EASA experience in SSP/SMS

Presented by Juan MORALES – Intl. Cooperation Officer
Prepared by Rodrigo PRIEGO – Safety Mangement Team Leader

Your safety is our mission.

Contents of the Presentation

➤ What is EASA?

➤ EASA Regulations

➤ SMS and SSP requirements in the EASA system

➤ EASP and EASp

➤ Working with States

➤ In summary

Institutions

European Court of Justice

Council of the European Union

European Council

European Parliament

European Commission
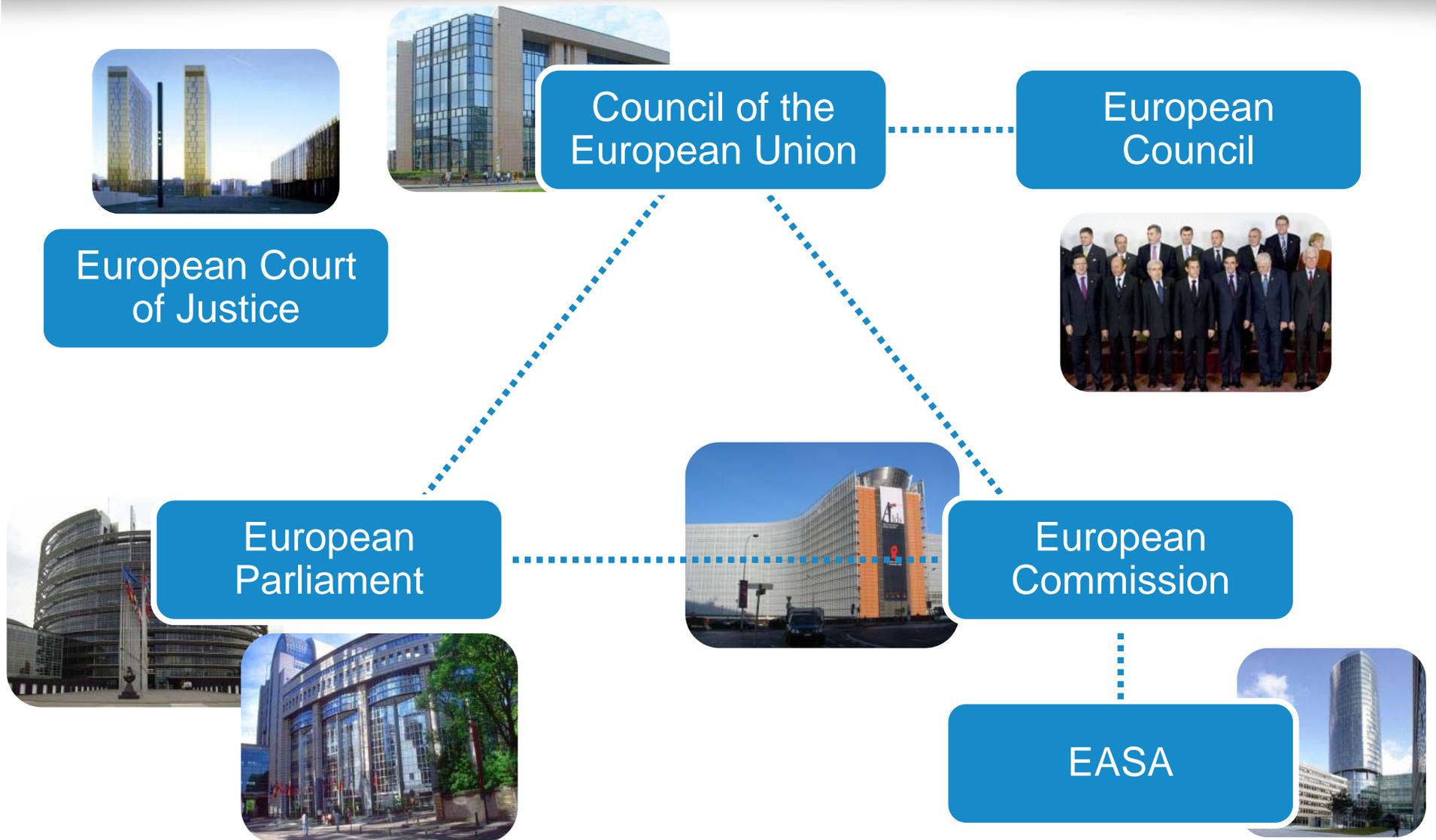
EASA

Established
2002

10 years+
in operation

750
aviation experts
& administrators

Headquarters in
Cologne
Office in
Brussels

32 EASA member states
= 28 + 4
EU + Switzerland, Norway
Iceland, Liechtenstein

The EU aviation safety system

Adopts rules

Launches infringement procedure

Manages Safety List

European Commission

National Aviation Authorities

European Aviation Safety Agency

Proposes rules and issues guidance material

Issues certificates and approvals where centralisation is more efficient

Audits Authorities

Manages the European Aviation Safety Plan

Coordinates the SAFA programme

Industry

Issue licences, certificates and approvals where centralisation is not more efficient

Oversee organisations

Implement EU law

Conduct ramp inspections

EASA Regulations

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An agency of the European Union

Regulatory measures by EASA

Regulation	AMC/CS's	GM
EASA Opinion	EASA Decision	EASA Decision
EC decision	Means of compliance	Guidance material

Rules must reflect "state of the art" and best practices

Comply with ICAO SARPS

Promote new technologies and practises

Use of standards = uniform application of technologies & best practices

Regulatory Structure

```
                    Basic Regulation
                    (EC) No 216/2008                        Aerodromes

                                                            Just issued

    Airworthiness      Flight Standards              ATM/ANS

Initial    Continuing    Air Crew   Air      ANS common   ATM/ANS   ATCO      Airspace    SERA
Airworthiness Airworthiness        Operations requirements safety    licensing usage
                                                          oversight           requirements
```

SMS and SSP requirements in the EASA system

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SSP & EASA rules

None of the EASA regulations require EASA States to have an SSP as such!

Authorities will be subject to a set of specific *Authority Requirements*, including management system requirements.

These Authority Requirements support SSP/EASP implementation.

EU/EASA Rules & ICAO Annex 19

ICAO Annex 19 Safety Management

Ch. 3 App. 1 Attach. A	Ch. 4 App. 2	Ch. 5 Attach. B

EASA Basic Regulation 216/2008

EASA Implementing Rule

ARs: Authority Requirements

SSP

Subpart GEN: general requirements

Subpart XXX: Specific, additional requirements

ORs: Organisation Requirements

SMS

Subpart GEN: general requirements

Subpart XXX: Specific, additional requirements

Technical Requirements

Subpart ABC

Subpart DEF

Regulation (EU) 376/2014 on the reporting, analysis and follow-up of occurrences in civil aviation

(published 3 April 2014)

Streamlined ARs focus on the critical elements of an oversight system:

- **CE-3**: State civil aviation system and safety oversight functions
- **CE-4**: Technical personnel qualification and training
- **CE-5**: Technical guidance, tools and the provision of safety-critical information
- **CE-6**: Licensing, certification, authorisation and/or approval obligations
- **CE-7**: Surveillance obligations
- **CE-8**: Resolution of safety concerns

Authority Requirements – SSP

Mirror relevant organisation requirements

Require a **management system** for competent authorities

Aim towards enhanced efficiency:

- optimal use of authority resources
- cooperation / exchange of information between authorities & with the Agency
- risk & performance based oversight

EASP and EASp

ICAO SSP FRAMEWORK

1. **State safety policy and objectives**
   1.1 State safety legislative framework
   1.2 State safety responsibilities & accountabilities
   1.3 Accident and incident investigation
   1.4 Enforcement policy
2. **State safety risk management**
   2.1 Safety requirements for service providers SMS
   2.2 Agreement on service providers safety performance
3. **State safety assurance**
   3.1 Safety oversight

   EU holds the competency to establish safety requirements for Service Providers' SMS -Regulation EC nº 216/2008

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Safety Management Systems
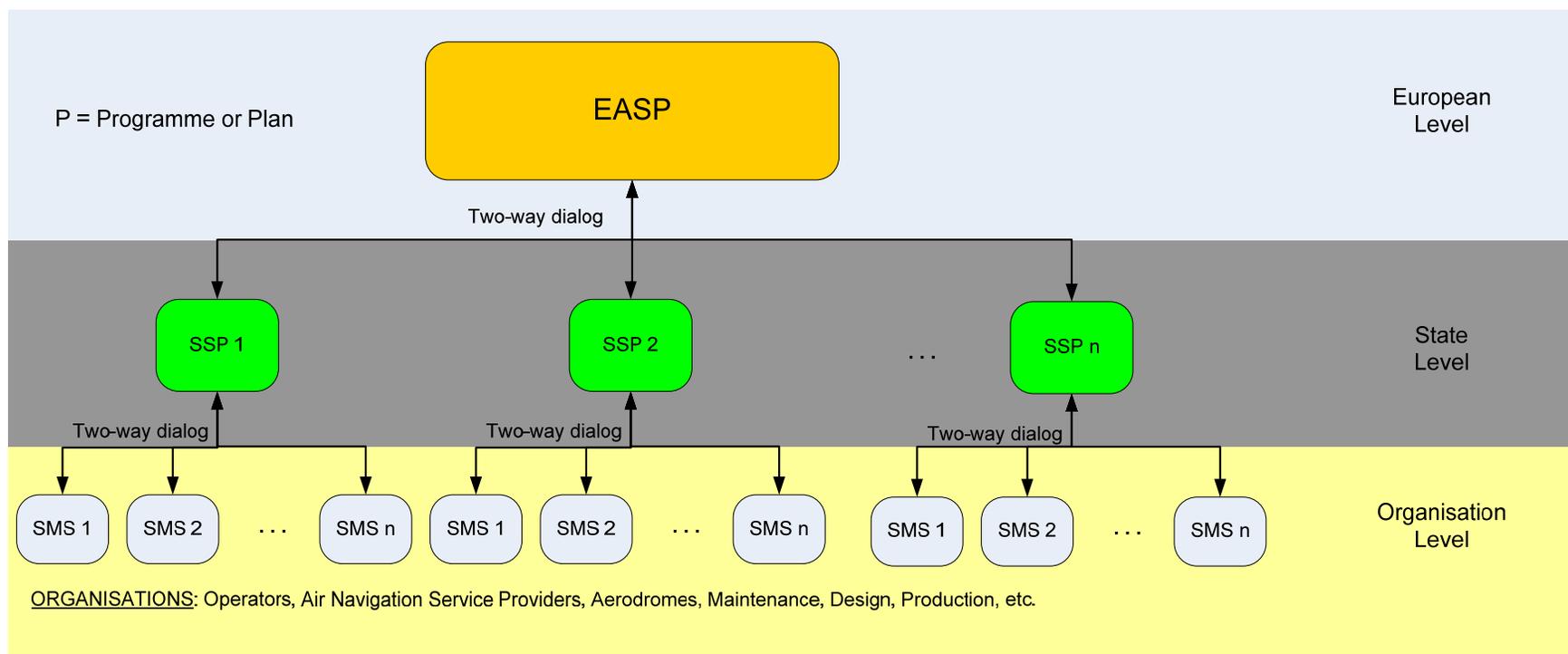
Safety Management is done at various levels.
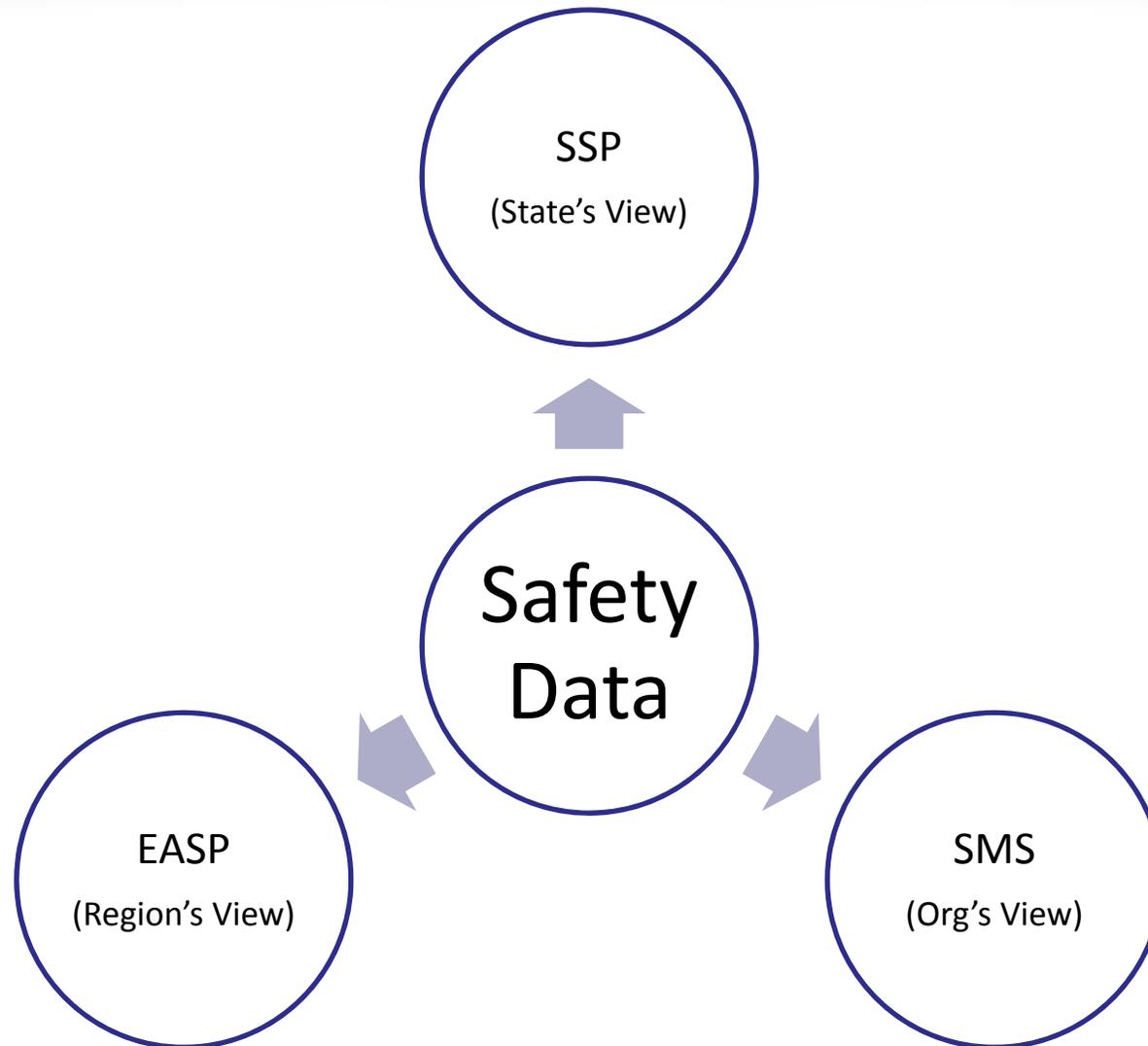
European Aviation Safety Strategy:

• Policies and objectives from political authorities

EC

European Aviation Safety Programme (EASP):

• Integrated set or regulations and activities aimed at improving safety

EC

European Aviation Safety plan (EASp):

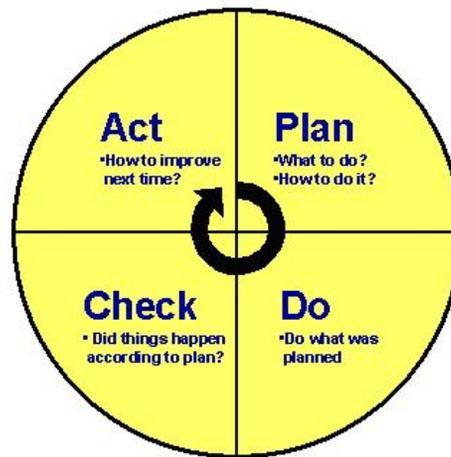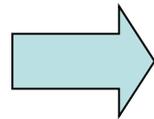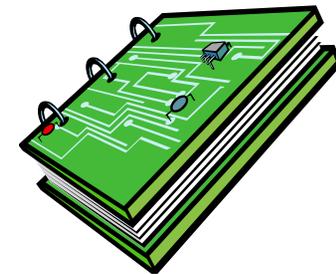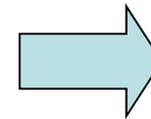• High level safety issues assessment and related action plan

EASA

Strategy

Programme

Plan

EUROPEAN COMMISSION

Brussels, 25.10.2011
COM(2011) 670 final

**COMMUNICATION FROM THE COMMISSION TO THE COUNCIL AND THE
EUROPEAN PARLIAMENT**

Setting up an Aviation Safety Management System for Europe

(Text with EEA relevance)

{SEC(2011) 1261 final}

policies and objectives

Objectives

How to achieve them

Obstacles

Solutions

Programme (EASP)

EUROPEAN COMMISSION

Brussels, 25.10.2011
SEC(2011) 1261 final

COMMISSION STAFF WORKING PAPER

The European Aviation Safety Programme

{COM(2011) 670 final}

regulations and activities

Safety Policies and Objectives

Safety Risk Management

Safety Assurance

Safety Promotion

Report

European Aviation Safety Plan
2011-2014

Draft

safety issues and actions

Safety Analysis and Research
E.T004-02 © European Aviation Safety Agency, 2010.

Page 1 of 50

High-level European-wide concerns

Bottom-up approach

Coordinated with MS SSP

Wider than EASA

4 editions published

**Safety Plan
2014-2017 (4th Ed.)**

SYSTEMIC

OPERATIONAL

EMERGING

Main areas/issues – Level 2

Systemic Issues

- **Working with States to implement and develop SSPs**
- **Working with States to foster the implementation of SMS in the industry**
- **Safety Management enablers**
- **Complexity of the system**
- **Competence of personnel**

Operational Issues

COMMERCIAL AIR TRANSPORT BY AEROPLANES

- Runway Excursions
- Mid-air collisions
- Controlled Flight Into Terrain
- Loss of Control In Flight
- Runway Incursions
- Fire, smoke and Fumes

OTHER TYPES OF OPERATION

- Helicopters
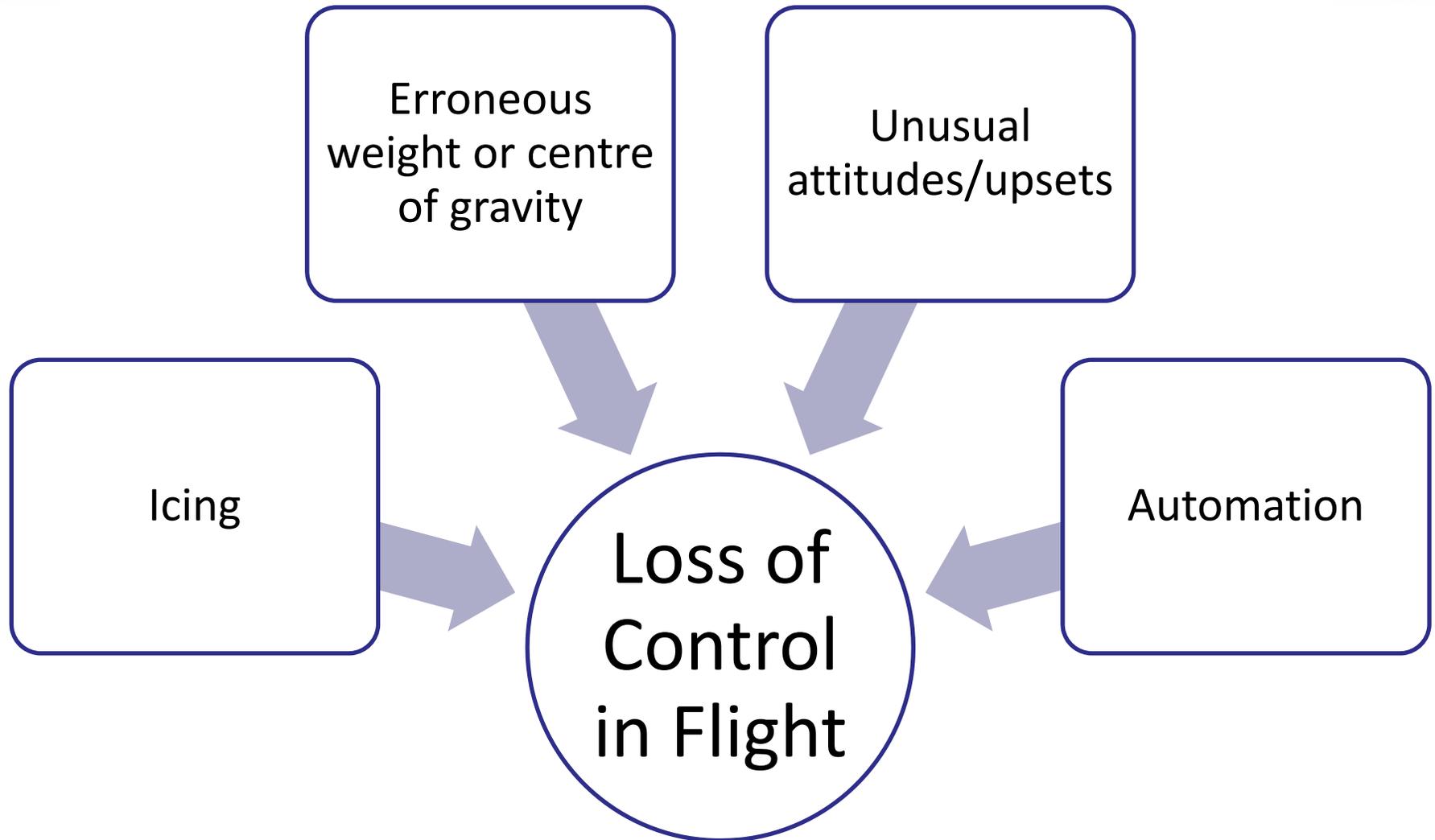- General Aviation

Emerging Issues

- **New products, systems, technologies and operations**
- **Environmental factors**
- **Regulatory considerations**

Erroneous weight or centre of gravity

Unusual attitudes/upsets

Icing

Automation

Loss of Control in Flight

Working with States
SSP/EASP implementation in practice

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An agency of the European Union

Role of the Member States

Develop SSPs and establish a link with the European Aviation Safety Plan.

How do national efforts contribute to the actions at European level?
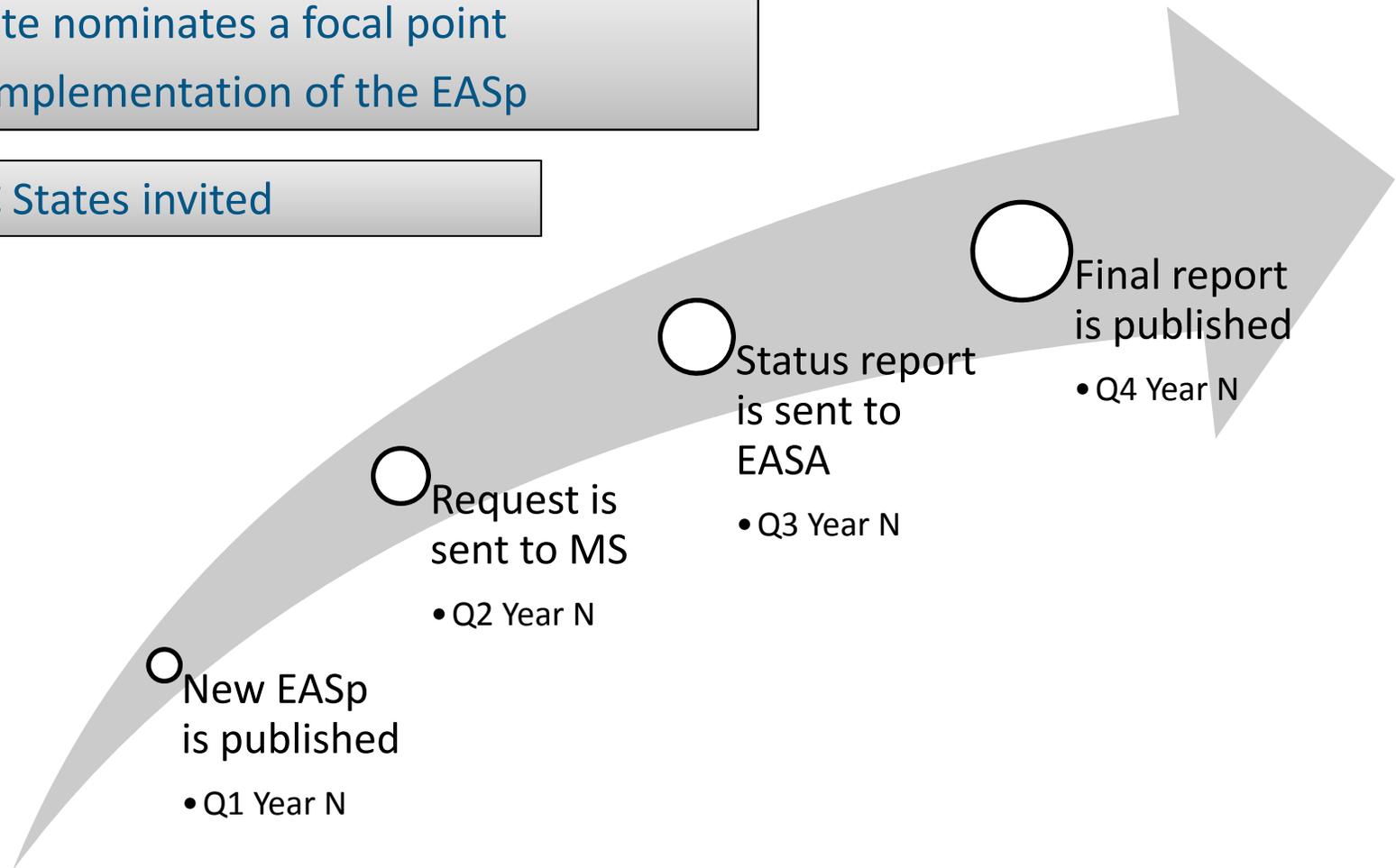
Share information to keep the Plan alive.

Reporting Cycle

Each State nominates a focal point
for the implementation of the EASp

All ECAC States invited

New EASp
is published

- Q1 Year N

Request is
sent to MS

- Q2 Year N

Status report
is sent to
EASA

- Q3 Year N

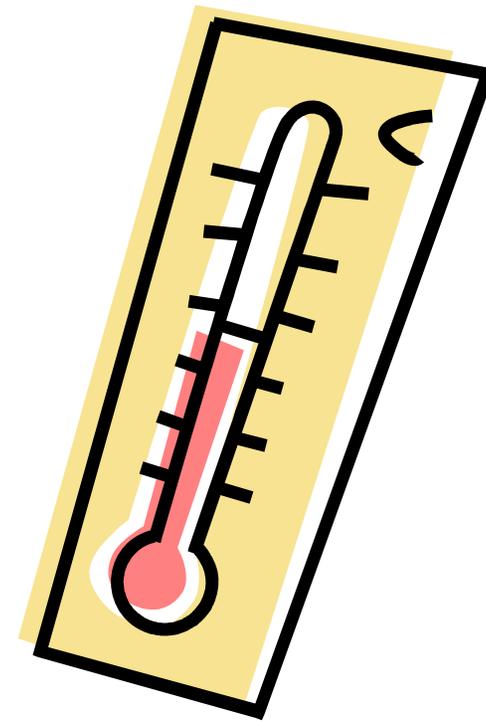Final report
is published

- Q4 Year N

EASp summits

Organised twice a year

To take the temperature of the implementation with States

Opportunity to exchange information and discuss key issues
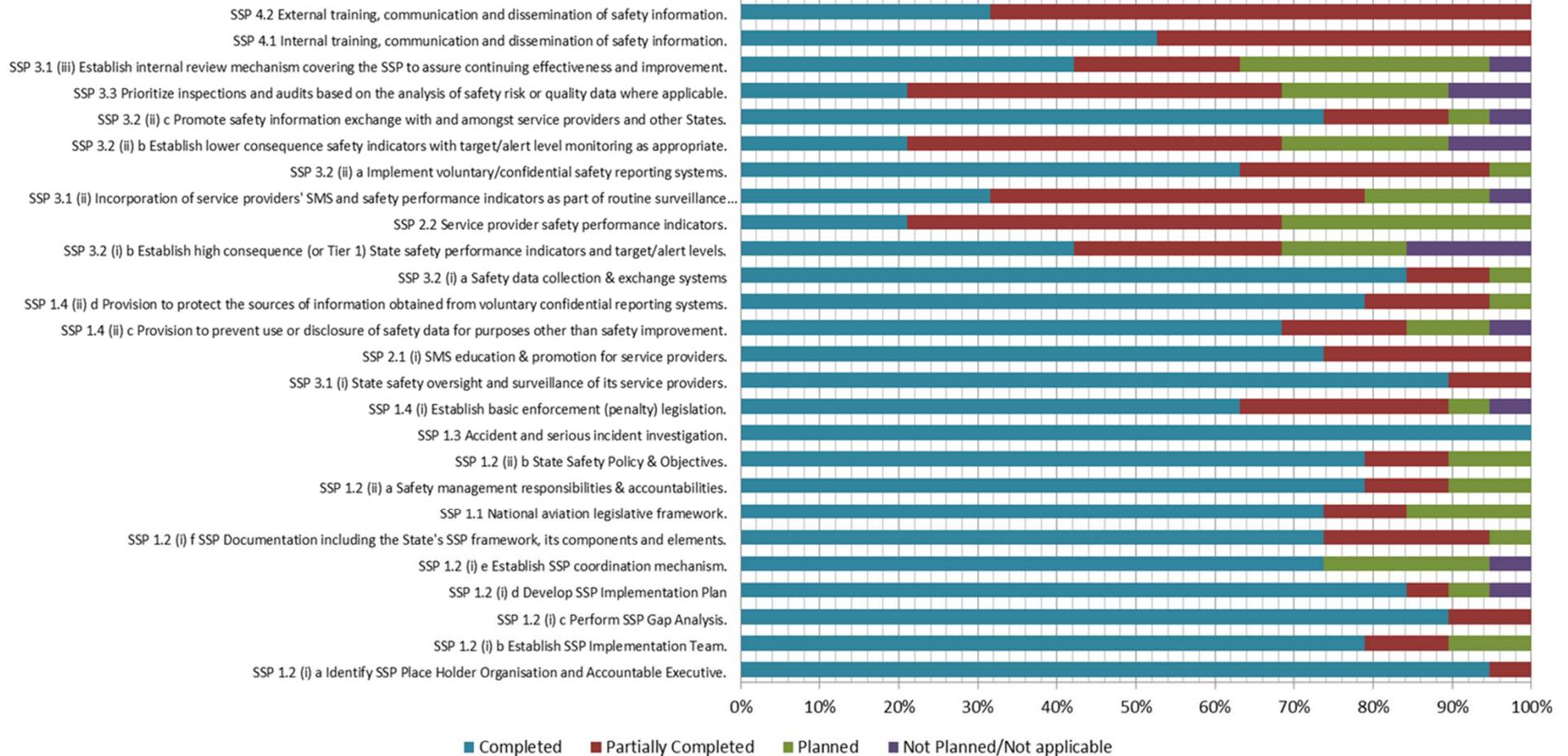
2014 - ICAO 4 Phase Approach customised for the EASA System

Table A – Four Phases of SSP Implementation (An Example)

Phase1 (12 mths)	Phase 2 (12 mths)	Phase 3 (24 mths)	Phase 4 (24 mths)
1. **SSP element 1.2(i):** a. Identify SSP Place Holder Organization and Accountable Executive b. Establish SSP Implementation Team c. Perform SSP Gap Analysis d. Develop SSP Implementation Plan e. Establish SSP coordination mechanism f. SSP Documentation including the State's SSP framework, its components and elements.	1. **SSP element 1.1:** National aviation legislative framework 2. **SSP element 1.2(ii):** a. Safety management responsibilities & accountabilities b. State Safety Policy & Objectives 3. **SSP element 1.3:** Accident and serious incident investigation 4. **SSP element 1.4(i):** Establish basic enforcement (penalty) legislation 5. **SSP element 3.1(i):** State safety oversight and surveillance of its service providers 6. **SSP element 2.1(i):** SMS education & promotion for service providers	1. **SSP element 1.4(ii):** Enforcement Policy/ Legislation to include: a. Provision for service providers operating under an SMS, to deal with and resolve safety and quality deviations internally b. Conditions and circumstances under which the State may intervene with safety deviations c. Provision to prevent use or disclosure of safety data for purposes other than safety improvement d. Provision to protect the sources of information obtained from voluntary/ confidential reporting systems. 2. **SSP element 2.1(ii):** Harmonized regulations requiring SMS implementation 3. **SSP element 3.2(i):** a) Safety data collection & exchange systems b) Establish high consequence State safety performance indicators and target/ alert levels	1. **SSP element 2.2:** Service provider safety performance indicators 2. **SSP element 3.1(ii):** Incorporation of service providers' SMS and safety performance indicators as part of routine surveillance program 3. **SSP element 3.2(ii):** a. Implement voluntary/ confidential safety reporting systems b. Establish lower consequence safety/ quality indicators with target/ alert level monitoring as appropriate c. Promote safety information exchange with and amongst service providers and other States. 4. **SSP element 3.3:** Prioritize inspections and audits based on the analysis of safety risk or quality data where applicable 5. **SSP element 3.1(iii):** Establish internal review mechanism covering the SSP to assure continuing effectiveness and improvement

SSP element 4.1, 4.2: Internal SSP & SMS training. Promotion of external SMS training. Internal & external communication and dissemination of safety information are progressively implemented through Phase 1 to 4.

Note: Phase period (eg 12 months for Phase 1) is an approximate timeframe only. Actual implementation period depends on scope/ complexity of a State's aviation system, actual gaps within each element and organization structure.

Aggregated results for 2014 - Based on 19 responses

In summary

ICAO SARPS versus EU/EASA rules

ICAO

- Chicago Convention
- Standards
- Recommended Practices
- Guidance (Doc. 9859)

EU/EASA

- Basic Regulation
- Implementing rules
- AMCs
- GM

?

Copy/paste of the ICAO SMS framework not an option !
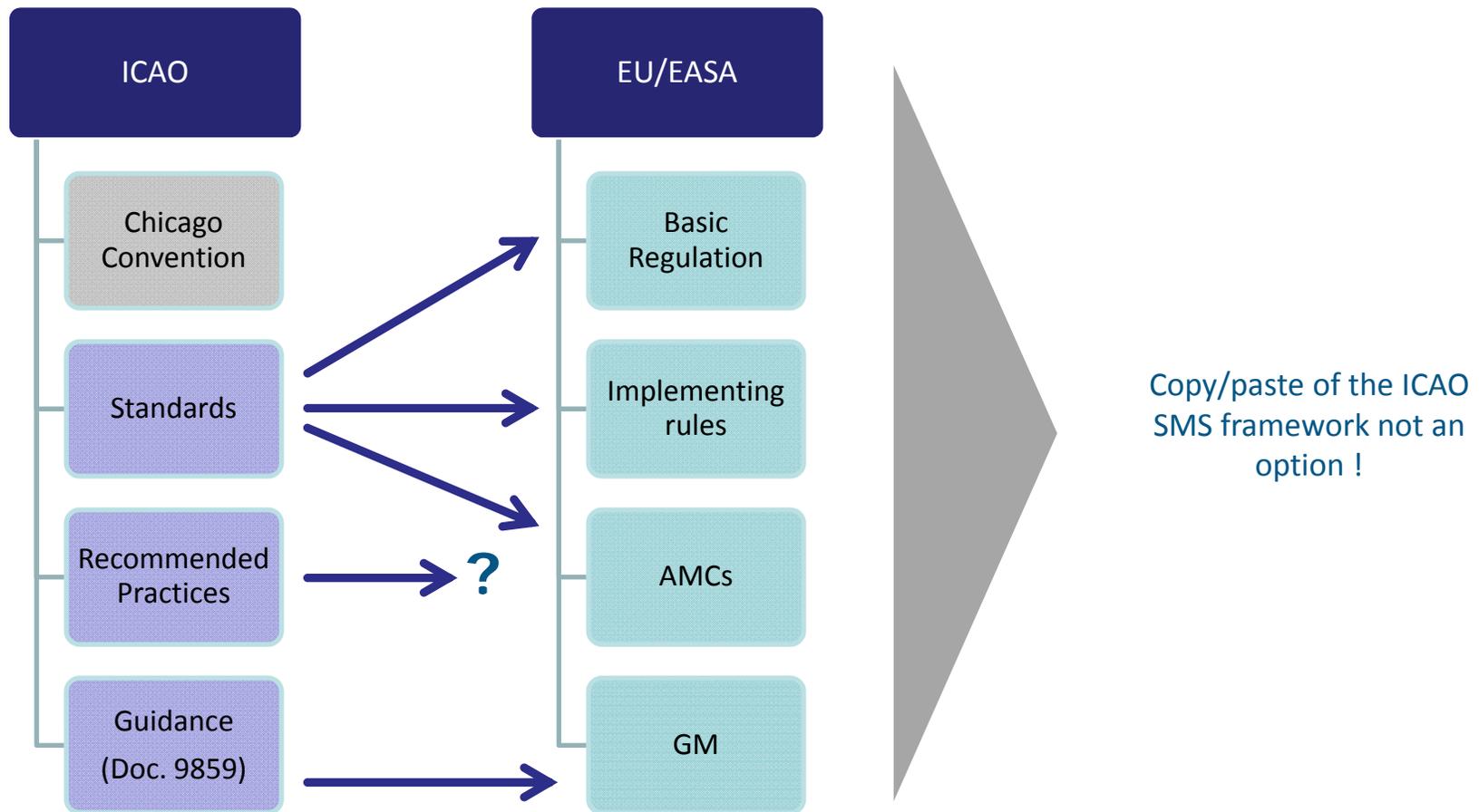
ICAO Annex 19 Applicability

ICAO SMS framework

approved training organizations in accordance with Annex 1 that are exposed to safety risks related to aircraft operations during the provision of their services;

operators of aeroplanes or helicopters authorized to conduct international commercial air transport / CAT (Annex 6, Part I or Part III, Section II);

approved **maintenance organizations** providing services to operators of aeroplanes or helicopters engaged in international CAT (Annex 6, Part I or Part III, Section II);

organizations responsible for the **type design or manufacture of aircraft**, in accordance with Annex 8;

air traffic services providers in accordance with Annex 11; and

operators of certified aerodromes in accordance with Annex 14.

international general aviation operators of large or turbojet aeroplanes in accordance with Annex 6 Part II Section III.

EASA MS framework

ALL approved training organizations: Regulation 290/2012

operators of aeroplanes or helicopters authorized to conduct international commercial air transport / CAT: **OK - Regulation 965/2012**

approved **maintenance organizations: NOT YET (rulemaking still on-going – task MDM.055 – Opinion 2016)**

organizations responsible for the **type design or manufacture of aircraft: : NOT YET (rulemaking still on-going – task– MDM.060) – will address all DOAs and POAs**

air traffic services providers in accordance with Annex 11: **OK, Regulation (EC) No 1035/2011**

operators of certified aerodromes: publication of Regulation (EU) 139/2014 - will apply in 2017

international general aviation operators of large or turbojet aeroplane: publication of **Regulation 800/2013 will apply as of August 2016 (scope: NCC with CMPA)**

Lessons learned

Face to face meetings allow to build confidence and facilitate exchange of good practices amongst States

Knowing the concerns of States is important to find proper solutions

Small States do not have enough exposure to risks that are perceived at the regional level

States welcome flexibility to find their own way of tackling risks

EASP document is very helpful to clarify the role of the States in SSP implementation

Two sides...

| States (Authorities) | ⟷ | Service Providers (Organisations) |

SSP | SMS
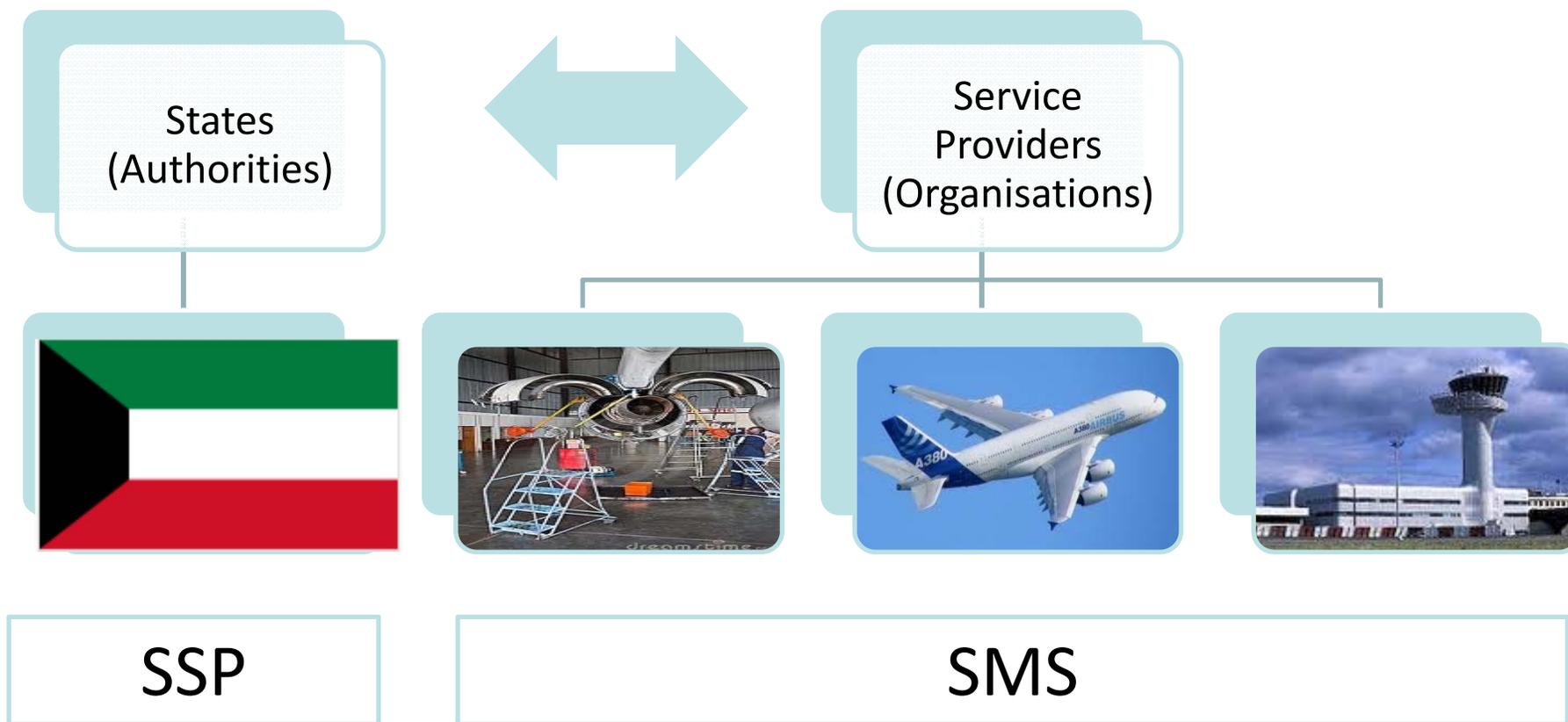
EUROPEAN AVIATION SAFETY AGENCY
AGENCE EUROPÉENNE DE LA SÉCURITÉ AÉRIENNE
EUROPÄISCHE AGENTUR FÜR FLUGSICHERHEIT

For further information about the EASP or to provide feedback and help us improve it, do not hesitate to contact us at easp@easa.europa.eu

Questions?

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