TECHNICAL GUIDANCE MATERIAL for Developing an SMS Manual for Heliports

SUBJECT: **TECHNICAL GUIDANCE MATERIAL FOR DEVELOPING AN SMS MANUAL FOR HELIPORTS**

EFFECTIVE DATE: 26 August 2025

1. APPLICABILITY

This TGM is applicable to a holder of a heliport license issued in terms of Part 139.

2. PURPOSE

The purpose of this TGM is to guide the industry in the development of a Safety Management System Manual for Heliports.

3. REQUIREMENTS

a. SACARs Part 140
b. SACATS 140

4. REFERENCE:

i. ICAO Annex 19
ii. SACARS Part 140
iii. SACATS -140
iv. ICAO Doc 9859 - Safety Management Manual (SMM)

5. LIST OF DEFINITIONS AND ABBREVIATIONS USED IN THIS DOCUMENT

5.1. Definitions

TERMINOLOGY	DESCRIPTION
Heliport Stakeholders	Means heliport users such as passengers, tenants and heliport operator like the management and staff, policy makers like government agencies and aviation authorities or the individuals, groups, or organisations that have an interest or influence in the heliport's operations, performance, or future development.
Hazard	means a condition that could foreseeably cause or contribute to an aircraft

	accident.
Risk	Means the composite of predicted severity and likelihood of the potential effect of a hazard.
Risk control	Means a means to reduce or eliminate the effects of hazards.
Safety assurance	Means processes within the SMS that function systematically to ensure the performance and effectiveness of safety risk controls and that the organisation meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
Safety Management System (SMS)	Means the formal, top-down, organisation-wide approach to managing safety risk and assuring the effectiveness of safety risk controls. It includes systematic procedures, practices, and policies for the management of safety risk.
Safety objective	Means a measurable goal or desirable outcome related to safety.
Safety performance	Means realized or actual safety accomplishment relative to the organisation's safety objectives.
Safety policy	Means the certificate holder's documented commitment to safety, which defines its safety objectives and the accountabilities and responsibilities of its employees in regard to safety.
Safety promotion	Means a combination of training and communication of safety information to support the implementation and operation of an SMS in an organisation.
Safety Risk Management	Means a process within the SMS composed of describing the system, identifying the hazards, and analysing, assessing, and controlling risk.

5.2. **Abbreviations**

ABBREVIATION	MEANING
HEMS	Heliport Emergency Management System
CAR	Civil Aviation Regulations
ERP	Emergency Response Plan
HIRM	Hazard Identification and Risk Management
QMS	Quality Management System
SACAA	South African Civil Aviation Authority
SMS	Safety Management System
SOPs	Standard Operating Procedures
SPIs	Safety Performance Indicators
SPT	Safety Performance Target
TGM	Technical Guidance Material
M: CZH	Manager: CAT Z & Heliports
SM: ADFA	Senior Manager: Aerodromes & Facilities
E: ASI	Executive: Aviation Safety Infrastructure

6. GENERAL

6.1 Proposed Layout of the document

CHAPTER 1:

1. RECORDS OF AMENDMENTS (EXAMPLE) - ***Only to be used if the SMS Manual is a standalone document and not part of the Heliport Manual.***

Revision no:	Effective date:	Description of changes:	Person: (name)
0	12 January 2022	New manual	Quality manager
1	12 January 2023	Annual review	Quality manager
2	18 July 2023	Management change	Quality manager
3	12 January 2024	Annual review	Quality manager

2. LIST OF EFFECTIVE PAGES (EXAMPLE) - ***Only to be used if the SMS Manual is a standalone document and not part of the Heliport Manual.***

Column 1				Column 2			
*	PAGE	REVISION	DATED	*	PAGE	REVISION	DATED
	1	0	12 January 2022		18	3	12 January 2024
	2	0	12 January 2022				
	3	1	12 January 2023				
	4	0	12 January 2022				
	5	0	12 January 2022				
	6	0	12 January 2022				
	7	1	12 January 2023				
	8	1	12 January 2023				

3. DISTRIBUTION LIST (EXAMPLE) – ***Only to be used if the SMS Manual is a standalone document and not part of the Heliport Manual.***

NAME & SURNAME	DESIGNATION	ORGANISATION	DATE RECEIVED	SIGNATURE

4. GENERAL

4.1 This TGM serves to guide organisations in their compilation of a top-level SMS manual (or document) to define their SMS framework and its associated elements. The manual may form part of a Heliport Manual (Part 5) or a stand-alone SMS manual.

4.2 Using the suggested format (heading 12.1) and content items (heading 12.2) in this TGM and adapting them as appropriate is one way in which an organisation can develop its top-level SMS manual. The extent of the SMS depends on the organisation complexity and its system description.

4.3 The manual will serve to communicate the organisation's SMS implementation internally as well as with relevant external organisations. The manual should be subject to approval by the Director as evidence of the acceptance of the SMS.

4.4 In addition to the development of the SMS Manual, the organisation/operator should also conduct a gap analysis using form CA 140-02 (found on SACAA Website, Industry under the Safety Management Systems tab) and submit the SMS implementation plan to the SACAA for review and acceptance.

5. PREPARATION OF THE SAFETY MANAGEMENT SYSTEM(SMS) MANUAL

5.1 The SMS Manual should:

a) Be typewritten and signed by the heliport operator;
b) Be in a format that is easy to revise;
c) Have a system for recording amendments;
d) Have a system to record the list of effective pages;
e) Be organised in a manner that will facilitate the preparation, review, and acceptance/approval process by the SACAA;
f) The heliport operator must provide the SACAA with two identical copies of the Heliport manual or SMS Manual (if it is a standalone) for approval/acceptance.
g) The heliport operator must keep at least one approved current copy of the Heliport Manual or SMS Manual (if it is a standalone).
h) The heliport operator must make a copy of the approved/accepted heliport or SMS manual available for inspection by the SACAA inspector.

6. HELIPORT SAFETY MANAGEMENT SYSTEM

6.1 Format of the SMS manual

6.1.1 The SMS manual may be formatted in the following manner:

a) Section heading;
b) Objective;
c) Criteria;
d) Cross-reference documents.

6.1.2 Below each numbered "section heading" is a description of the "objective" for that section, followed by its "criteria" and "cross-reference documents". The "objective" is what the organisation intends to achieve by doing what is described in that section. The "criteria' defines the scope of what should be considered when writing that section. The "cross-reference documents" link the information to other relevant manuals or SOPs of the organisation which contain details of the element or process as applicable.

6.2 Contents of the manual

6.2.1 The contents of the manual should include the following sections as per SACATS Part 140.01.3(1.1.5.2):
6.2.2 Document control;
- 6.2.2.1 SMS regulatory requirements;
- 6.2.2.2 System description: Scope and integration of the safety management system and system description;
- 6.2.2.3 Safety policy;
- 6.2.2.4 Safety objectives;
- 6.2.2.5 Safety accountabilities, and key safety personnel responsibilities and key personnel;
- 6.2.2.6 Voluntary, mandatory and confidential safety reporting systems processes and procedures;
- 6.2.2.7 Hazard identification and safety risk assessment processes and procedures;
- 6.2.2.8 Procedure for establishing, measuring, and monitoring Safety Performance Indicator(s);
- 6.2.2.9 Safety-related investigations and remedial actions;
- 6.2.2.10 SMS training processes, procedures and communication;
- 6.2.2.11 Continuous improvement and internal audits procedures;
- 6.2.2.12 SMS documentation and records management procedures as prescribed in the SACATS Part 140.01.3(1.1.6).
- 6.2.2.13 Management of change procedure; and
- 6.2.2.14 Coordination of Emergency planning or Emergency/contingency response plan.

7. DOCUMENT CONTROL

7.1 Objective

Describe how the manual(s) will be kept up to date and how the organisation will ensure that all personnel involved in safety-related duties have the most current version.

7.2 Criteria

i. Hard copy or controlled electronic media and distribution list.
ii. The correlation between the SMS manual and other existing manuals such as the Heliport Manual.
iii. The process for periodic review of the manual and its related forms/documents to ensure their continuing suitability, adequacy and effectiveness.
iv. The manual's administration, approval and regulatory acceptance process.

7.3 Cross-reference documents:

Heliport Manual, etc. (list all the documents used to develop the sub-heading).

8. SMS DOCUMENTATION AND RECORDS KEEPING /MANAGEMENT

8.1 Objective

Describe the method of storing all SMS-related records and documents.

8.2 Criteria

8.2.1 SMS records

a) The organisation has an SMS record or archiving system that ensures the retention of all records generated in conjunction with the implementation and operation of the SMS.
b) The operator must maintain records of outputs of the SMS such as hazard reports, risk assessment reports, risk registers, safety review board/safety action group/safety committee minutes, monitoring of safety performance indicator charts, SMS audit reports and records of training provided for each employee.
c) Records should be traceable for all elements of the SMS and be accessible for routine administration of the SMS as well as internal and external audit purposes.

8.2.2 SMS Documentation:

Organisations may also incorporate their SMS requirements into existing approved documentation if this method works better for them. No matter which approach is taken, the document must be meaningful, explicit and utilised by the SMS user.
The following definitions apply to this document:

a) Policy means a high-level overall plan that outlines goals and objectives of an organisation.
b) Procedure means a specified way to carry out an activity or process;
c) Process means a group of interrelated or interacting activities that convert inputs into outputs.

Note: A complete SMS documentation should contain all three of these elements. This doesn't mean they have to be located in the same manual, it simply means for documentation to be comprehensive all three elements must be complete. It should also be noted that when an organisation chooses an all-inclusive format for SMS documentation or to incorporate documentation by reference these documents are still considered to be approved and should be submitted to SACAA for approval.

8.3 Cross-reference documents

List all the documents policies, procedures and associated documents used in the manual.

9. SMS REGULATORY REQUIREMENTS (IDENTIFICATION AND MAINTENANCE OF APPLICABLE REGULATIONS AND STANDARDS)

9.1 Objective

Address current SMS regulations and guidance material for necessary reference and awareness by all concerned. It is the organisation's responsibility to maintain current regulatory and organisational documentation. When changes to documentation are required, the organisation must have a documented process in place to ensure these changes are implemented.

9.2 Criteria

a) Spell out the current SMS regulations/standards.
b) Where appropriate, elaborate on or explain the significance and implications of the regulations to the organisation.
c) the organisation must have processes in place to identify any changes within the organisation that could affect the organisation 's documentation and amend the documentation as appropriate.

d) Periodically review regulatory information to ensure the most current information is available.
e) Periodically review documentation such as the approved or SMS manual and any other documentation that is referenced in the manuals to ensure compliance with current regulations.
f) Establish a correlation with other safety-related requirements or standards where appropriate.

9.3 Cross-reference documents

SMS regulation/requirement references, SMS guidance document references, etc.

10. SYSTEM DESCRIPTION: SCOPE AND INTEGRATION OF THE SAFETY MANAGEMENT SYSTEM

10.1 Objective

Describe the scope and extent of the organisation's aviation-related operations and facilities within which the SMS will apply. The scope of the processes, equipment and operations deemed eligible for the organisation's hazard identification and risk management (HIRM) programme should also be addressed.

10.2 Criteria

a) Spell out the nature of the organisation's aviation business and its position or role within the industry as a whole;
b) Spell out organisational interfaces, including third-party service providers (internal and external);
c) Identify the major areas, departments, workshops and facilities of the organisation within which the SMS will apply.
d) Identify the major processes, operations and equipment which are deemed eligible for the organisation's HIRM programme, especially those which are pertinent to aviation safety. If the scope of the HIRM processes, operations and equipment is too detailed or extensive, it may be controlled under a supplementary document as appropriate.
e) Where the SMS is expected to be operated or administered across a group of interlinked organisations or contractors, define and document such integration and associated accountabilities as applicable.
f) Where there are other related management systems within the organisation, such as QMS, identify their relevant integration (where applicable) within the aviation SMS.

10.3 Cross-reference documents

Heliport Manual, etc. (list all the documents used to develop the sub-heading).

11. SAFETY POLICY - SAFETY POLICY AND OBJECTIVES – SACATS PART 140.01.3(1.1.1.1) - (COMPONENT 1)

11.1 Objective

Describe the organisation's intentions, management principles and commitment to improving aviation safety in terms of the product or service provider. A safety policy should be a short description similar to a mission statement.

11.2 Criteria

a) The safety policy should correspond with the system description and be tailored to address
b) individual organisational complexities.
c) The safety policy states the organisation's intentions, management principles and commitment to continuous improvement in aviation safety.
d) The safety policy is promoted by the Accountable executive and all other managers.
e) The operator should have a safety policy that includes but is not limited to the following as per SACATS Part 140.01.3:

i. Management commitment to safety management system within the heliport.
ii. A framework or guidance for establishing and reviewing safety objectives as well as a commitment of the certificate holder to fulfil the organisation's safety objectives;
iii. Continuously improve the safety management system and safety performance;
iv. Management of risks;
v. Comply with applicable national and international regulatory requirements;
vi. A clear statement about the provision of the necessary resources for the implementation of the SMS;
vii. A safety reporting policy that defines requirements for employee reporting of safety hazards or issues and encourages all stakeholders to report safety issues without exposing them;
viii. A policy that defines unacceptable behaviour in aviation activities and applies disciplinary measures (conditions for disciplinary action);
ix. include a policy on the protection of safety data and safety information; and
x. An emergency response plan that provides for the safe transition from normal to emergency operations.

f) The safety policy should be approved/ signed by the accountable executive.
g) The safety policy should be reviewed periodically, at least within the 2 years by the accountable executive/manager to ensure it remains relevant and appropriate to the operator/organisation.
h) The safety policy must be documented and communicated to all stakeholders with the intent to be made aware of their safety obligations.

11.3 Cross-reference documents

Safety policy, etc. (list all the documents used to develop the sub-heading).

12. SAFETY OBJECTIVES - SAFETY POLICY AND OBJECTIVES - SACATS PART 140.01.3(1.1.1.2) (COMPONENT 1)

12.1 Objective

Describe the safety objectives of the organisation. The safety objectives should be a short statement that describes in broad terms what the organisation hopes to achieve.

12.2 Criteria

a) The safety objectives should state the organisation's intentions, management principles and commitment to continuous improvement in aviation safety.
b) The safety objectives should be established as prescribed in SACATS Part 140.01.3.
c) The safety objectives are linked to safety indicators to facilitate monitoring and measurement where appropriate refer to the TGM for measuring safety performance – SPIs guidance.

d) The safety objectives are expressed as a top-level statement describing the organisation's commitment to achieving safety.
e) The safety objectives are publicized and distributed throughout the organisation.
f) The safety objectives are periodically monitored through Safety Review Board, SAG meetings to ensure that they remain suitable, adequate and effective.
g) Resources have been allocated to achieve the objectives.

12.3 Cross-reference documents

Safety performance indicators document, monitoring instruments, safety performance management reports, etc. (list all the documents used to develop the sub-heading).

13. SAFETY ACCOUNTABILITIES AND KEY PERSONNEL - SACATS PART 140.0.3(1.1.2) - SAFETY POLICY AND OBJECTIVES (COMPONENT 1)

13.1 Objective

The organisation should determine and describe the safety responsibilities and accountabilities for personnel involved in the establishment, development, implementation and maintenance of SMS. It is important that the relevant people both within the organisation and those that interface with it meet to discuss safety-related issues regularly.

13.2 Criteria

The operator should define accountability and responsibilities for safety within the organisation for the following key personnel / individuals:

a) Accountable Manager as outlined SACATS Part 140.01.3(1.1.2)(5),
b) Safety Manager/Officer as outlined SACATS Part 140.01.3(1.1.3)(6) and (7) with the competencies prescribed in SACATS Part 140.01.3(1.1.3)(5),
c) All members of management - The accountable manager / executive must designate sufficient management personnel who, on behalf of the accountable executive, are responsible for the following:

    i. Coordinate implementation, maintenance, and integration of the SMS throughout the certificate holder's organisation.
    ii. Facilitate hazard identification and safety risk analysis.
    iii. Monitor the effectiveness of safety risk controls.
    iv. Ensure safety promotion throughout the organisation.
    v. Regularly report to the accountable executive on the performance of the SMS within their area of responsibility and on any need for improvement.

d) Safety Review Board prescribed in SACATS Part 140.01.3(1.1.3.1),
e) Safety Action Group prescribed in SACATS Part 140.01.3(1.1.3.2) where the operator chooses to have SAG as a standing group or ad-hoc group,
f) An SMS organisational diagram.

13.3 Cross-reference documents

Terms of reference for committees and responsible members, job descriptions, appointment letters, organogram, etc.

14. MANDATORY, VOLUNTARY AND CONFIDENTIAL SAFETY REPORTING PROCESSES AND PROCEDURES - SACATS 140.01.3(1.2.3) – INTERNAL SAFETY REPORTING

14.1 Objective

The safety reporting procedure encompasses mandatory, voluntary and confidential reporting of accidents and incidents. It pertains to timely mandatory reporting of accidents, serious incidents, incidents and other reportable occurrences by relevant stakeholders. A reporting system should include both reactive (accident/incident reports, etc.), proactive and predictive (hazard reports).

14.2 Criteria

a) Define the respective reporting systems processes and procedures i.e mandatory, voluntary, and confidential safety reporting incorporating protection of safety data and safety information.
b) Factors to consider include report format, confidentiality, investigation/evaluation procedures, corrective/ preventive actions and report dissemination.
c) Define a system to capture of internal occurrences including accidents, incidents and other occurrences relevant to SMS.
d) A distinction is to be made between mandatory reports (accidents, serious incidents, major defects, etc.), which are required to be notified to the SACAA, and other routine occurrence reports, which remain within the organisation.
e) Below are examples of what to consider when developing mandatory, voluntary and confidential reporting system.

14.3 Mandatory Reporting

Mandatory incident reporting involves certain types of events e.g. aviation accidents, serious incidents, runway incursions, incidents and other safety related occurrences (including defects/malfunctions/service difficulties) to SACAA. It is mandatory to report such events to SACAA. The Operator should:

a) Define the process for reporting the accidents/incidents.
b) Define processing of mandatory reports including classification of the accidents/incidents.
c) Investigation process and follow-up/ closure of the incident/accident

14.4 Voluntary safety reporting

A voluntary safety reporting enhances aviation safety through the collection of reports on actual or potential safety deficiencies that would otherwise not be reported through other channels. Such reports may involve occurrences, hazards or threats relevant to aviation safety. It should at minimum, define:

a) the objective of the reporting system;
b) who can make a voluntary report;
c) when to make such a report;
d) how reports are processed,
e) Investigation process and follow-up/ closure of the incident/accident,
f) how to contact the administrator or person responsible;

14.5 Confidential hazard/occurrence reporting

A confidential reporting system in which employees or stakeholders may report hazards, issues, concerns, occurrences, incidents, as well as proposed solutions and safety improvements anonymously.

a) The respective reporting processes are simple, accessible and commensurate with the size of the organisation.
b) Reports and associated recommendations are addressed and reviewed by the appropriate level of management.
c) Reports are collected in an appropriate database to facilitate the necessary analysis.

14.6 Cross-reference documents

Reporting systems or forms (Mandatory, Voluntary and Confidential), data/information management policies, reporting procedures, accidents/incidents reports, feedback, etc.

15. SAFETY-RELATED INVESTIGATIONS AND REMEDIAL ACTIONS

15.1 Objective

Describe how accidents/incidents/occurrences are investigated and processed within the organisation, including their correlation with the organisation's SMS hazard identification and risk management system.

15.2 Criteria

a) Procedures to ensure that reported accidents and incidents are investigated internally.
b) Dissemination of completed investigation reports internally as well as to the CAA as applicable.
c) A process for ensuring that corrective actions taken or recommended are carried out and for evaluating their outcomes/effectiveness.
d) Procedure on disciplinary inquiry and actions associated with investigation report outcomes.
e) Clearly defined conditions under which punitive disciplinary action would be considered (e.g., illegal activity, recklessness, gross negligence or wilful misconduct).
f) A process to ensure that investigations include identification of active failures as well as contributing factors and hazards.
g) Investigation procedure and format provides for findings on contributing factors or hazards to be processed for follow-up action by the organisation's hazard identification and risk management system where appropriate.

15.3 Cross-reference documents

Reporting procedures, outcomes of accidents/incidents investigation, safety improvement recommendations, just culture promotion, enforcement procedures/guidelines, etc.

16. HAZARD IDENTIFICATION AND RISK ASSESSMENT - SACATS 140.01.3(1.2.4) – SAFETY RISK ASSESSMENT COMPONENT 2

16.1 Objective

Safety risk management is a key component of safety management and includes hazard identification, safety risk assessment, safety risk mitigation and risk acceptance. Hazard identification and risk assessment processes should focus on aviation safety activities/operations. The safety risk management process starts with identifying the hazards affecting the safety of the organisation and assessing risks associated with the hazards in terms of likelihood (what is the likelihood of the risk happening?) and severity (if the risk occurs how bad will it be?). Once

the level of risk is identified, appropriate remedial action or mitigation measures can be implemented to reduce the level of risk to as low as reasonably practicable. The implemented mitigation measures should be monitored to ensure that they have the desired effect. Risk management is a continuous activity because the aviation system is constantly changing, new hazards can be introduced, and some hazards and associated safety risks may change over time. In addition, the effectiveness of implemented safety risk mitigation strategies must be monitored to determine if further action is required.

16.1.1 **The operator must apply risk management to the following:**

a) Implementation of new systems.
b) Revision of existing systems.
c) Development of operational procedures.
d) Identification of hazards or ineffective risk controls.

16.1.2 **When conducting the risk assessment, the operator must consider the following:**

a) define a process for conducting risk assessment that allows for the determination of acceptable safety risk;
b) develop and maintain processes to develop safety risk controls that are necessary as a result of the safety risk assessment process;
c) evaluate whether the risk will be acceptable with the proposed safety risk control before implementation.

Note: Refer to TGM for Aviation Safety Hazard identification for guidance.

16.2 Criteria

16.2.1 **Hazard Identification**

a) The organisation needs to develop a formal hazard identification process for collecting, recording, analysing, acting on and generating feedback about hazards that affect the safety of the operational activities of the organisation. (The service provider should develop/define and maintain a formal process that ensures that hazards associated with its aviation services are identified)
b) Hazard identification is based on a combination of reactive, proactive and predictive safety data collection methods;
c) Define the various sources of hazards identification e.g.: voluntary and mandatory reporting systems, safety surveys, brainstorming where safety committees or small groups of people meet to identify possible hazards, generic hazard identification form, safety inspections/audits(internal and external), investigations of previous incidents and accidents etc.

16.2.2 **Risk assessment**

a) Identified hazards are evaluated, prioritised and processed using a risk assessment process.
b) The organisation should define the risk assessment process which includes the likelihood/probability, severity, tolerability, and risk mitigation (mitigating measures or corrective actions) that may either eliminate the risk or reduce the risk to a lower level or as low as reasonably practicable.
c) The risk assessment process may utilise worksheets, forms, or software appropriate to the complexity of the organisation and operations involved.
d) The assessment process should allow risks to be ranked in order of priority so that resources can be targeted more effectively at the high risk levels.

e) Completed safety risk assessments/ hazard log/register which includes identified hazards, risk assessment and subsequent follow up actions need to be clearly documented and approved by the appropriate level of management.
f) Define the procedure of periodic review to evaluate the effectiveness of the mitigating measures (corrective and preventive actions) that have been developed and document their outcomes.
g) Refer Example of Safety Risk Probability Table

LIKELIHOOD	MEANING	VALUE
Frequent	Likely to occur many times (has occurred frequently)	5
Occasional	Likely to occur sometimes (has occurred infrequently)	4
Remote	Unlikely to occur, but possible (has occurred rarely)	3
Improbable	Very unlikely to occur (not known to have occurred)	2
Extremely improbable	Almost inconceivable that the event will occur.	1

a) Example of Safety Risk Severity Table

Severity	Meaning	Value
Catastrophic	• Aircraft/ equipment destroyed • Multiple deaths	A
Hazardous	• A large reduction in safety margins, physical distress or a workload such that operational personnel cannot be relied upon to perform their tasks accurately or completely • Serious injury • Major equipment damage	B
Major	• A significant reduction in safety margins, a reduction in the ability of operational personnel to cope with adverse operating conditions as a result of an increase in workload or as a result of conditions impairing their efficiency • Serious incident • Injury to persons	C
Minor	• Nuisance • Operating limitations • Use of emergency procedures • Minor incident	D
Negligible	• Few consequences	E

b) Example of Safety Risk Matrix Table

Safety Risk		Severity				
Probability		Catastrophic A	Hazardous B	Major C	Minor D	Negligible E
Frequent	5	5A	5B	5C	5D	5E
Occasional	4	4A	4B	4C	4D	4E
Remote	3	3A	3B	3C	3D	3E
Improbable	2	2A	2B	2C	2D	2E
Extremely improbable	1	1A	1B	1C	1D	1E

c) Example of Safety Risk Tolerability Table

Safety Risk Index Range	Safety Risk Description	Recommended Action
5A, 5B, 5C, 4A, 4B, 3A	Intolerable	Take immediate action to mitigate the risk or stop the activity. Perform priority safety risk mitigation to ensure additional or enhanced preventative controls are in place to bring down the safety risk index to tolerable.
5D, 5E, 4C, 4D, 4E, 3B, 3C, 3D, 2A, 2B, 2C, 1A	Tolerable	Can be tolerable based on the safety risk mitigation. It may require management decision to accept the risk.
3E, 2D, 2E, 1B, 1C, 1D, 1E	Acceptable	Acceptable as is. No further safety risk mitigation required.

16.3. Cross-reference documents

Risk register, risk matrix, analysed reports, safety improvement recommendations, etc.

17. SAFETY PERFORMANCE MONITORING AND MEASUREMENT - SACATS PART 140.01.3(1.3)(1.3.1)(1.3.2) AND (1.3.3) – SAFETY ASSURANCE (COMPONENT 3)

17.1 Objective

Describe the safety performance monitoring and measurement component of the SMS. This includes the organisation's Safety Performance Indicators (SPIs), alert levels and Safety Performance Targets (SPTs).

Note: Refer to the TGM for measuring safety performance – SPIs Guidance.

17.2 Criteria

a) Define a formal process for establishing, developing and maintaining SPIs, alert levels, and SPTs.
b) Correlation established between the SPIs and the organisation's safety objectives and the process for submitting the SPIs for acceptance to SACAA using the CA 140-07 Safety Performance Indicators measurement and agreement available on the SACAA website.
c) The process of monitoring the performance of these SPIs including remedial action procedures whenever unacceptable or abnormal trends are triggered.
d) Any other supplementary SMS or safety performance monitoring and measurement criteria or process.

17.3 Cross-reference documents

Measurement and monitoring reports, procedures, submission of SPTs to the SACAA (CA 140-07 Safety Performance Indicator measurement and agreement), etc.

18. MANAGEMENT OF CHANGE - SACATS PART 140.01.3 (1.3.5) - SAFETY ASSURANCE (COMPONENT 3)

18.1 Objective

The management of change process aims to determine the risks associated with the intended change and its impact on the organisational current and future activities. It describes the organisation's process for managing changes that may have an impact on safety risks or operations and how such processes are integrated with the SMS. Aviation operations are dynamic and changes will frequently occur.

Note: Changes may include the introduction of new equipment, changes to the facilities/infrastructure or scope of the work, new contracted service, new procedures, changes to key staff members etc.

18.2 Criteria

a) Procedures to ensure that substantial organisational or operational changes take into consideration any impact which they may have on existing safety risks.
b) Procedures to ensure that appropriate safety assessment is performed prior to the introduction of new equipment or changes to facilities/infrastructure or new contracted service or changes to key staff members or new or revised procedures / processes which have safety risk implications.
c) Procedures for review of existing safety assessments whenever there are changes to the associated process or equipment.

18.3 Cross-reference documents

Organisational SOPs relating to the management of change, risk assessments about the changes, etc.

19. CONTINUOUS IMPROVEMENT AND SMS AUDIT - SACATS PART 140.01.3 (1.3.6) – SAFETY ASSURANCE (COMPONENT 3)

19.1 Objective

Describe the process for the continuous review and improvement of the SMS.

19.2 Criteria

a) Define the process or procedure for regular internal audit/review to ensure that SMS is effectively implemented throughout the organisation refer to **SACATS Part 140.01.3(1.3.4).**
b) The scope of the review should include but not limited to:
   i. A review of how the organisation complies with the requirements/regulations for SMS (SACARS and SACATS Part 140);
   ii. A review how the organisation conforms with its SMS;
   iii. Verification of mitigation measures that have been put in place to control identified hazards and effectiveness thereof;
   iv. Assess the effectiveness of the procedures and processes used to develop the SMS Manual and implementation thereof.
c) Describe any other programmes contributing to continuous improvement of the organisation's SMS and safety performance safety surveys or ISO systems etc.

19.3 Cross-reference documents

Audit programme/plan/schedules, audit reports, corrective actions and follow-up, etc.

20. SAFETY TRAINING AND COMMUNICATION - SACATS PART 140.01.3(1.4) – SAFETY PROMOTION (COMPONENT 4)

20.1 Objective

The operator must provide training to every employee to ensure that the individuals attain and maintain the competencies necessary to perform their duties relevant to the operation and performance of the SMS. The operator needs to describe the type of SMS and other safety-related training that staff receives and the process for assuring the effectiveness of the training. Describe how such training procedures are documented. Describe the safety communication processes/channels within the organisation.

20.2 Criteria

20.2.1 **Training and Education as per SACATS Part 140.01.3(1.4) (1.4.1)**

a) Define the training policy/procedure/process of the organisation.
b) The training syllabus, eligibility and requirements are documented.
c) The training includes initial (core training), recurrent and on-the-job training.
d) The organisation's SMS training is part of the overall training programme.

e) SMS awareness is incorporated into the employee/ stakeholder induction.
f) There is a validation process that measures the effectiveness of training.

20.2.2 **Safety Communication - SACATS Part 140.01.3(1.4) (1.4.2)**

1. An entity referred to in regulation 140.01.1 should develop, document, implement and maintain an effective safety communication strategy of safety related data or information by the appropriate method and with consideration to the individual's role within the entity.
2. The safety strategy referred to in subsection (1) should –
    a) apply to internal and external communications;
    b) be clear, simple, practical and align with the safety policy and safety objectives; and
    c) achieve, at a minimum, the following objectives –
        i. ensure in a timely manner, that personnel have a knowledge of the SMS to a degree commensurate with their position;
        ii. convey, in a timely manner safety-critical information that may expose an entity to safety risks;
        iii. raise awareness of new safety risk controls and corrective actions and explain why particular safety actions are taken;
        iv. provide information on new or amended safety policy, objectives and procedures and explain why they are introduced or changed to ensure the appropriate people are kept informed;
        v. promote a positive safety culture among their systems and interfaces;
        vi. encourage personnel to identify and report hazards; and
        vii. provide feedback to personnel submitting a safety report.

20.3 Cross-reference documents

Training records, attendance registers, training policy, training programme, safety promotions initiatives, internal communication, etc.

21. EMERGENCY/CONTINGENCY RESPONSE PLAN - SACATS PART 140.01.3(1.1.4) – SAFETY POLICY AND OBJECTIVES (COMPONENT 1)

21.1 Objective

Describe the organisation's intentions regarding, and commitment to dealing with, emergency situations and their corresponding recovery controls. Outline the roles and responsibilities of key personnel. The emergency response plan (where applicable) can be a separate document, or it can be part of the SMS manual.

21.2 Criteria (as applicable to the organisation)

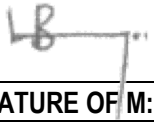
a) The organisation has an emergency plan that outlines the roles and responsibilities in the event of a major incident, crisis or accident.
b) There is a notification process that includes an emergency call list and an internal mobilisation process.
c) The organisation has arrangements with other agencies for aid and the provision of emergency services as applicable.
d) The organisation has procedures for emergency mode operations where applicable.
e) There is a procedure for overseeing the welfare of all affected individuals and for notifying next of kin (Shared responsibilities between helicopter operators and heliport).

f) The organisation has established procedures for handling the media and insurance-related issues.
g) There are defined accident investigation responsibilities within the organisation (Responsibilities of AIID).
h) The requirement for preservation of evidence, securing the affected area, and mandatory/ governmental reporting is clearly stated (Responsibilities of SAPS).
i) There is emergency preparedness and response training for affected personnel.
j) A disabled helicopter or equipment evacuation plan has been developed by the organisation in consultation with helicopter/equipment owners, heliport operators or other agencies as applicable.
k) A procedure exists for recording activities during an emergency response.

21.3 Cross-reference documents

HEMS manual, etc.

22. DOCUMENT AUTHORISATION

DEVELOPED BY:		
	**BASIL HLATSHWAYO**	**23 September 2025**
SIGNATURE OF M: CZH	**NAME IN BLOCK LETTERS**	**DATE**
REVIEWED & VALIDATED BY:		
	**NELSON NKABITI**	**23 September 2025**
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APPROVED BY:		
	**TEMBISA MAPHIKE**	23 September 2025
SIGNATURE OF E: ASI	**NAME IN BLOCK LETTERS**	**DATE**

END