



# **Safety Management Systems in the ESSi context**

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**Safety Action Coordinator, EASA**  
**ESSi Secretary**

**EBAA SMS Information Seminar**  
**Cologne, 12 March 09**

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# EASA in Cologne, Germany since 2004



- **Independent legal status**
- **Operational since 28 September 2003**
- **Offices in Cologne since 1st November 2004**



# ESSI

## The European Strategic Safety Initiative

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- 10 year programme (2006-2016) aimed at improving aviation safety in Europe, and for the European citizen worldwide
- Partnership, with more than 150 organisations
- Powered by industry and facilitated by EASA

[www.easa.europa.eu/essi](http://www.easa.europa.eu/essi)

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**Welcome to the minisite of the European Strategic Safety Initiative!**

The European Strategic Safety Initiative (ESSI) is an aviation safety partnership between EASA, other regulators and the industry. The initiative's objective is to further enhance safety for citizens in Europe and worldwide through safety analysis, implementation of cost effective action plans, and coordination with other safety initiatives worldwide. Participants are drawn from the EASA Member States, the ECAC countries, manufacturers, operators and professional unions, research organisations, the EAA and international organisations such as EUROCONTROL and ICAO.

ESSI was launched by EASA as a ten year programme on 29 June 2006 and has three components:

- ECAST: European Commercial Aviation Safety Team
- EHEST: European Helicopter Safety Team
- EGAST: European General Aviation Safety Team

In total, more than one hundred fifty civil and military organisations are participating to date in the ESSI.

More detailed information can be found in the [ESSI presentation](#) attached, and in the [ICAO Information Paper A36-WP/195-TE/SS](#) and the [EASA Annual Safety Review 2006](#) published in 2007.

For further information, or if your organisation wishes to join the ESSI, please contact Michel Masson, ESSI Secretary, at the following email address: [essi@easa.europa.eu](mailto:essi@easa.europa.eu)

2007 © ESSI

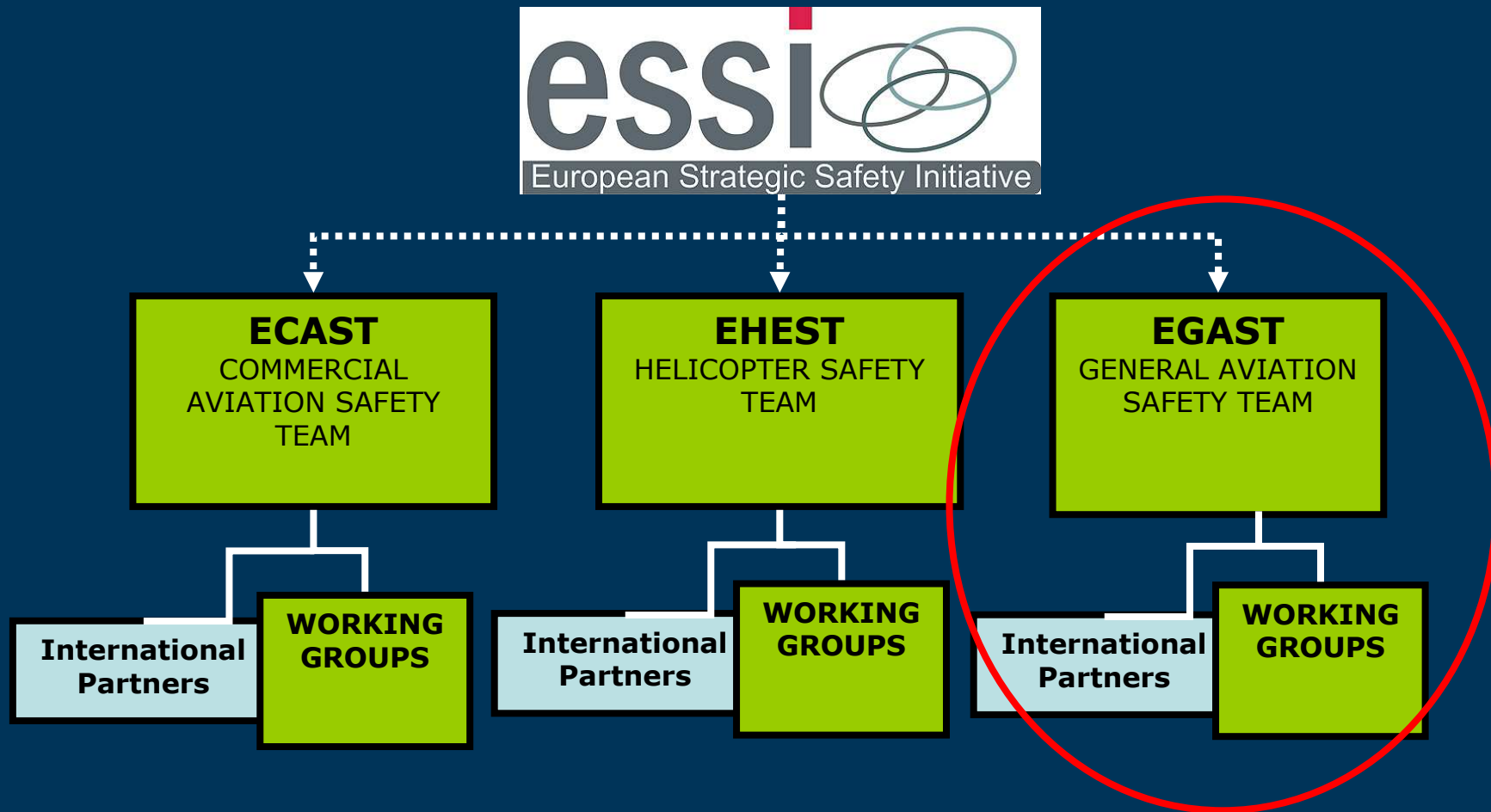
# ESSI

One of the major safety teams worldwide

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# SMS in the context of EGAST



# IS-BAO is a reference for EGAST

- **Enthusiasm for SMS**
- **But fear of burdens...**



The image shows a presentation slide for IS-BAO. At the top, there is a horizontal bar with several icons: a blue airplane, a purple airplane, a blue handshake, the 'ibac' logo, a circular seal, a book titled 'AIRCREW', and another blue airplane. Below this bar, the title 'IS-BAO' is centered in white text on a blue background. To the left of the title is a circular inset image of a white business jet. Below the title, there are three bullet points, each starting with a right-pointing arrow. At the bottom of the slide, there is a footer with the text 'European General Aviation' on the left, the 'ERAA' logo in the center, and 'Eric Mandemaker' and 'ERAA' on the right.

**IS-BAO**

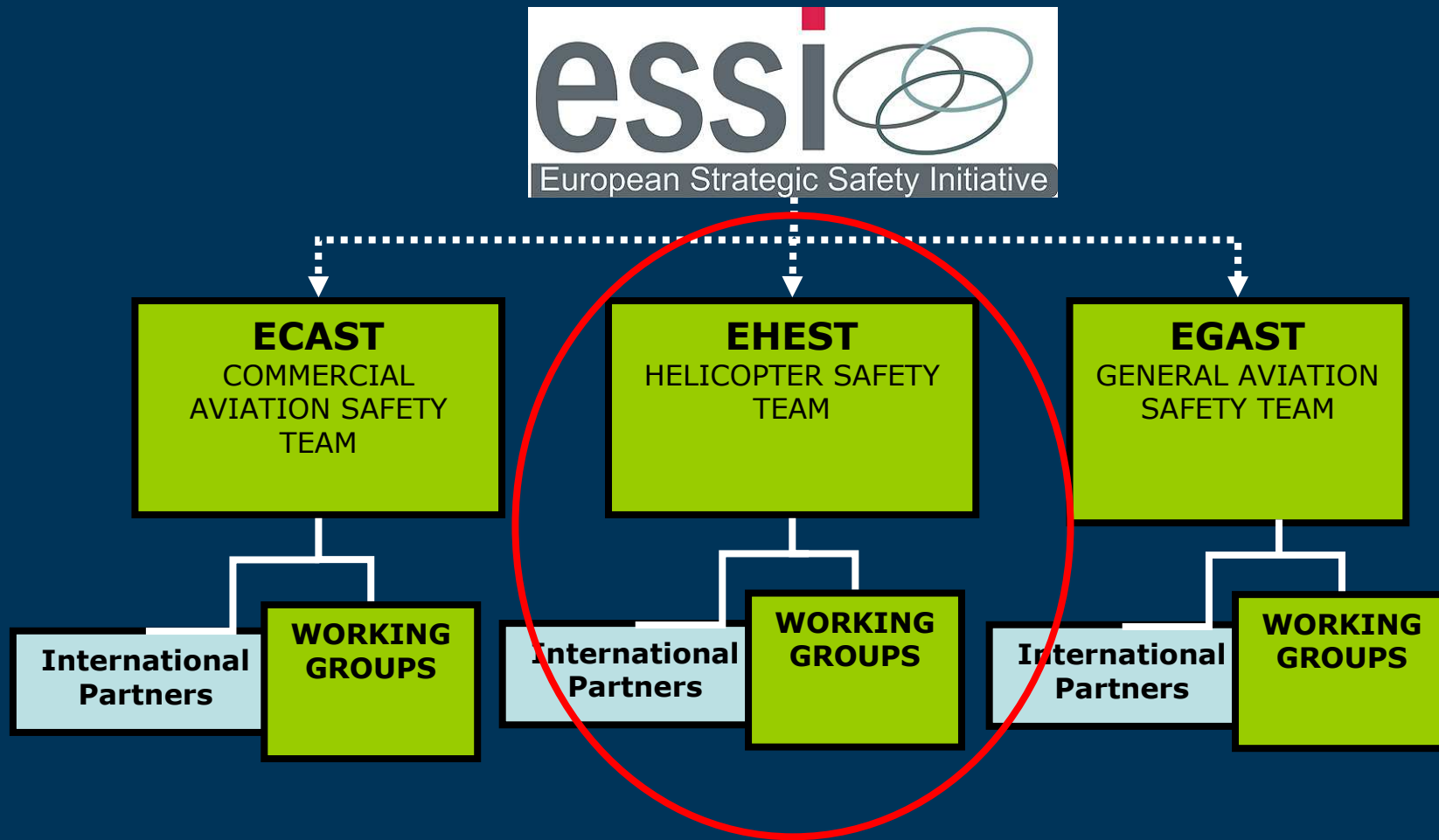
- IS-BAO – an International Standard for Business Aircraft Operations
- A professional safety code of practice for flight departments world-wide
- Developed by the business aviation community for the benefit of the business aviation community

European General Aviation    **ERAA**    Eric Mandemaker  
ERAA

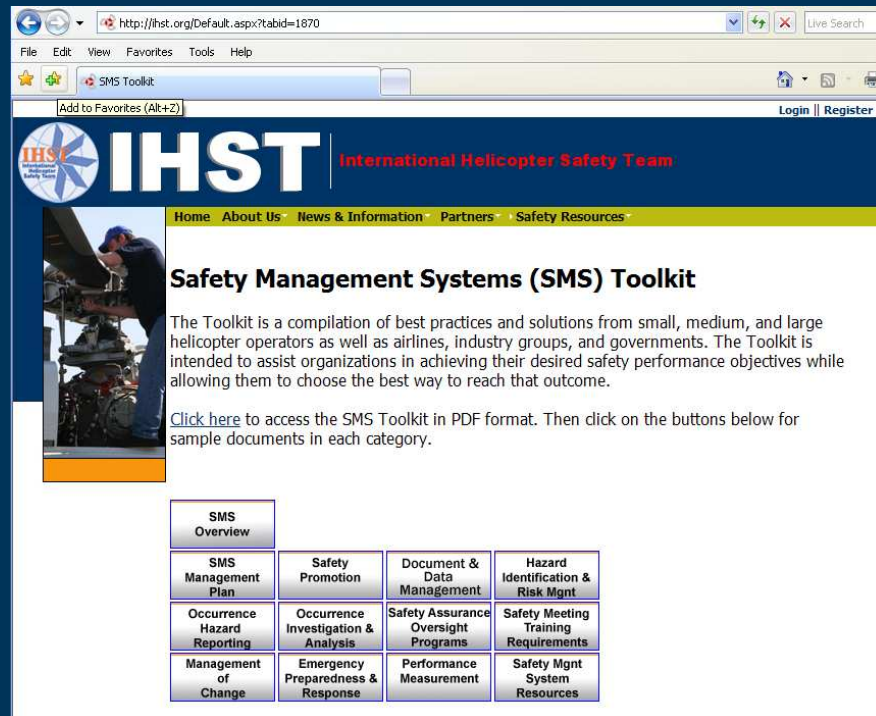
## *Lessons learned:*

- **SMS must be agile to succeed in all GA domains!**
- **IS-BAO provides a complete, usable solution**

# SMS in the context of EHEST



# EHEST is the European component of the IHST



The screenshot shows a web browser window displaying the IHST website. The URL is <http://ihst.org/Default.aspx?tabid=1870>. The page features the IHST logo and navigation links: Home, About Us, News & Information, Partners, and Safety Resources. The main heading is "Safety Management Systems (SMS) Toolkit". Below the heading, there is a paragraph describing the toolkit as a compilation of best practices and solutions from various helicopter operators and organizations. A link is provided to access the toolkit in PDF format. At the bottom, there is a grid of buttons for different categories of documents.

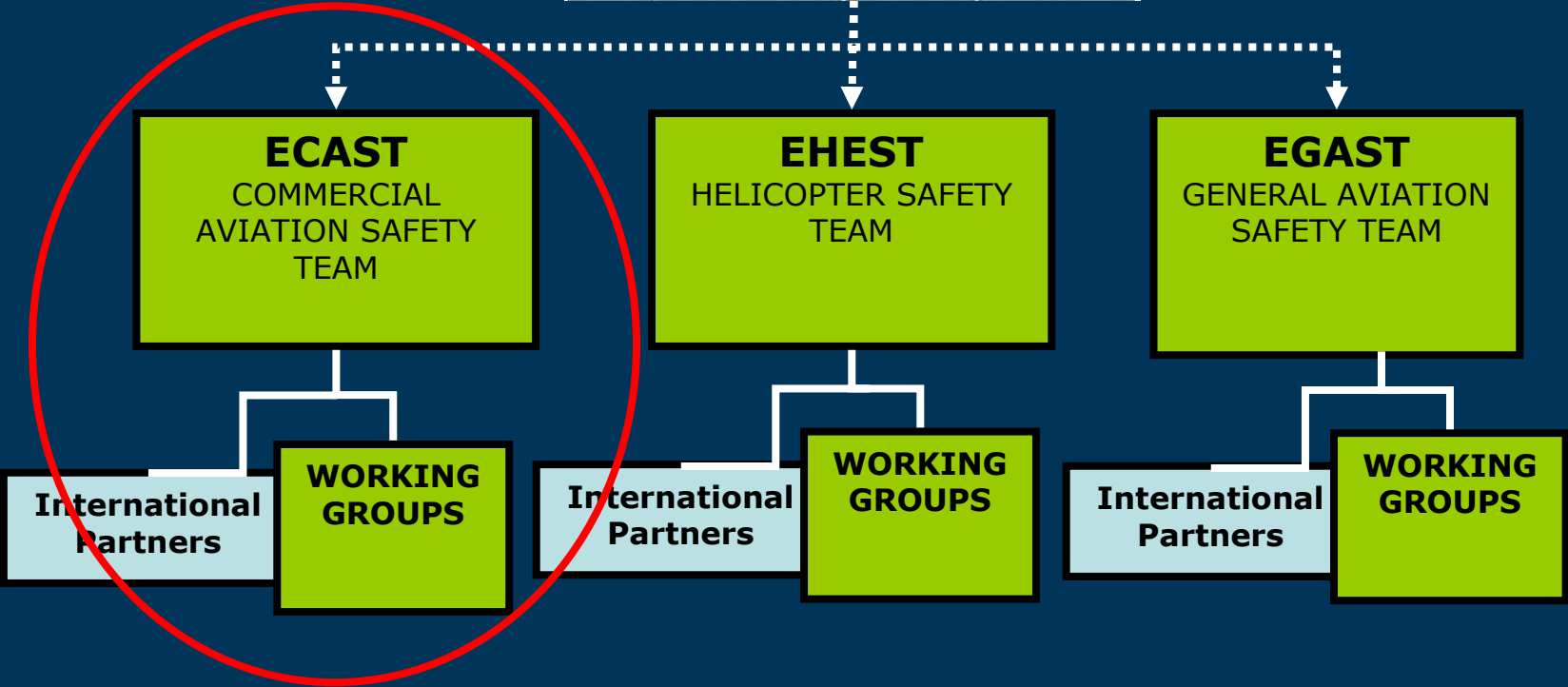
SMS Overview			
SMS Management Plan	Safety Promotion	Document & Data Management	Hazard Identification & Risk Mgmt
Occurrence Hazard Reporting	Occurrence Investigation & Analysis	Safety Assurance Oversight Programs	Safety Meeting Training Requirements
Management of Change	Emergency Preparedness & Response	Performance Measurement	Safety Mgmt System Resources

➤ The IHST also offers an SMS Toolkit

[www.ihst.org](http://www.ihst.org)

➤ Oriented towards the Helicopter community

# SMS in the context of ECAST

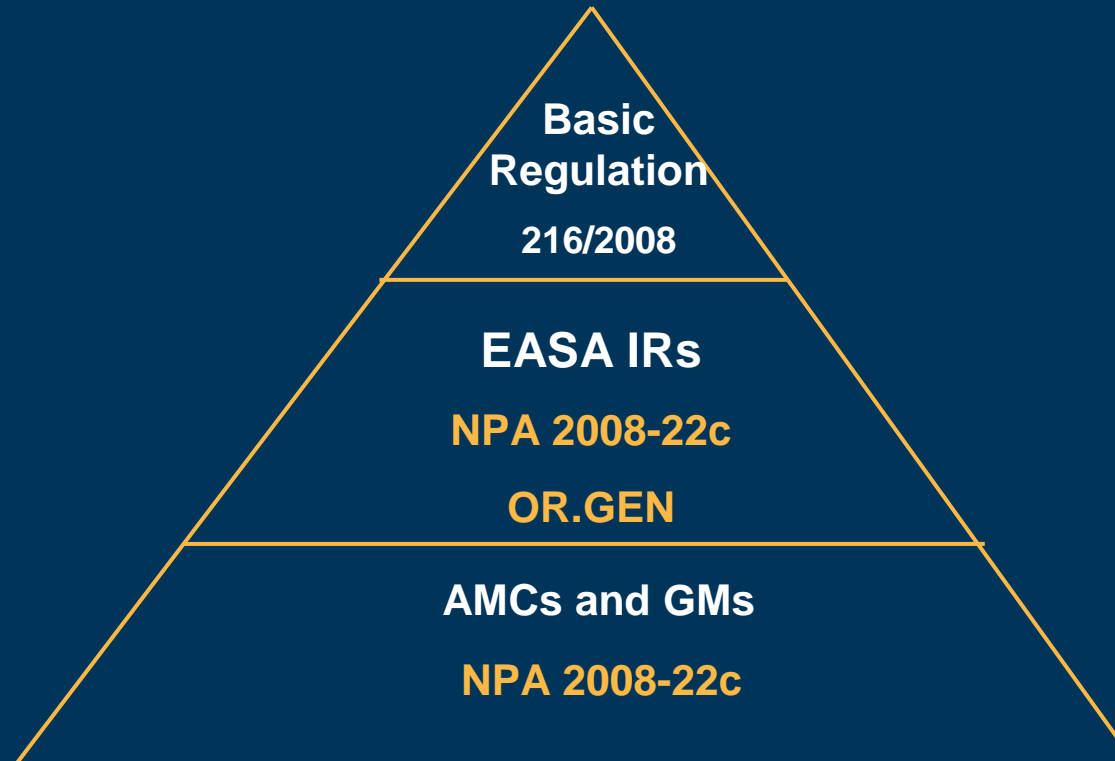


# ECAST SMS WG

## And the regulatory framework

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ICAO  
Annex 6 amdt 30  
+  
States Safety  
Letter  
+  
Safety  
Management  
Manual



ECAST SMS WG provides (website based) best practices,  
(not regulatory materials)

# ECAST SMS WPs and materials

[easa.europa.eu/essi](http://easa.europa.eu/essi)

[skybrary.aero](http://skybrary.aero)

ES  
ET  
FI  
FR  
HU  
IT  
LT  
LV  
MT  
NL  
NO  
PL  
PT  
RO  
SK  
SI  
SV



This web site is a resource for Industries to obtain information about ECAST efforts in the area of Safety Management and to Support for organisations wishing to implement a Safety Management System.

## Background on the ECAST SMS Working Group

The European Strategic Safety Initiative (ESSI) is an aviation safety partnership between EASA, other regulators and the industry. The initiative objective is to further enhance safety in Europe. The ESSI has three components: the European Commercial Aviation Safety Team (ECAST), the European Helicopter Safety Team (EHST), and the European General Aviation Safety Team (EGAST).

	Summary	Guidance
<b>WP 1.1 - Review SMS/Safety Culture initiatives and materials</b>	WP 1.1	
<b>WP 1.2 - Safety Culture framework for ECAST SMS WG</b>	WP 1.2	
<b>WP 2 - Identify best practices and examples of organisations</b>	WP 2	
<b>WP 3 - Guidance on Hazard Identification</b>	WP 3	
<b>WP 4 - Guidance on Risk Assessment</b>	WP 4	

## WP 1.1 - REVIEW OF SMS INITIATIVES AND MATERIALS

Safety management implies a systematic approach to managing safety, including the necessary organizational structure, accountabilities, policies and procedures. The objective of safety management in the aviation industry is to prevent human injury or loss of life, and to avoid damage to the environment and to property. SKYbrary is an initiative of EUROCONTROL, ICAO, and The Flight Safety Foundation aimed at developing a comprehensive source of aviation safety information and making it available to users worldwide.

A list of current SMS related initiatives and materials could be found in the SKYbrary page on Safety Management.



# ECAST SMS WP 1 – Review of SMS and Safety Culture materials

➤ References to existing Regulations and Materials related to (Safety) Management Systems

➤ Safety Management Best Practices in ATM, Airline and Airport Operations

➤ Safety Culture framework

Contact: [mpiers@nlr-atsi.nl](mailto:mpiers@nlr-atsi.nl)

➤ Published on SKYbrary:

[http://www.skybrary.aero/index.php/Category:Safety\\_Management](http://www.skybrary.aero/index.php/Category:Safety_Management)

Contact: [jacques.beaufays@eurocontrol.int](mailto:jacques.beaufays@eurocontrol.int)



# ECAST SMS WP 2 – Best practices and examples of organisations

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- Practical guidance on organisation for safety

- Method:

- ★ Questionnaire airlines

- ★ Literature review

- Deliverables:

- ★ Golden Rules

- ★ Example of organisational charts from reference sources

- Contacts: [stephen.clark2@nats.co.uk](mailto:stephen.clark2@nats.co.uk)  
[sorensenp@iata.org](mailto:sorensenp@iata.org)

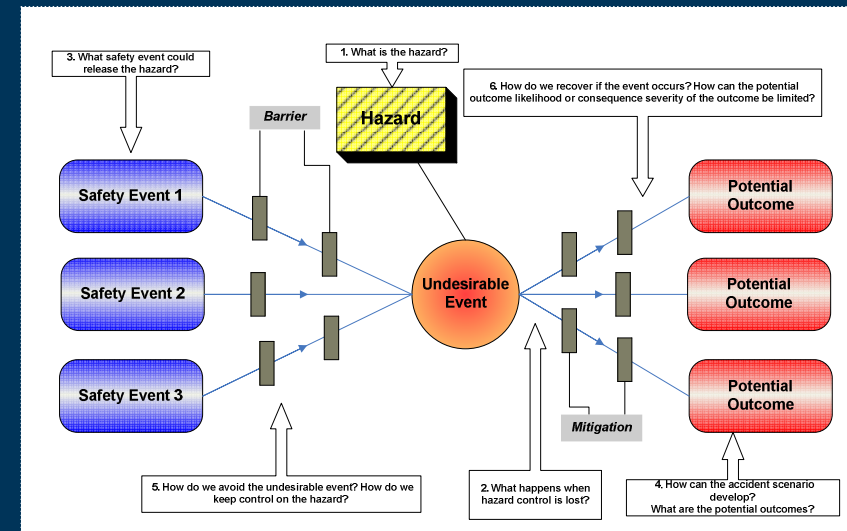


# ECAST SMS WP 3 – Hazards Identification

## *Where guidance is probably most needed (Part 1)*

- **Simple, concise and useful materials on:**
  - ✦ **Definitions (hazard, risk, etc.)**
  - ✦ **Bow Tie as concepts organiser**
  - ✦ **Hazards id. process**
  - ✦ **Hazards id. methods**

- **Contacts:**
  - [ilias.maragakis@easa.europa.eu](mailto:ilias.maragakis@easa.europa.eu)
  - [dave.prior@easyjet.com](mailto:dave.prior@easyjet.com)



# ECAST SMS WP 4 – Risk Assessment

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## *Where guidance is probably most needed (Part 2)*

- **A new methodology**

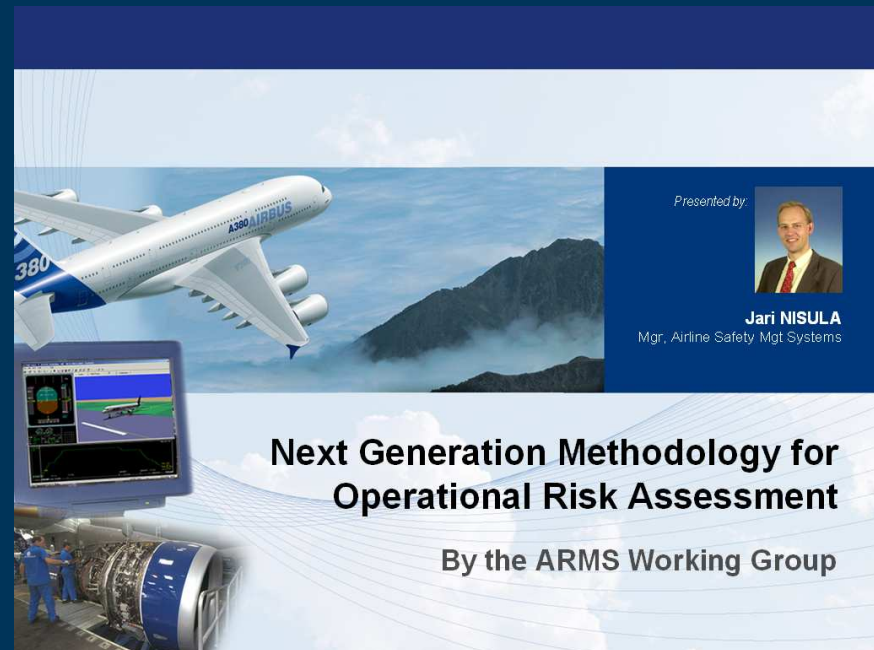
- ✦ **Developed by the industry**
- ✦ **Compatible with ICAO**
- ✦ **Publicly available**

- **Published on:**

[http://www.skybrary.aero/index.php/Category:Safety\\_Management](http://www.skybrary.aero/index.php/Category:Safety_Management)

- **Contact: [jari.nisula@airbus.com](mailto:jari.nisula@airbus.com)**

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# European Strategic Safety Initiative



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D-50452 Köln, Germany

Tel: 49-221-89990000

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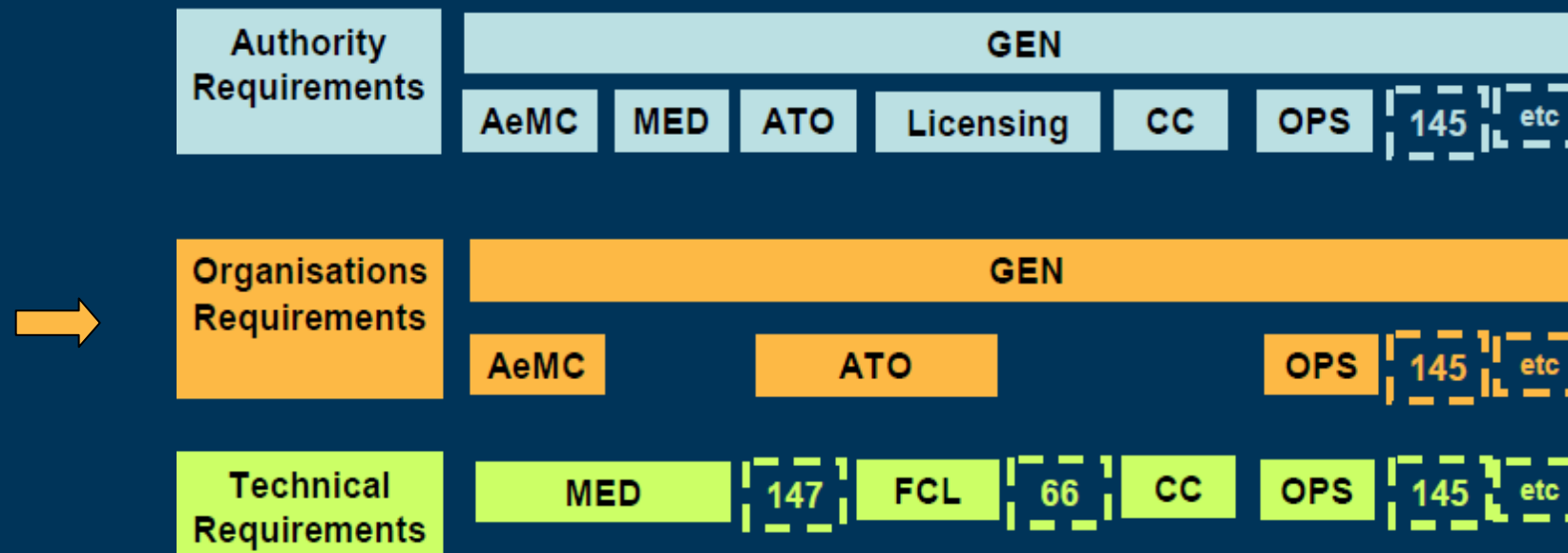
***Thank you for your  
attention!***

***Have a very profitable  
seminar in Cologne!***

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# ***Annex***

# Draft EASA Requirements For (Safety) Management



- **Organisation Requirements (NPA 22-2008) will provide legal grounds for Safety Management**

# EASA / EC Rulemaking planning



**AR/OR  
Gen+FCL+MED**

**AR/OR  
OPS**

<b>Nov 08-Feb 09</b>	<b>Feb 09-May 09</b>
<b>Mar-May 2009</b>	<b>Jun-Aug 2009</b>
<b>Jun-Jul 2009</b>	<b>Sep-Oct 2009</b>

Then EC Comitology Process (for the Implementing rules)

**Publication expected from May 2010**



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OFFENDING COMMAND: --nostringval--

STACK:

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( )  
/Subject  
(D:20090318092908+01'00')  
/ModDate  
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/Keywords  
(PDFCreator Version 0.9.5)  
/Creator  
(D:20090318092908+01'00')  
/CreationDate  
(secretary)  
/Author  
-mark-
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