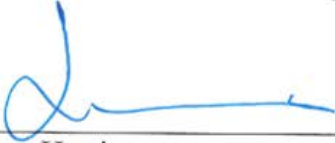# Safety Management International Collaboration Group (SM ICG)

# Terms of Reference



**December 2016**

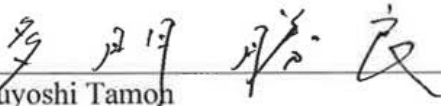# Terms of Reference Approval

_____    16 Dec 2016
Graeme Harris                        Date
Director of Civil Aviation
Civil Aviation Authority of New Zealand

_____    30/10/2017
Katsuyoshi Tamoh                     Date
Director, Aviation Safety and Security Planning Division
Aviation Safety and Security Department
Civil Aviation Bureau, Japan

_____    22 MAR 2017
Graeme Crawford                      Date
Group Manager, Aviation Group
Civil Aviation Safety Authority of Australia

_____    12.1.17
Luc Tytgat                           Date
Strategy and Safety Management Director
European Aviation Safety Agency

_____    15-SEPT-2017
José Ricardo Pataro Botelho de Queiroz    Date
President Director
National Civil Aviation Agency of Brazil

_____    25-10-2017
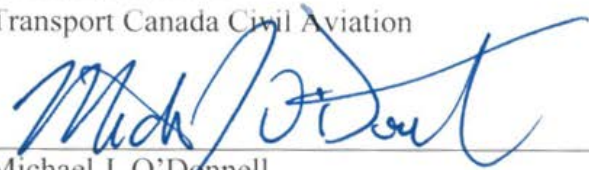Robert Sincennes                     Date
Director, Standards
Transport Canada Civil Aviation

_____    7/21/17
Michael J. O'Donnell                 Date
Executive Director, Office of Accident Investigation and Prevention
United States Federal Aviation Administration

# 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, aerodromes, flight training, and design and production of aircraft. Furthermore, ICAO requires States to establish a State Safety Programme (SSP) in order to achieve an acceptable level of 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 multi-national 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 effective and efficient safety management systems.

# 3. Membership

## a. Steering Committee

Steering Committee membership comprises the three initiating organizations:
- European Aviation Safety Agency (EASA)
- Transport Canada Civil Aviation (TCCA)
- United States (US) Federal Aviation Administration (FAA), Aviation Safety (AVS)

In addition, one member may be selected from each of the following regions:
- Asia/Middle East
- Australia/New Zealand
- South/Central America
- An EASA National Aviation Authority

Steering Committee membership must include all three initiating organizations; however, the nomination of members from the other regions is voluntary.

## b. Core Group

*Core Group* members are responsible for leading projects, actively participating in project teams, producing products, reviewing and testing products developed by the SM ICG. Core Group members include the organizations listed in Appendix A.

## c. Observers

*Observers* will not actively participate in the development of SM ICG work plan objectives, but may be invited to attend meetings, participate in project teams, and utilize SM ICG products.

The ICAO participates in the SM ICG as an *Observer*.

Representatives from States that have recently started implementing safety management requirements may also engage with the SM ICG in *Observer* status for up to one year, after which they become *Core Group* members with the responsibilities stated in paragraph (b) above.

More information on membership requirements and the application process can be found in Appendix B.

**Note:** Each member organization determines the number of experts that will participate in the SM ICG. When there are multiple representatives of a member organization in the SM ICG, a lead for that member organization shall be identified.

# 4. <u>Areas of Interest</u>

The projects of the SM ICG will be focused on particular areas of interest in order to complete specific objectives, or a set of objectives, and/or develop defined products. Project teams will be established by, and report to, the *Steering Committee*. The *Project Lead* will establish a statement of objectives and outcomes for his/her project and a project plan (to include deliverables, resource utilization, due dates, and interim milestones) to describe the work efforts. Areas of interest on which project teams may focus include standardization, promotion and guidance. The *Steering Committee* determines priorities and maintains a full list of future project candidates.

# 5. <u>Roles and Responsibilities</u>

### a. *SM ICG Chair:*

- Schedules, arranges logistics (meeting space, teleconference bridge, etc.), and announces bi-annual meetings and teleconferences;
- Leads the meetings and teleconferences;
- Helps the SM ICG meet its goals and objectives;
- Establishes and maintains the *SM ICG Terms of Reference* and work plan;
- Works with SM ICG members to identify tasks for the SM ICG and project priorities;
- Promotes timely completion of SM ICG tasks;
- Provides technical and policy leadership at meetings and in the preparation of reports;
- Coordinates SM ICG activities with the ICAO/ISM; and
- Coordinates updates to SM ICG content on SKYbrary webpages.

### b. *Steering Committee Members:*

- Identify global trends and strategic initiatives, and provide strategic direction regarding projects to the *Core Group*;
- Prioritize projects;
- Approve products developed by project teams;
- Inform and update CAAs and industry regarding the SM ICG and its efforts;
- Periodically review SM ICG products to verify currency and continued relevance;
- Work with other members to identify tasks for the SM ICG and project teams; and
- Periodically review SM ICG Terms of Reference

### c. *Core Group Members:*

- Review and approve projects prioritized by the *Steering Committee*;
- Provide ideas and inputs into future SM ICG projects;
- Participate in and lead project teams and take part in the development of products;
- Review and test the products produced by the SM ICG and its project teams;
- Provide feedback on the products produced by the SM ICG and its project teams;
- Share lessons learned and information regarding aviation safety and safety management; and
- Provide conduit between SM ICG and experts in their home organizations and/or industry representatives in their home countries.

### d. *Observers:*

- Attend SM ICG meetings by invitation of *SM ICG Chair*;
- Participate in project teams and take part in the development of products; and
- Consider and provide feedback on SM ICG products.

### e. *Project Leads:*

- Help define project goals and objectives;
- Establish project expectations and work plan;
- Schedule, arrange logistics (meeting space, teleconference bridge, etc.), and announce project team meetings and teleconferences;
- Provide technical and policy leadership at project team meetings and in the preparation of products;
- Inform and update the *SM ICG Chair* regarding the project team's efforts;
- Lead project team meetings and teleconferences; and
- Promote timely completion of project tasks.

More information regarding SM ICG governance can be found in Appendix C.

## 6. <u>Resource Requirements and Sources</u>

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

## 7. <u>Boundaries and Scope</u>

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, members will make every effort to reach a common understanding when making SM ICG decisions/recommendations or provide dissenting opinions explaining why a member's organization will not support a decision/recommendation. Each member is expected to speak for his/her organization and share the organization's position on the subject matter, rather than personal opinions.

## 8. <u>Interfaces</u>

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), EASA Collaborative & Analysis Groups and the European Safety Promotion Network , and other comparable organizations;
- CAAs that have implemented or are implementing SMS; and
- ICAO and safety management development groups, such as the ICAO Safety Management Panel (SMP).

## 9. Products and Outputs

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

- A common understanding of SMS and SSP requirements, safety oversight processes, and safety measures;
- Guidance material for regulatory authorities and industry which may include guidance and tools, safety culture assessment tools, training material, and promotion/communication material;
- Standard taxonomies, common SMS and SSP terminology, data sharing; and
- Knowledge sharing between authorities.

### b. Review and Acceptance for SM ICG Products and Outputs

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.

The CAA Lead for each member organization is responsible for ensuring that draft SMICG products are reviewed on behalf of their home organization and comments are provided to the project lead before approval by the *Steering Committee*.

Products submitted to the SM ICG will be approved in accordance with Appendix D. Once approved, 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.  Meetings will typically alternate between Europe and North America, however, exceptions may be requested.  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 products;
- Plan future tasks and identify the need for new projects;
- 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 project team activities;
- Plan future tasks and identify the need for new projects; and
- Raise and resolve issues of common concern.

### c. Steering Committee

The SM ICG *Steering Committee* will meet face to face in conjunction with the SMICG meetings referred to in 10(a) above. Teleconferences will be convened as agreed to by the *Steering Committee* members.

### d. Project Teams

Project teams may hold meetings and teleconferences as agreed to by the *Project Lead* and team members.

### e. SM ICG and Project Decision Making

The SM ICG and project teams will make every effort to reach a common understanding when making decisions. If a member is unable to support a decision/recommendation, he/she will document a dissenting opinion or provide an alternative viewpoint which made be considered for inclusion in the document by the *Steering Committee*.

### e. Project Prioritization

Projects will be prioritized in accordance with the criteria documented in Appendix E.

## Appendix A – Core Group Member Organizations

- European Aviation Safety Agency (EASA)*
- Transport Canada Civil Aviation (TCCA)
- United States (U.S.) Federal Aviation Administration (FAA), Aviation Safety (AVS)
- 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)
- Civil Aviation Authority of Singapore (CAAS)
- Civil Aviation Department of Hong Kong (CAD HK)
- United Arab Emirates General Civil Aviation Authority (UAE GCAA)

**\*** EASA is also represented by the following members:

- Federal Office of Civil Aviation (FOCA) in Switzerland
- Direction Générale de l'Aviation Civile (DGAC) in France
- United Kingdom Civil Aviation Authority (UK CAA)
- Civil Aviation Authority of the Netherlands (CAA NL)
- Aviation Safety and Security Agency (AESA) of Spain
- Ente Nazionale per l'Aviazione Civile (ENAC) in Italy
- Finnish Transport Safety Agency (Trafi)
- Irish Aviation Authority (IAA)

# Appendix B – SMICG Membership Requirements and Application Process

1. **Purpose**

   This Appendix sets out the requirements and process for applicants seeking membership in the SM ICG.

2. **Membership Requirements**

   The SM ICG has two types of membership: *Core Group* and *Observers.*

   *Core Group*
   *Core Group* members must have:
   - A solid foundation of SMS/SSP knowledge and experience in their home organization, and
   - The ability to devote sufficient resources to actively participate in SM ICG activities.

   *Observers*
   *Observer* status is available to CAAs with emerging SMS/SSP experience.

3. **Request for Membership**

   CAAs seeking membership must send their request to the *SM ICG Chair*. The request must include the following information:

   - Type of membership requested (*Core Group* or *Observer*);
   - For *Core Group* membership, explain the SMS/SSP background of their proposed representative(s)
     - This may include development of safety management regulations, guidance material, implementation and oversight strategies, and documentation describing the CAA's own internal management system.
   - For *Observer* status, explain in what ways their proposed representative intends to engage with SMICG during the observer phase, and their decision-making timeframe for becoming a *Core Group* member.

   The SM ICG *Steering Committee* will review and assess membership requests confidentially based on the requirements set out above. 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.

4. **SM ICG Attendance**

   Each CAA will determine the size of its delegation to participate in SM ICG plenary and project team 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 project team meetings. It is the responsibility of each CAA to ensure that its delegation members/representatives have the required competence and knowledge.

## Appendix C – Governance of the Safety Management International Collaboration Group (SM ICG)

1.  **Purpose**
    This Appendix 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.  **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 comprises up to seven members:
    *   The three initiating members (EASA, FAA, and TCCA); and
    *   Up to four rotating members representing the regions listed in Section 3 of these Terms of Reference.

    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 Chair**
    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.

    *Note:* In recognition of the significant additional workload of the rotating SMICG Chair role, the CAA Lead representatives of the three initiating organizations are not expected to undertake a Project Lead role.

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.

    Changes to the SMICG Terms of Reference will be decided as follows:

    *   Minor changes (such as updating the list of members in Appendix A) can be approved by the *Steering Committee;*
    *   Major changes must be approved at Head of CAA level.
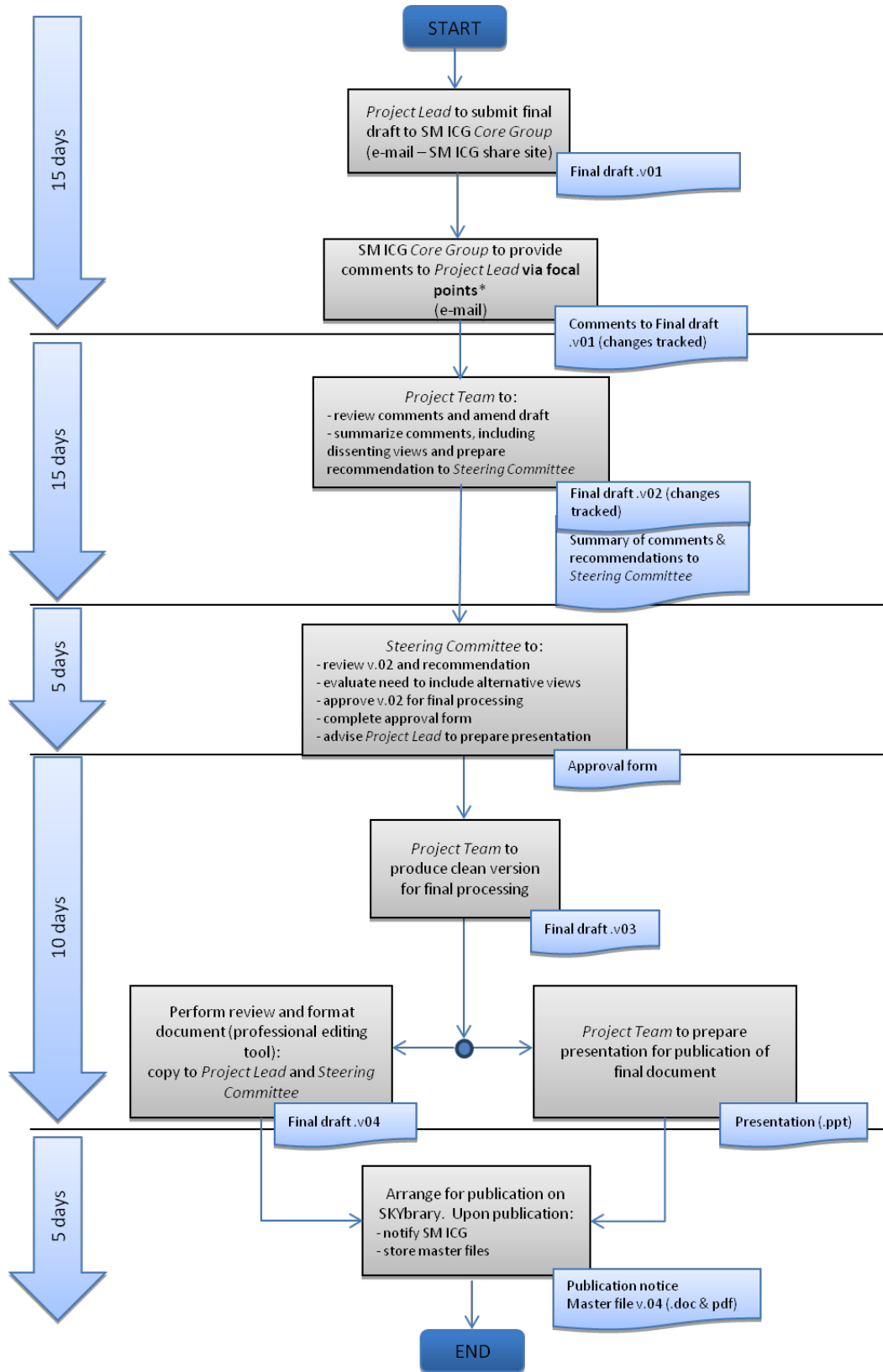
**5. Dissents**

All dissents and alternate proposals 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.

# Appendix D – SM ICG Product Approval Process

START

**15 days**

*Project Lead* to submit final draft to SM ICG *Core Group* (e-mail – SM ICG share site)

Final draft .v01

SM ICG *Core Group* to provide comments to *Project Lead* **via focal points**\*
(e-mail)

Comments to Final draft .v01 (changes tracked)

**15 days**

*Project Team* to:
- review comments and amend draft
- summarize comments, including dissenting views and prepare recommendation to *Steering Committee*

Final draft .v02 (changes tracked)

Summary of comments & recommendations to *Steering Committee*

**5 days**

*Steering Committee* to:
- review v.02 and recommendation
- evaluate need to include alternative views
- approve v.02 for final processing
- complete approval form
- advise *Project Lead* to prepare presentation

Approval form

*Project Team* to produce clean version for final processing

Final draft .v03

**10 days**

Perform review and format document (professional editing tool):
copy to *Project Lead* and *Steering Committee*

Final draft .v04

*Project Team* to prepare presentation for publication of final document

Presentation (.ppt)

**5 days**

Arrange for publication on SKYbrary. Upon publication:
- notify SM ICG
- store master files

Publication notice
Master file v.04 (.doc & pdf)

END

50 working days

\* one per Member Organization

# Appendix E – Project Prioritization Process

1. **Purpose**
   This Appendix describes the process by which SM ICG projects are prioritized. It provides direction with respect to the SM ICG Steering Committee decision-making process for proposed and existing projects.

2. **Decision Making**
   The SM ICG *Steering Committee* will use the following criteria to develop a relative ranking of new and existing SM ICG projects:

   **Assessment 1: Benefits**
   a.   **ICAO SMP inputs** – Other international interest/pressure (60 points)
   b.   **Promotes Standardization** – Nationally and globally (50 points)
   c.   **Level of importance to individual authority** – Helps build efficiency, shares lessons learned, necessity for the Authority (e.g., rule imminent) (40 points)
   d.   **Importance and benefit to industry** – Determined by communication, survey, surveillance, NPA comments (30 points)
   e.   **International benefits** – Sharing with non SM ICG members to improve in SMS/SSP globally (20 points)

   **Assessment 2: Considerations**
   a.   **Urgency**
        Critical – 15 points; Important – 10; Desired – 5
   b.   **Value**
        Unique – 15 points; Improvement – 10; Already exists – 5

   The *Steering Committee* will use the results of the Benefits and Considerations analysis to determine project priorities, allowing for any project interdependencies and the logical sequence of projects. The *Steering Committee* will also consider the SM ICG areas of interest to ensure that a broad spectrum of interests and expertise are covered by the projects chosen to move forwards.

3. **Communication**
   Decisions taken in respect to high priority projects that will be assigned to the active project list will be communicated to all SM ICG members by e-mail or during the face-to-face meeting. Volunteers will be requested to fulfill the role of *Project Lead* and project team members.