

# 2024 SMS Workshop

## We restart at 11:30

Status update on SMS implementation

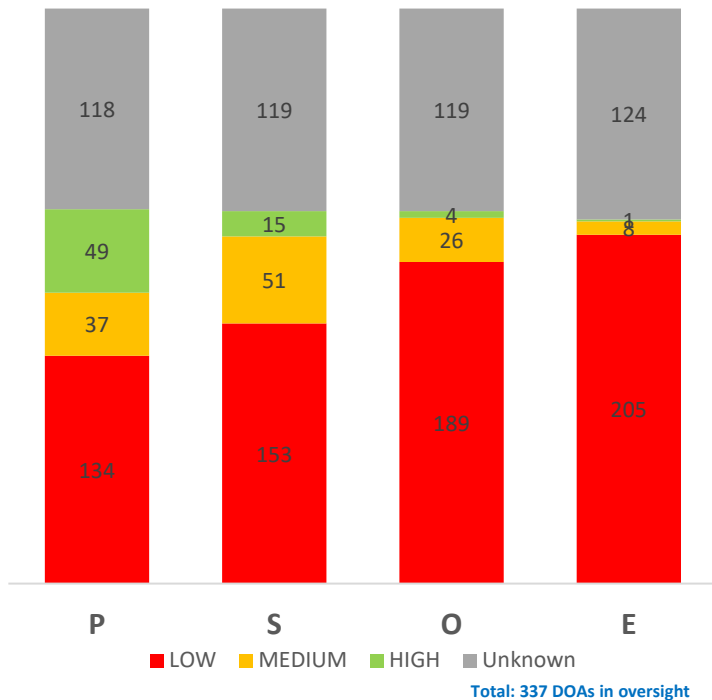
Carmela Bosso, Section Manager - Design Organisations & Policy Issues  
Diandra Grama – DOA department trainee  
Robert Boersma - Senior DOA Team Leader, SMS Network Representative



Slido Event Code #: **SMSEASA**

Passcode: **SMS2024**

# SMS current maturity level



**HIGH:** All SMS elements are at this maturity level

**MEDIUM:** P/S - More than half of the SMS elements are at this maturity level

**O** - The minimum operational elements as identified in the "Maturity Expectancy" are fulfilled

**LOW:** No or few SMS elements are at this maturity level

## → Maturity:

- **Present** - are the basic SMS elements put in place?
- **Suitable** – are the basic SMS elements put in place and are they tailored to the organisation?
- **Operating** – are the necessary SMS elements in place and do they produce results?
- **Effective** – is the SMS system maturing?

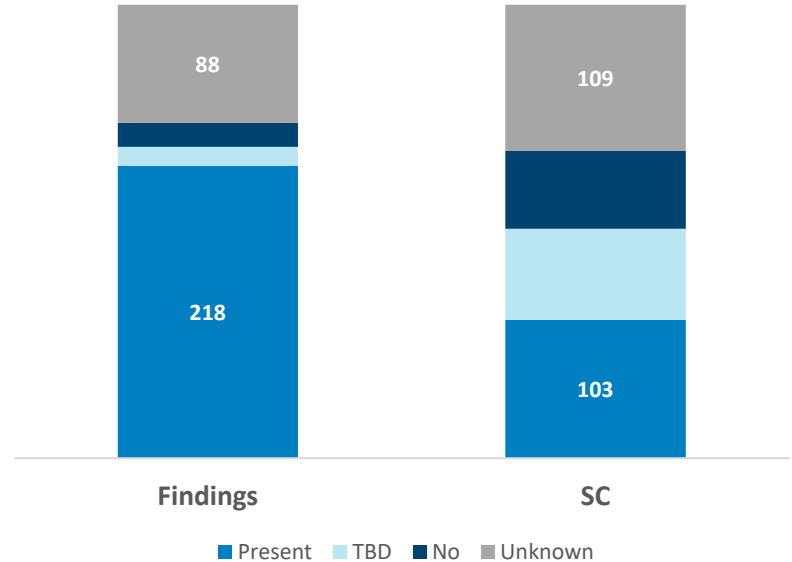
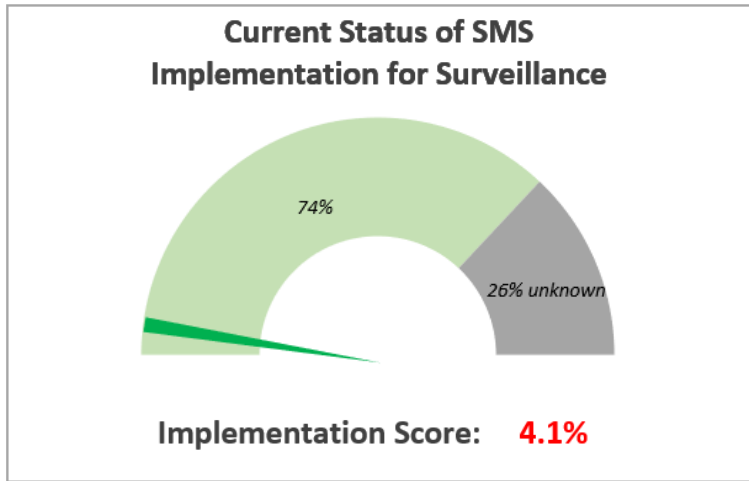
## → Compliant for 7 March 2025 means:

- P = High
- S = High
- O = Medium or High

As a result SC = closed, Finding(s) = closed

# SMS implementation status

- Currently there are 218 Level 2 findings (*more than 1/2 of the total number of DOAs have a finding raised for the SMS*)
- The Significant Changes number is slightly lower (*1/3 of the total number of DOAs have a SC*)



- Following the criteria for the DOAs having already the SMS implemented, currently only **14 DOAs are compliant** (*4.1% of the total*) with the amended Part-21 requirement

# 2024 SMS Workshop

## EASA SMS Policy guidance

Carmela Bosso, Section Manager - Design Organisations & Policy Issues  
Robert Boersma - Senior DOA Team Leader, SMS Network Representative



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# Content

- SMS assessment policy
- Supporting material
- Tailored assessments / proportionality
- Negative decisions

# SMS assessment policy



## → Internal DOA policy:

- Provide guidance to DOATL on how to perform SMS assessments
- Provide a good level of standardisation
- Coordination with xOA, in particular POA
- Evolving document – Learning good practices
- Describing specific points, e.g.:
  - SM role compatibility with other DOA functions
  - Maturity stages
  - Maturity expectancy for approving significant change; closing findings
- Proportionate SMS implementation → Proportionate assessments

# Supporting material

→ DOA SMS Maturity expectancy:



Microsoft Word  
Document

→ EASA website

<https://www.easa.europa.eu/en/domains/safety-management/safety-management-system-sms>

→ EASA MSAT

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

→ ASD SMS standard (ref. AMC1 21.A.x39(c))

<https://www.asd-europe.org/standards-specifications/safety-management-system/>

## 1. Safety Policy

Part 21 requirements		Company reference
239(c1)	EASA	(Handbook chapter, procedure reference) Company
1.	Does the safety policy: (1) reflect organisational commitments regarding safety, and its proactive and systematic management, including the promotion of a positive safety culture; (2) include internal reporting principles by fostering the reporting of organisational threats as well as events, as defined in AMC3 21.A.3A(6); (3) include the commitment: (3) to comply with all the applicable legislation, meet all the applicable requirements, and adopt practices to ensure safety standards; (4) to provide the necessary resources for the implementation of the safety policy; (5) to apply human factors (HF) principles; (6) to enforce safety as a primary responsibility of all managers	
2.	Is it endorsed by the head of the design organisation (HDO)?	
3.	Is it periodically reviewed to ensure that it remains relevant and appropriate to the organisation?	
Evidences		
[List of evidences reviewed to support the discussion]		
DOAT: notes		
Conclusion		
<input type="checkbox"/> Present - There is a safety policy, signed by the Accountable Manager, which includes a commitment to continuous improvement, observes all applicable legal requirements and standards, and considers best practices.		
<input type="checkbox"/> Suitable - The safety policy is easy to read. The content is customised to the organisation.		
<input type="checkbox"/> Operating - The safety policy is reviewed periodically to ensure it remains relevant to the organisation		
<input type="checkbox"/> Effective - The Accountable Manager has a clear understanding of the safety policy and is fully engaged in implementing it.		
Maturity assessment guidance		
Review event specified in the procedures and scheduled (not necessarily performed yet)		

# Tailored assessments / proportionality

- The SMS implemented by a DOA should be proportionate to their size, scope and activity; likewise the assessment should be proportionate
- No 100 % investigation expected for most DOAs
- Guidance on minimum assessment by clusters:

## CLUSTER 1

G0  
G1-G4  
(NO APPLICATIONS)

## CLUSTER 2

G1-G4  
(APPLICATIONS)



## CLUSTER 3

G5-G7



## CLUSTER 4

G8 + G9





# Negative decisions



→ Commission Delegated Regulation (EU) 2022/201:

... Where after 7 March 2025, the organisation has not closed such findings, the approval certificate **shall be revoked, limited or suspended** in whole or in part.

→ We should make **every effort** to prevent the need!

→ “Pre-warning” letter Q3/2024 (aligned with EASA POA)

→ Several scenario’s currently under review

→ Alignment with EASA xOAs

# Thank you!

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