

Safety Management International Collaboration Group (SM ICG)

Terms of Reference



December 2022

Terms of Reference Approval



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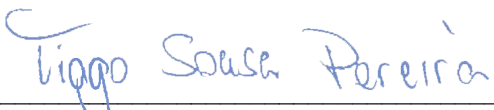
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This document is considered effective once all SM ICG Steering Committee executive signatures have been acquired.

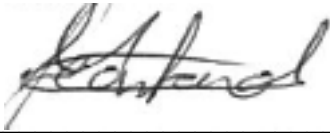
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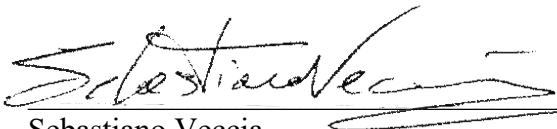
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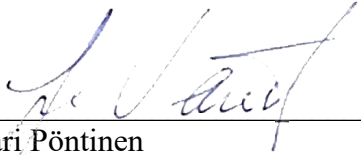
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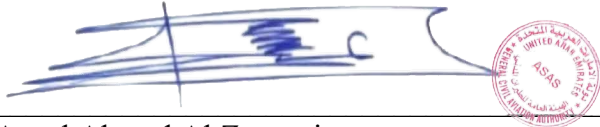
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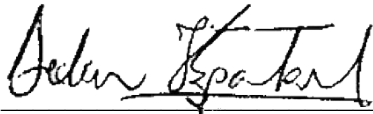
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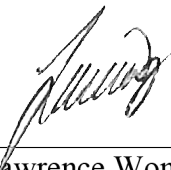
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1. Purpose

The purpose of the Safety Management International Collaboration Group (SM ICG) is to promote a common understanding of safety management principles and requirements and to 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) to effectively integrate aviation safety standards and practices aimed at improving safety and measure and monitor safety performance in their civil aviation systems to achieve their safety objectives. 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 benefit from collaboration and sharing of lessons learned and best practices. This collaboration helps CAAs avoid duplication of efforts and enable them to better share information and provide oversight of multi-national organizations. Aviation industry organizations also greatly benefit from SMS requirement harmonization among regulators since many companies own multiple certificate types in multiple nations. Additionally, sharing methods and tools assists in developing effective and efficient Safety Management Systems.

3. Membership

a. Steering Committee

The three initiating organizations are permanent members of the Steering Committee:

- European Union Aviation Safety Agency (EASA)
- Transport Canada Civil Aviation (TCCA)
- United States (US) Federal Aviation Administration (FAA), Aviation Safety (AVS)

In addition, the Steering Committee includes one member from each of the regions below:

- Asia/Middle East
- Australia/New Zealand
- South/Central America
- An EASA National Aviation Authority

Whenever there are multiple organizations from one region, Steering Committee membership rotates between them. In the case of an absence of volunteers for rotating membership, the Steering Committee may offer to have the current member remain in the position or the Steering Committee may offer membership to other SM ICG members. In the future, the Steering Committee may elect to add seats for additional regional representation.

b. Core Group

Core Group members are responsible for leading projects, actively participating in project teams, producing products, and reviewing and testing products developed by the SM ICG. Core Group members maintain their membership by continuing to contribute actively to SM ICG product development. For those members who are not actively participating, the SM ICG Steering Committee will approach the member/organization to gauge continued membership and determine next steps.

Core Group members include the organizations listed in Appendix A.

c. Observers

Observers do 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. A State may become an Observer by invitation only.

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 who 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. Areas of Interest

The projects of the SM ICG are focused on particular areas of interest in order to complete specific objectives, or a set of objectives, and/or to develop defined products. Project teams are established by, and report to, the Steering Committee. The Project Lead establishes a statement of objectives and outcomes for the 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. Roles and Responsibilities

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 ICAO, as required; 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 the 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 a 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 the 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 the 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 and Steering Committee 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. Resource Requirements and Sources

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

7. Boundaries and Scope

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

8. Interfaces

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

- Industry members and groups;
- Commercial Aviation Safety Team (CAST), EASA Collaborative & Analysis Groups, 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 Product and Output Overview

SM ICG products and outputs 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. Types of SM ICG Products

i. SM ICG Projects

The SM ICG initiates project teams to develop products that are in depth and require substantial time to complete.

ii. SM ICG Focused Actions

In addition to the SM ICG projects, the Steering Committee may choose to initiate focused actions. These focused actions are typically items that have a more immediate need and are conducted by smaller groups with tighter timeframes.

iii. Additional Products

In the future, the Steering Committee may elect to develop additional types of outputs beyond the main projects and focused actions.

c. 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 SM ICG 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 are approved in accordance with Appendix D. The SM ICG endeavours to follow this process as closely as possible and practical. The Steering Committee may approve deviations to the process on a case by case basis. Once approved, that product is posted on [SKYbrary](#) to enable sharing with the international aviation community.

10. Group Operation

a. SM ICG Meetings

The SM ICG meets bi-annually. Meetings typically alternate between Europe and North America; however, exceptions may be requested. These are working meetings and 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 holds regular teleconferences. During these teleconferences the group:

- Coordinates amongst the representatives to ensure proper alignment of activities;
- Receives status and updates on SM ICG activities;
- Receives status and updates on project team activities;
- Plans future tasks and identifies the need for new projects; and
- Raises and resolves issues of common concern.

c. Steering Committee

The SM ICG Steering Committee meets face to face in conjunction with the SM ICG meetings referred to in 10(a) above. Teleconferences are 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 make every effort to reach a common understanding when making decisions. If a member is unable to support a decision/recommendation, the member documents a dissenting opinion or provides an alternative viewpoint which may be considered for inclusion in the document by the Steering Committee.

f. Project Prioritization

Projects are prioritized in accordance with the criteria documented in Appendix E as a tool to support decision making. The results of which are used as an input in ranking and determining the final projects, complementing the expert judgement. The Steering Committee ultimately decides on final project priorities.

Appendix A – Core Group Member Organizations

- European Union 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)
- United Kingdom Civil Aviation Authority (UK CAA)

* European Union States are also represented by the following members:

- Federal Office of Civil Aviation (FOCA) in Switzerland
- Direction Générale de l'Aviation Civile (DGAC) in France
- 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 and Communications Agency (Traficom)
- Irish Aviation Authority (IAA)

Appendix B – SM ICG 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 and is by invitation only.

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 the SM ICG during the observer phase, and their decision-making timeframe for becoming a Core Group member.

The SM ICG Steering Committee reviews and assesses membership requests confidentially based on the requirements set out above. Applicants are 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 determines 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 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 at least seven members including:

- The three initiating members (EASA, FAA, and TCCA); and
- At least four rotating members representing the regions listed in Section 3 of these Terms of Reference.

Rotating membership of the SM ICG Steering Committee is for a period of two years, from January 1 until December 31.

3. SM ICG Chair

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

SM ICG Chair duties 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 SM ICG 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 are made by consensus (above 60%). All members are entitled to one vote per member organization. Where consensus is not achieved, a second vote is held in which each CAA has a single vote. When a second vote becomes necessary, EASA casts one vote representing all European Member States. In cases where a consensus is not achieved after the second ballot, the SM ICG Steering Committee determines the outcome.

Changes to the SM ICG Terms of Reference are 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 the senior executive level (determined by each CAA) of the Core Group member organizations.

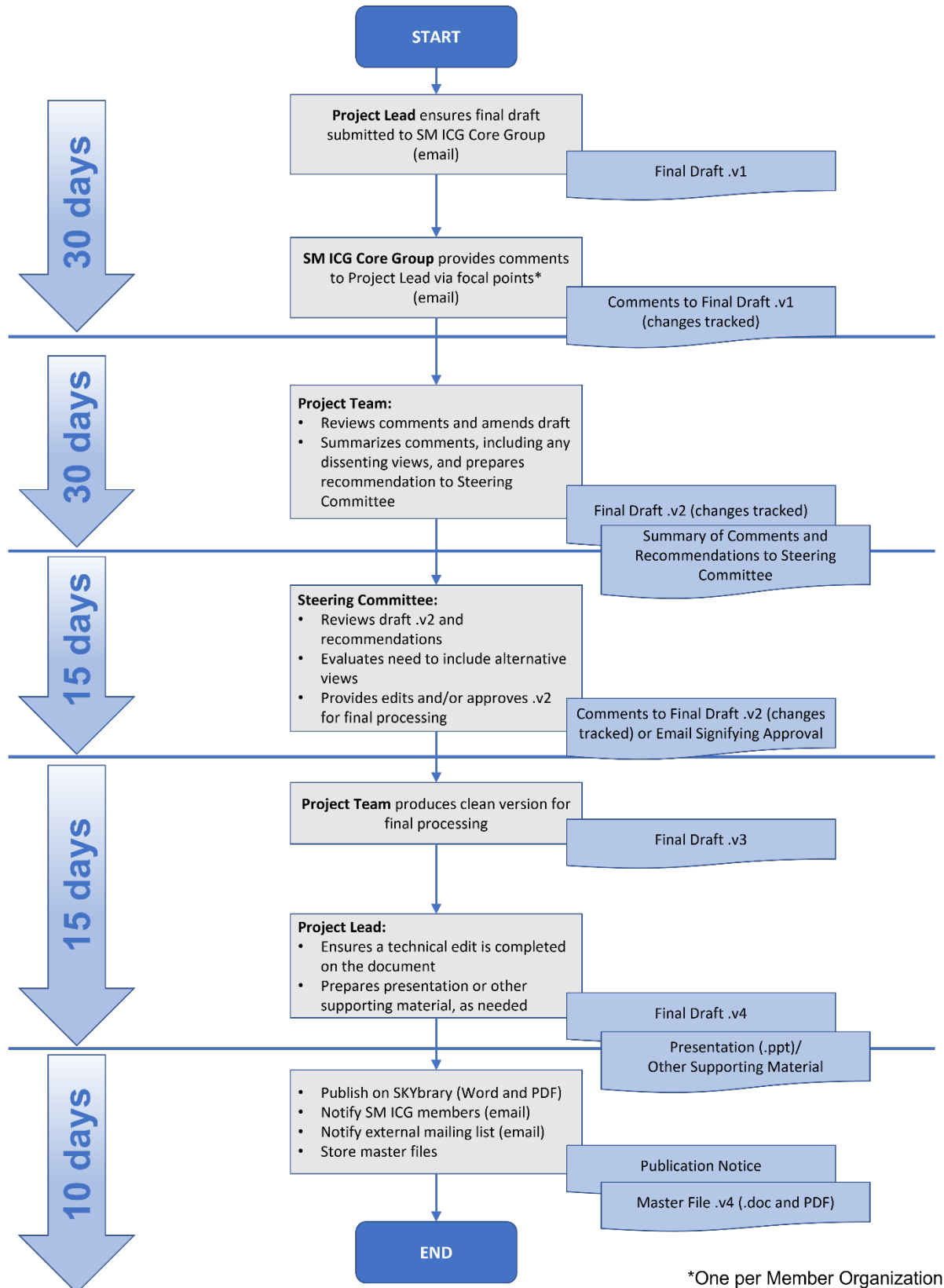
5. Dissents

All dissents and alternate proposals are recorded in the meeting minutes.

6. SM ICG Core Group

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

Appendix D – SM ICG Product Approval Process



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. Ranking

The SM ICG Steering Committee provides a list of project proposals and asks each CAA to select their top three projects, using numerals 1, 2, and 3. Each rank is awarded points.

- 1 is worth 15 points,
- 2 is worth 10 points, and
- 3 is worth 5 points.

The SM ICG Steering Committee totals point values from all CAAs and sorts the proposed projects from highest to lowest. The SM ICG forms project teams for the proposals with the highest scores. If proposals receive identical numerical scores, the SM ICG Steering Committee uses another prioritization process, detailed below (3. Decision Making).

3. Decision Making

The SM ICG Steering Committee uses 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 uses 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 also considers the SM ICG areas of interest to ensure that a broad spectrum of interests and expertise are covered by the projects chosen to move forward.

4. Communication

Decisions taken in respect to high priority projects that are to be assigned to the active project list are communicated to all SM ICG members by email or during the face-to-face meeting. Volunteers are requested to fulfill the role of Project Lead(s) and project team members.