

## Developing Your ESA Part 145 Safety Management System with Sofema Aviation Services Support



**Sofema Aviation Services offers to support the provision of SMS Training Compliant with the Development of your Approved SMS Manual.**

This Presentation considers the outline proposal to support your organisation to enable a positive engagement with the Safety Management System Throughout the AMO

Safety Management Systems within an AMO see ICAO Standard and Recommended Practice - Reference ICAO Annex 19

Further to the issue of NPA 2019-05 (C) Industry is awaiting decision to initiate a 24 months transition to the incorporation of SMS within an EASA Part 145 Organisation.

SAS was Founded by Steve Bentley in 2008 to provide an affordable but professional Regulatory Consulting & Training Service focused on practical compliance with EASA Regulations.

Steve started his aviation career in 1971 and has 50 years experience in Commercial Aviation - Over 25 Years at a senior level in Quality & Safety.



Currently Steve Holds the Following Roles

- Accountable Manager of a Part 147 Training Organisation **AETS – Sofema**
- Quality & Safety Manager of a Part 145 Organisation **RAS Technic**
- CEO of
  - Sofema Aviation Services **SAS**
  - Sofema Online **SOL**

## **Sofema Aviation Services (SAS) [www.sassofia.com](http://www.sassofia.com)**

SAS has become a reliable and professional Regulatory Compliant, Consulting & Training Partner successfully established in the Classroom, Delivery Through Webinar & Online Training Environment.

Focusing on the specific client training objectives related to both regulatory compliance as well as competence building and vocational training.

- 15 Full Time Staff
- Over 20 Professional Consultant Trainers



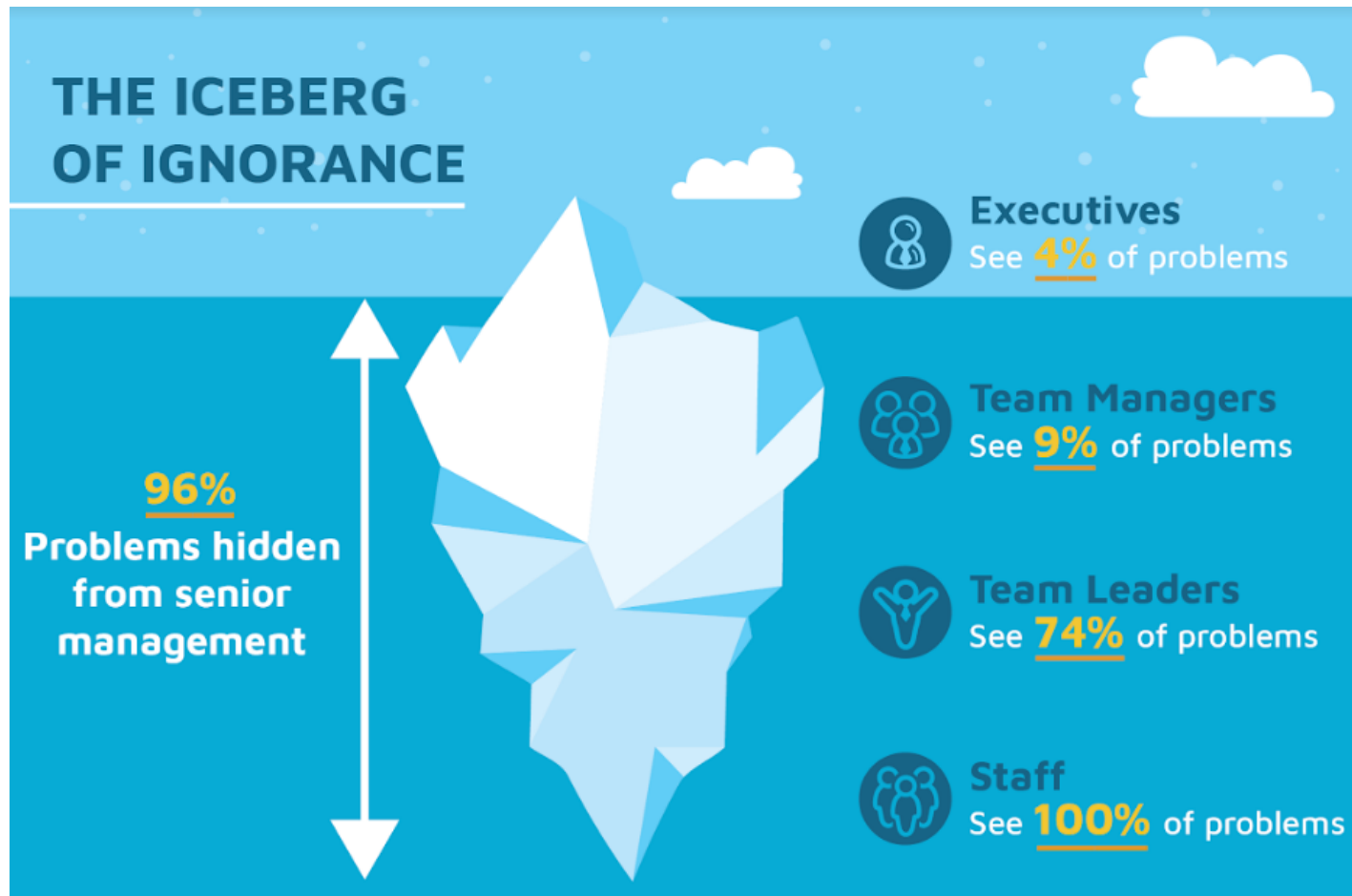


## Sofema Aviation Services (SAS) [www.sassofia.com](http://www.sassofia.com)

- SAS & Sofema Online (SOL) our Online Training Partner have issued over 30,000 certificates of course completion since we commenced operations in 2008.
- Over 550 Classroom Training Courses Currently Available.
- Over 200 online Courses Currently Available with our partner [sofemaonline.com](http://sofemaonline.com)
- Courses developed to suit customer objectives – email [team@sassofia.com](mailto:team@sassofia.com)



## About SMS



SMS Meets Regulatory Obligations to ensure that the organisation is able to understand and act on safety exposures.

SMS Also Provides an Opportunity to enable the “best tool” to combat the Management of Ignorance

## **Sofema Aviation Services (SAS) [www.sassofia.com](http://www.sassofia.com) Recent Activities**

SAS has recently completed training for

- Norwegian CAA - Part CAMO – Regulatory Obligations
- Irish CAA – Forthcoming Part CAMO & Part CAO – Regulatory Obligations
- Currently a tender has been submitted to deliver training to EASA for the following course :

**Regulatory Assessment and Acceptance of an EASA Compliant Aircraft Maintenance Program (AMP) – 2 Days – Please See Link for Guidance**

**<https://sassofia.com/course/assessing-the-effectiveness-of-an-easa-compliant-aircraft-maintenance-program-amp-2-days/>**

## Sofema Aviation Services (SAS) [www.sassofia.com](http://www.sassofia.com) SMS Training

### Advanced

- EASA Aviation Nominated Persons and Business Area Managers QMS & SMS Obligations & Root Cause Analysis – 1 Day
- SMS Advanced Techniques for Safety Practitioners – EASA Compliant – 2 Days
- Aviation SMS – Safety Performance Indicators (SPI) & Acceptable Level of Safety (ALOS) Executive Review – 1 Day
- Safety Management System (SMS) – How to use Safety Performance Indicators (SPI) to Deliver an Acceptable Level of Safety (ALOS) – 2 Days
- Fatigue Risk Management Systems For Maintenance Organisations – 2 Days
- Fatigue Risk Management Systems Regulatory Obligations – 2 Days
- Using Bowtie Techniques for Aviation SMS Risk Assessment & Management – 1 Day
- SSP Developing Performance Based Metrics – 1 Day
- SMS Performance Auditing for Industry & Regulators ICAO Annex 19 and EASA Part OPS – 2 Days

### Applied

- Developing & Maintaining SMS Compliance in an MRO and 145 for Quality & Safety Personnel – 2 Days
- Practical Crisis Management and Emergency Response Planning – 2 Days
- Part CAMO Safety Training In Accordance with GM2 CAMO.A.305(g) Bridging Course for Persons with Valid HF Certification – 1 Day

SAS Currently offers over 75 different SMS related courses.

Since 2008 we have delivered multiple SMS courses for Industry – Including Implementation Analysis & Investigation.

For Full List Please See Here  
[https://sassofia.com/course\\_category/aviation-safety-courses/](https://sassofia.com/course_category/aviation-safety-courses/)



## **General Concept of Quality Audit / Safety Assessment Process**

**With a Quality Audit** – “I tell you what is wrong” - help you understand why (External Requirement or Internal Requirement ) Rules Driven and agree a mandatory action to ensure Compliance.

**With a Safety Assessment** - “I Consider a Hazard – determine a Risk and make a proposal for Mitigation” (This is a subjective determination based on “Best Assessment – Data Driven”)

The Nominated Post Holder / Manager is responsible to accept or reject a Proposed Mitigation (Rejections is Fully Documented)

Please Note in an Effective System - only the AM can override a business owner - (SM can raise any issue for the attention of the AM)

## Regarding SMS Manual Review of KQA SMSM

**1/ SMS Manual** Goes through a process of :

- Introduction
- Implementation
- Improvement
- Maturity

During the First 12 months the SMS Manual should be subjected to active development with typical updates at 4 - 6 monthly periods.

During the Next 3 Years the SMS Manual Should be subjected to a minimum of annual development with typical annual update.

On Reaching “Maturity” the manual may be updated on a 2 yearly or as required basis.

SMS Can be considered as a System and Tool to Optimise Business Processes

As a “Tool” to be successful it needs to be optimised through continuous & Documented - Internal Workshop activity and Effectiveness Evaluations

## **2/ Safety objectives, SPI and SPT (Example KQA)**

*Shall be defined and refined in the management review meeting held at least annually.*

*Currently not documented in the SMS Manual – (Manual is Generic & Not Specific in this regard)*

*Consider the following as a starting point – see attached considerations related to performance indicators*

### **3.1.2.2 Cascading of Safety Objectives, SPI and SPTs**

*Defined and refined Safety Objectives, SPI and SPTs at the management review meeting shall be passed down to Sectional Heads. Sectional Heads shall then review, aligns them to Head's and section's level and discuss with responsible managers under them. The team shall agree on Heads and Responsible Managers' sections SPIs and SPTs.*

***SOFEMA Comment - Very Complicated - Difficult to manage and most likely subject to “Audit Findings” – consider the key to a successful SMS is DATA management -Integrated not Disparate***

Example of SMS  
Performance  
Measuring Criteria

Please see here for  
extensive list of  
typical criteria

## **5/ External audits: significant non-compliances**

- a) Number of significant findings versus total number of findings
- b) External audits: responsiveness to corrective action requests
- c) Average lead time for completing corrective actions per oversight planning cycle – trend Compliance
- d) Consistency of results between internal and external audits/compliance monitoring
- e) Number of significant findings only revealed through external audits

Using Data derived from the various oversight evaluations performed on the SMS system

### **3/ Management of Change Process ( A Key Process for System Optimisation)**

**Sofema Comment** - The role of assessment is to provide support and guidance to the post holder / manager not to tell them what they cannot do !

**Consider the Optimum Process** - The Safety Assessor “**Recommends**” an “**Action**”

**Remember** – This process is subjective – means it is an opinion based on an assessment – it should not prevent a manager from “Managing”

**- The Manager can accept or reject a proposal**

**Important Note** – A rejection requires a documented justification to the AM.



**Remember SMS is an Active System whereby “Decisions” are made by the “Leadership Team”!**

Safety to be assessed as “As Low As Reasonably Practical” (ALARP)

Our Role as Safety Professionals is to provide the Leadership Team with the Data to make the Decisions

## **4/ Risk Register**

A strong system will see a monthly report of the top risk made to the Business Area Owners by the SM

- A Typical 145 Organisation will typically identify between 75 & 125 Primary Risks
- Evaluation of the Risks Supports the generation of continuous data, which enables the provision of support to the leadership team

## **What Can Sofema Aviation Services Offer !**

### **Integrated Support Package**

The Support of a Dedicated Consultant

#### **Remote Consultancy Services Including:**

- Basic training Related to Any SMS
- Specific Training – Related Specialist & Applied SMS Courses – for example Accident Investigation
- Workshops – Optimisation & Business Process Improvement
- Co-ordination of SMS Surveys
- Mentoring & Guidance



## Maintenance Check Status Feedback

Please complete this document each time a base maintenance CRS is signed, the document will help to identify any systemic issues and support the continuing process improvement.

Aircraft Reg.....

Check Description.....

Date.....

Name of Check Supervisor – Print.....

**Please complete the following by answering the questions, in the event that you answer Yes for any question please provide details.**

- |   |     |
|---|-----|
| 1/ during this check did you have any issues with manpower                        | Y/N |
| 2/ during this check did you have any issues with Process or Procedures           | Y/N |
| 3/ during this check did you have any issues with Equipment or Tooling            | Y/N |
| 4/ during this check did you have any issues with Documentation or Manuals        | Y/N |
| 5/ during this check did you have any issues with Stores or Material Requirements | Y/N |
| 6/ during this check did you have any other issues not identified above           | Y/N |

**In the case of "YES" being identified for any issue please provide details below.**

**Webinar Training** - Maximum of 15 Persons / Webinar May choose from any SAS Training Courses (550) to choose from

**Example courses available include :**

**Safety Management System (SMS)** – How to use Safety Performance Indicators (SPI) to Deliver an Acceptable Level of Safety (ALOS) – 2 Days

**Fatigue Risk Management Systems** For Maintenance Organisations – 2 Days

**SMS Integrated Training for Trainers** – Implementation, Development & Training – 5 Days

**Root Cause Analysis** for Managers, Quality, and Safety Practitioners – 2 Days

**Aircraft Accident Investigation Process & Procedures** – 3 Days

**Developing-Maintaining-SMS-Compliance-MRO-145-Executive-Review-1 Day**



## Online Training –

SMS foundation with VO

SMS for Accountable Managers, Nominated Post Holders and Key Executives – With VO

Root Cause Analysis for Managers Quality and Safety Practitioners – With VO normal

**Plus - Development of Your Dedicated Private Company Course**





Explanation		
Why it Occurred	Why ↓	
	Why ↓	
	Why ↓	
	Why ↓	
	Why ↓	
Why not Detected	Why ↓	
	Why ↓	
	Why ↓	
	Why ↓	
	Why ↓	
Why not Prevented	Why ↓	
	Why ↓	
	Why ↓	
	Why ↓	
	Why ↓	

When considering the “Why” at each stage of the Five Whys process, consider the following potential influencing factors:

1. Manpower, Training, Competence and Supervision
2. Facilities, Equipment, Tooling and Materials
3. Policy and Procedure / Documentation / Software
4. Human Factors
5. Environmental Factors
6. Management Organization Change

**SAS Supports the implementation of effective & non-complicated SMS working process to achieve a “High Level” of “Engagement”**

Question Number	STATEMENT	COMPANY RATING				
		Strongly Disagree				Agree
1	Employees are given enough training to do their tasks safely.	1	2	3	4	5
2	Top managers are ever mindful of the human organizational factors that can endanger their operations.	1	2	3	4	5
3	There are procedures to follow in the event of an emergency in my work area.	1	2	3	4	5
4	Managers often discuss safety issues with employees.	1	2	3	4	5
5	Employees do all they can to prevent accidents.	1	2	3	4	5
6	Top managers are genuinely committed to aviation safety and provide adequate resources to serve this end.	1	2	3	4	5
7	Employees often encourage each other to work safely.	1	2	3	4	5
8	Managers are aware of the main safety problems in the workplace.	1	2	3	4	5
9	All new employees are provided with sufficient safety training before commencing work.	1	2	3	4	5
10	Top management adopts a proactive stance toward safety. That is, it does some or all of the following: takes steps to identify recurrent issues and remove them.	1	2	3	4	5

**Support For Cultural Surveys and Evaluations - Driving Real Data for your Leadership Team !**

The Following Tasks can be considered once all the data is available:

Task 1: Aggregate the total “score” for each person minimum is 100 & maximum is 500 (This exercise should be repeated each 6 months as a measure of progress)

Task 2: Identify all “Number 1 ‘s” as these are indicators of an issue / problem (use XL for this) – Segregate the top “10” - No 1’s and document the issues where there is a potential disconnect.

Task 3: Use the Top 10 issues identified as an action list, perform root cause analysis and develop an improvement / mitigation for each item – (Typically the Leadership Team should be involved in the final selection of the appropriate mitigations)

- For commercial proposal details please see email [team@sassofia.com](mailto:team@sassofia.com)

