



Safety Management The Regulators perspective

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Key Topics

- **The Intent of a Safety management System**
- **Just Culture within an SMS**
- **Dealing with contracted organisations**
- **Authority evaluation of an SMS**
- **Roles and functions within an SMS**
- **Lessons learnt**
- **Safety Management International Collaboration Group**

What is a Safety Management System?

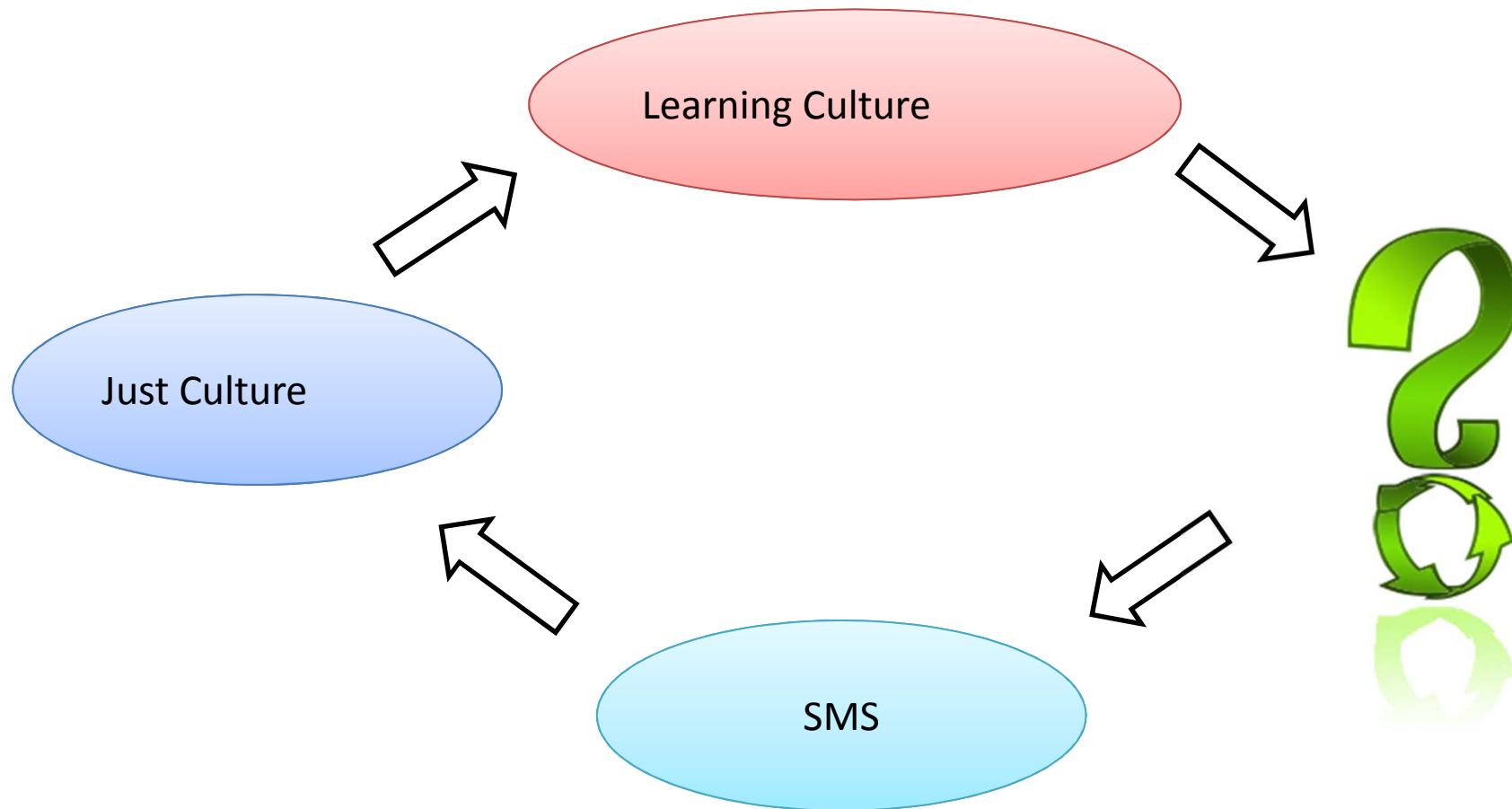
- It's a management decision making tool
- Identifies safety issues (hazards)
- Assesses the risks
- Takes action to minimise the risk
- Assigns ownership of actions and the risk
- Checks that the actions taken are working as expected
- It's not a document... it's what you do!

Prescriptive Rules are not a Complete Solution



- Aviation is diverse
- Regulations alone do not ensure safety
- Differing operating models and environments
- Large and Small
- Complex
- Non-complex

Impact of Organisational Culture: “How do we learn?”

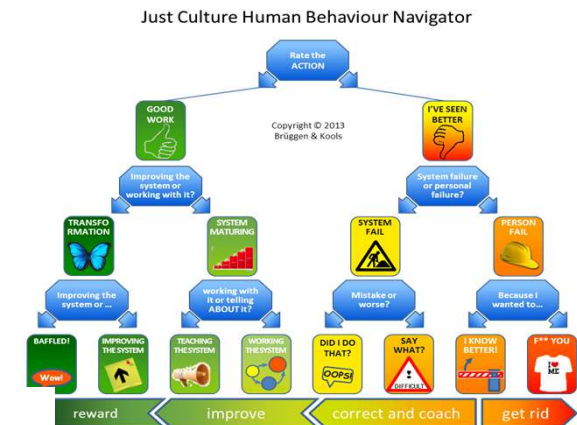
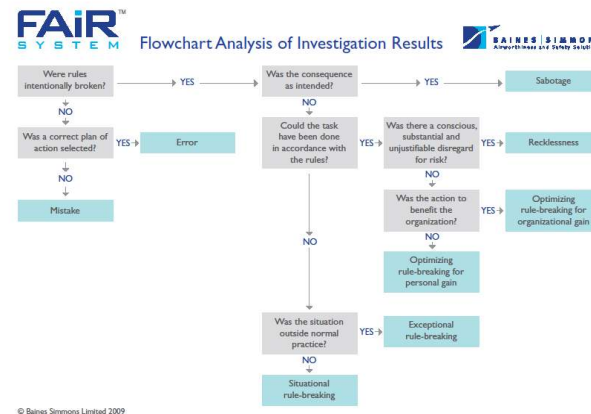
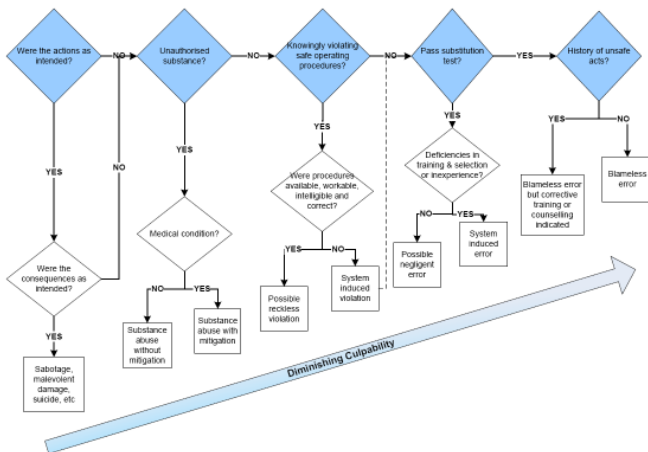


Just Culture as an SMS enabler

- **It encourages people to report safety issues**
 - You need data to know your unknowns
 - People need to know what, why and how to report.
 - Your people are the eyes and ears of your organisation
 - If it's not reported it won't get fixed
- **It will help in safety investigations**
 - People will be more open
 - You need to find out why something happened.

Just Culture in practice

- It needs a Just Culture policy
- It needs a supporting process in place
 - Culpability Decision Models
 - Carry out the investigation first
 - Make recommendations
 - Independent Review Board



Management of Contractors

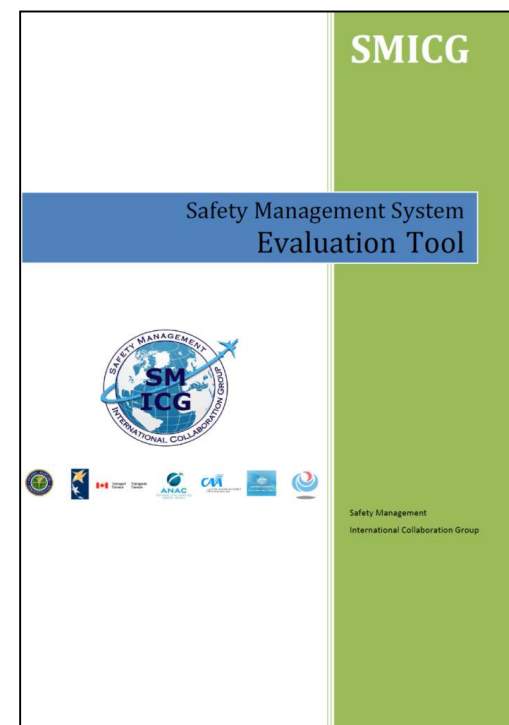
- **Your contractors generate risks to your organisation**
 - You need to know what they are
 - Have a look at their risk register
 - What is their reporting culture like?
- **Your contractors also protect you**
 - Are they applying the risk mitigations you want them to?
 - How are you assessing how effective they are in applying your risk mitigations?
- **Assurance of your contractors**
 - Compliance and Safety Risk Assurance

Management of Contractors

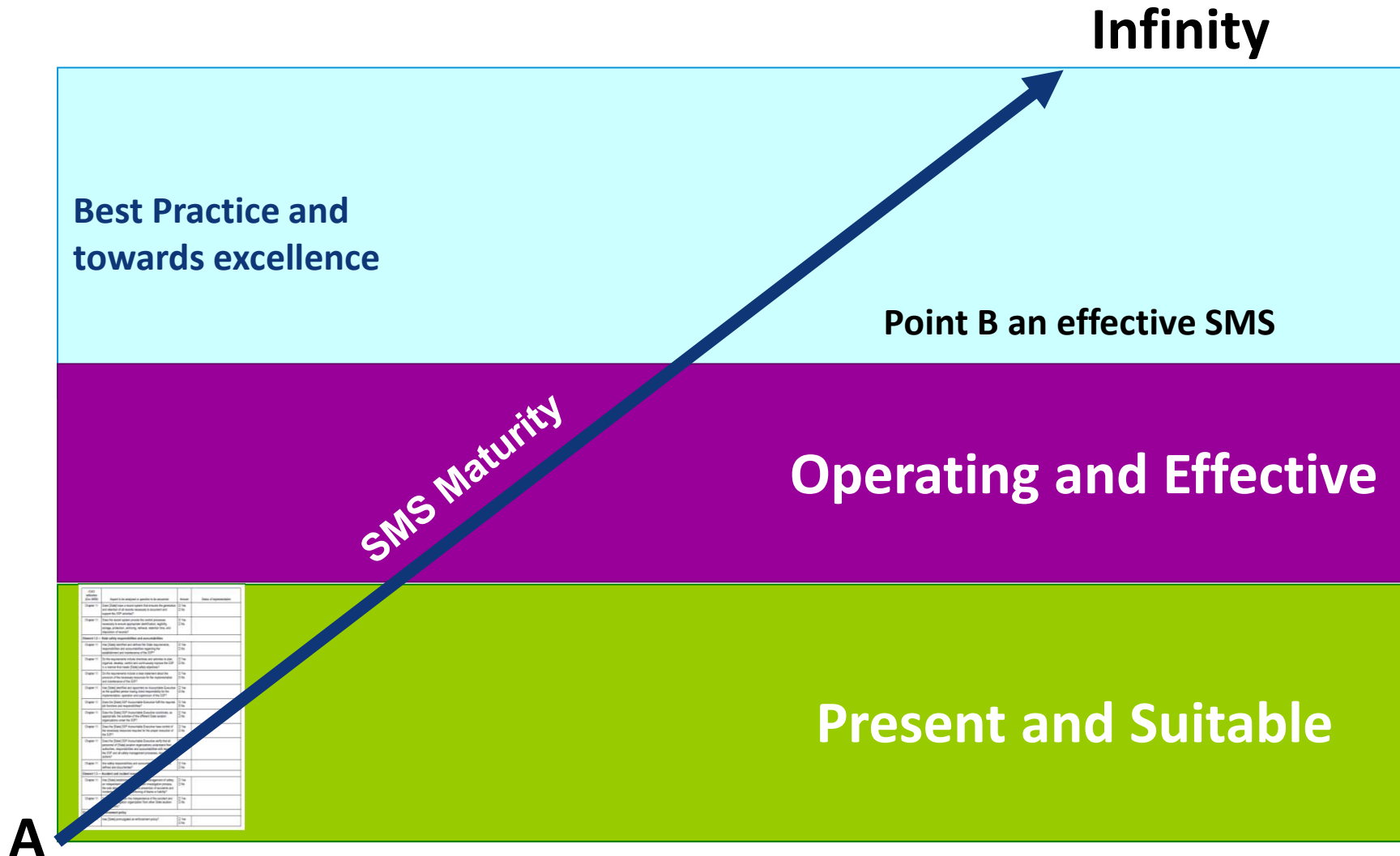
- **Collaborate with your contractors**
- **For Safety Critical contractors:**
 - Are they invited to your safety meetings?
 - Are you able to attend their safety meetings?
- **Training and Promotion**
 - Do you provide training or workshops for safety critical contractors
 - Do you pass safety information to your contractors

Authority evaluation of an SMS

- Compliance with prescriptive rules has helped make the Aviation system the safe system it is today.
- To make it even safer we need to focus on system performance and the effectiveness of our industry's SMS
- An SMS evaluation tool needs to assess both for compliance and for effectiveness
- Regulators need to recognise an SMS takes time to mature



The SMS Journey



UK CAA Approach

Two phase approach:

- **Phase 1:** Assessment against the ICAO framework / CAA guidance
Material / EASA Management System requirements
 - Are all the building blocks in place?
- **Phase 2:** Assessing the effectiveness of the SMS
 - Looking for compliance + performance of your SMS
 - It will involve more interactions with different people in your organisation
- SMS oversight team to cover all approvals

Planning the assessment

- Establishing the team
- Review the documentation
 - Previous assessments
 - Last Safety Review Board Report
 - The Safety Management Manual
 - The organisation's completed evaluation tool
 - Any Mandatory Occurrence Reporting data, sector risk information or other intelligence
- Availability of key managers in the organisation and access to operational staff.

Organisational Assessment



- SMS requires interactions with different people in different roles in an organisation
- Talking to Managers and Staff provides intelligence on the SMS and the safety culture
- Remember it's more than a manual... it's what they do that is being assessed and everyone is part of the SMS
- Opportunity to record the good and the bad

Roles and functions within an SMS

- **Safety Committees:**
 - **Large Complex**
 - Hierarchy of meetings (SRB and SAGs)
 - SAG risk registers and SPIs
 - SRB risk register and SPIs
 - **Small Complex or Non-Complex**
 - Organisations have a single Safety Committee
- **SMS and Compliance Monitoring Interfaces**
 - Findings are often hazards, consequences or failed defences
 - Checks the effectiveness of barriers and controls
 - Checks the effectiveness of the SMS processes

Lessons learnt (improvement areas)

- **Establishing meaningful Safety Performance Indicators**
 - SMS performance indicators
 - Operational safety performance indicators
- **Management of Change**
 - When to apply it
 - Consistency of approach and documentation
- **Use of Hazard logs and Risk registers**
- **Interactions with contracted organisations**

Safety Management International Coordination Group

Who we are and what we do



SM ICG Background



- **Established in February 2009**
 - Initial participants were EASA, FAA, ICAO and TCCA
 - Expanded to include Australia, New Zealand, Brazil, Japan and representing EASA States; UK, Spain, Switzerland, France and Netherlands
 - ICAO is now an observer to the group

Purpose of SM ICG



- To promote a common understanding of safety management principles and requirements across the international aviation community
- Collaborate on common SMS/SSP topics of interest
- Share lessons learned
- Encourage the progression of a harmonized approach to Safety Management
- Share products with the aviation community



Why are we here?

- **SMICG is a valuable forum for advancing the understanding and application of Safety Management**
- **As Regulators we are responsible for establishing our State Safety Programmes**
 - **SSP and SMS are interdependent**
- **Our oversight of SMS can have a significant impact on its effectiveness**
- **Sharing tools and guidance**
- **SMS can be easily misunderstood or misinterpreted**



Benefits

- **Collaboration with sharing of lessons learned and best practices**
- **Avoiding duplicating of efforts for States**
- **Assist in developing robust and affordable safety management systems**
- **Increasing knowledge on SSP and SMS**
- **Benefits for the aviation industry**
 - **Potential harmonization of SMS requirements and activities**
 - **Consistent application of SMS Oversight**
 - **Guidance material and tools**

SM ICG Published Products



- **10 Things You Should Know About Safety Management Systems**
- **A Common Approach to Safety Performance Measurement**
- **Measuring Safety Performance – Guidelines for Service Providers**
- **A Systems Approach to measuring Safety performance.**
- **Development of a Common Hazard Taxonomy**
- **The Senior Manager's role in Safety Management Systems**
- **SMS Evaluation Tool**
- **Safety Management Terminology**
- **Risk Based Decision Making Principles**
- **Recommendations for Regulators on SSP and SMS implementation**

Forthcoming Products



- **Practical application of Safety Performance Measurement**
- **The Front line Manager's role in Safety Management Systems**
- **SMS Inspector Competencies**
- **SMS in very small organisations (Guidance and Tools)**
- **Developing a State risk picture**
- **SSP evaluation tool**

SM ICG on SKYbrary



navigation

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work in progress

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toolbox

- MCAI Safety Links

Portal:Safety Management International Collaboration Group (SM ICG)

Description

The Safety Management International Collaboration Group (SM ICG) was founded by the United States Federal Aviation Administration, the European Aviation Safety Agency and Transport Canada Civil Aviation and is a joint cooperation between many regulatory authorities for the purpose of promoting a common understanding of safety management principles and requirements and facilitating their implementation across the international aviation community.

[Read more](#)



Standardization

- Development of a Common Hazard Taxonomy
- Safety Management Terminology

Promotion

- 10 Things You Should Know About SMS
- The Senior Manager's Role in SMS

Guidance/Tools

- A Common Approach to Safety Performance Measurement (SPMA) Paper
- SM ICG SMS Evaluation Tool

Resources

- SM ICG Description Paper
- SM ICG Findings on SMS Equivalence

[http://www.skybrary.aero/index.php/Portal:Safety_Management_International_Collaboration_Group_\(SM_ICG\)](http://www.skybrary.aero/index.php/Portal:Safety_Management_International_Collaboration_Group_(SM_ICG))



Next Steps for SM ICG

- Continue to develop and publish products that are useful for states and industry
- Support the implementation of SSP and SMS
- Expand our outreach to gain greater participation and global representation
- Increase the sharing of information with industry
- Industry days (Bern 16 May 2014)
- Encourage greater use of SMS Products globally through the translation of products by SM ICG members
- Seek feedback on our products to validate their usefulness



Thank You

QUESTIONS