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EAM 3 / GUI 2

**SAFETY REGULATORY ASPECTS OF
THE ESARR 3 IMPLEMENTATION IN
SMALL ORGANISATIONS**

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<p>This guidance material has been prepared by the Safety Regulation Commission to provide guidance for ATM safety regulators and support the implementation of ESARR 3.</p> <p>ATM service-providers shall have in place a safety management system implemented in accordance to ESARR 3. The requirement concerns ATM service-provider regardless of their organisational size.</p> <p>ATM safety regulators will consider this issue and its related aspects at national level. This document is only intended to provide ATM safety regulators with generic guidance for dealing with the national application of ESARR 3 within the small organisation concept.</p> <p>This document forms part of a series of guidance documents to be developed by SRC to support the implementation of ESARR 3.</p>		
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F.3 DOCUMENT APPROVAL

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F.4 DOCUMENT CHANGE RECORD

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F.6 EXECUTIVE SUMMARY

This guidance material has been prepared by the Safety Regulation Commission to provide guidance for ATM Safety Regulators and to support the implementation of ESARR 3.

ESARR 3 applies to all providers of ATM service-providers that fall within the jurisdiction of the national ATM safety regulatory body. Therefore, the Requirement applies to small service-provider organisations.

The development of the ESARR 3 considered the implementation of Safety Management Systems within small organisations, especially those with limited resources, and accordingly, specific safety regulatory provisions are reflected in ESARR 3 Section 5.2.2 c.

The use of those special provisions, the size of the organisations concerned, and other regulatory aspects related will be considered by ATM Safety Regulators at national level to take into account local aspects affecting particular situations.

This document only proposes some harmonised guidelines to provide ATM safety regulators with generic guidance for dealing with the national application of ESARR 3 within the small organisation concept.

This document forms part of a series of guidance documents to be developed by SRC to support the implementation of ESARR 3.

1. INTRODUCTION

1.1 Background

ESARR 3¹ applies to all providers of ATM service-providers that fall within the jurisdiction of the national ATM safety regulatory body. Therefore, the Requirement applies to small service-provider organisations.

The development of the ESARR 3 considered the implementation of Safety Management Systems within small organisations, especially those with limited resources, and accordingly, specific safety regulatory provisions are reflected in ESARR 3 Section 5.2.2 c.

At the EUROCONTROL Provisional Council meeting held in July 2000, the difficulties of implementing SMS within small service provider organisations were raised by States and SRC were tasked with providing support and specific guidance material in implementing ESARR 3 in this area.

This issue is also raised in relation to the implementation of the ICAO provisions on safety management in Annexes 11 and 14. At present, several small organisations in the ECAC region provide ATM services to aerodromes managed by the same organisation. In those cases, it would be advisable to integrate the safety management approaches used in ATM services and aerodrome operations. This would not only help to rationalise resources where means are limited, but also provide safety benefits by considering aviation safety as a whole.

1.2 Scope of the Small Organisation Concept

For the purposes of applying ESARR 3, and in particular when the provisions of section 5.2.2.c would apply, the term “small organisation” needs to be clarified.

It can be concluded that the small organisation concept is applicable to cases where the ATM service provider organisation is considered as having limited size in terms of human and financial resources. Further, these limitations must, in the view of the national safety regulatory body, be of sufficient significance as to inhibit the correct operation of the organisations’ safety management systems, and therefore justify the application of ESARR 3 Section 5.2.2.c.

It is necessary to leave specific limits or sizes to be defined at national level, as a wide range of situations might exist across ECAC, and should be considered on a case by case basis. However, as an example, criteria are proposed in section 2.2 of this document to scope the types of organisation that might implement SMS under the special ESARR 3 provisions.

The small organisation concept is not seen as being applicable to nation-wide service providers. Even when operating units which are small (by the above criteria), the service-provider’s wider organisational structures can be used as a means of mitigating the effects of manpower limitations at specific units.

¹ The EUROCONTROL Safety Regulatory Requirement, ESARR 3, “Use of Safety Management Systems by ATM Service Providers”, Edition 1.0, was approved by the EURCONTROL Permanent Commission in July 2000.

1.3 Purpose of this Guidance

Responding to Provisional Council tasking, therefore, this document is intended to provide ATM safety regulators with specific guidance for dealing with the national application of ESARR 3 within the small organisation concept, addressing two major areas:

- The use of ESARR 3 special provisions on small organisations, and
- General aspects of SMS in small organisations independently of those special provisions

In accordance with the statements made above, the guidelines, advice, and recommendations proposed in this document should be considered within the national context and, if applicable, complemented or adapted in the light of aspects related to specific cases under national consideration.

Section 2 of this document includes an analysis of the special provisions included in ESARR 3, Section 5.2.2, and:

- a) Proposes criteria to define the acceptable size of organisations concerned by these special provisions;
- b) Proposes means that could be accepted to provide additional independent means to supplement safety assurance as required in ESARR 3, 5.2.2 c,
- c) Presents conclusions and recommendations for its consideration, and use at national level if appropriate, by ATM Safety Regulators.

ESARR 3 only includes specific provisions (5.2.2.c) in the case of the requirements covering 'Safety Management Responsibility'. However, various other aspects may need specific consideration when implementing ESARR 3 in small ATM service-provider organisations.

Accordingly, Section 3 of this document provides generic guidance about specific safety regulatory aspects related to the implementation of SMS in small organisations independently of the provisions established in ESARR 3, Section 5.2.2 c, including:

- a) Use of external means to conduct SMS procedures;
- b) Integration with aerodrome operations;
- c) Integration with quality management systems (QMS);
- d) Risk Assessment and Mitigation and its Documentation in small organisations;

2. ESARR 3 PROVISIONS FOR SMALL ORGANISATIONS

2.1 Safety Management Responsibility in Small Organisations

2.1.1 ESARR 3 section 5.2.2, 'Safety Management Responsibility', establishes that the ATM service provider:

- a) *Shall ensure that a safety management function is identified with organisational responsibility for development and maintenance of the safety management system*
- b) *Shall ensure that this point of responsibility is, wherever possible, independent of line management, and accountable directly to the highest organisational level;*
- c) *Shall ensure that, in the case of small organisations where combination of responsibilities may prevent sufficient independence in this regard, the arrangements for safety assurance are supplemented by additional independent means;*
- d) *Shall ensure that highest level of the service provider organisation plays a general role in ensuring safety management.*

2.1.2 As a general rule, the safety management function within an organisation should be independent of line management and accountable directly to the highest organisational level. The Safety Manager should not be involved in other operational or technical duties.

However, independence of line management is required 'wherever possible' because ESARR 3 recognises the difficulties of implementing that principle in small organisations. Combination of responsibilities might exist, and can be seen as acceptable, if additional independent means are arranged to reinforce safety assurance.

2.1.3 In the context of small ATM service provider organisations, it can be stated that:

- a) As with any other case, small organisations have to identify a point of safety management responsibility for the development and maintenance of the SMS, and that point of responsibility has to be accountable directly to the highest organisational level;
- b) The question of whether the special provisions provided by 5.2.2 c apply in a particular case is a matter to be decided by the safety regulatory body, or alternatively proposed by the service-provider organisation and agreed by the safety regulatory body.
- c) In the case of an organisation where the special provisions are deemed not to apply, its safety management function should be treated as being independent of line management, and no combination of responsibilities should be accepted. Specifically in that case, the Safety Manager should not perform other technical or operational functions within the organisation.

- d) In the case of small organisations where the provisions are deemed to apply, and only in that case, combination of responsibilities may be acceptable, but only if safety assurance is reinforced with additional independent means.

2.2 Small Organisations Where ESARR 3 Section 5.2.2 c Applies

2.2.1 The use of the special provisions, the size of the organisations concerned, and other regulatory aspects related will be considered by ATM Safety Regulators at national level to take into account local aspects affecting particular situations.

The approach adopted is therefore a matter of national choice, and different criteria could be identified and applied. Harmonised criteria are proposed, as follows, for its use at national level whenever appropriate:

2.2.2 It is therefore proposed that the special provisions of ESARR 3, Section 5.2.2 c, should be applied only in the case of those ATM service providers organisations that:

- Only provide ATM services at and in the vicinity of just one aerodrome²; and
- Do not provide approach control services (APP) separately from those services provided by the aerodrome control tower, and
- Do not provide apron management services separately from those services provided by the aerodrome control tower.

Provided that:

- It has been agreed/decided by the safety regulatory body that the term 'small organisation' is applicable at the case under consideration, and
- The term small organisation implies the existence of an organisational structure with formed entity, not integrated in a wider ATM organisation.

2.2.3 The above criteria are based on the following points:

- a) As agreed by SRC, the size of the organisation, not the level of traffic, should be the basic criterion to scope the types of organisations affected.
- b) Without defining figures for the staff employed by organisations³, criteria can be identified based on the fact that there is a relation between size required and type of ATM service provided.
- c) Therefore it can be stated that, in general terms, lower complexity of ATM services provided implies a lower size required for the organisation in terms of human resources.

² In practical terms, this criterion proposes that the use of ESARR 3, 5.2.2 c) should be confined to organisations providing TWR (and associated APP and/or associated Apron) and/or AFIS in just one aerodrome.

³ Additional conditions could be added to this criterion in terms of maximum figures of staff that define the size of an organisation.

- d) Accordingly, the small organisation concept can be handled by confining its scope to ATM services with lower operational complexity
- e) In addition to these considerations, it should be noted that the small organisation issue is normally related to aerodromes operating associated ATM services.
- f) The exclusion of APP services and Apron Management Services when provided separately from TWR, is based on safety considerations:
- The significance of safety in the approach and landing phase should be taken into account the available information about reported safety occurrences (CFIT in particular). That provides a basis for justifying possible exclusions concerning APP services.⁴
 - Apron Management services are excluded when they are provided separately from other aerodrome control services because that is exactly the scenario ICAO Doc.9426 (ATS Planning Manual) proposes for larger⁵ aerodromes. That provides an indication about the size of the organisation⁶.
 - Available information about reported safety occurrences (RWY incursion) could also provide a rationale for supporting the exclusion of Apron Management services when they are provided separately from other aerodrome control services.

2.2.4. It is recommended that the ATM Safety Regulator maintains an updated list of those ATM service-provision organisations that operate within its jurisdiction under the special provisions established in ESARR 3 Section 5.2.2c.

2.3 Safety Assurance Required under ESARR 3 Section 5.2.2 c

ESARR 3, 5.2.2 c requires service-provider organisations to supplement safety assurance arrangements with additional independent means in the case of small organisations where a combination of responsibilities may prevent sufficient independence in the safety management function.

⁴ The exclusion proposed concerns APP when it is provided separately. The rationale is that if APP have to be provided separately from other aerodrome control services, that means that the complexity of services forces the organisation to make such arrangements, and as already mentioned in bullets b) and c) more complexity in services will normally mean a bigger size of the organisation. Depending upon local circumstances and/or other considerations, the use of the special provisions contained in ESARR 3, 5.2.2c could totally exclude those organisations that provide APP services.

⁵ ICAO Doc. 9426, Section 2.4.4 states "However, at larger aerodromes with extended apron areas, there often exists a situation where the aerodrome control tower cannot oversee the entire apron because of its complexity and it would therefore be unfeasible to entrust the aerodrome control tower with the apron management service. In such cases it will be necessary to have apron management service performed by a special agency which is normally provided by the aerodrome operator..."

⁶ Indeed, if apron management services have to be provided separately from other aerodrome control services, that means that the complexity of services forces the organisation to make such arrangements, and as already mentioned in bullets b) and c) more complexity in services will normally mean a bigger size of the organisation. Depending upon local circumstances and/or other considerations, the use of the special provisions contained in ESARR 3, 5.2.2c could totally exclude those organisations that provide apron management services.

ESARR 3 has also identified four safety assurance requirements: 5.3.1 'Safety Surveys', 5.3.2 'Safety Monitoring', 5.3.3 'Safety Records' and 5.3.4 'Risk Assessment and Mitigation Documentation'. That group of requirements therefore defines the minimum set of safety assurance arrangements to be established in any safety management system. Safety assurance processes will normally be defined to implement them.

In order to establish a SMS under the special provisions of ESARR 3, Section 5.2.2 c, some safety assurance processes should be conducted in a way to ensure sufficient levels of independence of the technical and operational functions within the organisation.

2.3.1 The use of external safety surveys (safety audits, inspections, reviews) conducted by external entities can be considered as an acceptable means of compliance to meet the additional independent means needed to reinforce safety assurance arrangements in accordance to ESARR 3, Section 5.2.2 c, if:

1. External safety surveys are conducted by:
 - (i) Either another ATM service provider whose SMS meets ESARR 3 and does not operate under the special provisions of ESARR 3, 5.2.2 c; or
 - (ii) Any other external entity appropriately recognised by the ATM safety regulator to perform safety surveys in accordance with ESARR 3⁷;

(Note: examples of such external entities may include specialised organisations, professional entities, associations of ATM service-providers, etc).

2. External safety surveys are regularly carried out following a programme accepted by the ATM safety regulator; and verify compliance of written arrangements against required arrangements, and actual processes and their results against written arrangements;
3. External safety surveys are conducted by personnel with appropriate competence, qualifications and knowledge⁸;
4. External safety surveys are conducted following systematic planning, assessment of all factors affecting safety, identification of corrective actions, record of results, and initiation and follow up of corrective actions;
5. The highest management level of the organisation operating under the provisions of ESARR 3, 5.2.2 c, formally commits to implement the corrective actions derived from external safety surveys.

⁷ Safety regulatory audits and inspections conducted by the ATM Safety Regulator as part of its Safety Oversight regulatory function, can not be considered as an acceptable means of compliance to meet ESARR 3, 5.3.1 'Safety Surveys' or the independent additional means required in ESARR 3, 5.2.2 c

⁸ Safety regulators should define qualification criteria for personnel designated to conduct external safety surveys. These criteria should ensure an appropriate level of education, training, experience and competence covering at least:

- a) Knowledge and understanding of safety regulatory requirements, standards and other arrangements applicable;
- b) Assessment techniques of examining, questioning, evaluating and reporting;
- c) Skills required for managing a safety survey such as planning, organising, communicating and directing;
- d) Competence should be demonstrated through evaluations or other acceptable means.

6. The arrangements established with an organisation to conduct external safety surveys are formally accepted by the ATM safety regulator on the basis that they ensure that:
 - a) The ultimate responsibility for safety in the small organisation remains at its highest management level;
 - b) The responsibility for development and maintenance of the SMS remains at the Safety Management point of responsibility identified within the small organisation;
 - c) The Safety Management point of responsibility plays a general role in the co-ordination, planning and supervision of external safety surveys without affecting the independence of the survey;
 - d) All persons involved with a safety survey respect and support the independence and integrity of those who conduct the survey;
 - e) External safety surveys are performed in accordance with procedures defined in the SMS Documentation of the small organisation, previously accepted by the ATM Safety Regulator, and these procedures are, understandable, actionable, auditable and mandatory;
 - f) All parties concerned in the arrangements, including the safety regulatory body, can be assured that no conflicts of safety or other interests exists that would prejudice the effective independence of the surveys or their outcome.

7. Safety oversight actions, including safety regulatory audits and inspections, carried out by the ATM safety regulator, focus special attention on external safety surveys carried out at small organisations operating under the special provisions of ESARR 3, 5.2.2 c.

2.3.2 The rationale for the above criteria is that a safety survey is a preventative activity whose main purpose is to confirm that an existing situation is satisfactory. It is a “routine” activity to identify problems and facilitate the definition of remedial actions when problems are identified or suspected.

Safety survey techniques provide for basic safety assurance processes intended to identify deviations, identify hazards, monitor the level of achievement and propose corrective measures. Therefore safety surveys represent a major safety assurance arrangement whose reinforcement may be enough to prevent the lack of independence from the safety managerial function in the case of small organisation.

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3. GENERAL ASPECTS OF SMS IN SMALL ORGANISATIONS

3.1 External Means to Support the SMS

3.1.1 Special arrangements involving other organisations (“external means”), could be acceptable to the ATM Safety Regulator as means to meet a range of other ESARR 3 requirements, apart from Section 5.2.2.c dealt with above.

This could include the conduct of certain defined procedures, established in accordance with the SMS Documentation of the organisation, and intended to comply with:

- a) ESARR 3, Section 5.2, Requirements for Safety Achievement: Competency (Section 5.2.1), Quantitative Safety Levels (Section 5.2.3), Risk Assessment and Mitigation (Section 5.2.4), External Services (Section 5.2.6), Safety Occurrences (Section 5.2.7);
- b) ESARR 3, Section 5.3, Requirements for Safety Assurance: Safety Surveys (Section 5.3.1); Safety Monitoring (Section 5.3.2); Risk Assessment and Mitigation Documentation, Section (5.3.3).

3.1.2 Minimum conditions should be defined by the ATM Safety Regulator to accept the use of external means arranged. Conditions should be based on at least, the following basic points:

1. The ATM Safety Regulator should define the detailed scope for the size of the organisations for which this approach could be acceptable⁹;
2. The ATM Safety Regulator should identify the types of external entities that could provide for external means. As a general criterion, external means are provided by:
 - (i) Either another ATM service-provider whose SMS meets ESARR 3 and does not operate under the special provisions of ESARR 3, 5.2.2 c; or
 - (ii) Any other external entity appropriately recognised by the ATM safety regulator to support small organisations by performing SMS procedures in accordance with ESARR 3;

(Note: examples of such external entities may include specialised organisations, professional entities, associations of ATM service-providers, etc)

3. The highest management level of the small organisation formally commits to implement the corrective actions derived from procedures carried out by external means.

⁹ A scope confined to organisations providing TWR (and associated APP and/or Apron) and/or AFIS in only one aerodrome would be consistent with the use of ESARR 3, 5.2.2 c as proposed in Section 2.3 of this document.

4. The arrangements established with an organisation to provide external means are formally accepted by the ATM safety regulator on the basis that they ensure that;
 - a) The ultimate responsibility for safety in the small organisation remains at its highest management level;
 - b) The responsibility for development and maintenance of the SMS remains at the Safety Management point of responsibility identified within the small organisation;
 - c) The Safety Management point of responsibility plays a general role in the co-ordination, planning and supervision of all procedures carried out by external means;
 - d) The procedures are performed in accordance with the SMS Documentation of the small organisation, previously accepted by the ATM Safety Regulator, and are understandable, actionable, auditable and mandatory;
 - e) The procedures are performed by personnel having appropriate knowledge, competence and qualifications;
5. If external means are used to perform safety surveys (external safety surveys) any additional condition defined in Section 2.3.1 of this document is met.
6. Safety oversight actions, including safety regulatory audits and inspections, carried out by the ATM safety regulator, focus special attention on all procedures carried out by external means at small organisations operating under this approach.
7. All parties concerned in the arrangements, including the safety regulatory body, can be assured that no conflicts of safety or other interests exists that would prejudice the effective independence of the surveys or their outcome.

3.1.3 Certain SMS arrangements, however, should not be undertaken by external means. In particular these should include:

- a) The adoption and review of the Safety Policy of the organisation;
- b) The identification of a point of responsibility for Safety Management within the organisation to develop and maintain the SMS;
- c) The identification and allocation of safety responsibilities for staff involved in safety aspects in accordance with the Safety Responsibility Requirement (ESARR 3, Section 5.1.2)
- d) The interface with the ATM Safety Regulator;
- e) The means to ensure that the SMS is systematically documented in a manner which provides a clear linkage to the organisation's safety policy, including:
 - The definition of procedures (procedures, instructions or similar) covering as a minimum all the processes required by ESARR 3;
 - Documentation control procedures and the management of SMS documentation and other safety-related documents;

- f) The means to implement the lesson dissemination requirement, collect lessons from safety recommendations resulting from various activities, pass appropriate information on them to all concerned staff and ensure its use to improve training
- g) The means to implement the safety improvement requirement, including:
 - The establishment and operation of SMS review mechanisms to involve the organisation's management team in the continuous improvement of safety,
 - The regular review of SMS, and
 - The identification and authorisation of changes in the SMS.

3.2 Integration with Aerodrome Operations

3.2.1 ICAO has established provisions requiring safety management practices in ATS and Aerodromes (ICAO Annexes 11 and 14).

At present, several small organisations in the ECAC region operate local aerodromes and provide the ATM services associated to that operation. In these cases, it would be advisable to integrate safety management used in ATM services and aerodrome operations. That approach could not only help to rationalise resources where these are limited, but also provide safety benefits by addressing the management of safety as a whole.

3.2.2 *From a regulatory point of view:*

If an organisation operates an aerodrome, and also provides ATM services to that aerodrome, it would be advisable to accept the use of a single SMS covering both areas of activity as a means of compliance with all applicable safety regulatory requirements and standards, provided that:

- ESARR 3 requirements and ICAO Annex 11 provisions are fully met in the ATM domain;
- ICAO Annex 14 provisions are fully met in the aerodrome domain;

In cases where ATM and aerodrome standards are defined by different levels of requirements, the most demanding requirements should be applied.

3.2.3 *Cases involving two different organisations:*

Wherever ATM services and aerodrome operations are provided at the same aerodrome by two different organisations, two separate SMS should exist unless the ATM Safety Regulator explicitly considers acceptable the arrangements between both organisations for setting up a common SMS.

Any proposal for a common SMS operated simultaneously by two different organisations should be assessed by the ATM Safety Regulator to ensure that the arrangements proposed are acceptable to meet the requirements¹⁰. In particular the arrangements proposed should address in an appropriate manner:

- The definition and allocation of safety responsibilities, and the establishment of clear reporting lines; and
- The definition, adoption and review of safety policies and safety objectives for the SMS.

3.3 Integration with Quality Management

3.3.1 Wherever exist, Quality Management Systems (QMS) can support the implementation of SMS. Both regulators and providers should note that there is a potential usage of quality management standards and processes to support the definition, implementation and use of SMS. The implementation of elements from the existing quality standards can be considered as an acceptable approach to meet some specific ESARR 3 requirements.

This option can be particularly useful in the case of small organisations already having a QMS in place.

3.3.2 ESARR 3 does not require any specific level of integration or separation between SMS and QMS when operated simultaneously within the same organisation. However, it is recognised that integration of SMS and QMS could be useful for facilitating the implementation of SMS in small organisations with limited resources available. Different approaches and arrangements could be acceptable to combine or differentiate the two functions.

3.3.3 Wherever QMS is already in place, safety regulatory bodies could recognise the integration of SMS and QMS as an acceptable means of compliance to meet ESARR 3 provisions, provided that the approach proposed fully meets each applicable requirement for which compliance is claimed.

¹⁰ *There is an intimate link between the SMS and the organisation concept. Safety management is undertaken as part of the overall management function (see ESARR 3, Sections 2 and 5.1. 1st paragraph). Notably, the definition and allocation of safety responsibilities are key factors in any SMS. An appropriate allocation of safety responsibilities requires clear reporting lines and clear organisational arrangements. Similar considerations may apply to other essential aspects such as the definition, adoption and review of safety policies and safety objectives. Depending upon the case, all these aspects could only be addressed within the framework of a single organisational structure. Therefore a careful consideration of the arrangements proposed is needed in regard with these situations.*

3.4 Risk Assessment and Mitigation Documentation

ESARR 3 requires specific documentation of the results of risk assessment and mitigation processes¹¹.

It is common practice to use two types of risk assessment and mitigation documentation:

- Documentation associated with a project or programme intended to introduce a new system or change. In that context, risk assessment and mitigation is conducted in parallel to the successive milestones of the project or programme and provides argument about the acceptability of introducing the system into operational service.
- Documentation related to operational units to demonstrate the continuous safe operation of the ATM services provided by that unit. In addition, this may allow addressing any change not introduced through major projects.

Both types of documents summarise the results of risk assessment and mitigation processes and provide safety assurance.

It should be noted that small organisations normally tend to concentrate their activities on conducting ATM operations without undertaking major projects or programmes to introduce new systems and new concepts. In particular new technical equipment tends to be provided by external suppliers on the basis of agreed specifications.

In that context, it would be useful to focus the safety assurance documentation of the organisation in just a single document (e.g. operational safety case) associated with the continuous operation of the ATM service.

The development of such single document could be acceptable to meet the Risk Assessment and Mitigation Documentation Requirement, if:

- It collects results obtained from appropriate risk assessment and mitigation processes conducted to ensure that the continuous operation of the unit is safe;
- The SMS deals appropriately with External Services. In particular the SMS processes dealing with external services should focus special attention on inputs received in form of new systems delivered by external entities.

Accordingly, safety regulatory bodies could accept or recognise this approach as an acceptable means of compliance, provided that the proposed approach fully meets each applicable requirement for which compliance is claimed.

¹¹ The risk assessment and mitigation processes required are outlined in ESARR 3 and further developed in ESARR 4.

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APPENDIX A – GLOSSARY – TERMS AND DEFINITIONS

TERM	DEFINITION
Accident	As per ICAO Annex 13.
Approval Process	A process of formal recognition that a product, process, service or organisation conforms to applicable safety regulatory requirements.
Assessment	An evaluation based on engineering, operational judgement and/or analysis methods. ¹²
ATM	The aggregation of ground based (comprising variously ATS, ASM, ATFM) and airborne functions required to ensure the safe and efficient movement of aircraft during all appropriate phases of operations.
ATM Service	A service for the purpose of ATM.
ATM Service-Provider	An organisation responsible and authorised to provide ATM service(s).
ESARR	EUROCONTROL Safety Regulatory Requirement (see Safety Regulatory Requirement).
External Services	All material and non-material supplies and services, which are delivered by any organisation not covered by the ATM Service-Provider's Safety Management System.
Regulation	The adoption, enactment and implementation of rules for the achievement of stated objectives by those to whom the regulatory process applies.
Safety Achievement	The result of processes and/or methods applied to attain acceptable or tolerable safety.

¹² Defined in ICAO DOC 9735 – Safety Oversight Audit Manual as “an appraisal of procedures or operations based largely on experience and professional judgement.”

TERM	DEFINITION
Safety Assurance	All planned and systematic actions necessary to provide adequate confidence that a product, a service, an organisation or a system achieves acceptable or tolerable safety.
Safety Management	The management of activities to secure high standards of safety performance which meet, as a minimum, the provisions of safety regulatory requirements.
Safety Management Function	A managerial function with organisational responsibility for development and maintenance of an effective safety management system.
Safety Management System (SMS)	A systematic and explicit approach defining the activities by which safety management is undertaken by an organisation in order to achieve acceptable or tolerable safety.
Safety Monitoring	A systematic action conducted to detect changes affecting the ATM System with the specific objective of identifying that acceptable or tolerable safety can be met.
Safety Oversight	The function undertaken by a designated authority to verify that safety regulatory objectives and requirements are effectively met.
Safety Policy	A statement of the organisation's fundamental approach to achieve acceptable or tolerable safety.
Safety Performance	The measurement of achieved safety within the overall ATM system performance measurement.
Safety Promotion	Specification of the means by which safety issues are communicated to ensure a safety culture of safe working within the organisation.

TERM	DEFINITION
Safety Records	Information about events or series of events that is maintained as a basis for providing safety assurance and demonstrating the effective operation of the SMS.
Safety Regulatory Audit	A systematic and independent examination conducted by the ATM safety regulator to determine whether processes and related results comply with required arrangements ¹³ and whether these arrangements are implemented effectively and are suitable to achieve objectives.
Safety Regulatory Inspection	A systematic and independent examination conducted by the ATM safety regulator to determine whether ATM services or specific parts of the ATM system comply with prescriptive specifications required and previously published by the safety regulator and whether these specifications are implemented effectively.
Safety Regulatory Requirement	The formal stipulation by the regulator of a safety related specification which, if complied with, will lead to acknowledgement of safety competence in that respect.
Safety Survey	A systematic review, to recommend improvements where needed, to provide assurance of the safety of current activities, and to confirm conformance with applicable parts of the Safety Management System.
SMS Documentation	The set of documents, arising from the organisation's safety policy statements, to develop and document the SMS in order to achieve its safety objectives.
SRC	Safety Regulation Commission.
Supporting Services	Systems, services and arrangements, including communications, navigation and surveillance services which support the provision of an ATM services.

¹³ This also includes verification of compliance with allocated objectives, mitigation measures and any other arrangement derived from the application of safety regulatory requirements by the ATM service provider.

<i>TERM</i>	<i>DEFINITION</i>
System	A combination of physical components, procedures and human resources organised to perform a function.