



Richtlinie

SMS-001

Information Leaflet

Implementation of Safety-Management-Systems (SMS)

Referenz/Aktenzeichen: 51-00-00 / SMS-001

Rechtsgrundlagen: ICAO Annexes 6, 11 und 14

Adressaten: Flugbetriebe (CAT)
Unterhaltsbetriebe (EASA Part 145 / EASA Part M)

Ausgabestand: Veröffentlicht
Inkraftsetzung vorliegende Version: 16.06.08
Vorliegende Version: 1.0
Inkraftsetzung Erstveröffentlichung: 16.06.08

Verfasser: SRM BAZL

Genehmigt am / durch: 16.06.08 / Amtsleitung

1 SMS Introduction

The concept of "safety management" is becoming more and more prominent in the aviation sector. More specifically, the formal introduction of Safety Management Systems (SMS) is clearly found in the ICAO requirements which are the top level aviation regulatory statutes. The Swiss government has declared SMS to be a cornerstone of the aviation safety policy (LUPO §4.1) which has been further reinforced in the FOCA "Safety Policy". Once implemented and mature, the stakeholder SMS can be expected to have a significant influence on the surveillance activity of the regulator. In part, the requirements for SMS have been already applied, specifically by the Air Navigation Service Providers (ICAO Annex 11) and certain aerodromes (ICAO Annex 14). With effect from 01.01.2009, amendments to ICAO Annex 6 will come into effect which requires the implementation of safety management systems by Operators (of airplanes and helicopters) engaged in commercial air transport – CAT (ICAO definition: An aircraft operation involving the transport of passengers, cargo or mail for remuneration or hire.), as well as maintenance organizations certificated under EASA Part 145 or holding an EASA Part-M, Subpart F approval.

Future harmonization between all of the ICAO Annexes can be expected.

The FOCA is carefully following these developments and is preparing the way forward, both for the stakeholders and the FOCA itself. Not only is FOCA in direct contact with the ICAO , we are also actively engaged in various European working groups developing the future EASA requirements and guidance for SMS integration in the EU. As a result, the FOCA Board has agreed on a concept for SMS implementation in Switzerland and has initiated the process to, together with the industry, facilitate a pragmatic and effective transition.

This information leaflet is intended to provide all affected parties with an initial background and understanding of the SMS implementation plan adopted by FOCA. It is not intended to provide all details for SMS implementation, but rather a general overview of the requirements and the approach to be taken. Further, domain specific, information and guidance will be provided as the need arises or as it becomes available. This information also does not supersede already existing requirements. The goal of FOCA (and ICAO) is the harmonization of the SMS requirements in the entire aviation industry.

2 General Considerations

A *safety management system (SMS)* is an organized approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures.

The introduction of SMS regulations is a shift from prescriptive to "performance based" regulation. The implementation of SMS requires processes which allows the control of safety risks and introduces the concept of acceptable level of safety.

The stakeholders (providers) are responsible for establishing an SMS.

The FOCA is responsible for the acceptance and oversight of the stakeholder's SMS.

The FOCA Board has decided to pursue a generic, performance based approach towards SMS implementation and not a prescriptive, compliance based approach. This in recognition that, for the purpose of safety management, "one size does not fit all".

3 Applicability

Existing Requirements:

- ICAO Annex 11 / Verordnung über den Flugsicherungsdienst 748.132.1 (VFSD) > pertaining to ANSP
- ICAO Annex 14 / Verordnung über die Infrastruktur der Luftfahrt 748.131.1 (VIL) Art. 3 1bis > pertaining to aerodromes

Amended Requirements:

- ICAO Annex 6, Amdt. 30 to Part I > pertaining to Operators involved in international air transport.
- ICAO Annex 6, Amdt. 11 to Part III > pertaining to helicopter operators involved in international air transport
- ICAO Annex 6, Amdt 30 to Part I > pertaining to Maintenance Organisations (maintaining the aforementioned aircraft and helicopters)
- A revision to Article 122 of the Luftfahrtverordnung (LFV) is anticipated in November 2008 which will provide the formal link to the ICAO requirements.

4 SMS Design (Framework)

There is no globally harmonized standard for SMS, however the ICAO Safety Management Manual Doc 9859 provides generic guidance which has been unilaterally accepted by the aviation community.

Accordingly the FOCA has determined that the **framework of stakeholder SMS** should include the following 4 components (13 elements):

Safety policy and objectives

- 1.1 – Management commitment and responsibility**
- 1.2 – Safety accountabilities of managers**
- 1.3 – Appointment of key safety personnel**
- 1.4 – SMS implementation plan**
- 1.5 – Coordination of emergency response planning**
- 1.6 – Documentation**

Safety risk management

- 2.1 – Hazard identification processes**
- 2.2 – Risk assessment and mitigation processes**

Safety assurance

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

Safety promotion

- 4.1 – Training and education**
- 4.2 – Safety communication**

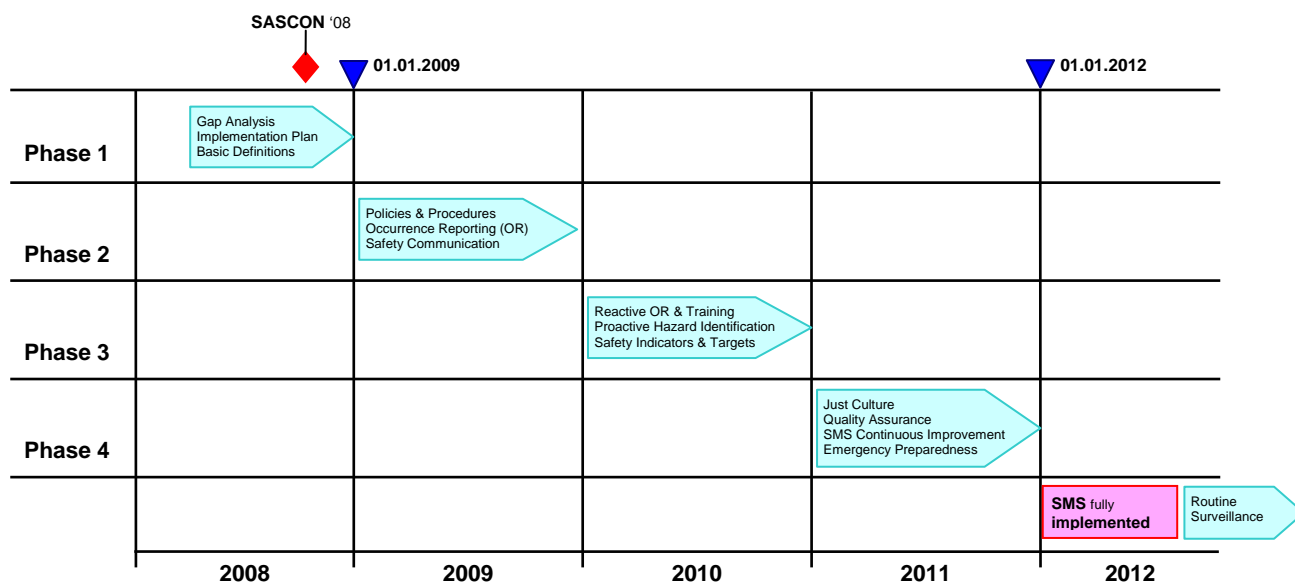
An expanded explanation of what is to be understood under each of the above mentioned elements is found in Annex 1 to this leaflet.

Stakeholders will be free to adapt the scope of the SMS to be suitable to the complexity of their operations. They are encouraged to identify the best method of compliance to meet their individual circumstances. The objective is to have an effective and proactive SMS and it will therefore need to develop and grow based on the organization’s needs and nature.

5 Implementation

The implementation by stakeholders covered by Annex 11 and Annex 14 is already ongoing. Where specific SMS requirements are already applicable (i.e. – ESARR 3) no changes need to be introduced. If the existing requirements provide less detail for SMS implementation (i.e. – Annex 14) the information provided in this leaflet may be used as guidance for further development.

For stakeholders affected by the latest amendments to Annex 6, the FOCA is determined to pursue a phased, “stepwise approach”. This process shall be initiated by 01.01.2009 in order to be compliant with the ICAO requirements; however the development of a truly effective safety management system will take considerably more time. For this reason, the following “implementation phases” are foreseen:



(Details in regard to required elements for Phases 1 to 4 are given in Annex 2 to this leaflet)

6 Process

The SMS is a management system which needs to be fully incorporated (or „integrated“) in the daily business of the organization. Therefore, it follows that the SMS is not “approved” by the regulator as a stand-alone process, but rather “assessed” as an essential part of the approval / surveillance process for an organizational approval (such as an AOC, EASA Part 145 certification, aerodrome certification, etc).

For organizations affected by the Annex 6 amendments, the information required under Phase 1, stated above, shall be submitted to the FOCA Division responsible for the stakeholder’s certificate.

The stakeholder will be considered to be initially compliant when FOCA receives evidence that:

- The management responsibilities / accountabilities are clearly defined
- A safety policy has been documented and signed by the accountable executive
- An SMS gap analysis has been conducted and the results documented
- A documented implementation plan, providing specific actions with an appropriate timeline, is in effect

During the Phase 1 period (2009), the FOCA will review the documentation submitted and include the contents in the regularly scheduled surveillance activities of the organization. Dedicated meetings/discussion may be arranged if the stakeholder, or FOCA, finds it necessary to review specific aspects of the SMS implementation.

Generally, the stakeholders are expected to initiate the implantation of SMS by 01.01.2009 as indicated.

Failure to provide the required information or documentation to the FOCA will be considered to be a non-compliance with the requirements and may result in sanctions or certificate actions.

7 Guidance Material

Unless found to be absolutely necessary, FOCA will not create separate guidance material for SMS implementation. Instead, existing material which is found to be appropriate will be identified and will be referred to. The following are examples of such, generically acceptable, guidance material:

- ICAO Doc 9859 – Safety Management Manual
- ICAO SMS Gap Analysis Checklist
- TCCA TP 14135 - Safety Management Systems for Small Aviation Operations
- TCCA TP 13739 - Safety Management Systems
- Helicopter Safety Management System Toolkit (JHSIT/IHST)
- CASA Advisory Circular AC 119-270(0) Safety Management Systems
- CAA UK “SAFETY MANAGEMENT SYSTEMS – GUIDANCE TO ORGANISATIONS”
- EASA guidance material is being developed by the ECAST SMS Working Group

This list is non-exclusive and will be updated as time goes on.

8 EASA Developments

The inclusion of SMS requirements in the European aviation system is undisputed. EASA is pursuing a course that is intended to be compliant and consistent with the ICAO requirements as well as existing JAR requirements. Towards this objective, EASA is planning on issuing an Implementation Rule (applicable to GEN-OPS-FCL) which will address the integration of “Management Systems”. The NPA for this requirement is expected to be published in August 2008. The FOCA continues to follow (and participate in) this process and will take steps to facilitate an appropriate introduction in Switzerland.

9 Next Steps

In anticipation of the upcoming implementation date of January 2009, the FOCA advises the stakeholders to take the following actions as appropriate:

1. Top Management should include the issue of SMS implementation in the management level planning with immediate effect. (Note: the safety seminar "SASCON 08", 24.Oct.08, will specifically address the issue of SMS implementation from the top management perspective)
2. Training is essential to the effective implementation of a safety management system in any organization. The industry, in particular the Trade Groups, are encouraged to organize SMS training sessions for all stakeholders. (*NB - FOCA is in the process of providing SMS training for all it's safety staff*)
3. Initiate the process of conducting an internal gap analysis as soon as possible (reference may be made to the guidance provided in Annex 4)

10 Further Information

The FOCA will use its website (www.aviation.admin.ch) to provide further general information for SMS implementation. In addition, the responsible FOCA Safety Divisions will provide stakeholders with domain specific information when appropriate.

11 Annexes

- | | |
|---------|--|
| Annex 1 | Explanation of SMS framework elements |
| Annex 2 | Required Elements for Implementation Phases 1 to 4 |
| Annex 3 | Guidance on Safety Policy development |
| Annex 4 | ICAO SMS Gap Analysis guidance (draft Appendix to Doc. 9859) |

Bundesamt für Zivilluftfahrt

Raymond Cron
Direktor

Ryan Hunninghaus
Leiter Safety Risk Management