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# AIC

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## **SAFETY MANAGEMENT SYSTEM**

### **1. INTRODUCTION**

- 1.1 This Aeronautical Information Circular is issued in the exercise of the powers conferred under Section 24o of the Civil Aviation Act 1969.
- 1.2 This AIC sets forth a mean that would be acceptable to DCA Malaysia for the purpose of complying with Regulation 24(2) of the Civil Aviation Regulations (CAR) 1996.
- 1.3 Pursuant to ICAO Annex 6 Part I Chapter 3 paragraph 3.2.4 and 3.2.5 and Part III Chapter 1 paragraph 1.2.4 and 1.2.5 with effect from 1 January 2009, all Malaysian AOC Holders are required to implement an integrated Safety Management System (SMS).

### **2. BACKGROUND**

- 2.1 Due to the nature of the aviation industry, the total elimination of accidents or serious incidents are acknowledged as unachievable. No human endeavour or human made system can be free from risk and error, and failures still occur in spite of the most accomplished prevention efforts.
- 2.2 Traditional approaches to accident prevention have focused on primarily the outcome (probable cause) and unsafe acts by operational personnel. As such, the organisational, human factor and environmental contexts of errors were often neglected, and measures adopted therefore addressed only the symptoms.
- 2.3 In response to the above, SMS was evolved to enhance the organisational approach to manage a safe and successful aviation operation. It can be defined as a systematic, explicit and proactive process for managing safety that integrates operations and technical systems with financial and human resource management to achieve safe operations with as low as reasonably practicable risks. It encompasses the safety policy and objectives, safety risk management, safety assurance and safety training and communication.

### **3. REQUIREMENTS**

An SMS should include, as a minimum, the elements stated below. They are intended to address SMS implementation with respect to an Air Operators service, product or processes, which have an impact on aviation safety.

- 3.1 A safety policy on which the system is based;
- 3.2 Clearly defined lines of safety accountability throughout the organisation, including a direct accountability for safety on the part of the Accountable Manager;
- 3.3 Setting of safety objectives, goals and performance indicators;
- 3.4 Documentation of all SMS components, procedures and activities including their relevant integration;
- 3.5 An emergency response plan;
- 3.6 Hazards identification and risk management process;
- 3.7 Audit and continuous improvement of the SMS;
- 3.8 Safety performance monitoring and an acceptable level of safety;
- 3.9 Management of change; and
- 3.10 Personnel SMS training, communication and promotion of SMS outcomes.

### **4. CONCLUSION**

AOC Holders are free to scope their SMS to the complexity of their operations. Organisations have a wide range of procedural options for compliance, and are encouraged to identify the best method of compliance to meet their individual circumstances. The key to a successful SMS is to develop and grow the SMS based on the organisation's needs and customized to its operations. Please refer to the Attachment for guidance to the implementation of an SMS plan.

This AIC supercedes AIC 18/2000 dated 14 July 2000.

**DATO' AZHARUDDIN ABDUL RAHMAN**  
**Director General**  
**Department of Civil Aviation**  
**Malaysia**

## **SAFETY MANAGEMENT SYSTEM IMPLEMENTATION PLAN**

1. The SMS implementation plan defines of the organisation's approach for managing safety in a manner that will meet the organisation's safety needs. It includes the following:
  - 1.1 safety policy and objectives;
  - 1.2 safety roles and responsibilities;
  - 1.3 system description;
  - 1.4 gap analysis;
  - 1.5 SMS components;
  - 1.6 safety performance measurement;
  - 1.7 safety reporting policy;
  - 1.8 safety communication;
  - 1.9 means of employee involvement; and
  - 1.10 management review of safety performance.
2. The SMS implementation plan is to be endorsed by senior management of the organisation.
3. An operator, as part of the development of the SMS implementation plan, complete a system description. It should include the following:
  - 3.1 the system's interactions with other systems in the air transportation system;
  - 3.2 the system's functions;
  - 3.3 required Human Factors considerations of the system operation;
  - 3.4 hardware components of the system;
  - 3.5 software components of the system;
  - 3.6 related procedures that define guidance for the operation and use of the system;
  - 3.7 operational environment; and
  - 3.8 contracted and purchased products or services.
4. An operator, as part of the development of the SMS implementation plan, complete a gap analysis, in order to:
  - 4.1 identify the safety arrangements existing within the organisation; and
  - 4.2 determine additional safety arrangements required to implement and maintain the organisation's SMS.