



Schweizerische Eidgenossenschaft
Confédération suisse
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Federal Office of Civil Aviation FOCA

3rd EASp implementation and review summit

Sandra Rüfenacht, 18 June 2013



Content

- Swiss Aviation Industry
- Swiss State Safety Programme and Gap Analysis
- Lessons learned
- FOCA internal SMS
- SMS implementation and surveillance
- EASP and EASp
- New competencies for safety management



Swiss Aviation Industry





Swiss State Safety Programme

- Collection of information throughout CAA
- SSP developed along the elements of ICAO framework

SAFETY POLICY & OBJECTIVES

- LUPO
- FOCA Safety Policy
- Regulatory framework
- Accident & Incident investigation
- Description safety responsibilities & accountabilities
- SSP improvement planning

SAFETY ASSURANCE

- Compliance is monitored
- FOCA Safety Management
- Risk based oversight activity
- Integration of Systemic Performance Based Oversight
- SMS integration across industry
- Change management

SAFETY RISK MANAGEMENT

- Stakeholder SMS implementation
- SMS guidance material
- Effective reporting system
- Accident investigation capability
- SPI development (Tier 2 & 3)
- Agreed stakeholder safety performance

SAFETY PROMOTION

- Training (SMS & SC)
- Safety Information
 - Communication (internet)
 - Dissemination (reporting)
- Internal & external addressees

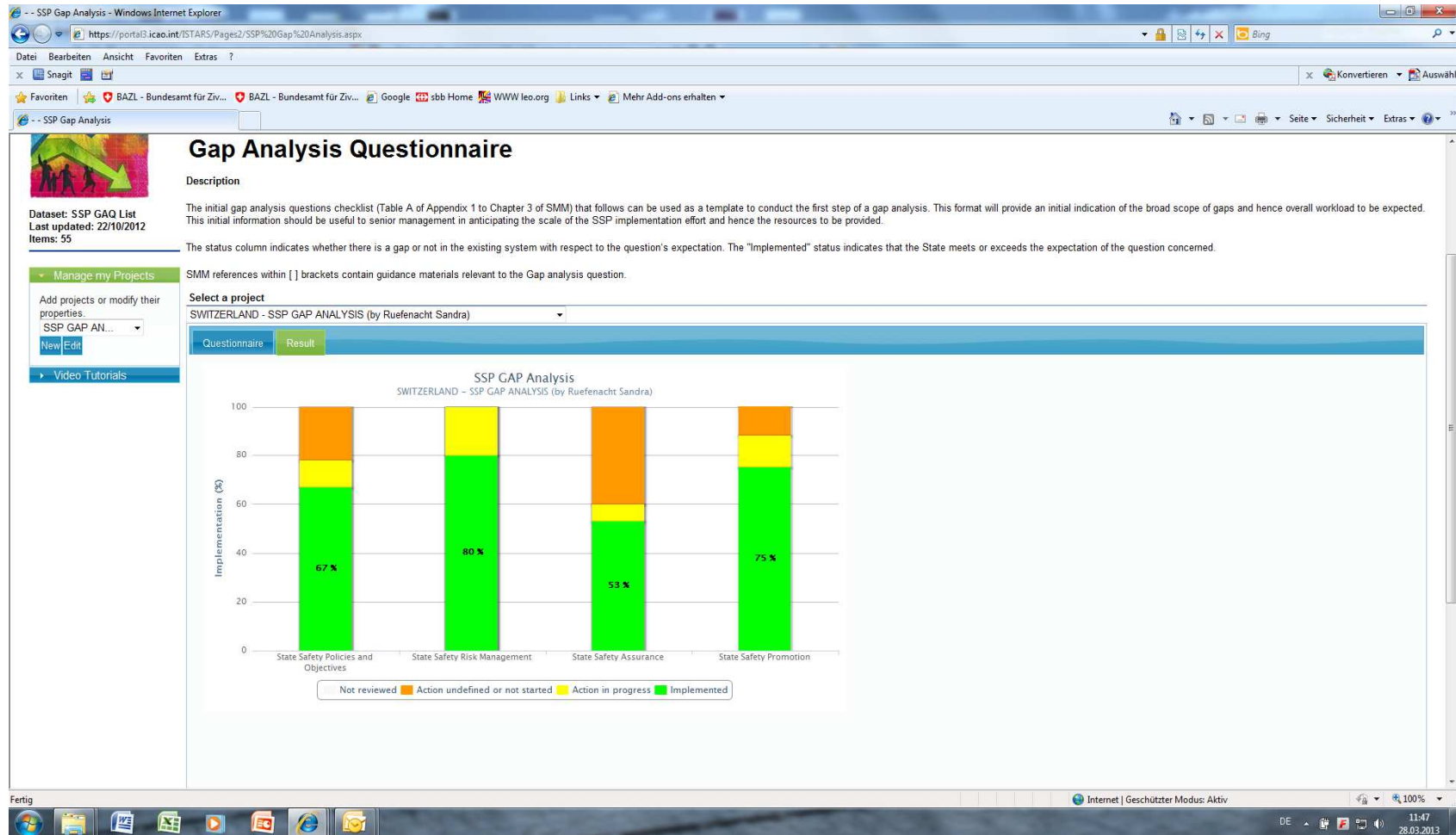


Swiss State Safety Programme

- First edition published on FOCA website in 2012 (German, French and English)
- Further development and update of SSP initiated
- Gap analysis on iStars
- Revision of SSP document in summer 2013
- Consultation of relevant divisions in autumn 2013
- Publication of second edition planned for winter 2013



SSP Gap Analysis





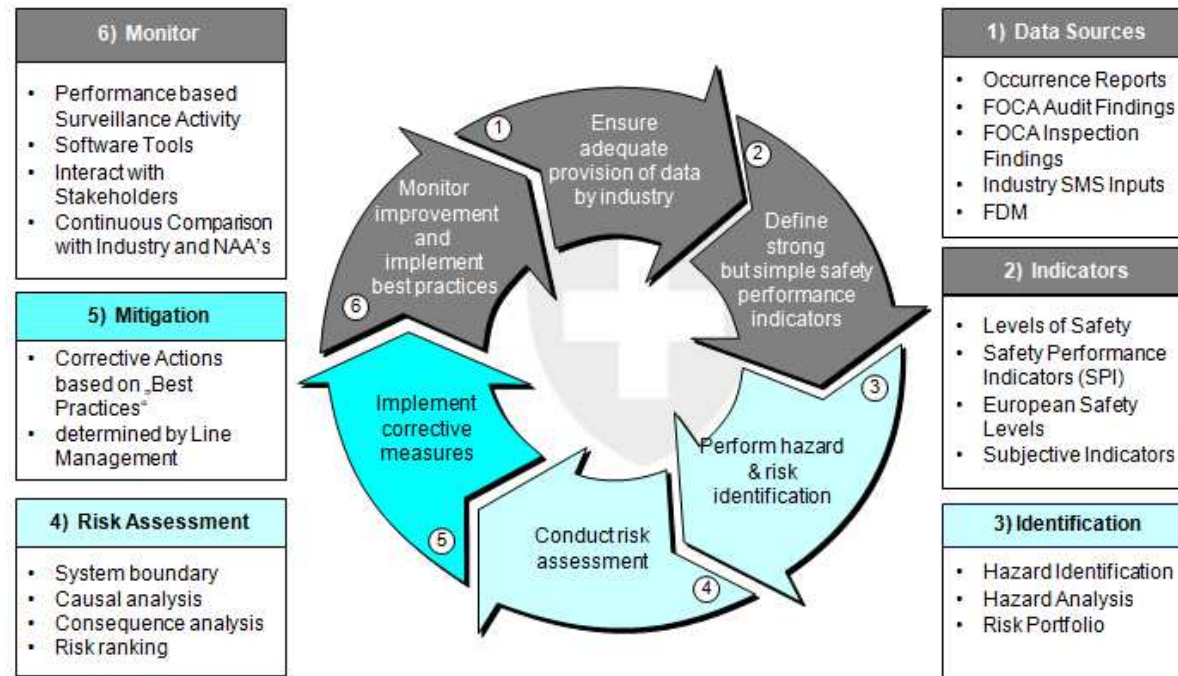
Lessons learned

- Added value of SSP compared with maturity of aviation system
- First compliance, afterwards SSP
- Implementation plan makes sense if starting from the scratch
- SSP: programme or descriptive document
- Advantage of gap analysis



FOCA internal SMS („SRM“)

- Fulfils the objective... to facilitate **monitoring and measurement of the aggregate safety performance** of the State's aviation industry.





SMS implementation



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Safety Management Systems (SMS)

Under ICAO Annex 6, the extended introduction of safety management systems (SMS) in civil aviation is required. In Switzerland, these requirements came into force on 1.1.2009. Similar international rules concerning air traffic services (ICAO Annex 11) and certain aerodromes (ICAO Annex 14) already exist and have been implemented or are in the process of being implemented.

The new requirements are aimed at flight operators (aeroplanes and helicopters in commercial service, Commercial Air Transport - CAT) and organisations that hold a certificate in accordance with EASA Part 145 or EASA Part M, Subpart G. These businesses are required to take the necessary steps to ensure the proper implementation of ICAO Annex 6. Since 1 January 2012, the gradual introduction of SMS should be completed in all of the abovementioned companies.

The available documentation provides further details regarding the introduction of SMS.

The FOCA monitor and supervise actively the introduction of SMS in the Swiss civil aviation community. The introduction of SMS is also be coordinated with corresponding activities within the EASA and the ICAO.



Directives and information material

- [Directive Implementation of Safety-Management-Systems \(SMS\)](#)

SMS-001
08.09.2009 | 55 kb | PDF

- [Safety Management System Assessment Guide](#)

SMS-002
11.02.2013 | 317 kb | PDF

- [SMS Implementation Annex 1](#)

08.09.2009 | 16 kb | PDF

- [SMS Implementation Annex 2](#)

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SMS implementation

- In-depth analysis about SMS implementation in industry by dedicated working group in 2012
- Commercial: all active operators with AOC SQMS audited
- Helicopter: all operators' SMS satisfying
- VFR AOC operators: SMS implemented
- Training organizations: SMS implementation ongoing
- Aerodromes: SMS implementation ongoing (8 out of 13 already certified)
- Air Navigation Services: certification ongoing
- Design and production: SMS implementation starting in November 2013
- Maintenance: SMS implemented



SMS Surveillance

- Legal basis in Swiss aviation regulation
- Focus on data driven oversight
- SMS evaluation as part of routine oversight activity
- SMS Assessment Guide (based on SMS-ICG) published as FOCA internal directive
- Internal training:
 - Basic SMS course (4 days based on ICAO)
 - Training on Assessment Guide
 - Training on Safety Culture, Just Culture, Hazard and Risk Assessment



EASP and EASp

- Appendix 2 to SSP contains description of responsibilities of EASA member states in the various areas as outlined in the EASP
- Appendix 3 to SSP contains a summary of and a link to the EASp
- FOCA Hazard/Risk Portfolio incorporates the EASp operational issues as accident categories
- European initiatives are supported and results promoted within FOCA and industry (EAPPRE, RWY Safety Plan, EHEST etc.)
- Different working groups are established (for example AIWG, Airprox Board, SOC, RWY safety teams etc.)



New competencies for safety management

- Internal training programme, continuous training on SSP, SMS, SPI, PBO etc.
- Working group on Performance Based Oversight
- Development of Safety Performance Indicators
- Development of Safety Culture guide (project)
- Communication (internal & external)
- Continuous update and improvement of the SSP



Industry level

- **Annual Safety conference SASCON**

2007: „Workshops on Safety Culture“

2008: „The Implementation of Safety Management Systems“

2009: „Workshop on SMS-implementation“

2010: „SMS – The Art of Performance“

2011: „Safety Culture Development“

2012: „Safety Performance Indicators“

2013: „Human factors in complex systems“



EU level

- EASP and EASp are useful basis
- Provide more guidance material
- Clarify relationship between compliance and performance
- Consistency of different documents
- Training for authorities





Thank you

- Questions?

