



SAFETY PERFORMANCE MANAGEMENT PROCEDURE

1. SCOPE:

This process is used to establish and achieve agreement on safety performance measurement between a service provider (SP) and the regulator (SACAA) in the context of the State Safety Programme (SSP) and Safety Management System (SMS).

This procedure is applicable to a service provider who is required to establish and implement SMS as per CAR Part 140.01.1.

2. OBJECTIVE:

The objective of this procedure is to provide guidelines on agreement between the SACAA and SP on safety performance measurement within the context of the SSP and SMS. This will enable the State to set an Acceptable Level of Safety Performance (ALOSP) and to guide the industry in achieving acceptable aviation safety performance in the context of their SMS.

ICAO requires a SP to develop and maintain means to verify the safety performance of the organization and validate the effectiveness of its safety risk management activities. This is achieved by monitoring and measuring the outcomes of activities of operational personnel in the delivery of services by the organization.

3. REFERENCES

| REFERENCES | RESPONSIBILITY | MINIMUM RETENTION PERIOD |
|--|----------------|--------------------------|
| All Relevant SACAA Policies and Procedures | E:ASO | While valid |
| CARs Part 140 | M:RDKM | While valid |
| Civil Aviation Act 13 of 2009 | M:RDKM | While valid |
| Relevant SACAA approved ISO Documents and Procedures | E:ASO | While valid |
| Relevant SACAA forms | E:ASO | While valid |
| Relevant SACAA technical guidance material (TGMs) | E:ASO | While valid |
| SA-CATS Part 140 | M:RDKM | While valid |

4. TERMS AND ABBREVIATIONS:

| TERM | DEFINITION |
|--|---|
| Acceptable level of safety performance | The minimum level of safety performance of the service provider as defined in its SMS, expressed in terms of safety performance targets and indicators; |
| Alert | A means to monitor safety targets; |
| Inspector | Inspector as designated by the Director of Civil Aviation; |
| Safety Performance Indicator | A data-based parameter used for monitoring and assessing safety performance; |
| Safety performance measurement | The means to verify the safety performance of the service provider and to validate the effectiveness of safety risk management |
| Safety Performance Target | The planned or intended objective for safety performance indicator(s) over a given period; |
| Service Provider | Refers to an entity listed in CAR Part 140.01.1 (1) and (2) |

| ABBREVIATION | DESCRIPTION |
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| ALARP | As low as reasonably practical |
| ALOSP | Acceptable level of safety performance |



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| ASR | Air Safety Reports |
| E:ASO | Executive: Aviation Safety Operation |
| FDM | Flight Data Management |
| ICAO | International Civil Aviation Organization |
| M:RDKM | Manager: Research, Development and Knowledge Management |
| RM | Records Manager |
| SAG | Safety Action Group |
| SMS | Safety Management System |
| SP | Service Provider |
| SPI | Safety Performance Indicator |
| SPT | Safety Performance Target |
| SRB | Safety Review Board |
| SSP | State Safety Programme |

5. PROCEDURE GENERAL

RESPONSIBILITY KEY ACTIVITY

SM:CSD

A. CONSISTENCY AND GENERAL OPERATING PROCEDURES

- | | |
|-----|---|
| All | <ol style="list-style-type: none"> 1. The State has established a State Safety Programme (SSP), which requires a service provider (SP) to establish and implement a Safety Management System (SMS) to manage safety risk and safety performance by setting safety performance targets. 2. The SSP's objective is to define and achieve acceptable level of safety performance (ALOSP) to be achieved by the State. 3. In terms of the SSP, the State must agree and monitor the service provider's safety performance. |
| All | <ol style="list-style-type: none"> 4. The following shall be taken into consideration as part of the Safety performance management process: <ol style="list-style-type: none"> 4.1. The Civil Aviation Regulations of 2011, as amended 4.2. Relevant SACAA approved procedures 4.3. SACAA approved Technical Guidance Material 4.4. Source documents (as is applicable: ICAO Doc 9859; ICAO Annex 19) 4.5. Service provider's SMS 4.6. The State Safety Programme |

ALL

B. IDENTIFICATION OF SAFETY PERFORMANCE INDICATORS

- | | |
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| SP | <ol style="list-style-type: none"> 1. SP has a signed safety policy and objectives as per SMS requirements. Safety objectives must be a combination of process based and outcome based. 2. SP to take into consideration, safety concerns (internal and external) that may affect its operations in a short and long term. 3. Safety objectives are enhanced with safety performance indicators to monitor and measure safety performance. 4. SP set SPIs in line with the safety policy and objectives. Indicators must be a combination of leading and lagging. 5. SP set a target for each SPI. 6. SP set alerts for each SPI, where applicable. SP may elect to select precursor indicators |
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- to further enhance lagging indicators.
- SP 7. SP develops a monitoring mechanism to monitor each SPI against a target (monthly or quarterly monitoring).
8. SP keeps records for SPI monitoring.
9. SP develops a detailed action plan to address each SPI.
10. SP report on SPIs as per dates published by the Director (annually).
11. Reporting is as per for CA140-06 (SPI reporting form)
12. Data may be obtained from the following sources:
Occurrence/incident data,
12.1. Hazard reports,
12.2. Safety audit reports,
12.3. Survey reports,
12.4. Assessments,
12.5. Confidential reports,
12.6. Safety Meetings,
12.7. Voluntary reports,
12.8. SAG/SRB meetings,
12.9. Spot checks,
12.10. Customer feedbacks,
12.11. FDM,
12.12. ASRs,
12.13. Spot checks,
12.14. Customer feedbacks and
12.15. Confidential reports, etc.
- SP 13. SP must take SSP SPIs into consideration when developing own SPIs.
- ALL C. SAFETY MANAGEMENT AND MONITORING AGREEMENT**
- Inspector ,SP 1. Each SP shall be consulted to discuss its SPIs, targets, objectives and alerts.
2. Safety targets and safety objectives set shall be agreed with the SP. An Inspector will adopt a consultative approach and not a prescriptive approach when reviewing safety targets and objectives with the service provider.
3. An Inspector may provide guidance to SP on how to set performance targets and objectives where necessary.
- SP 4. Safety performance targets and objectives may be derived from various data sources such as the occurrence/incident data, hazard reports, safety audit reports, survey reports, assessments, confidential reports, safety meetings, voluntary reports, SAG/SRB meetings, spot checks, customer feedbacks, FDM, ASRs, etc. SACAA will provide additional SPIs in the context of the SSP.
- SP 5. In addition to safety performance targets that are supported by data, SP may set performance targets that are not supported by data, depending on the SMS maturing level.
- Inspector SP 6. The SP shall, submit its SPIs, alerts, targets and objectives on an annual basis. The SACAA shall publish submission dates. Submitted data will be used for analysis, aggregative risk analysis and for the formulation of ALoSP in the context of the SSP.
- SP 7. SP must use form CA140-06 when submitting SPIs, alerts, targets and objectives.

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ALL D. DISPUTE RESOLUTION

- SP 1. The SP must carefully assess its operations when developing its safety policy, objectives, safety indicators, targets and alerts.
- SP 2. The SP must ensure that SPIs, alerts and objectives are relevant to the size, scope and complexity of its operations.
- SP 3. SP must also take into consideration, its safety concerns and resources when selecting SPIs, alerts and alerts
- Inspector ,
SP 4. In an event that there is a disagreement on the SP's selected targets, indicators and objectives, the inspector shall refer the matter to an ad-hoc review board for evaluation. The decision of the review board will be final, and the SP will be notified accordingly.

ALL E. SAFETY PERFORMANCE MEASUREMENT, ACTION PLANS AND MONITORING

- SP 1. SP shall develop action plan to address identified safety performance targets and objectives.
- SP 2. Action plan must be acceptable to the SACAA.
- Inspectors 3. Inspectors will monitor SPIs, SPTs and alerts during routine surveillance.
- SP 4. SP is encouraged use form CA 140-06 to monitor and track SPIs, SPTs and Alerts.
- SP 5. SP must monitor its SPIs, SPTs and alerts on a continuous basis.

ALL F. SAFETY PERFORMANCE TARGETS AND OBJECTIVES REVIEW

- Inspector ,
SP 1. Safety performance targets, indicators and objectives may be reviewed at least annually to ensure that they remain relevant to the activities of the SP.
- SP 2. The SP shall submit a request (Form 140-06) to review set targets, indicators, alerts or objectives.
- 3. A review of safety targets must be substantiated with data and the reason for the review.
- Inspector 4. The inspector will review the request and grant the approval for the review.
- SP 5. The SP will update its safety performance targets, indicators or objectives upon approval by the SACAA as per the Safety Performance Process flow marked as "Annexure A".

6. CONTINUOUS IMPROVEMENT, MEASUREMENT AND ANALYSIS

This procedure will be continuously improved on in accordance with SACAA Continuous Improvement, Measurement and Analysis GP001 – **Standardised**.

7. NON CONFORMANCE

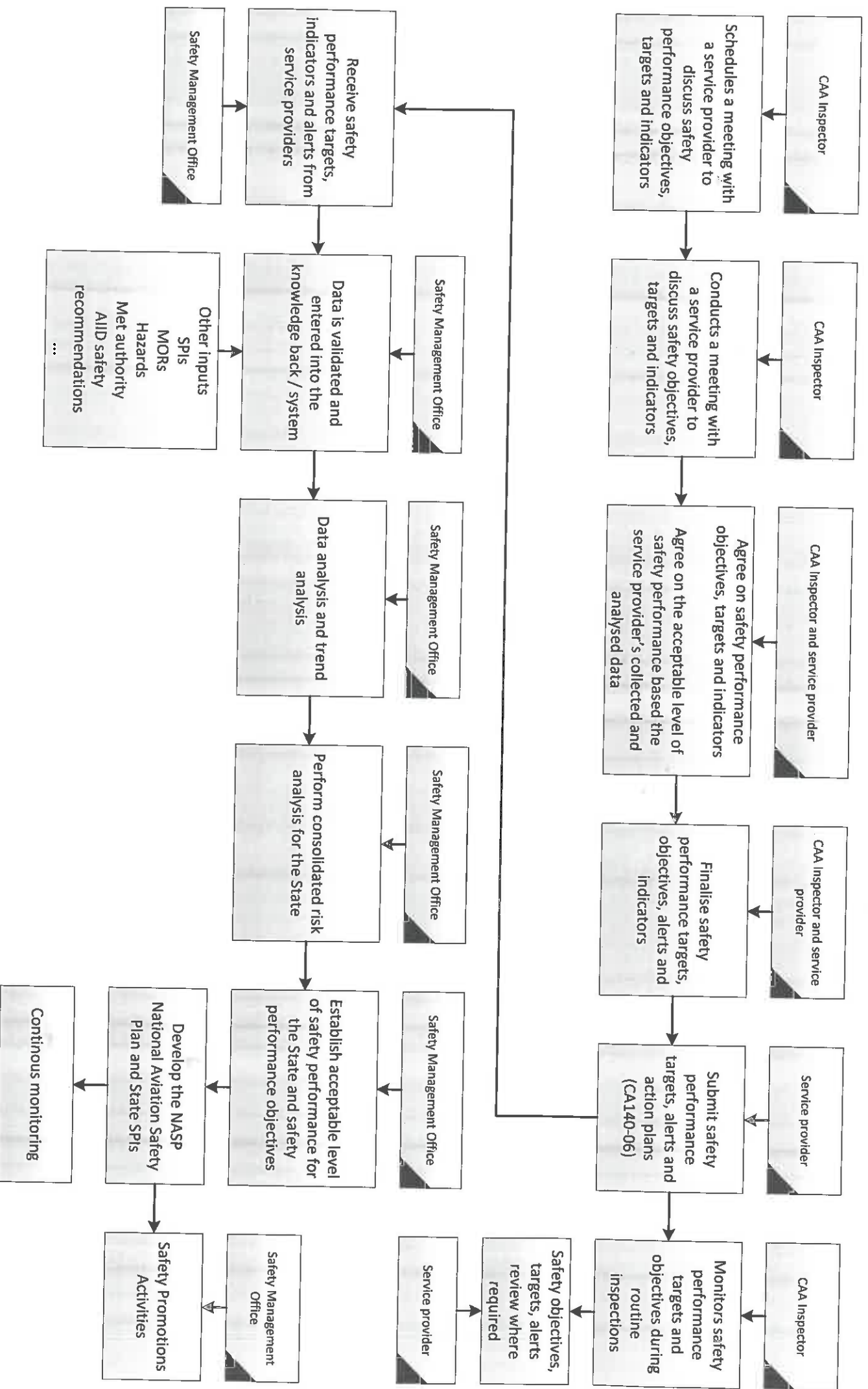
Any deviation from this procedure will be identified and registered with corrective and preventative measures for continual improvement in accordance with SACAA Non Conformance Procedure - GP 005.

8. RECORDS

Each Department / process owner as identified is responsible for maintenance and protection of their respective documents. These documents have to be stored with Records Management Department. Records must be identifiable, easily retrievable and must be in compliance with retention times as regulated or required

SAFETY PERFORMANCE MANAGEMENT PROCESS FLOW

ANNEXTURE A





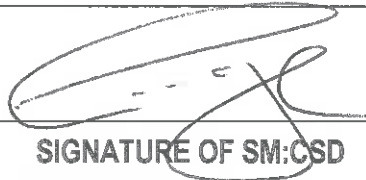
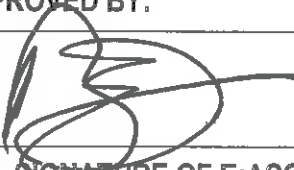


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by the organization, statutory or regulatory requirements.

| RECORDS | STORAGE LOCATION | RESPONSIBILITY | MINIMUM RETENTION PERIOD |
|------------------|------------------|----------------|--------------------------|
| Correspondence | Z drive and RM | M:RM | Indefinite |
| Source Documents | Z drive and RM | M:RM | Indefinite |

9. DOCUMENT AUTHORISATION

| | | |
|---|------------------------------|---------------|
| DEVELOPED BY: | | |
|  | BONGEKILE MTLOKWA | 15 Feb 2019 |
| SIGNATURE OF SMS TO | NAME IN BLOCK LETTERS | DATE |
| REVIEWED BY: G MKHONZA | | |
|  | G MKHONZA | 26/02/19 |
| SIGNATURE OF M:QC&AIR | NAME IN BLOCK LETTERS | DATE |
| REVIEWED & VALIDATED BY: | | |
|  | M STEPHENS | 2019/02/26 |
| SIGNATURE OF SM:CSD | NAME IN BLOCK LETTERS | DATE |
| APPROVED BY: | | |
|  | S SEGWABE | 2019 -02- 2 8 |
| SIGNATURE OF E:ASO | NAME IN BLOCK LETTERS | DATE |