

Safety Management International Collaboration Group Terms of Reference



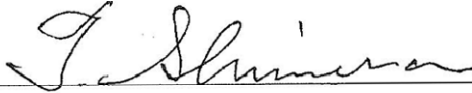
25 January 2012

Terms of Reference Approval



Graeme Harris
Director, Civil Aviation
Civil Aviation Authority of New Zealand

28 May 2012
Date



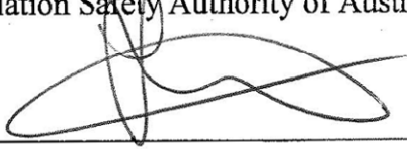
Tsutomu Shimura
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Aviation Safety Department
Civil Aviation Bureau, Japan

29/06/12
Date



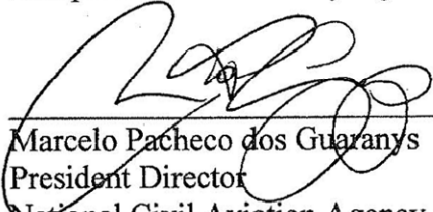
Peter Boyd
Executive Manager
Civil Aviation Safety Authority of Australia

24/05/12
Date



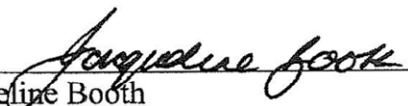
Jules Kneepkens
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10-7-12
Date



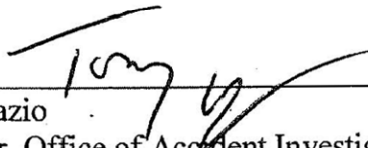
Marcelo Pacheco dos Guimarães
President Director
National Civil Aviation Agency of Brazil

02/18/12
Date



Jacqueline Booth
Acting Director, Standards
Transport Canada Civil Aviation

2-14-12
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1. Purpose:

The purpose of the Safety Management International Collaboration Group (SM ICG) is to promote a common understanding of safety management principles and requirements and facilitate their application across the international aviation community.

2. Background and Benefits:

Safety Management System (SMS) is the standard for aviation safety worldwide. The International Civil Aviation Organization (ICAO) requires SMS for the management of safety risk in air operations, maintenance, air traffic services, and aerodromes. These requirements have recently been expanded to include flight training and design and production of aircraft. Furthermore, ICAO has published safety management requirements for States by mandating that States establish a State Safety Programme (SSP) in order to achieve an acceptable safety performance in their civil aviation systems. As such, it is beneficial for civil aviation authorities (CAAs) to harmonize their SMS and SSP requirements and implementation activities and collaborate on common topics of interest.

CAAs will benefit from collaboration and sharing of lessons learned and best practices. This collaboration will help CAAs avoid duplication of efforts, and enable them to better share information and provide oversight of multinational organizations. Aviation industry organizations will also greatly benefit from SMS requirement harmonization among regulators, since many companies own multiple certificate types in multiple nations. Additionally, sharing methods and tools will assist in developing robust and affordable safety management systems.

3. Membership

a. Core Group Membership

The list below identifies SM ICG participation as of the date this Terms of Reference was published:

Initiating organizations:

- United States (U.S.) Federal Aviation Administration (FAA), Aviation Safety (AVS)
- European Aviation Safety Agency (EASA)
- Transport Canada Civil Aviation (TCCA)

Additional organizations:

- Civil Aviation Authority of New Zealand (CAA NZ)
- Civil Aviation Safety Authority (CASA) of Australia
- National Civil Aviation Agency of Brazil (ANAC)
- Civil Aviation Bureau of Japan (JCAB)

Note: EASA is also represented by the following members: the Federal Office of Civil Aviation (FOCA) in Switzerland, Direction Générale de l'Aviation Civile (DGAC) in France, the United Kingdom Civil Aviation Authority (UK CAA), and the Civil Aviation Authority of the Netherlands (CAA NL).

The *Core Group* is responsible for leading workgroups and producing products. It is comprised of the initiating members and additional CAAs that have sufficient resources and expertise to contribute to group product development.

b. Participant Group

It is anticipated that representatives from additional CAAs that have less experience than *Core Group* members will participate in the SM ICG in the future. To that end, a *Participant Group* will be established. While the *Core Group* is responsible for leading workgroups and producing products, *Participant Group* members will be able to actively participate in the workgroups, review and test the products developed by the SM ICG, and provide feedback to the *Core Group*. *Participant Group* members will also share lessons learned and benefit from the collaboration within the SM ICG.

c. Observers

The ICAO Integrated Safety Management Section (ICAO/ISM) participates in the SM ICG as an *Observer*. It is further anticipated that representatives from States that have not yet developed or implemented safety management requirements will seek assistance and understanding from the SM ICG. Such States may also engage with the SM ICG as *Observers*. In addition, *Observers* may also include industry participants with whom information could be shared and input solicited. *Observers* will not actively participate in the development of SM ICG work plan objectives, but may be invited to attend bi-annual meetings and utilize SM ICG products.

More information on membership requirements and guidance for membership requests can be found in Annex 1, Membership Guidelines for Applicants to the SM ICG.

Note: It is at the discretion of each member organization to determine the number of experts that will participate in the SM ICG. However, it is desirable for core members to include representatives to each workgroup. When there are multiple representatives of a member organization in the SM ICG, a lead for that member organization shall be identified.

4. Workgroups

Workgroups will be established to focus on a particular area of interest, complete specific objectives or a set of objectives, and/or develop defined products. Workgroups will be established by, and report to, the *Core Group*. The workgroups will establish their own Terms of Reference and project plans (to include deliverables, due dates, and interim milestones) to describe their work efforts.

Areas of interest on which workgroups may focus include:

- Documentation
 - a. Best practices to include sharing of guidance and tools that have been developed by the members of this group.
 - b. Guidance and tools to provide the industry a detailed roadmap for developing and implementing an SMS. Additionally, material maybe developed to provide authorities guidance for performing oversight of industry SMS.
 - c. Development of safety behavior assessment tools.
 - d. Training material and promotion material.
- Measurements
 - a. Definition of an overall framework/model for the measurement of safety performance.
 - b. Methodology for setting expectations regarding safety performance (SMS and SSP).
 - c. Process for identifying risk acceptance/thresholds within safety risk management (SRM).

- Standardization
 - a. Common taxonomy for hazards to be utilized for data categorization and analytical purposes.
 - b. Processes for analysis and sharing of the above mentioned data.
 - c. Comparison of international SMS and SSP terminology and alignment where possible.
- Others
 - a. Data sharing – Study the alternatives for sharing safety data.
 - b. State Safety Programme – Study the possibility of sharing lessons learned on the SSP and the European Aviation Safety Programme.
 - c. Cost and benefits – Share data regarding cost and benefits of SMS and SSP implementation. This could include cost and benefits to the industry or the regulator.
 - d. Manufacturer requirements – Discuss challenges/questions regarding Annex 8.

5. Roles and Responsibilities:

a. SM ICG Chair:

- Schedules, arranges logistics (meeting space, teleconference bridge, etc.), and announces bi-annual meetings and monthly teleconferences
- Leads the meetings and teleconferences
- Helps the SM ICG define its goals and objectives
- Establishes SM ICG Terms of Reference and work plan
- Works with SM ICG representatives to identify the tasks for the SM ICG and the workgroups
- Promotes timely completion of SM ICG tasks
- Provides technical and policy leadership at meetings and in the preparation of reports
- Informs and update civil aviation authorities and the aviation industry regarding the SM ICG and its efforts
- Coordinates SM ICG activities with the ICAO/ISM

b. Core Group Representatives:

- Work with other representatives to identify the tasks for the SM ICG and the workgroups
- Provide resources to support workgroups established by the SM ICG and assist in the development of SM ICG and workgroup products
- Provide conduit between the SM ICG and experts in their home organizations and/or industry representatives in their home countries

c. Participant Group Representatives:

- Participate in workgroups and assist in the development of workgroup products
- Review and test the products produced by the SM ICG and its workgroups
- Provide feedback on the products produced by the SM ICG and its workgroups
- Share lessons learned and information regarding aviation safety and safety management
- Provide conduit between SM ICG and experts in their home organizations and/or industry representatives in their home countries

d. Observers:

- Attend bi-annual SM ICG meetings by invitation of SM ICG Chair
- Consider and provide feedback on SM ICG products

e. Workgroup Leads:

- Schedules, arranges logistics (meeting space, teleconference bridge, etc.), and announces the meetings and teleconferences
- Leads the meetings and teleconferences
- Helps define workgroup goals and objectives
- Establishes workgroup Terms of Reference and work plan
- Promotes timely completion of workgroup tasks
- Provides technical and policy leadership at meetings and in the preparation of reports
- Informs and updates the SM ICG chair regarding the workgroup efforts

More information regarding governance of SM ICG can be found in Annex 2, Governance of the Safety Management International Collaboration Group.

6. Resource Requirements and Sources:

Any costs associated with participation on the SM ICG or the workgroups (including travel, communication/telephonic, material production, etc.) will be the responsibility of the representative's home organization. If a representative cannot attend a meeting, he/she may send a stand-in representative. The representative will inform the stand-in representative sufficiently to support the workgroup.

7. Boundaries and Assumptions:

The SM ICG is established for collaboration/harmonization and does not have authority over any of the participating organizations. The organizations participate voluntarily in the SM ICG. However, representatives will make every effort to reach a common understanding when making SM ICG decisions/recommendations or provide dissenting opinions explaining why a representative's organization will not support a decision/recommendation. Representatives are expected to speak for their organization and share their organization's position on the subject matter, rather than their personal opinions.

8. Interfaces:

The SM ICG will interface with various groups that are stakeholders in the aviation system, including:

- Industry members and groups
- Commercial Aviation Safety Team (CAST), European Commercial Aviation Safety Team (ECAST), and other comparable organizations
- CAAs that have implemented or are implementing SMS
- ICAO and SMS development groups such as the Annex 19 Panel and the Safety Management Action Group (SMAG)

9. Products and Outputs:

a. SM ICG products and outputs will include the development and support of:

- A common understanding of SMS requirements, safety oversight processes, and safety measures;
- Guidance material for regulatory authorities and industry which may include guidance and tools, safety behavior assessment tools, training material, and promotion/communication material;
- Standard taxonomy, which may include standard hazard definition and taxonomy, common SMS and SSP terminology, and data sharing; and

- Knowledge sharing between authorities.

b. Review and Acceptance for SM ICG Products and Outputs

As stated earlier, the SM ICG is established for collaboration/harmonization and does not have authority over any of the participating organizations. Therefore, products and outputs from the SM ICG should be reviewed and accepted by appropriate management within each individual *Core Group* member organization prior to the release of an SM ICG product. This review and acceptance of products facilitates the commitment to maintain a harmonized approach to SMS implementation.

Products submitted to the SM ICG from the workgroups shall be reviewed and accepted within 30 days of submittal. The SM ICG will then submit the accepted products to *Core Group* member organizations (authorities/agencies) for review and acceptance, via the lead representative from each organization. The review and acceptance of these products should be completed within 30 days of submittal or as appropriate based on the complexity and potential impact of the product. Comments and proposed changes to the products should be assessed and incorporated, if necessary, by the applicable workgroup and submitted to the SM ICG for final approval. Any subsequent review by the *Core Group* member organizations following changes to the product should be targeted for completion within 15 days.

After an SM ICG product has been approved as final by the SM ICG *Core Group*, that product will be posted on SKYbrary to enable sharing with the international aviation community.

10. Group Operation:

a. SM ICG Meetings

The SM ICG will meet bi-annually. These will be working meetings and will provide a forum to:

- Coordinate amongst the participants to ensure proper alignment of activities;
- Review and accept SM ICG products for harmonized implementation;
- Review and approve workgroup products;
- Plan future tasks and identify the need for new workgroups;
- Raise and resolve issues of common concern; and
- Share SMS development activity, best practices, and lessons learned.

b. SM ICG Teleconferences

The SM ICG will hold regular teleconferences. During these teleconferences the group will:

- Coordinate amongst the representatives to ensure proper alignment of activities;
- Receive status and updates on SM ICG activities;
- Receive status and updates on workgroup activities;
- Plan future tasks and identify the need for new workgroups; and
- Raise and resolve issues of common concern.

c. *Workgroup Meetings*

The workgroups may hold meetings and teleconferences as agreed to by the workgroup lead and members.

d. *SM ICG and Workgroup Decision Making*

The SM ICG and workgroups will make every effort to reach a common understanding when making decisions. Decisions/recommendations will be documented. If a representative will not support a decision/recommendation, he/she will document a dissenting opinion to accompany the group's decision/recommendation.

Annex 1 – Membership Guidelines for Applicants to the Safety Management International Collaboration Group (SM ICG)

1. Purpose

The purpose of this Annex is to provide guidance to applicants seeking membership in the SM ICG.

2. Background

The SM ICG is committed to developing methods and tools relating to safety management that build upon those that presently exist. In order to effectively develop and prioritize group objectives, the SM ICG is comprised of three types of membership: *Core Group*, *Participant Group*, and *Observers*. *Core Group* members must have advanced knowledge and experience relating to SMS, and have the ability to devote sufficient resources to actively participate in SM ICG activities. *Participant Group* members must have a solid foundation of knowledge and experience relating to SMS. More information on each type of membership is provided in Sections 3 and 5 of the SM ICG Terms of Reference.

3. Membership Requirements

3.1 Core Group

This group is comprised of initiating members and additional members, all of whom have demonstrated a minimum of five years substantive experience in the development and/or implementation of SMS regulations, guidance, and promotional materials. Active participation as a *Participant Group* member may lead to earlier acceptance as a *Core Group* member. *Core Group* members are expected to actively participate in, and support the activities of, the SM ICG.

3.2 Participant Group

Participant Group members must be able to demonstrate that they have a minimum of two years experience in the development and/or implementation of SMS regulations, guidance, and promotional materials. The documentation should clearly demonstrate the solid foundation of knowledge and experience requirements relating to SMS.

3.3 Observers

Observer status is available to CAAs with little or no SMS experience and to other aviation organizations with a specific interest in SMS.

4. Request for Membership

Requests should be sent to the SM ICG Chair. Applicants seeking *Core Group* or *Participant Group* status should submit supporting evidence with their request. This information should clearly demonstrate how they meet the appropriate SMS knowledge and experience requirements for *Core Group* or *Participant Group* membership, as defined in Section 3 of this Annex. This may include examples of SMS regulations, guidance material, implementation and oversight strategies, and documentation describing the CAA's own internal management system. Applicants seeking *Observer* status should submit their request to attend SM ICG plenary meetings to the SM ICG Chair.

The SM ICG Steering Committee will review membership requests confidentially and will assess them to determine the experience of the applicant. The SMS evaluation guide framework will be used as a guide. Applicants will be notified in writing by the SM ICG Chair regarding the status of their membership application including justification if the decision is negative.

5. SM ICG Attendance

It is at the discretion of the each CAA to determine the size of its individual delegation to participate in SM ICG plenary and workgroup meetings. Participation by multiple representatives is encouraged in order to more effectively share each authority's knowledge and experience at all SM ICG plenary and workgroup meetings. It is the responsibility of each CAA to ensure that its delegation members/representatives have the required competence and knowledge.

Annex 2 – Governance of the Safety Management International Collaboration Group (SM ICG)

1. Purpose

This Annex describes the governance of the SM ICG. It provides direction with respect to the SM ICG Steering Committee structure, the position of the SM ICG Chair, and the decision making process.

2. SM ICG Steering Committee

The SM ICG Steering Committee is charged with developing policy initiatives and giving strategic direction to the SM ICG *Core Group*.

The SM ICG Steering Committee is comprised of up to six members: the three initiating members (EASA, FAA, and TCCA) and three rotating members selected from the SM ICG *Core Group*, including EASA Member States. Volunteers will be requested and voted upon by the *Core Group*.

Rotating membership of the SM ICG Steering Committee will be for a period of one year, from January 1 until December 31.

3. SM ICG Chairmanship

The SM ICG Chair will rotate between the initiating members (EASA, FAA, and TCCA) on an annual basis. The Chair's duties will commence on January 1 and finish December 31.

SM ICG Chair duties will include:

- Chairing the SM ICG Steering Committee and SM ICG meetings;
- Ensuring an accurate record and decision of actions is retained for each SM ICG Steering Committee meeting and SM ICG meeting;
- Providing a point of contact for external industry organizations and regulatory agencies, such as ICAO; and
- Reviewing membership applications to the SM ICG and determining eligibility.

4. Decision Making

All decisions taken by the SM ICG Steering Committee and *Core Group* will be made by consensus (above 60%). All members will be entitled to one vote per member organization. Where consensus is not achieved, a second vote will be held in which each CAA will have a single vote. When a second vote becomes necessary, EASA will cast one vote representing all European Member States. In cases where a consensus is not achieved after the second ballot the SM ICG Steering Committee will determine the outcome.

5. Dissents

All dissents will be recorded in the meeting minutes.

6. SM ICG Core Group

Decision making in this group will focus on operational issues, such as prioritization of projects, suggestions for new activities, and validation of documents to be made publicly available. Members will be required to participate and generate suggestions for new projects.