



SAFETY MANAGEMENT SYSTEM

Varför ett ledningssystem för ATO?
ORA.GEN.200(a-b) med vidhängande
AMC1 ORA.GEN.200(a-b)

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SAFETY MANAGEMENT SYSTEM

1. What is a safety management system (SMS)?

- A safety management system is a series of defined, organization-wide processes that provide for effective risk-based decision-making related to your daily business.

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2. What does the SMS focus on?

- SMS focuses on maximizing opportunities to continuously improve the overall safety of the aviation system.

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3. What are the key processes of an SMS?

- **Hazard Identification** – a method for identifying hazards related to your organization;
- **Occurrence Reporting** – a process for the acquisition of safety data;
- **Risk Management** – a standard approach for assessing risks and for applying risk controls;
- **Performance Measurement** – management tools for analyzing whether the organization's safety goals are being achieved; and
- **Quality/Safety Assurance** – processes based on quality management principles that support continuous improvement of the organization's safety performance.

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4. What are the roles and responsibilities within the SMS?

- The senior manager/accountable executive is accountable for establishing the SMS and allocating resources to support and maintain an effective SMS;
- Management is responsible for implementing, maintaining and adhering to SMS processes in their area; and
- Employees are responsible for identifying hazards and reporting them.

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5. How will SMS benefit my organization?

- Provides for more informed decision-making;
- Improves safety by reducing risk of accidents;
- Provides for better resource allocation that will result in increased efficiencies and reduced costs;
- Strengthens corporate culture; and
- Demonstrates corporate due-diligence.

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6. What key qualities are evident in organizations with an effective SMS?

- A top-down commitment from management and a personal commitment from all employees to achieve safety performance goals;
- A clear roadmap of what the SMS is and what it is supposed to accomplish;
- An established practice of open communication throughout the organization that is comprehensive and transparent, and where necessary, non-punitive; and
- An organizational culture that continuously strives to improve.

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7. What SMS is not:

- Self-regulation / de-regulation
- A stand alone department;
- A substitute for oversight; or
- An undue burden.

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8. What SMS does:

- Builds on existing processes;
- Integrates with other management systems by tailoring a flexible regulatory framework to your organisation; and
- Demonstrates good business practice.

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9. What's the difference between SMS and a flight safety program?

- A safety management system is primarily proactive/predictive. It considers hazards and risks that impact the whole organization, as well as risk controls. A flight safety program is primarily reactive and typically focuses on only one part of the system - the airline operation.

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10. What's the difference between SMS and quality management systems (QMS)?

- SMS focuses on the safety aspects of the organization.
 - QMS focuses on the services and products of the organization.
 - While QMS focuses on conformity, SMS focuses on hazards. Both non-conformities and hazards can impact safety.
- Both systems enhance safety and are essential and complementary management tools. You cannot have an effective SMS without applying quality management principles.

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- **Accountable Manager**

One of the best ways to be involved is by leading the highest level safety meetings. As an Accountable Manager you are responsible for the safety of your organisation, so it makes sense that you are front and center during regular executive safety meetings.

By making yourself available for these meetings you can:

- **Accountable Manager**

- review your organisation's safety objectives and monitor achievement of your safety targets
- stay up to date on the safety health of your business
- make timely safety decisions
- allocate the appropriate resources
- hold managers accountable for safety responsibilities, performance and implementation timelines
- be seen by managers and staff as a person who is interested in, and in charge of, safety.

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AMC1 ORA.GEN.200(a)(5) Management system

- COMPLEX ORGANISATIONS

ORGANISATION'S SAFETY MANAGEMENT MANUAL (SMM)

- (a) The safety management manual (SMM) should be the key instrument for communicating the approach to safety for the whole of the organisation. The SMM should document all aspects of safety management, including the safety policy, objectives, procedures and individual safety responsibilities.

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AMC1 ORA.GEN.200(a)(5) Management system

- COMPLEX ORGANISATIONS

ORGANISATION'S SAFETY MANAGEMENT MANUAL (SMM)

(b) The contents of the safety management manual should include all of the following:

- (1) scope of the safety management system;
- (2) safety policy and objectives;
- (3) safety accountability of the accountable manager;
- (4) safety responsibilities of key safety personnel;

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AMC1 ORA.GEN.200(a)(5) Management system

- **COMPLEX ORGANISATIONS**

ORGANISATION'S SAFETY MANAGEMENT MANUAL (SMM)

- (5) documentation control procedures;
- (6) hazard identification and risk management schemes;
- (7) safety action planning;
- (8) safety performance monitoring;
- (9) incident investigation and reporting;

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AMC1 ORA.GEN.200(a)(5) Management system

- COMPLEX ORGANISATIONS

ORGANISATION'S SAFETY MANAGEMENT MANUAL (SMM)

- (10) emergency response planning;
- (11) management of change (including organisational changes with regard to safety responsibilities);
- (12) safety promotion.

(c) The SMM may be contained in (one of) the manual(s) of the organisation.

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AMC1 ORA.GEN.200(a)(6) Management system

- COMPLIANCE MONITORING - GENERAL

(a) Compliance monitoring

The implementation and use of a compliance monitoring function should enable the organisation to monitor compliance with the relevant requirements of this Part and other applicable Parts.

- (1) The organisation should specify the basic structure of the compliance monitoring function applicable to the activities conducted.
- (2) The compliance monitoring function should be structured according to the size of the organisation and the complexity of the activities to be monitored.

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- (b) Organisations should monitor compliance with the procedures they have designed to ensure safe activities. In doing so, they should as a minimum, and where appropriate, monitor:
- (1) privileges of the organisation;
 - (2) manuals, logs, and records;
 - (3) training standards;
 - (4) management system procedures and manuals.

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(c) Organisational set up

- (1) To ensure that the organisation continues to meet the requirements of this Part and other applicable Parts, **the Accountable Manager should designate a Compliance Monitoring Manager.**
- **The role of the compliance monitoring manager is to ensure that the activities of the organisation are monitored for compliance with the applicable regulatory requirements , and any additional requirements as established by the organisation, and that these activities are being carried out properly under the supervision of the relevant head of functional area.**

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- (c) Organisational set up
- (2) The compliance monitoring manager should be responsible for ensuring that the compliance monitoring programme is properly implemented, maintained and continually reviewed and improved.

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(c) Organisational set up

(3) The compliance monitoring manager should:

- (i) have direct access to the accountable manager;
- (ii) not be one of the other persons referred to in ORA.GEN.210(b);
- (iii) be able to demonstrate relevant knowledge, background and appropriate experience related to the activities of the organisation; including knowledge and experience in compliance monitoring; and
- (iv) have access to all parts of the organisation, and as necessary, any contracted organisation.

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- (c) Organisational set up
- (4) In the case of a non-complex organisation, this task may be exercised by the accountable manager provided he/she has demonstrated having the related competence as defined in (c)(3)(iii).

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- (c) Organisational set up
- (5) In the case the same person acts as compliance monitoring manager and as safety manager, the accountable manager, with regards to his/her direct accountability for safety, should ensure that sufficient resources are allocated to both functions, taking into account the size of the organisation and the nature and complexity of its activities.

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- (c) Organisational set up
- (6) The independence of the compliance monitoring function should be established by ensuring that audits and inspections are carried out by personnel not responsible for the function, procedure or products being audited.

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GM2 ORA.GEN.200(a)(6) Management system

- COMPLEX ORGANISATIONS

COMPLIANCE MONITORING PROGRAMME FOR ATOs

(a) Typical subject areas for compliance monitoring audits and inspections for approved training organisations (ATOs) should be the following:

- (1) facilities;
- (2) actual flight and ground training;
- (3) technical standards.

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GM2 ORA.GEN.200(a)(6) Management system

- COMPLEX ORGANISATIONS

COMPLIANCE MONITORING PROGRAMME FOR ATOs

(b) ATOs should monitor compliance with the training and operations manuals they have designed to ensure safe and efficient training. In doing so, they should, where appropriate, additionally monitor the following:

- (1) training procedures;
- (2) flight safety;
- (3) flight and duty time limitations, rest requirements and scheduling;
- (4) aircraft maintenance/operations interface.

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AMC1 ORA.GEN.200(b) Management system

SIZE, NATURE AND COMPLEXITY OF THE ACTIVITY

- (a) An organisation should be considered as complex when it has a workforce of more than 20 full time equivalents (FTEs) involved in the activity subject to Regulation (EC) No 216/20082 and its Implementing Rules.

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AMC1 ORA.GEN.200(b) Management system

SIZE, NATURE AND COMPLEXITY OF THE ACTIVITY

- (b) Organisations with up to 20 full time equivalents (FTEs) involved in the activity subject to Regulation (EC) No 216/2008 and its Implementing Rules, may also be considered complex based on an assessment of the following factors:
- (1) in terms of complexity, the extent and scope of contracted activities subject to the approval;

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AMC1 ORA.GEN.200(b) Management system

SIZE, NATURE AND COMPLEXITY OF THE ACTIVITY

(2) in terms of risk criteria, whether any of the following are present:

- (i) operations requiring the following specific approvals:
performance-based navigation (PBN), low visibility operation (LVO),
extended range operations with two-engined aeroplanes (ETOPS),
helicopter hoist operation (HHO), helicopter emergency medical
service (HEMS), night vision imaging system (NVIS) and
dangerous goods (DG);
- (ii) different types of aircraft used;
- (iii) the environment (offshore, mountainous area etc.);

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AMC1 ORA.GEN.200(b) Management system

SIZE, NATURE AND COMPLEXITY OF THE ACTIVITY

(c) Regardless of the criteria mentioned in (a) and (b), the following organisations should always be considered as non-complex:

- (1) Approved Training Organisations (ATOs) only providing training for the light aircraft pilot licence (LAPL), private pilot licence (PPL), sailplane pilot licence (SPL) or balloon pilot licence (BPL) and the associated ratings and certificates;
- (2) Aero-Medical Centres (AeMCs).

Structure of a safety management system

The four main components are;

- **Safety policy and objectives**
- **Safety risk management**
- **Safety assurance**
- **Safety promotion**

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Finally

- **The SMS is not a manual, a database, or a reporting process; these are all tools.**
- **The SMS lives in the DNA of your organisation. It penetrates into the operation's processes and activities and it shapes critical management thinking.**
- **The SMS is a vital management capability where the staff are the eyes and ears, the safety group is the heart and management is the decision making 'brain' of the system.**



Tack för mig!