►This RA has been substantially re-written; for clarity no change marks are presented – please read RA in entirety◄

RA 1200 - Air Safety Management

Rationale

Effective Air Safety Management (ASM) enhances operational capability. Complex systems in the Defence Air Environment present foreseeable and credible Risk to Life (RtL) and therefore require a rigorous and systematic management approach to avoid personnel being exposed to unnecessarily high Risk. An effective Air Safety Management System (ASMS), in conjunction with an Air System Safety Case (ASSC), will ensure that RtL is mitigated to As Low As Reasonably Practicable (ALARP) and Tolerable. The ASMS comprises the entirety of all documented and undocumented processes, procedures, tools and methodologies that exist to manage Air Safety. It is underpinned by Leadership, Assurance, and an Engaged Air Safety Culture.

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1200(1) All Aviation Duty Holders (ADH), Accountable Managers (Military Flying) (AM(MF)), Accountable Managers (AM)[1], Heads of ADH-Facing Organizations[2] and Heads of Establishment (HoE) involved in Defence Aviation **shall** establish and maintain an effective ASMS.

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1. ADH and AM(MF) ASMSs **should** manage their respective ASSC(s) to ensure that the Safety claims, arguments, and their supporting evidence are routinely reviewed and challenged for continued validity, in order to ensure associated RtL remain ALARP and Tolerable.

2. The ASMS of ADH-Facing Organizations, AMs and HoEs supporting Defence Aviation **should** enable those organizations to actively support ADH and AM(MF) in their management of Air Safety and respective ASSC(s). It **should** identify any decision, activity or change in circumstances that has the potential to introduce or modify RtL in ADH and AM(MF) operations, or which could undermine the ALARP and Tolerable status.

3. Where organizations employ a holistic or 'Total Safety' approach to managing Safety (potentially encompassing health and Safety, environmental Safety, functional Safety, and Air Safety) as a single system, these systems **should** address and document the approach to complying with this regulation.

4. Each organization **should** demonstrate an appropriate level of separation between Assurance and delivery such that its activities are not unreasonably influenced by operating or commercial pressures.

5. An ASMS **should** be proportional to the size, complexity and activities of the organization and consider the Hazards and associated Risks. It **should** comprise the 4 key pillars:

   a. **Safety Policy and Objectives.**

   b. **Safety Risk Management.**

   c. **Safety Assurance.**

[1] Those AMs within: ADH-Facing Organizations, Contractor Flying Approved Organizations, Maintenance Approved Organizations, Air Traffic Management Equipment Approved Organizations, and Design Approved Organizations.
[2] Examples are 'Heads of ADH-Facing Organizations' include Type Airworthiness Authorities (TAA), Commodity Chief Engineers, Type Airworthiness Managers (TAM), Commodity Delivery Team Leaders, Military Continuing Airworthiness Managers (Mil CAMs). for definition of ADH-Facing (Refer to RA1020(4): Responsibilities of Aviation Duty Holder-Facing Organizations).

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d. **Safety Promotion.**

6. Utilizing the 4 key pillars as a framework, an ASMS **should**, as a minimum:

a. **Safety Policy and Objectives**

(1) **Leadership, Commitment, Accountabilities and Responsibilities.** Clearly define lines of responsibility and accountability throughout the organization including the direct Safety accountability of the ADH, AM(MF), AM, HoEs and ADH-Facing Organizations and make a clear commitment to the adequate resourcing of Air Safety.

(2) **Engaged Air Safety Culture.** Clearly articulate how the organization engenders a positive Safety culture and assesses its ongoing effectiveness and ensure that a set of enduring values and attitudes regarding Air Safety is shared by every member of an organization.

(3) **Air Safety Priority, Objectives and Targets.** Clearly articulate the leadership's Air Safety priorities, set the targets to be achieved and define the objectives that will deliver them.

(4) **Organization, Key Safety Personnel, Air Safety Competencies.** Describe the Safety organization and be structured in a way that is easily communicated, such that it is clearly understood throughout the organization.

(5) **Defined Interfaces with Adjacent Safety Management System.** Identify all interactions between adjacent organizations' management systems, describe the information flows across them and how they will be managed.

(6) **Emergency Response Planning.** Detail contingency plans that clearly document the actions to be taken following emergencies to limit the initial impact, control the situation and enable return to normality at the earliest practicable opportunity.

(7) **ASMS Documentation.** Produce appropriate documentation which describes required processes, procedures, tools, and methodologies, that will facilitate effective performance of the ASMS.

b. **Safety Risk Management**

(1) **Reporting and Investigation.** Detail processes and resources to enable the effective reporting and investigation of Occurrences.

(2) **Hazard Identification.** Detail processes and resources to enable effective Hazard Identification, which will include causal and consequence analysis.

(3) **Safety Risk Assessment and Mitigation.** Detail processes and resources to analyze and control or mitigate the associated Safety Risks within an organization, and ensure the effectiveness of these actions have been verified.

c. **Safety Assurance**

(1) **Compliance Monitoring and Safety Performance Measurement.**

(a) Detail the process and resources to provide Assurance that the organization is compliant with relevant requirements[3] (see para 7 for further detail).

(b) Include suitable Safety Performance Indicators (SPI) to measure performance against the defined Air Safety Objectives and Targets and ensure their routine review.

[3] MAA regulatory publications, legislation, internal process.

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(2) **Management of Change.** Detail a proactive approach to change management that assesses proposed changes before implementation such that undesirable consequences can be avoided or mitigated.

(3) **Continuous Improvement of the ASMS.** Include processes to monitor and evaluate the effectiveness of the ASMS and act upon findings to facilitate continuous improvement.

(4) **Retention, Evaluation and Feedback of Information.** Provide an auditable information trail that can be used to review, revise and justify the Risk management and associated decision-making processes.

d. **Safety Promotion**

(1) **Training and Education.** Have processes in place that identify how the organization trains and educates people in the ASMS, including competence assessment and continuation training.

(2) **Safety Communication.** Have processes in place that identify how communication of Safety information is conducted, and the effectiveness is assured.

Safety Assurance

7. The ADH, AM(MF), AM, HoEs and ADH-Facing Organizations **should:**

a. Ensure that the ASMS operates a comprehensive and documented Safety Assurance[4] programme covering the entirety of the organization's own activities and, where appropriate, those of interfacing organizations[5]. The programme **should** be routinely reviewed to ensure an appropriate focus is maintained.

b. Ensure that when responsible for conducting 2nd Party Assurance (2PA) on subordinate organizations, the requirements detailed in MAA01[6] are met.

c. Nominate an individual to have overall responsibility for compliance monitoring management. Where the same individual fulfils the role of both Safety and Compliance Manager, the ASMS **should** clearly define how independence is maintained between the roles.

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8. The Air Safety Management Assessment Tool (ASMAT) is an optional tool that has been produced to facilitate the Assurance of ASMS by 1st, 2nd, and 3rd party organizations[7] The ASMAT and the associated report form are available for download from the MAA website[8].

Safety Policy and Objectives.

9. An effective ASMS may be a hierarchy of connected ASMSs for parent, subordinate and supporting organizations which integrate effectively via defined interfaces to support relevant ASSCs. ADH-Facing Organizations have a significant role in enabling the ADH and AM(MF) to manage RtL by communicating effectively via interfaces and stakeholders.

10. The Air Safety Targets and SPIs can be expressed in quantitative or qualitative terms and will help facilitate the measurement of ASMS effectiveness.

11. Organizational arrangements will include the ASMS scope, the roles, and responsibilities of the organization with a focus on Air Safety, and the structure, composition and aim of Air Safety meetings, working groups and decision-making

[4] Safety Assurance encompasses both the functions of detailed compliance monitoring and Safety Audits (see MAA02: Military Aviation Authority Master Glossary). Whilst performance of the ASMS needs to be constantly monitored, periodic discrete Assurance activities **should** be planned based on perceived Risk.
[5] Where an organization is reliant upon another one for delivery of a product or service to enable effective operation or delivery of their ASSC element, appropriate Assurance arrangements **should** be made. This may be via direct Assurance, or by reviewing Assurance reports from other trusted agencies; ASMS documentation **should** describe how such assurance reports are exploited.
[6] MAA01: Military Aviation Authority Regulatory Principles, Chapter 2 – How the MAA Regulates, Para 8.
[7] Refer to MAA02 for definition of 1st, 2nd, 3rd Party Assurance.
[8] https://www.gov.uk/government/publications/the-military-aviation-authority-air-safety-management-performance-matrix-mapm.

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forums. The role of the Safety Manager will be clearly nominated along with the appointment of other key Air Safety personnel who require Terms of Reference, including unambiguous channels of communication and levels of authority.

12. Defined interfaces with adjacent Safety Management Systems will capture detail on who, what, when, why and where the interfaces are, and ensure they are reviewed regularly. Interfaces are to include all those that support an ASSC.

13. With Emergency Response Planning it is important to note that Emergency Response Planning is not only Post Crash Management or Business Continuity but assessing the Air Safety impact of any potential emergency or non-standard operating procedure and transition back to normal ops.

14. ASMS documentation is dependent on the organization's Safety management structure but needs to be auditable, controlled, accurate and current.

Safety Risk Management

15. Hazard Identification will be periodically revisited, to ensure that the assumptions remain valid and identify any new Hazards.

Safety Assurance

16. The principles of ISO 9001 are recommended for assessing the requirements for process development, Assurance[9] and continuous improvement.

17. The compliance monitoring function will be appropriate to the size and complexity of the organization and include a feedback system of findings to the ADH, AM(MF), AM or ADH-Facing Organizations to ensure the effective implementation of corrective actions as necessary.

18. Change Management will manage both large scale change (Aircraft types, Operating Locations etc.) and small scale (minor modifications or MAA Regulatory Publications updates etc.) and will be pan Defence Lines of Development.

Further Guidance

19. The Manual of Air Safety contains further guidance material applicable for establishing, maintaining, and assuring the effectiveness of the ASMS, Risk Management and developing an Engaged Air Safety Culture.

[9] The compliance monitoring function may already fall within the Quality Management System (QMS) within some organizations; Approved Organization QMS requirements are detailed in RA 1005 – Contracting with Competent Organizations.