



Director General of Civil Aviation Authority of the Republic of Kosovo,

Pursuant to Articles 3.4 (i), 15.1 and 21.2, of the Law No. 03/L-051 on Civil Aviation (Official Gazette of the Republic of Kosovo, No. 28, 4 June 2008),

For the purpose of laying down requirements for the implementation of Safety Management System for service providers,

Upon completion of the process of public consultation of interested parties, in accordance with the Administrative Instruction No. 01/2012 on procedures for public consultation of interested parties,

Hereby issues the following:

REGULATION No. 1/2013 ON IMPLEMENTATION OF SAFETY MANAGEMENT SYSTEM (SMS)

Article 1

Scope of Application

1.1 The present Regulation shall apply to service providers obliged to establish a Safety Management System (SMS) in accordance with International Civil Aviation Organization (ICAO) standards.

1.2 The present Regulation provides a general overview of the requirements, approach and basic mandatory actions in implementation of the SMS. It is not intended to provide all requirements for an SMS nor is a substitute of other requirements on SMS that may be required under relevant legislation of EU, EASA or other applicable sub-legal acts issued by the CAA.

1.3 Approved training organisations which are exposed to the safety risks during provision of their services shall implement SMS as required by Convention on ICAO Annex 1.

1.4 Operators involved in Commercial Air Transport operations shall implement SMS as required by Annex 6 to Part I of Convention on ICAO.

1.5 Helicopter operators involved in International Air Transport shall implement SMS as required by Annex 6 to Part III of Convention on ICAO.

1.6 Approved Maintenance Organisations (AMO) shall implement SMS as required by Annex 6 to Part I, of Convention on ICAO.

1.7 Operators involved in General Aviation operations shall implement SMS as required by Annex 6 to Part II, of Convention on ICAO.

1.8 Flight Training Organisations (FTO) and Type Rating Training Organisations (TRTO) shall implement SMS as required by Annex 1, of Convention on ICAO.

1.9 Air Navigation Service providers shall implement SMS as required by Annex 11, of Convention on ICAO.

1.10 Certified Aerodromes and Heliports shall implement SMS as required by Annex 14 - Volume I and II, of Convention on ICAO.

Article 2 Definitions

For the purpose of the present Regulation, the definitions and abbreviations used herein shall have the following meaning:

Accepted - means not objected by the CAA, as suitable for the purpose intended.

Approved - means documented by the CAA, giving authorisation as suitable for the purpose intended;

CAA - means the Civil Aviation Authority of the Republic of Kosovo established under Law No. 03/L-051 on Civil Aviation;

Hazard - means a condition, object or activity with the potential of causing injuries to personnel, damage to equipment or structures, loss of material, or reduction of ability to perform a prescribed function;

Convention on ICAO - means the Convention on establishing the International Civil Aviation Organisation;

Mitigation - means measure needed either to eradicate the hazard, or to reduce the severity or likelihood of the risks;

Risk - means the assessment, expressed in terms of predicted probability and severity, of the consequences of a hazard, taking as reference the worst foreseeable situation;

Safety Management System (SMS) - means a systematic approach to managing safety including the necessary organizational structure, accountabilities, policies and procedures.

Service Provider – means an organisation providing aviation services, including approved training organizations that are exposed to safety risks during the provision of their services, aircraft operators, approved maintenance organizations (AMO & CAMO), organizations responsible for type design and/or manufacture of aircraft, air navigation service providers, certified aerodromes and suppliers of ground-handling services exposed to safety risks during provision of their services.

Article 3 General Provisions

3.1 All service providers shall establish, maintain and adhere to an SMS that is appropriate to the size, nature and complexity of the operations authorised to be conducted under its certificate and the safety hazards and risks related to the operations.

3.2 CAA is responsible for the acceptance and oversight of the service provider's SMS and for the harmonisation of the SMS requirements in the entire civil aviation industry in the Republic of Kosovo.

Article 4 SMS Framework

4.1 Generic guidelines for implementation of the SMS are provided in Doc. 9859 – Safety Management Manual (SMM), published by ICAO.

4.2 The SMS framework of service providers shall include the following four (4) components consisting of 12 elements:

“1. Safety policy and objectives

- 1.1 Management commitment and responsibility
- 1.2 Safety accountabilities
- 1.3 Appointment of key safety personnel
- 1.4 Coordination of emergency response planning
- 1.5 SMS Documentation

2. Safety risk management

- 2.1 Hazard identification
- 2.2 Risk assessment and mitigation

3. Safety assurance

- 3.1 Safety performance monitoring and measurement
- 3.2 The management of change
- 3.3 Continuous improvement of the SMS

4. Safety promotion

- 4.1 Training and education

4.2 Safety communication”

4.3 Expanded explanation of four components of the SMS, as referred to in paragraph 2 of this Article, is available in Doc. 9859 – Safety Management Manual (SMM) of ICAO and other applicable sub-legal acts and Technical Publications and templates that may be published from time to time by the CAA.

Article 5

SMS adjustment

All service providers who already have in place an SMS that provides less elements than those referred to in Article 4.2, of the present Regulation shall adjust their SMS with provisions of that article.

Article 6

Transitional provisions

6.1 As of 1 September 2013, full implementation of SMS shall commence by all service providers referred to in Article 1 of the present Regulation, save for those under paragraph 2 and 3 of this article.

6.2 Organizations responsible for Type Design and/or Manufacture of Aircraft shall implement SMS as required by Annex 8, of Convention on ICAO, by 14 November 2013.

6.3 Private Pilot License Registered Facility (PPL/RF) and Training Organization for Glider Pilots and Balloon Pilots shall implement SMS, by 1 January 2015.

Article 7

Entry into Force

The present Regulation shall enter into force on 19 June 2013.

Done at Prishtinë, 4 June 2013.

Dritan Gjonbalaj
Director General