




Safety Management



CE-1 primary legislation




- ❑ Role of CAA to establish / prepare and approve SSP – depends on the State’s specific law system 
- ❑ Protection of information from SDCPS (Safety Data Collection and Processing Systems) due to constitutional issues – privacy, secrecy, immunities, confidentiality

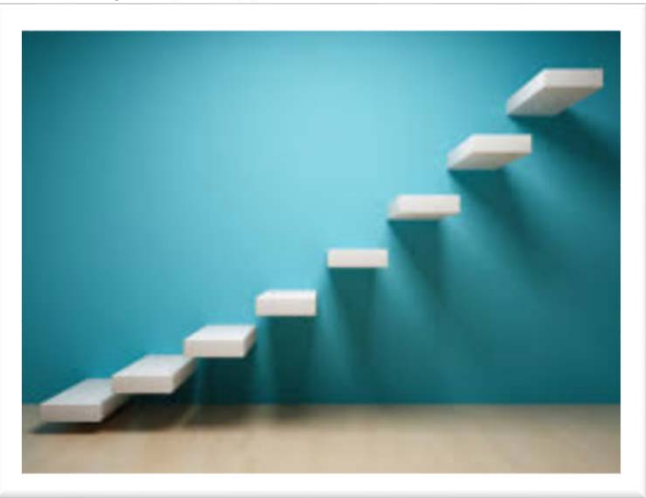
“The use of safety information in disciplinary, civil, administrative and criminal proceedings should be carried out only under suitable safeguards provided by national law.”



CE-2 Operating regulations



- ❑ SMS regulations to all relevant domains in accordance with annex 19 requirements 
- ❑ Considerations for gradual approach –
 - ❑ SMS development in parallel to SSP development
 - ❑ start with the “important” sectors (air carriers, Intl. aerodromes, ANSP)
 - ❑ Rely on world experience & exchange of information



CE-3

State system and functions

- Decision which state's agency is responsible to the SSP " States should clarify which authority within the State is responsible for coordinating the maintenance and implementation of the SSP"
- Establish safety management unit /position in the said agency (CAAI)
- Incorporate in job description of DG & SOD personnel safety management roles
- Nominate SSP steering committee (SRB/ "coordination group") of all regulatory agencies involved (headed by DG)
- Nominate SSP Implementation committee/s – joint with industry

CE-4

Qualified technical personnel



- familiarization training for senior management on SSP, SMS, safety policy, objectives and ALoSP;
- CASIs training in -**
 - Safety Management system as part of certification core training (acceptance of service provider SMS)
 - SMS surveillance
 - protection of safety data, safety information and related sources and enforcement policy (also for legal personnel)
- training for personnel responsible for data analysis, safety objectives, SPIs and SPTs;
- CASI & other relevant personnel - risk management training

CE-5

Technical guidance, tools and provision of safety-critical information



- SSP manual -
 - structure of SSP and associated programs
 - the roles of the different State aviation authorities within the SSP
 - Implementation procedures such as roles and procedures of steering committee / implementation committee
- Directives for SMS acceptance & SMS surveillance
- Incorporation of “performance based surveillance” in surveillance directives
- Systems for collection of safety data
- Safety information data & analysis (data rich / analysis poor)

CE-6

Licensing, certification, authorization and/or approval obligations



Documented process for the acceptance of service provider's SMS in the various domains

- Phase 1 – initial acceptance of SMS
 - Service provider submit SMS manual + gap analysis
 - CAAI perform document evaluation + on sight demonstration /inspection
 - Service provider correct findings
 - CAAI issues “initial acceptance”
- Phase 2 – final acceptance of SMS
 - CAAI will perform inspections on SMS implementation in 18 months following initial acceptance – to ensure effective implantation including safety assurance

CE-7

Surveillance obligations



- Annual surveillance over SMS implementation
- Safety assurance within the SSP
- Performance based surveillance

CE-8

Resolution of safety issues



- Incorporate in the enforcement policy –
 - Limitations on use of safety data
 - Considerations for resolution of safety issues via SMS and not via enforcement
- Reduction in formal enforcement actions due to improved safety culture



Figure 19. Integrated State safety programme

End



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“there may be need for legislative provisions that empowers the various State aviation authorities to perform their roles. Whether or not the primary aviation legislation needs to specifically mention SSP implementation as a role of the CAA depends on the legal system of the state”



Annex 19 SMS requirements



3.1.3 As part of its SSP, each State shall require that the following service providers under its authority implement an SMS:

- a) approved training organizations in accordance with Annex 1 that are exposed to safety risks related to aircraft operations during the provision of their services;
- b) operators of aeroplanes or helicopters authorized to conduct international commercial air transport, in accordance with Annex 6, Part I or Part III, Section II, respectively;
- c) approved maintenance organizations providing services to operators of aeroplanes or helicopters engaged in international commercial air transport, in accordance with Annex 6, Part I or Part III, Section II, respectively;
- d) organizations responsible for the type design or manufacture of aircraft, in accordance with Annex 8;
- e) air traffic services (ATS) providers in accordance with Annex 11; and
- f) operators of certified aerodromes in accordance with Annex 14.

3.1.4 As part of its SSP, each State shall require that international general aviation operators of large or turbojet aeroplanes in accordance with Annex 6, Part II, Section 3, implement an SMS.



SSP implementation in primary legislation



8.3.4.2 There may be a need for legislative provisions that empower the various State aviation authorities (e.g. CAA or Accident Investigation Authority) to perform their roles. Whether or not the primary aviation legislation needs to specifically mention SSP implementation as a role of the CAA depends on the legal system of the State. Some States may consider that SSP implementation is implied in the functions already mentioned in their primary aviation legislation. In that case, amendment of the primary aviation legislation may not be necessary. Evidence of