



GOVERNMENT OF INDIA

OFFICE OF THE DIRECTOR GENERAL OF CIVIL AVIATION

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SSP Division Circular No.03 of 2017

Subject: Guidance for SMS Implementation in Air Operators under General Aviation

Rule 29D of the Aircraft Rules 1937 requires certain category of operators to implement Safety Management System. CAR Section1, Series C, Part I, service providers detailed requirements for establishing Safety Management System (SMS) and its phased-wise implementation.

General aviation operators of large or turbojet aeroplanes meeting following criteria are required to implement and maintain SMS that is appropriate to the size and complexity of their operation:

- a) aeroplanes with a maximum certificated take-off mass exceeding 5 700 kg; or
- b) aeroplanes equipped with one or more turbojet engines.

The SMS of general aviation operators shall include at least the following:

- a) Process to identify actual and potential safety hazards and assess the associated risks;
- b) Process to develop and implement remedial action necessary to maintain an acceptable level of safety; and
- c) Provisions for continuous monitoring and regular assessment of the appropriateness and effectiveness of safety management activities.

In accordance with the above requirements, phase-wise implementation plan is attached with this circular contains activities marked as "Mandatory (M)" and "Advisory (A) i.e. Best to do".

All General Aviation Operators required to implement SMS, shall develop their SMS in accordance with the guidance provided in the attachment.

Sd/-
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Distribution: All General Aviation Operators

Appendix 'A'

PHASE-WISE IMPLEMENTATION OF SMS FOR GENERAL AVIATION

Timelines for Implementation	6 months (Phase 1)	6 months (Phase 2)	+ 18 Months (Phase 3)	+ 18 Months (Phase 4)
To demonstrate	<ul style="list-style-type: none"> a) Identify SMS accountable executive.- M b) Establish SMS implementation team.- A c) Define scope of the SMS.- A d) Perform SMS gap analysis.- M e) Develop SMS implementation plan.- M f) Establish key person/office responsible for the administration and maintenance of the SMS.- A g) Establish SMS training program for personnel, with priority for the SMS implementation team.- M h) Initiate SMS/safety communication channels.- A 	<ul style="list-style-type: none"> a) Establish safety policy and objectives.- A b) Define safety management responsibilities and accountabilities across relevant departments of the organization.- A c) Establish SMS/safety coordination mechanism/ committee.- A d) Establish departmental/ divisional SAGs where applicable.- A e) Establish emergency response plan.- M f) Initiate progressive development of SMS document/manual and other supporting documentation.- M 	<ul style="list-style-type: none"> a) Establish voluntary hazard reporting procedure.- A b) Establish safety risk management procedures.- M c) Establish occurrence reporting and investigation procedures.- M d) Establish safety data collection and processing system for high-consequence outcomes.- M e) Develop high-consequence SPIs and associated targets and alert settings.- A f) Establish management of change procedure that includes safety risk assessment.- M g) Establish internal quality audit program.- M h) Establish external quality audit program.- A 	<ul style="list-style-type: none"> a) Enhance existing disciplinary procedure/ policy with due consideration of unintentional errors or mistakes from deliberate or gross violations.- A b) Integrate hazards identified from occurrence investigation reports with the voluntary hazard reporting system.- M c) Integrate hazard identification and risk management procedures with the sub-contractor's or customer's SMS where applicable.- A d) Enhance safety data collection and processing system to include lower-consequence events.- A e) Develop lower-consequence SPIs and associated targets/alert settings.- A f) Establish SMS audit programs or integrate them into existing internal and external audit programs.- M g) Establish other operational SMS review/ survey programs where appropriate.- A h) Ensure that SMS training program for all relevant personnel has been completed.- M i) Promote safety information sharing and exchange internally and externally.- A

M- Mandatory

A- Advisory/ Best to do