

SMS requirements for design and production organisations in Europe

The context

Agenda item 2

25 October 2023 - Part 21 SMS workshop

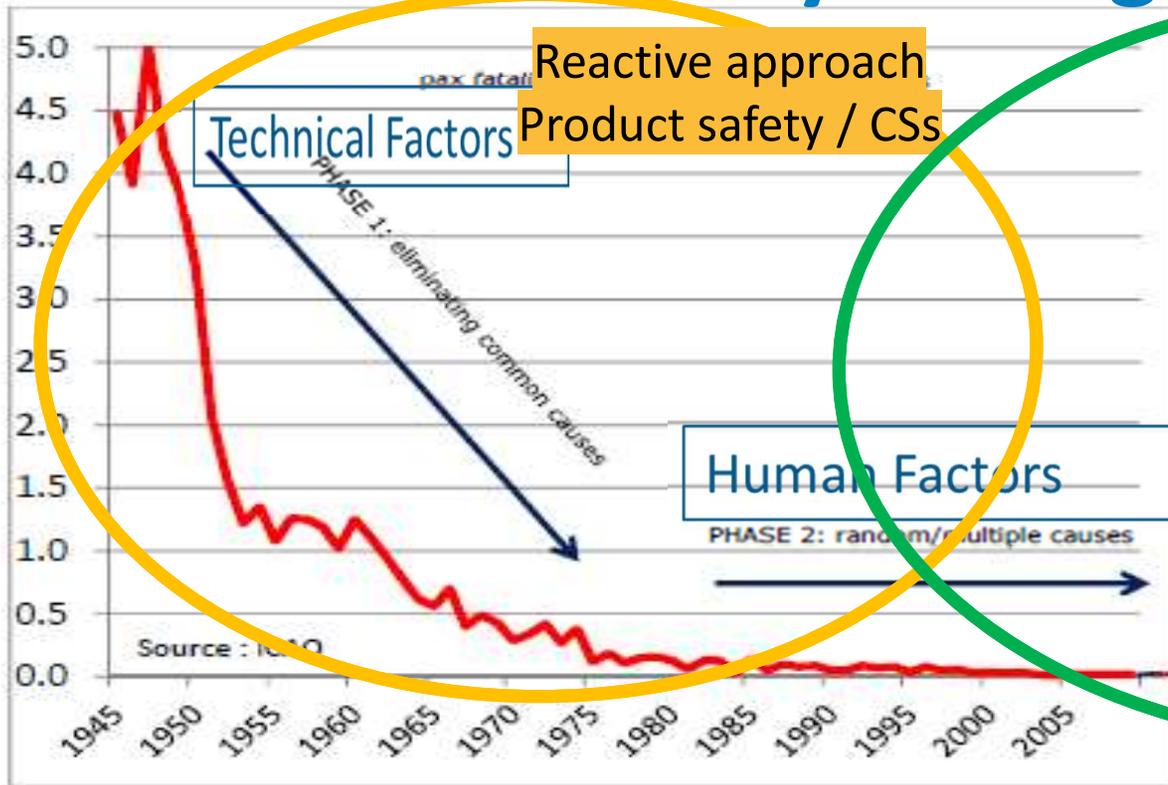
Youri AUROQUE, Regulations Officer - Initial Airworthiness

Jean-Pierre ARNAUD, Safety Management Officer

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Evolution of “safety management”

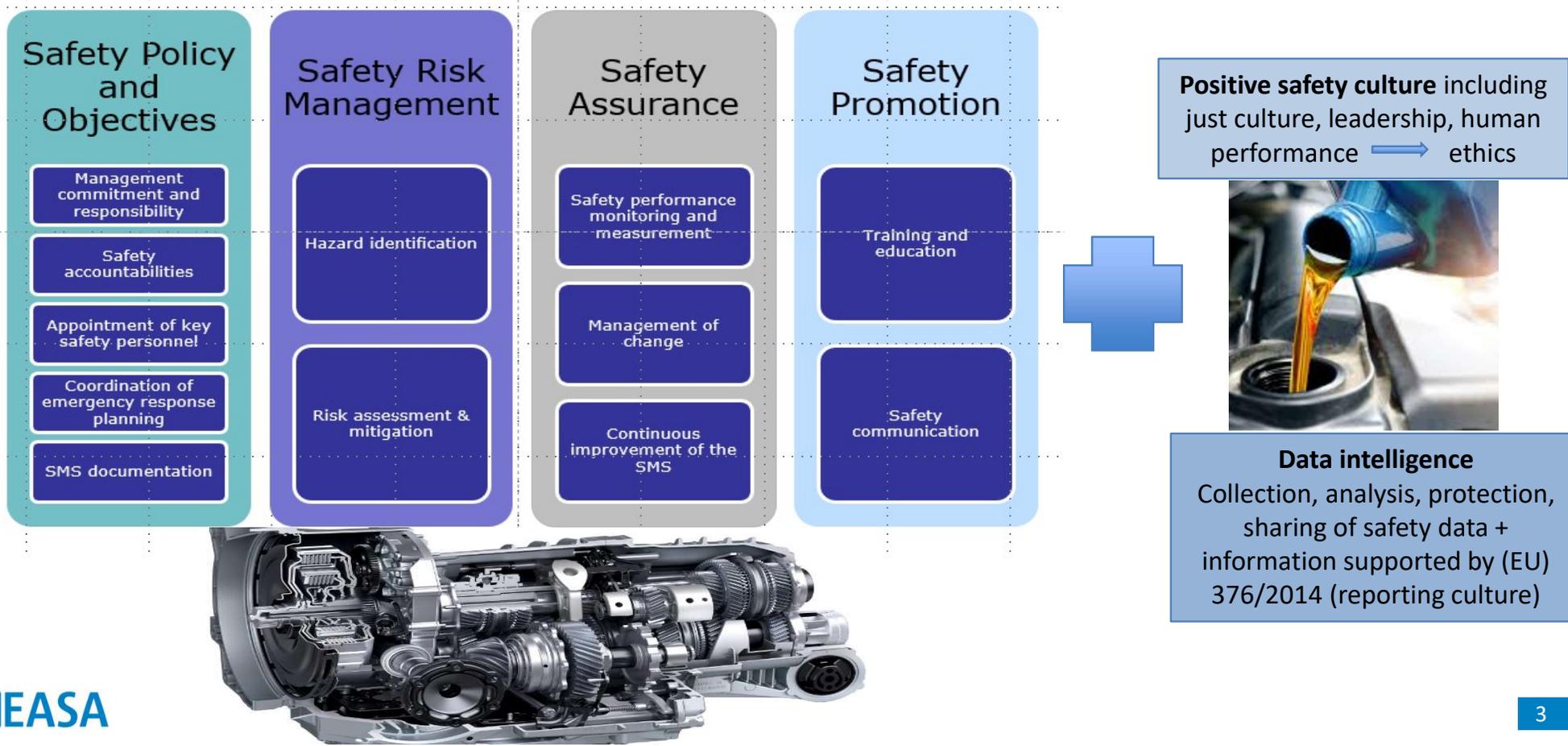


Proactive approach
SMS / organisational
approach

Traffic expected to double within 15y
Aviation system under pressure
=
increase in accidents and fatalities?



14 SMS elements as an additional layer to complement “compliance to the rules”



Introduction of SMS into Part 21

Rulemaking task to identify the gap between ICAO Annex 19 and Part 21:

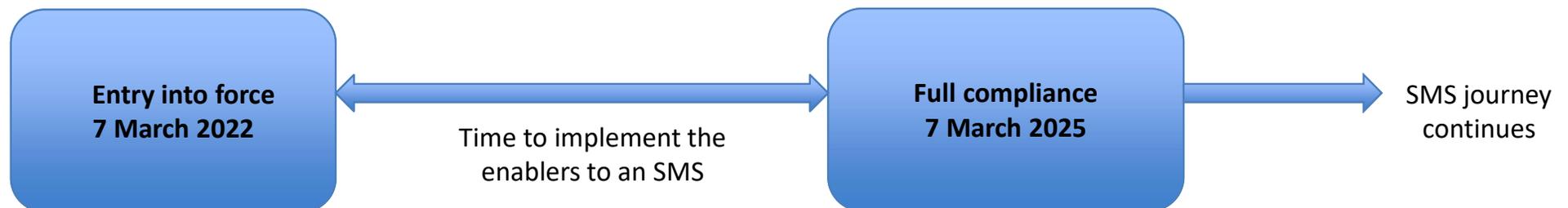
- The “product-centric ” approach to manage safety was already in Part 21
- What needed to be added or reinforced...was:
 - A more organisational view to safety beyond the product-centric approach
 - A more pro-active approach to identify hazards and mitigate the related safety risks before they result in accidents/incidents
 - The fostering of a positive safety culture, including reporting culture and “just culture” principles.



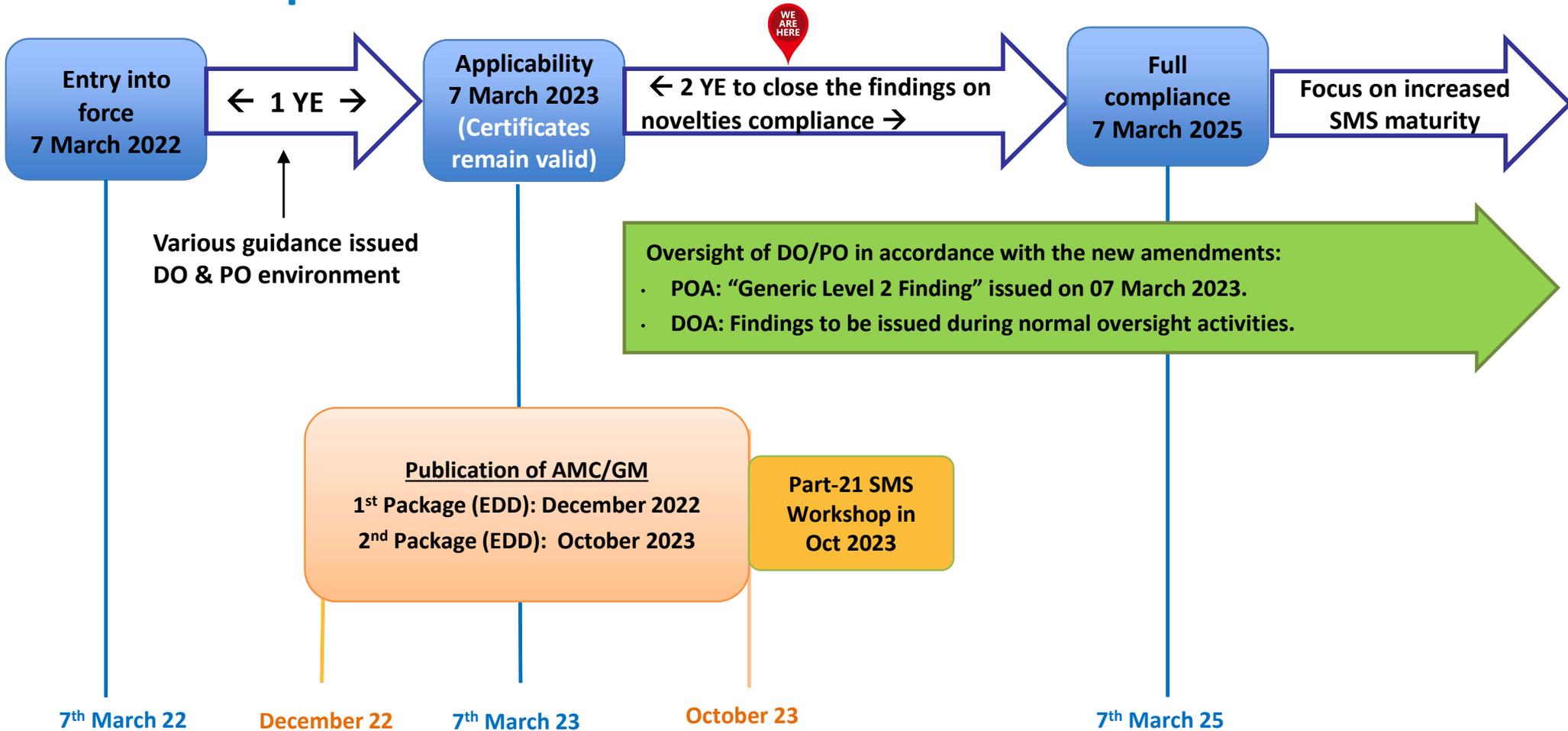
The changes introduced in the EU Part 21 are closing the identified gaps with ICAO Annex 19

Introduction of SMS into EASA/EU Part 21

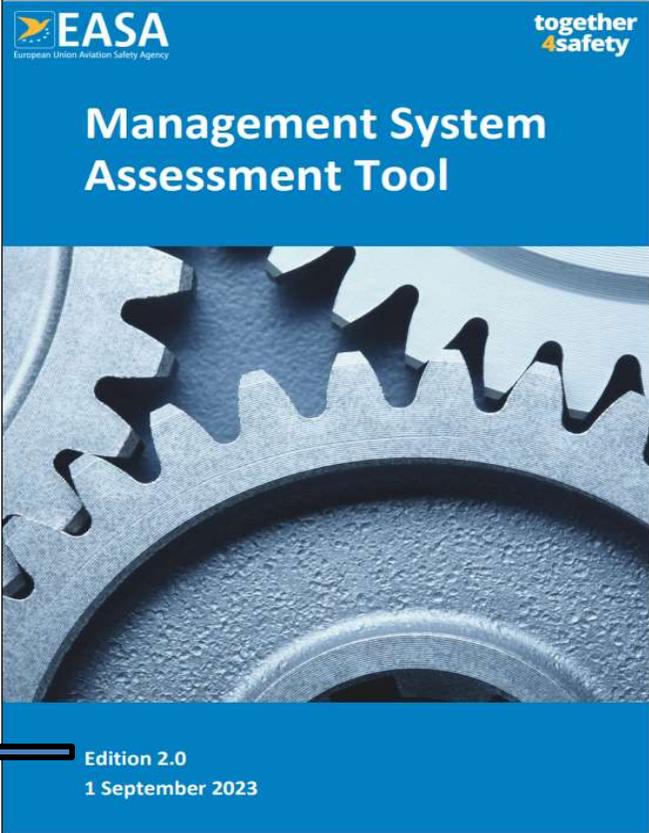
- Applicable to **approved** Design Organisations or Production Organisations
 - Including design/production of STC or APU
 - Including production of ETSO or ELA
- Mostly affected requirements:
 - 21.A.x39, 21.A.x45, 21.A.x43, 21.A.x47, 21.A.3A, 21.A.5
 - See Regulations (EU) 2022/201 & 2022/203



Practical Implementation: Timeline & Milestones



Tools to support the gap analysis

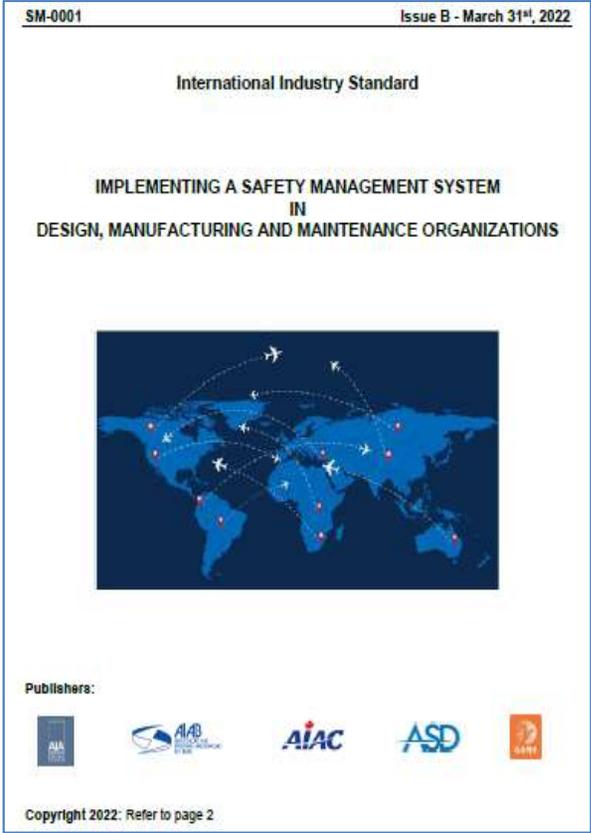


Free of charge

Includes
Part 21



<https://www.easa.europa.eu/en/document-library/general-publications/management-system-assessment-tool>



[Aerospace Associations Announce Safety Management System \(SMS\) Industry Standard | ASD \(asd-europe.org\)](#)

Wrap-up

- “Being compliant” does not necessarily mean “being safe”.
 - While the product may be compliant to the certification rules, it does not guarantee “safety”;
 - The rules cannot address all the risks;
 - An SMS should proactively identify hazards at **organisation’s** level; so that all types of risks are effectively managed (i.e. “Performance”);
 - Compliance with the rules remains a “must”.

- SMS does not disrupt the certification of products
 - SMS addresses the operational environment of the DO/PO;
 - SMS anchors the risk tolerability and risk acceptability of the organisation activities with the delivery of product safety in a fast-evolving context.
 - An effective SMS with timely organisational decisions shall anticipate safety issues before it happens.

True or false statement?

		True / False?
1	«Declaration of compliance at product level (CS) does ensure safety»	
2	« Being compliant » with organisational requirements (Part 21) de facto means « being safe»	
3	« On top of compliance to the rules, managing risks of all nature will improve safety»	

With (S)MS ...surveillance evolves...

For compliance-based oversight, the usual question was:
“Does the organisation comply with the rules?”

...with SMS, new question is:
“**How** does the organisation manage safety and/or areas of greater risks?”

...which means:
“What are the risks in the organisation? **How** are they mitigated? Is the mitigation effective? **How** do we know this is effective?”



Bilateralism

- SMS is linked to the certification of the organisation responsible for the type design and production of aircraft, engines or propellers:
 - Not directly linked to the certification of the product itself.
- Each authority will cover the surveillance of SMS requirements under its supervision.
 - Mutual recognition as long as there is no difference filed by the State for Annex 19.
 - Should be covered by the bilaterals.

Thank you for attention.

Any questions?



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