

SMS Implementation Authority perspective

Moderator

Grégory Lièvre – Head of DOA & ETSO Department



Objectives of the panel

- Provide a status update on SMS implementation (Production and Design organisations) in Panellists' respective areas
- Report challenges and successes
- Raise points of attention for Industry and other Authorities
- Highlight possible local specificities



| ICAO

INTERNATIONAL CIVIL AVIATION ORGANIZATION

A UN SPECIALIZED AGENCY



SMS Implementation: Authority Perspective SMS Workshop

EASA, Cologne 25 October 2023

ICAO Annex 19 – Safety Management Status

- **Annex 19 Amendment 1 was adopted in March 2016 and became applicable in November 2019.**
- **Annex 19 Amendment 2 is in the final stages of coordination and review.**
- **It is expected to be adopted in Q2 2024 and to become applicable in November 2026.**

Annex 19 Amendment 2

- **Proposed changes to Annex 19 stem from a variety of sources, including:**
 - a) terms of reference of the Safety Management Panel (SMP);**
 - b) The collective experience of the SMP in implementing SSP and SMS (ICCAIA – International Coordinating Council of Aerospace Industries Associations);**
 - c) Information and feedback collected through ICAO implementation support activities.**

Enhanced Provisions Related to SMS

- **Proposed amendments to support implementation of the SMS framework;**
- **New standard to support the identification of interfaces;**
- **New standard to ensure products and services that have an impact on safety are covered by the SMS;**
- **Existing standard amended to further emphasize the need to identify hazards across interfaces.**

Enhanced Provisions Related to SMS Applicability

- **SMS applicability extended to:**
- **certified Remotely-Piloted Aircraft System (RPAS) operators;**
- **approved maintenance organizations providing services to them; and**
- **certified heliports.**

SM-0001 International Industry Standard

(Issue A, 2018)

- **Developed by a group working on design and manufacturing provisions.**
- **Based on ICAO Standards and Recommended Practices (SARPs).**
- **Published by AIA, AIAB, AIAC, ASD, GAMA.**
- **Implementing SMS in design, manufacturing and maintenance organizations.**

ICAO Annex 8 – Airworthiness of Aircraft

- **Thirteenth Edition 2022**
- **Also includes provisions for design and manufacturing organizations**

Implementation Support Activities

- **Guidance material**
 - a) **Doc 9859 – Safety Management Manual (4th edition)**
 - b) **Doc 10159 – Safety Intelligence Manual (draft 1st edition)**
- **ICAO training courses** [Global Aviation Training \(GAT\) \(icao.int\)](#)
- **ICAO workshops (hands-on and practical guidance)**
SafetyManagement@icao.int
- **iPacks (Implementation packages)** [Implementation Package \(iPack\) \(icao.int\)](#)
- **Safety Management Implementation (SMI) Website**
[Safety Management Implementation - Overview \(icao.int\)](#)



Thank You!

Transport Canada Civil Aviation

SMS Expansion – Design and Manufacturing



SMS in Canada

- **SMS Modernization:** Expansion to Canada's Design and Manufacturing sector
- **Current SMS Applicability in Canada:**
 - Airlines (CAR 705)
 - Private Operators (CAR 604)
 - Air Traffic Services (CAR 801)
 - Airports (CAR 302)
 - Approved Maintenance Organizations (CAR 573) performing maintenance on aircraft operated by Airlines
- A **voluntary SMS program** is currently bridging the gap until regulations come into force
- **D&M SMS Regulatory Development Timelines:**
 - Notice of Proposed Amendment (NPA): *Fall 2023*
 - Regulations in force: *Fall/Winter 2025*

SMS Applicability – Design and Manufacturing

→ For Manufacturing Orgs:

Applies to an applicant for, or a holder of, a manufacturer certificate issued under CAR 561.03

→ For Design Orgs:

Applies to an applicant for, or a holder of, the following documents:

- **Type Certificate** issued under CAR 521.57 in respect of an aeronautical product;
- a **Canadian Technical Standard Order (CAN-TSO) Design Approval** issued under CAR 521.109 in respect of an appliance or a part that could directly prevent continued safe flight and landing if they fail;
- a **Supplemental Type Certificate** issued under CAR 521.206 in respect of an aeronautical product that could directly prevent continued safe flight and landing if they fail;

SMS Implementation

FAA Perspective

Presented to: SMS for Design & Production Organizations
Workshop Attendees

By: Jeff Duven, Aircraft Certification Service

Date: 25 October 2023



**Federal Aviation
Administration**



SMS Common Ground

- **Utilization of the International Civil Aviation Organization (ICAO) Annex 19 to build out SMS requirements.**
 - ICAO Annex 19 requires all organizations that design and manufacture products (i.e., engines, aircraft, and propellers) to have an SMS.
- **SMS International Industry Standard (SM-0001) supports SMS implementation consistent with Annex 19.**
 - FAA is an observer on the SM-0001 team developing revisions.
 - Changes will be incorporated to support compliance with the part 5 final rule.

FAA SMS Rulemaking Approach

- **Voluntary SMS Program implementation.**
 - Promotes industry involvement and feedback at the early stages prior to rule implementation.
 - Informs rulemaking and will support the seamless transition of companies to an SMS meeting part 5.
- **SMS Design and Manufacturing Focus Group participation.**
 - International involvement through this focus group facilitates SMS implementation in Design and Manufacturing organizations.
- **Notice of Proposed Rulemaking (NPRM) publication, January 2023.**
 - The public comment period closed in April 2023; FAA is currently reviewing and addressing comments received.
 - Final rule expected in 2024.

FAA SMS Final Rule and Implementation

- **We are considering the comments received on the SMS NPRM while developing the final rule.**
- **Engagement efforts are underway to promote SMS within the FAA and to support industry in anticipation of the final rule publication.**
 - Developing internal policy that will provide guidance to support implementation and perform oversight of part 5 requirements.
 - Developing training to ensure our workforce is knowledgeable in SMS requirements and how SMS functions inside a design and manufacturing organization.
 - Developing an Advisory Circular to aid industry SMS implementation.
 - Actively participating in the SMS Design & Manufacturing Focus Group and the revision of the SM-0001 international industry standard.
 - Continuously maintaining and promoting our voluntary SMS program to support industry adoption of SMS and compliance with the SMS final rule.



MINISTERIO
DE TRANSPORTES, MOVILIDAD
Y AGENDA URBANA



SMS Implementation Challenges

Ignacio CARRETERO

Head of the Airworthiness and Registration Department
Cologne, 24-October-2023



01 First Lessons learnt

02 Challenges of the EU System

ENOUGH TIME?



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**SPANISH POAs HAVE NOT
APPLIED FOR THE CHANGE**

✓ 1 APPLICATION TO HAVE COMMON MS WITH
P145 AND CAMO APPROVAL



7/06/2024

AESA → deadline
for other
applications



07/09/2024

AESA has
established a
Recommended
final date to
apply for MS



2025

Implementation
before March
2025



PREVIOUS EXPERIENCE WITH CAMOs



EXPERIENCE OF PERSONNEL



IMPLEMENTATION TIME PROBLEMS

DIFFICULTIES IN INITIAL RISK IDENTIFICATION



IT IS NECESSARY THAT THE NAA SUPPORTS THE ORGANISATION DURING THE WHOLE PROCESS



ORGANISATIONS WITH SEVERAL APPROVALS



**COORDINATION BETWEEN
DEPARTMENTS AND NAAS**



**STATE OF IMPLEMENTATION (i.e. AOCs WORKING WITH SMS
FOR SEVERAL YEARS, NOT AIRWORTHINESS)**

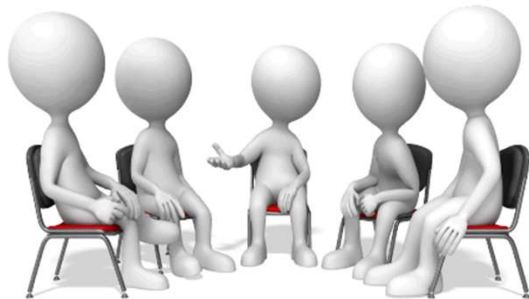


**DIFFERENT POINTS OF VIEW (NECESSARY STANDARDISATION
INSIDE THE AUTHORITY)**



**AESA DECIDED TO ALIGN THE SURVEILLANCE PLANS FOR
ORGANISATIONS WITH DIFFERENT APPROVALS**

Thank You



www.seguridadaerea.gob.es

Thank you for attention.

Any questions?



easa.europa.eu/connect



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