air Navigation Services shows that the safety requirements will not be reduced below that intended by the requirement.
 - (3) The word "**Can**" or "**May**" is used in a permissive sense to state authority or permission to do the act prescribed, and the words "no person may * * *" or "a person may not * * *" mean that no person is required, authorized, or permitted to do the act prescribed;
 - (4) The word "**will**" is used to express the future; and
 - (5) The word "**includes**" means "**includes but is not limited to**".

AMENDMENT PROCEDURE

The existing General Authority of Civil Aviation Regulations (GACAR) will be periodically reviewed to reflect the latest updates of International Civil Aviation Organization (ICAO) Standards and Recommended Practices (SARPs); it will be also amended to reflect the latest aviation safety provisions issued by Regional and International Civil Aviation Organizations. A complete revised edition incorporating all amendments will be published every three years from the original effective date of this regulation. The amendment procedure shall be as follows;

1. When the General Authority of Civil Aviation (GACA) receives an amendment to any of the current ICAO Annexes that can affect the provisions of this regulation, it will be forwarded by the Vice President of International Organization Affairs to the Vice President, Safety and Economic Regulation (S&ER) who in turn will provide a copy of this amendment to the concerned department for study and comments taking into account the ICAO deadline for the reply.
2. When any GACA department or stakeholder proposes an amendment to this regulation, it will send a letter with the proposed amendment including a clear justification and argument for such amendment. Following the receipt of an amendment proposal, the S&ER will analyze this proposal and forward its comments and any proposed decision action to the S&ER Vice President.
3. An accepted amendment proposal will be prepared as draft amendment to the GACAR-Section 19 and forwarded to the originator of the amendment proposal and concerned GACA department(s) for further review and comment within a specified timeline.
4. All accepted amendments will be drafted in the form of Notices of Proposed Amendments (NPA) and forwarded to all concerned parties including stakeholders for comment within a two-month reply period. The NPA shall indicate the proposed Amendment's effective date.
5. Following the receipt of NPA replies, the S&ER will analyze the comments received and produce a new draft in consultation with the concerned GACA department. The final draft will be submitted to President of the General Authority of Civil Aviation for formal approval prior to publication.
6. The Amendment's effective date will take into account the comments of all the concerned parties and stakeholders.
7. Any differences between the GACAR Section 19 new amendment and ICAO Annexes Standards and Recommended Practices will be forwarded to ICAO as a Difference and published as it is in the Aeronautical Information Publication (AIP).
8. All concerned parties and stakeholders will be provided a copy of the new amendment and will be requested to update their copy of the GACAR Section 19 accordingly.
9. It is the responsibility of all concerned parties to keep their copy of GACAR-Section 19 and other GACA regulation publication up to date.

SUPPLEMENTARY REGULATIONS

From time to time it will be necessary to issue regulations which supplement or augment the GACA Regulations. The following procedures will apply:

1. Supplementary regulations will be issued in the form of a GACA Regulation Circular (RC).
2. The GACA Regulation Circular will be approved by the President.
3. The process for preparation and publishing of the GACA Regulation Circular will be addressed in the GACA Quality System Manual.



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AMENDMENT RECORD

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LIST OF CURRENT DIFFERENCES TO ICAO SARPS

Reserved

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TABLE OF CONTENTS

FOREWORD.....	i
CONTENT RULES	iii
AMENDMENT PROCEDURE	iv
SUPPLEMENTARY REGULATIONS	v
AMENDMENT RECORD	vi
TABLE OF CONTENTS	viii
 CHAPTER 1 - DEFINITIONS	 1-1
1.1 Definitions	1-1
1.2 Abbreviations	1-2
 CHAPTER 2 - KSA STATE SAFETY PROGRAM POLICY	 2-1
2.1 KSA Civil Aviation Safety Program	2-1
2.2 Component 1: Safety policy and objectives	2-2
2.2.1 Element 1.1: Safety Legislative Framework.....	2-2
2.2.2 Element 1.2: Safety responsibilities and accountabilities	2-2
2.2.3 Element 1.3: Accident and incident investigation	2-2
2.2.4 Element 1.4: Enforcement policy.....	2-3
2.3 Component 2: GACA safety risk management	2-3
2.3.1 Element 2.1: Safety requirements for the service provider's SMS.....	2-3
2.3.2 Element 2.2: Agreement on the service provider's safety performance	2-3
2.4 Component 3: GACA safety assurance	2-3
2.4.1 Element 3.1 Safety oversight.....	2-3
2.4.2 Element 3.2: Safety data collection, analysis and exchange	2-4
2.4.3 Element 3.3: Safety-data-driven targeting of oversight of areas of greater concern or need.....	2-4
2.5 Component 4: GACA safety promotion	2-4
2.5.1 Element 4.1: Internal training, communication and dissemination of safety information	2-4
2.5.2 Element 4.2: External training, communication and dissemination of safety information	2-4
 CHAPTER 3 - RESERVED.....	 3-1

CHAPTER 1 – DEFINITIONS

1.1 Definitions

When the following terms are used in this regulation, they have the following meanings:

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.

Aeroplane

A power-driven heavier-than-air aircraft, deriving its lift in flight chiefly from aerodynamic reactions on surfaces which remain fixed under given conditions of flight.

Aircraft

Any machine that can derive support in the atmosphere from the reactions of the air other than the reactions of the air against the earth's surface.

Helicopter

A heavier-than-air aircraft supported in flight chiefly by the reactions of the air on one or more power-driven rotors on substantially vertical axes.

Incident

An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation.

Industry codes of practice

Guidance material developed by an industry body, for a particular sector of the aviation industry to comply with the requirements of the International Civil Aviation Organization's Standards and Recommended Practices, other aviation safety requirements and the best practices deemed appropriate.

Operational personnel

Personnel involved in aviation activities who are in a position to report safety information.

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 management system (SMS)

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

Safety performance

A State or a 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 planned or intended objective for safety performance indicator(s) over a given period.

Safety risk

The predicted likelihood and severity of the consequences or outcomes of a hazard.

Serious injury

An injury which is sustained by a person in an accident and which:

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

State of Design

The State having jurisdiction over the organization responsible for the type design.

State of Manufacture

The State having jurisdiction over the organization responsible for the final assembly of the aircraft.

State of the Operator

The State in which the operator's principal place of business is located or, if there is no such place of business, the operator's permanent residence.

State safety programme

An integrated set of regulations and activities established by a State aimed at improving safety.

1.2 Abbreviations

ADREP	Accident/incident data reporting
AIS	Aeronautical Information Services
ALoS	Acceptable Level of Safety
ANS	Air Navigation Services
ATS	Air Traffic Services
CNS	Communications, Navigation and Surveillance
CVR	Cockpit Voice Recorder
GACA	General Authority for Civil Aviation
GACAR	GACA Regulation
GM	General Manager
GCASP	GACA Civil Aviation Safety Program
ICAO	International Civil Aviation Organization
KSA	Kingdom of Saudi Arabia
LoA	Letter of Agreement
MET	Meteorological services
SAR	Search and Rescue
SARPs	Standards and Recommended Practices
SD	Safety Department
SDCPS	Safety data collection and processing systems
S&ER	Safety and Economic Regulation Sector, GACA
SMM	Safety Management Manual
SMP	Safety management panel
SMS	Safety Management System
SSP	State Safety Program
VP	Vice-President

CHAPTER 2 - KSA STATE SAFETY PROGRAM (SSP) POLICY

2.1 KSA Civil Aviation Safety Program

2.1.1 The General Authority of Civil Aviation (GACA) is the designated authority, responsible for the definition, implementation, oversight and maintaining the State Safety Program (SSP) for the Kingdom of Saudi Arabia.

2.1.2 As the designated authority, GACA shall define and implement an integrated set of regulations and activities relating to safety management. The regulations shall include specific safety activities that must be performed by GACA S&ER and service providers. Together with directives, advisory circulars, promotional, education, training and other material, this package will support the fulfilment of the KSA's responsibilities concerning safe and efficient delivery of aviation services in the Kingdom of Saudi Arabia.

2.1.3 GACA S&ER shall achieve this objective through the establishment and implementation of a Civil Aviation Safety Program (CASP) for the management of safety, in order to achieve an acceptable level of safety performance in civil aviation. The CASP shall include the following components (4) and associated elements (11):

- 
- a. Safety policy and objectives
 - 1. safety legislative framework
 - 2. safety responsibilities and accountabilities
 - 3. Accident and incident investigation
 - 4. Enforcement policy
 - b. Safety risk management
 - 1. Safety requirements for the service provider's SMS
 - 2. Agreement on the service provider's safety performance
 - c. Safety assurance
 - 1. Safety oversight
 - 2. Safety data collection, analysis and exchange
 - 3. Safety-data-driven targeting of oversight of areas of greater concern or need
 - d. Safety promotion
 - 1. Internal training, communication and dissemination of safety information
 - 2. External training, communication and dissemination of safety information

2.1.4 The CASP shall be coordinated with all concerned parties and stakeholders.

2.1.5 GACA S&ER shall establish the acceptable level of safety (ALoS) performance to be achieved by service providers.

2.1.6 As part of the CASP, GACA S&ER shall require that the following service providers under its authority implement, or demonstrate the effective implementation of, a Safety Management System (SMS), in accordance with the requirements of GACAR Section 21:

- a) approved training organizations;
- b) operators of aeroplanes or helicopters authorized to conduct international commercial air transport;
- c) approved maintenance organizations providing services to operators of aeroplanes or helicopters engaged in international commercial air transport;
- d) organizations responsible for the type design or manufacture of aircraft;

- e) air navigation services providers; and
- f) operators of certified aerodromes.

2.1.7 As part of its CASP, GACA S&ER shall require that international general aviation operators of large or turbojet aeroplanes implement an SMS.

2.1.8 GACA S&ER may require other service providers or organizations to establish and implement an SMS.

2.2 Component 1: Safety policy and objectives

2.2.0.1 It is intended that safety regulation will be robust and based on clear communication between GACA and other government agencies and industry. The following general safety principles shall apply:

- a) the safety of the travelling public shall be the first consideration;
- b) regulation of safety shall take account of international best practice and where possible KSA requirements shall be aligned with relevant overseas practices;
- c) GACA shall explore opportunities to adopt technologies which improve safety, are interoperable and harmonised to the greatest extent possible; and
- d) GACA shall ensure that the adoption of technology is consistent with that proposed by ICAO to safely develop global interoperable and harmonised technology growth paths.

2.2.1 Element 1.1: Safety Legislative Framework

2.2.1.1 Consistent with, and deriving from the KSA Civil Aviation Act (2005), GACA shall promulgate and maintain a safety legislative framework and specific regulations, in compliance with international and national standards, that define how GACA-S&ER will conduct the oversight of safety in KSA. This includes the participation of service providers in specific activities related to the management of safety in KSA, and the establishment of the roles, responsibilities and relationships of such service providers.

2.2.1.2 The safety legislative framework and specific regulations shall be periodically reviewed to ensure they remain relevant and appropriate to KSA. Where practicable, new or amended regulations shall be subject to industry and service provider consultation in the development phase. A cost/benefit impact assessment shall be conducted as part of the regulation amendment process.

2.2.2 Element 1.2: Safety responsibilities and accountabilities

2.2.2.1 GACA-S&ER shall identify, define and document the requirements, responsibilities and accountabilities regarding the establishment and maintenance of CASP. This includes the directives to plan, organize, develop, maintain, control and continuously improve the CASP in a manner that meets GACA's safety objectives. It also includes a clear statement about the provision of the necessary resources for the implementation of the CASP.

2.2.2.2 Letters of Agreement (LoA) or similar legal instruments shall be established between service providers relating to aviation safety management issues, including the exchange of safety information. The LoAs shall also be designed to ensure that responsibilities and communications protocols are clearly articulated between relevant agencies.

2.2.3 Element 1.3: Accident and incident investigation

2.2.3.1 GACA shall establish an independent accident and incident investigation process, 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 KSA.

2.2.3.2 In the operation of the CASP, GACA shall maintain the independence of the accident and incident

investigation organization from other GACA entities or service providers.

2.2.4 Element 1.4: Enforcement policy

2.2.4.1 GACA-S&ER shall define and enforce the policy that establishes the conditions and circumstances under which service providers are allowed to deal with, and resolve, events involving certain safety deviations internally, within the context of the service provider safety management system (SMS). The enforcement policy shall also establish the conditions and circumstances under which to deal with safety deviations through established enforcement procedures.

2.3 Component 2: GACA safety risk management

2.3.1 Element 2.1: Safety requirements for the service provider's SMS

2.3.1.1 GACA-S&ER shall establish the controls which govern how service providers will identify hazards and manage safety risks. These include the requirements, specific operating regulations and implementation policies for service provider's SMS. The requirements, specific operating regulations and implementation policies are periodically reviewed to ensure they remain relevant and appropriate to the service providers.

2.3.2 Element 2.2: Agreement on the service provider's safety performance

2.3.2.1 GACA-S&ER shall agree with individual service providers on the safety performance of their SMS. The agreed safety performance of an individual service provider's SMS shall be periodically reviewed to ensure it remains relevant and appropriate to the service providers.

2.4 Component 3: GACA safety assurance

2.4.0.1 Safety oversight based on an SMS approach is underpinned by a philosophy of mutual responsibility and accountability, rather than a more prescriptive approach aimed exclusively at regulatory compliance. It increases the responsibility on service providers, who have day-to-day control over the maintenance of a safe operating environment, to focus on safety throughout the organisation's structures, policies and procedures.

2.4.0.2 However, GACA retains a critical role in maintaining quality assurance of the broader safety system. This includes safety oversight and data collection, analysis and exchange.

2.4.1 Element 3.1 Safety oversight

2.4.1.1 GACA-S&ER shall establish mechanisms to ensure an effective monitoring of the critical elements of the safety oversight function. GACA-S&ER shall also establish mechanisms to ensure that the identification of hazards and the management of safety risks by service providers follow established regulatory controls (requirements, specific operating regulations and implementation policies).

2.4.1.2 These mechanisms shall include inspections, audits (including follow-up) and surveys to ensure that regulatory safety risk controls are appropriately integrated into the service providers SMS, that they are being practiced as designed, and that the regulatory controls have the intended effect on safety risks.

2.4.2 Element 3.2: Safety data collection, analysis and exchange

2.4.2.1 GACA-S&ER shall establish mechanisms to ensure the capture and storage of data on hazards and safety risks. GACA-S&ER shall also establish mechanisms to develop information from the stored data, and to actively exchange safety information with service providers and/or other civil aviation authorities as appropriate.

2.4.3 Element 3.3: Safety-data-driven targeting of oversight of areas of greater concern or need

2.4.3.1 GACA-S&ER shall establish procedures to prioritize inspections, audits (including follow-up) 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.

2.4.3.2 GACA S&ER shall develop a systemic risk-based approach to surveillance activities which takes into account trend information, issues identified through surveillance information and information provided by individuals, industry or other agencies.

2.5 Component 4: GACA safety promotion**2.5.1 Element 4.1: Internal training, communication and dissemination of safety information**

2.5.1.1 GACA-S&ER shall provide training and fosters awareness and two-way communication of safety-relevant information to support, within GACA, the development of an organizational culture that fosters an effective and efficient CASP.

2.5.2 Element 4.2: External training, communication and dissemination of safety information

2.5.2.1 GACA-S&ER shall provide education and promote awareness of safety risks and two-way communication of safety relevant information to support, among service providers, the development of an organizational culture that fosters an effective and efficient SMS.

CHAPTER 3 – RESERVED

