

**CIVIL AVIATION REGULATIONS**

**SURINAME**

**PART 23 – SAFETY MANAGEMENT**

**VERSION 1.0**

**15 APRIL 2020**

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## 23.1 GENERAL

### 23.1.1 APPLICABILITY

These Regulations shall be applicable to the safety management functions related to, or in direct support of, the safe operation of aircraft.

## 23.2 STATE SAFETY MANAGEMENT RESPONSIBILITIES

### 23.2.1 STATE SAFETY PROGRAMME (SSP)

The Civil Aviation Safety Authority Suriname (CASAS) shall be responsible for establishing, maintaining and implementing the SSP of Suriname,

The SSP shall be commensurate with the size and complexity of the civil aviation system in Suriname.

CASAS may delegate its safety management-related functions and activities to another State, Regional Safety Oversight Organization (RSOO) or Regional Accident and Incident Investigation Organization (RAIO).

*Note.— CASAS retains responsibility for safety management-related functions and activities delegated to another State, RSOO or RAIO.*

### 23.2.2 STATE SAFETY POLICY, OBJECTIVES AND RESOURCES

#### 23.2.2.1 General

The civil aviation safety oversight system established and implemented in Suriname shall be in accordance with Appendix 1 of ICAO Annex 19.

#### 23.2.2.2 Specific Operating Regulations

23.2.2.2.1 CASAS is responsible for proposing new or amended civil aviation regulations (CARS) for enactment by the Minister in charge of air transport matters.

23.2.2.2.2 CASAS shall periodically review the civil aviation regulations, implementation policies and guidance material to ensure they remain relevant and appropriate.

#### 23.2.2.3 State system and functions

23.2.2.3.1 CASAS shall provide personnel performing safety oversight functions with guidance that addresses ethics, personal conduct and the avoidance of actual or perceived conflicts of interest in the performance of official duties.

23.2.2.3.2 CASAS shall establish and implement a methodology to determine the staffing requirements for personnel performing safety oversight functions, taking into account the size and complexity of the aviation activities in Suriname.

23.2.2.3.3 CASAS shall identify, define and document the requirements, obligations, functions and activities regarding the establishment and maintenance of the SSP, including the directives to plan, organize, develop, maintain, control and continuously improve the SSP in a manner that meets the safety objectives of Suriname.

23.2.2.3.4 CASAS shall establish a safety policy and safety objectives that reflect the commitment regarding safety and facilitate the promotion of a positive safety culture in the aviation community.

23.2.2.3.5 CASAS shall publish and periodically review the safety policy and safety objectives to ensure that they remain relevant and appropriate to the civil aviation system of Suriname.

#### **23.2.2.4 Qualified technical personnel**

23.2.2.4.1 CASAS shall establish minimum qualification requirements for the technical personnel performing safety-related functions and provide for appropriate initial and recurrent training to maintain and enhance their competence at the desired level.

23.2.2.4.2 CASAS shall implement a system for the maintenance of training records for technical personnel.

*Note.— The term “technical personnel” refers to those persons performing safety-related functions for or on behalf of CASAS.*

#### **23.2.2.5 Technical guidance, tools and provision of safety-critical information**

23.2.2.5.1 CASAS shall provide appropriate facilities, comprehensive and up-to-date technical guidance material and procedures, safety-critical information, tools and equipment, and transportation means, as applicable, to the technical personnel to enable them to perform their safety oversight functions effectively and in accordance with established procedures in a standardized manner.

23.2.2.5.2 CASAS shall provide technical guidance to the aviation industry on the implementation of relevant regulations.

### **23.2.3 STATE SAFETY RISK MANAGEMENT**

#### **23.2.3.1 Licensing, certification, authorization and approval obligations**

CASAS shall implement documented processes and procedures to ensure that individuals and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a licence, certificate, authorization or approval to conduct the relevant aviation activity.

#### **23.2.3.2 Safety management system obligations**

23.2.3.2.1 The following service providers shall implement an SMS:

- a) approved training organizations in accordance with CARS Part 3 that are exposed to safety risks related to aircraft operations during the provision of their services;
- b) operators of aeroplanes or helicopters authorized to conduct international commercial air transport, in accordance with CARS Part 9;
- c) approved maintenance organizations in accordance with CARS Part 6 providing services to operators of aeroplanes or helicopters engaged in international commercial air transport in accordance with CARS Part 9;
- d) air traffic services providers in accordance with CARS Part 18; and
- e) operators of certified international aerodromes in accordance with CARS Part 12.

*Note .— The term “service provider” when used throughout this CARS Part refers only to those organizations listed in sub section 23.2.3.2.1*

*Note.— When maintenance activities are not conducted by an approved maintenance organization in accordance with CARS Part 6 but under an equivalent system as in CARS Part 9 they are included in the scope of the operator's SMS.*

23.2.3.2.2 International general aviation operators conducting operations of large or turbojet aeroplanes, of which Suriname is the State of Registry, shall implement an SMS.

23.2.3.2.3 Service providers and operators shall establish safety performance indicators and targets acceptable to CASAS.

### **23.2.3.3 Accident and incident investigation**

The process to investigate accidents and incidents in accordance with CARS Part 14 shall be in support of the management of safety in Suriname.

### **23.2.3.4 Hazard identification and safety risk assessment**

23.2.3.4.1 CASAS shall establish and maintain a process to identify hazards from collected safety data.

*Note .— Additional information to identify hazards and safety issues on which to base preventive actions may be contained in the Final Reports of accidents and incidents.*

23.2.3.4.2 CASAS shall develop and maintain a process that ensures the assessment of safety risks associated with identified hazards.

### **23.2.3.5 Management of safety risks**

23.2.3.5.1 CASAS shall use a documented process to take appropriate actions, up to and including enforcement measures, to resolve identified safety issues.

23.2.3.5.2 CASAS shall ensure that identified safety issues are resolved in a timely manner through a system which monitors and records progress, including actions taken by individuals and organizations performing an aviation activity in resolving such issues.

23.2.3.5.3 CASAS shall develop and maintain a process to manage safety risks.

## **23.2.4 STATE SAFETY ASSURANCE**

### **23.2.4.1 Surveillance obligations**

23.2.4.1.1 CASAS shall implement documented surveillance processes, by defining and planning inspections, audits and monitoring activities on a continuous basis, to proactively assure that aviation licence, certificate, authorization and approval holders continue to meet the established requirements. This includes the surveillance of personnel designated by the Authority to perform safety oversight functions on its behalf.

*Note.— The surveillance of the service provider takes into consideration the safety performance as well as the size and complexity of its aviation products or services.*

23.2.4.1.2 CASAS shall establish procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need.

*Note.— Organizational risk profiles, outcomes of hazard identification and risk assessment, and surveillance outcomes may provide information for the prioritization of inspections, audits and surveys.*

23.2.4.1.3 CASAS shall periodically review the safety performance of an individual service provider.

#### 23.2.4.2 State safety performance

23.2.4.2.1 CASAS shall establish the acceptable level of safety performance to be achieved through the SSP.

23.2.4.2.2 CASAS shall develop and maintain a process to evaluate the effectiveness of actions taken to manage safety risks and resolve safety issues.

*Note.— Safety assessment results may be used to support the prioritization of actions to manage safety risks.*

23.2.4.2.3 CASAS shall evaluate the effectiveness of the SSP to maintain or continuously improve the overall level of safety performance in Suriname.

### 23.2.5 STATE SAFETY PROMOTION

#### 23.2.5.1 Internal communication and dissemination of safety information

CASAS shall promote safety awareness and the sharing and exchange of safety information within the organisation to support the development of a positive safety culture that fosters an effective SSP.

#### 23.2.5.2 External communication and dissemination of safety information

CASAS shall promote safety awareness and the sharing and exchange of safety information with the aviation community to foster the maintenance and improvement of safety and to support the development of a positive safety culture.

*Note.— Promoting safety awareness could include identifying accessible safety training for the aviation community.*

## 23.3 SAFETY MANAGEMENT SYSTEM (SMS)

### 23.3.1 SMS OF A SERVICE PROVIDER

23.3.1.1 The SMS of a service provider shall:

- a) be established in accordance with the framework elements contained in Implementing Standard 23.3; and
- b) be commensurate with the size of the service provider and the complexity of its aviation products or services.

23.3.1.2 Each service provider referred to in paragraph 23.2.3.2.1 shall develop a plan to facilitate their SMS implementation and submit this to CASAS.

23.3.1.3 The SMS of an ATO, in accordance with CARS Part 3 that is exposed to safety risks related to aircraft operations during the provision of its services, shall be acceptable to CASAS.

23.3.1.4 The SMS of an AOC holder authorized to conduct international commercial air transport, in accordance with CARS Part 9, shall be acceptable to CASAS.



*Note.— When maintenance activities are not conducted by an approved maintenance organization in accordance with CARS Part 6 but under an equivalent system as in CARS Part 9, they are included in the scope of the AOC holder's SMS.*

23.3.1.5 The SMS of an AMO in accordance with CARS Part 6 providing services to operators of aeroplanes or helicopters engaged in international commercial air transport, in accordance with CARS Part 9, shall be acceptable to CASAS.

23.3.1.6 The SMS of an ATS provider, in accordance with CARS Part 18, shall be acceptable to CASAS.

23.3.1.7 The SMS of an operator of a certified international aerodrome, in accordance with CARS Part 12, shall be acceptable to CASAS.

### **23.3.2 SMS OF INTERNATIONAL GENERAL AVIATION OPERATORS - AEROPLANES**

23.3.2.1 The SMS of an international general aviation operator conducting operations of large or turbojet aeroplanes of which Suriname is the State of Registry shall:

- (1) addresses the SMS framework and elements contained in Implementing Standard 23.3;
- (2) be commensurate with the size and complexity of the operation; and
- (3) be acceptable to CASAS.

## **23.4 SAFETY DATA AND SAFETY INFORMATION COLLECTION, ANALYSIS, PROTECTION, SHARING AND EXCHANGE**

*Note.— The objective of this section is to ensure the continued availability of safety data and safety information to support safety management activities.*

### **23.4.1 SAFETY DATA COLLECTION AND PROCESSING SYSTEMS**

23.4.1.1 CASAS shall establish safety data collection and processing systems (SDCPS) to capture, store, aggregate and enable the analysis of safety data and safety information.

23.4.1.2 CASAS shall establish a mandatory safety reporting system that includes the reporting of incidents.

23.4.1.3 CASAS shall establish a voluntary safety reporting system to collect safety data and safety information not captured by mandatory safety reporting systems.

23.4.1.4 The safety database maintained by CASAS shall use standardized taxonomy to facilitate safety information sharing and exchange.

### **23.4.2 SAFETY DATA AND SAFETY INFORMATION ANALYSIS**

23.4.2.1 CASAS shall establish and maintain a process to analyse the safety data and safety information from the SDCPS and associated safety databases.

*Note.— The purpose of the safety data and safety information analysis performed by the CASAS is to identify systemic and cross-cutting hazards that might not otherwise be identified by the safety data analysis processes of individual service providers and operators.*

**23.4.3 SAFETY DATA AND SAFETY INFORMATION PROTECTION**

- 23.4.3.1 CASAS shall protect the safety data captured by, and safety information derived from, voluntary and mandatory safety reporting systems and related sources in accordance with Implementing Standard 23.4.3.

*Note — A reporting environment where employees and operational personnel may trust that their actions or omissions that are commensurate with their training and experience will not be punished is fundamental to safety reporting.*

- 23.4.3.2 Subject to 23.4.3.1 CASAS shall not make available or use safety data or safety information collected, stored or analysed in accordance with 23.4.1 or 23.4.2 for purposes other than maintaining or improving safety, unless CASAS determines, in accordance with Implementing Standard 23.4.3, that a principle of exception applies.

- 23.4.3.3 Notwithstanding 23.4.3.2, CASAS shall not be prevented from using safety data or safety information to take any preventive, corrective or remedial action that is necessary to maintain or improve aviation safety.

*Note.— Specific provision aimed at ensuring that there is no overlap with the protection of investigation records in CARS Part 14 is contained in Implementing Standard 23.4.3 sub 1.2.*

- 23.4.3.4 CASAS shall take the necessary measures, including the promotion of a positive safety culture, to encourage safety reporting through the systems referred to in 23.4.1.2 and 23.4.1.3.

**23.4.4 SAFETY INFORMATION SHARING AND EXCHANGE**

- 23.4.4.1 If CASAS, in the analysis of the information contained in its SDCPS, identifies safety matters considered to be of interest to other States, CASAS shall forward such safety information to them as soon as possible. Prior to sharing such information, CASAS shall agree with the other State on the level of protection and conditions on which safety information will be shared. The level of protection and conditions shall be in line with Implementing Standard 23.4.3.

- 23.4.4.2 CASAS shall promote the establishment of safety information sharing or exchange networks among users of the aviation system, and facilitate the sharing and exchange of safety information, unless the legislation of Suriname provides otherwise.

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# CIVIL AVIATION REGULATIONS

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## PART 23 - IMPLEMENTING STANDARDS

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## PART 23 – IMPLEMENTING STANDARDS

### IS 23.3 SAFETY MANAGEMENT SYSTEM (SMS)

This Implementing Standard specifies the framework for the implementation and maintenance of an SMS. The framework comprises four components and twelve elements as the minimum requirements for SMS implementation:

1. Safety policy and objectives
  - 1.1 Management commitment
  - 1.2 Safety accountability and responsibilities
  - 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 Safety 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

#### 1. Safety policy and objectives

##### 1.1 Management commitment

- 1.1.1 The service provider shall define its safety policy in accordance with international and national requirements.

The safety policy shall:

- a) reflect organizational commitment regarding safety, including the promotion of a positive safety culture;
- b) include a clear statement about the provision of the necessary resources for the implementation of the safety policy;
- c) include safety reporting procedures;
- d) clearly indicate which types of behaviors are unacceptable related to the service provider's aviation activities and include the circumstances under which disciplinary action would not apply;
- e) be signed by the accountable executive of the organization;
- f) be communicated, with visible endorsement, throughout the organization; and
- g) be periodically reviewed to ensure it remains relevant and appropriate to the service provider.

- 1.1.2 Taking due account of its safety policy, the service provider shall define safety objectives.

The safety objectives shall:

- a) form the basis for safety performance monitoring and measurement as required by 3.1.2;
- b) reflect the service provider's commitment to maintain or continuously improve the overall effectiveness of the SMS;

- c) be communicated throughout the organization; and
- d) be periodically reviewed to ensure they remain relevant and appropriate to the service provider.

## 1.2 Safety accountability and responsibilities

The service provider shall:

- a) identify the accountable executive who, irrespective of other functions, is accountable on behalf of the organization for the implementation and maintenance of an effective SMS;
- b) clearly define lines of safety accountability throughout the organization, including a direct accountability for safety on the part of senior management;
- c) identify the responsibilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the organization;
- d) document and communicate safety accountability, responsibilities and authorities throughout the organization; and
- e) define the levels of management with authority to make decisions regarding safety risk tolerability.

## 1.3 Appointment of key safety personnel

The service provider shall appoint a safety manager who is responsible for the implementation and maintenance of the SMS.

*Note.— Depending on the size of the service provider and the complexity of its aviation products or services, the responsibilities for the implementation and maintenance of the SMS may be assigned to one or more persons, fulfilling the role of safety manager, as their sole function or combined with other duties, provided these do not result in any conflicts of interest.*

## 1.4 Coordination of emergency response planning

The service provider required to establish and maintain an emergency response plan for accidents and incidents in aircraft operations and other aviation emergencies shall ensure that the emergency response plan is properly coordinated with the emergency response plans of those organizations it must interface with during the provision of its products and services.

## 1.5 SMS documentation

### 1.5.1 The service provider shall develop and maintain an SMS manual that describes its:

- a) safety policy and objectives;
- b) SMS requirements;
- c) SMS processes and procedures; and
- d) accountability, responsibilities and authorities for SMS processes and procedures.

### 1.5.2 The service provider shall develop and maintain SMS operational records as part of its SMS documentation.

*Note.— Depending on the size of the service provider and the complexity of its aviation products or services, the SMS manual and SMS operational records may be in the form of stand-alone documents or may be integrated with other organizational documents (or documentation) maintained by the service provider.*

## 2. Safety risk management

### 2.1 Hazard identification

#### 2.1.1 The service provider shall develop and maintain a process to identify hazards associated with its aviation products or services.

2.1.2 Hazard identification shall be based on a combination of reactive and proactive methods.

2.2 Safety risk assessment and mitigation

The service provider shall develop and maintain a process that ensures analysis, assessment and control of the safety risks associated with identified hazards.

*Note.— The process may include predictive methods of safety data analysis.*

### 3. Safety assurance

3.1 Safety performance monitoring and measurement

3.1.1 The service provider shall develop and maintain the means to verify the safety performance of the organization and to validate the effectiveness of safety risk controls.

*Note.— An internal audit process is one means to monitor compliance with safety regulations, the foundation upon which SMS is built, and assess the effectiveness of these safety risk controls and the SMS.*

3.1.2 The service provider's safety performance shall be verified in reference to the safety performance indicators and safety performance targets of the SMS in support of the organization's safety objectives.

3.2 The management of change

The service provider shall develop and maintain a process to identify changes which may affect the level of safety risk associated with its aviation products or services and to identify and manage the safety risks that may arise from those changes.

3.3 Continuous improvement of the SMS

The service provider shall monitor and assess its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.

### 4. Safety promotion

4.1 Training and education

4.1.1 The service provider shall develop and maintain a safety training programme that ensures that personnel are trained and competent to perform their SMS duties.

4.1.2 The scope of the safety training programme shall be appropriate to each individual's involvement in the SMS.

4.2 Safety communication

The service provider shall develop and maintain a formal means for safety communication that:

- a) ensures personnel are aware of the SMS to a degree commensurate with their positions;
- b) conveys safety-critical information;
- c) explains why particular actions are taken to improve safety; and
- d) explains why safety procedures are introduced or changed.

### IS 23.4.3 PRINCIPLES FOR THE PROTECTION OF SAFETY DATA, SAFETY INFORMATION AND RELATED SOURCES

*Note 1.— The protection of safety data, safety information and related sources is essential to ensure their continued availability, since the use of safety data and safety information for purposes other than maintaining or improving safety may inhibit the future availability of such data and information, with a significant adverse effect on safety.*

*Note 2.— The objective is to ensure the continued availability of safety data and safety information by restricting their use for purposes other than maintaining or improving aviation safety.*

#### 1. General principles

- 1.1 CASAS shall ensure that through application of national legislation, regulations and policies for protecting safety data, safety information and related sources:
- a) a balance is struck between the need for the protection of safety data, safety information and related sources to maintain or improve aviation safety, and the need for the proper administration of justice;
  - b) safety data, safety information and related sources are protected in accordance with this implementing standard;
  - c) the conditions under which safety data, safety information and related sources qualify for protection are specified; and
  - d) safety data and safety information remain available for the purpose of maintaining or improving aviation safety.
- 1.2 When an investigation under CARS Part 14 has been instituted, accident and incident investigation records listed in CARS Part 14 shall be subject to the protections accorded therein instead of the protections accorded by this CARS Part.

#### 2. Principles of protection

- 2.1 CASAS shall ensure that safety data or safety information is not used for:
- a) disciplinary, civil, administrative and criminal proceedings against employees, operational personnel or organizations;
  - b) disclosure to the public; or
  - c) any purposes other than maintaining or improving safety; unless a principle of exception applies.
- 2.2 CASAS shall accord protection to safety data, safety information and related sources by ensuring that:
- a) the protection is specified based on the nature of safety data and safety information;
  - b) a formal procedure to provide protection to safety data, safety information and related sources is established;
  - c) safety data and safety information will not be used in a way different from the purposes for which they were collected, unless a principle of exception applies; and
  - d) to the extent that a principle of exception applies, the use of safety data and safety information in disciplinary, civil, administrative and criminal proceedings will be carried out only under authoritative safeguards.

*Note — The formal procedure may include that any person seeking disclosure of safety data or safety information will provide the justification for its release.*



### 3. Principles of exception

Exceptions to the protection of safety data, safety information and related sources shall only be granted when CASAS:

- a) determines that there are facts and circumstances reasonably indicating that the occurrence may have been caused by an act or omission considered, in accordance with national laws, to be conduct constituting gross negligence, willful misconduct or criminal activity;
- b) after reviewing the safety data or safety information, determines that its release is necessary for the proper administration of justice, and that the benefits of its release outweigh the adverse domestic and international impact such release is likely to have on the future collection and availability of safety data and safety information; or
- c) after reviewing the safety data or safety information, determines that its release is necessary for maintaining or improving safety, and that the benefits of its release outweigh the adverse domestic and international impact such release is likely to have on the future collection and availability of safety data and safety information.

*Note .— In administering the decision, CASAS takes into account the consent of the source of the safety data and safety information.*

### 4. Public disclosure

4.1 Where disclosure is made in accordance with section 3, CASAS shall ensure that:

- a) public disclosure of relevant personal information included in the safety data or safety information complies with applicable privacy laws; or
- b) public disclosure of the safety data or safety information is made in a de-identified, summarized or aggregate form.

### 5. Responsibility of the custodian of safety data and safety information

CASAS shall designate an individual as custodian of the SDCPS to apply the protection to safety data and safety information in accordance with applicable provisions of this implementing standard.

### 6. Protection of recorded data

6.1 Service providers shall apply specific measures of protection regarding the confidentiality and access by the public to ambient workplace recordings.

6.2 CASAS and the applicable service providers shall treat ambient workplace recordings required by national laws and regulations, as privileged protected data subject to the principles of protection and exception as provided for in this implementing standard.