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Department of Defence
Defence Aviation Safety Authority

Aviation Safety Management Systems (ASMS)

DASR ASMS Practitioner Course

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COURSE ADMINISTRATION

Welcome

How the course is run virtually:

- Questions
- Breaks
- Etiquette

- Feedback DASA.ASMS@defence.gov.au
- PMKeys reported

LEARNING OUTCOMES

1. Describe the Defence Aviation Safety Authority (DASA) and its structure.

2. Describe the origin, applicability and definitions of the Defence Aviation Safety Regulations (DASR) ASMS.

3. Describe the rational of why ASMS is imperative for both the sustainment and continual improvement of aviation safety.

4. Describe safety relationships and organisational interfaces within the regulated aviation community.

5. Describe the DASR ASMS structure and assessment.

6. Develop a foundational understanding of the DASR ASMS components and elements.

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COURSE SCOPE

The ASMS Practitioner course will provide AVIATION SAFETY MANAGERS with the practical knowledge and tool to form part of the information required to allow them to implement, maintain and self-assess their respective ASMS in order to ensure that it is compliant, credible and defensible.

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DASA ASMS TRAINING ROADMAP

External training:

- Southpac ASMS Course
- TAFE/Uni Classes
- Postgraduate Courses
- And many more…

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COURSE OVERVIEW

- **Introduction**
  - DASA Organisational structure and ASMS Custodians
  - DASR ASMS Introduction
  - DASR ASMS structure and assessment

- **DASR ASMS**
  - ASMS Components & Elements
  - Engagement

- **Questions**

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DASA ORGANISATIONAL STRUCTURE AND ASMS CUSTODIANS

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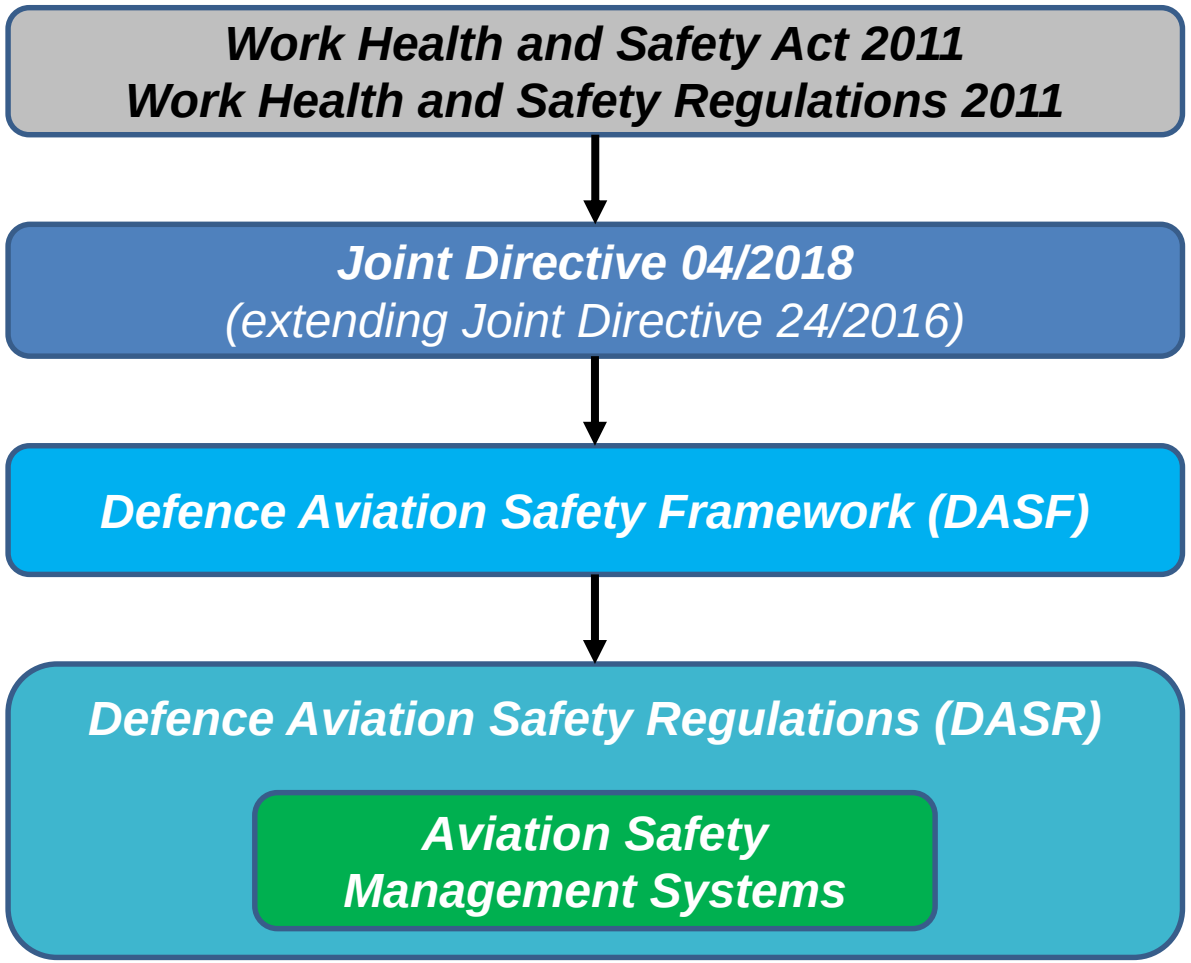
DASR ASMS HIERARCHY



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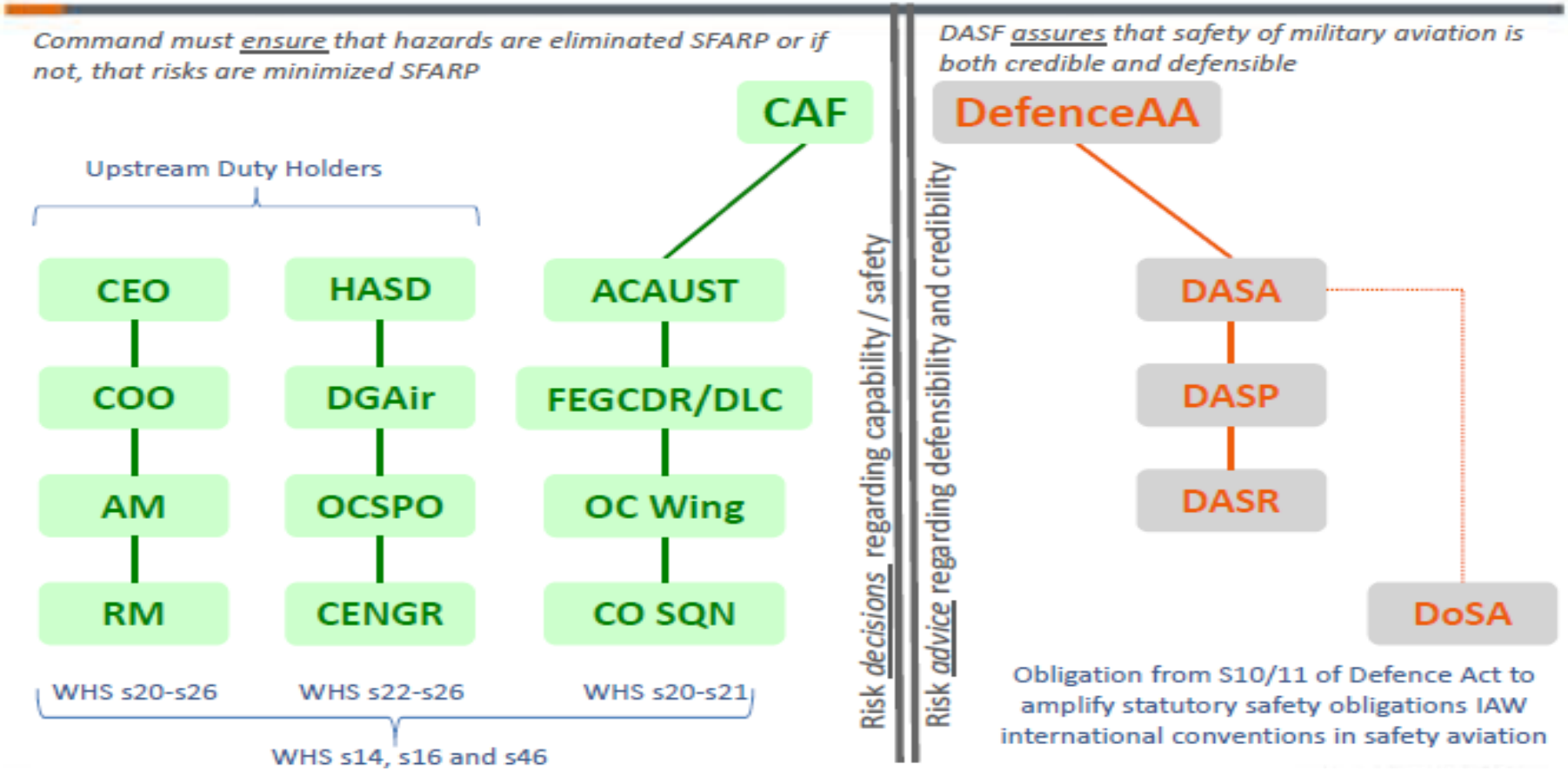
COMMAND AUTHORITY AND THE MILITARY AIR OPERATOR



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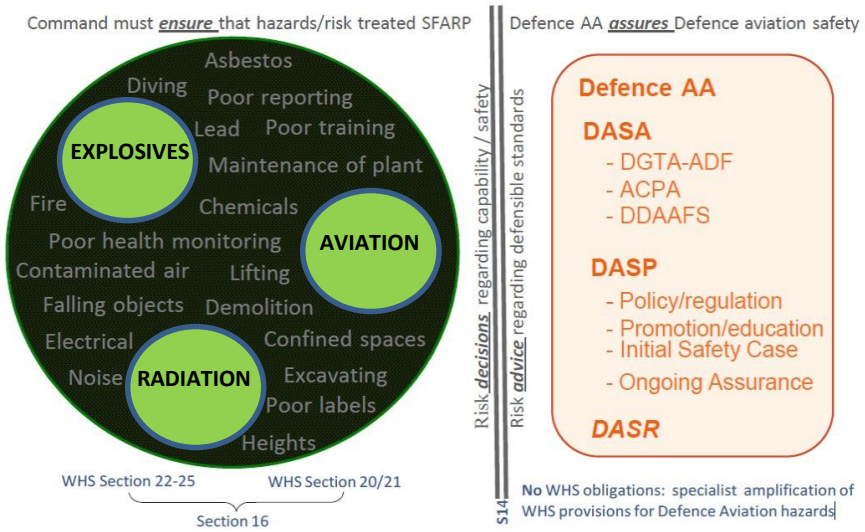
DASR - ASMS & WHS

The WHS Act is specific regarding who is accountable under the Act.

In the Defence context, and IAW Sections 21 and 22 of the Act, Command is responsible for ensuring safety and therefore must make all judgements around safety hazards and risks.

It is also explicit that safety obligations cannot be transferred (i.e. delegated) to another person.

COMMAND - ENSURE



DEFENCE AA - ASSURE

Reference: DASA AC 002/16 – Aviation Command Responsibility under Defence Aviation Safety Regulations

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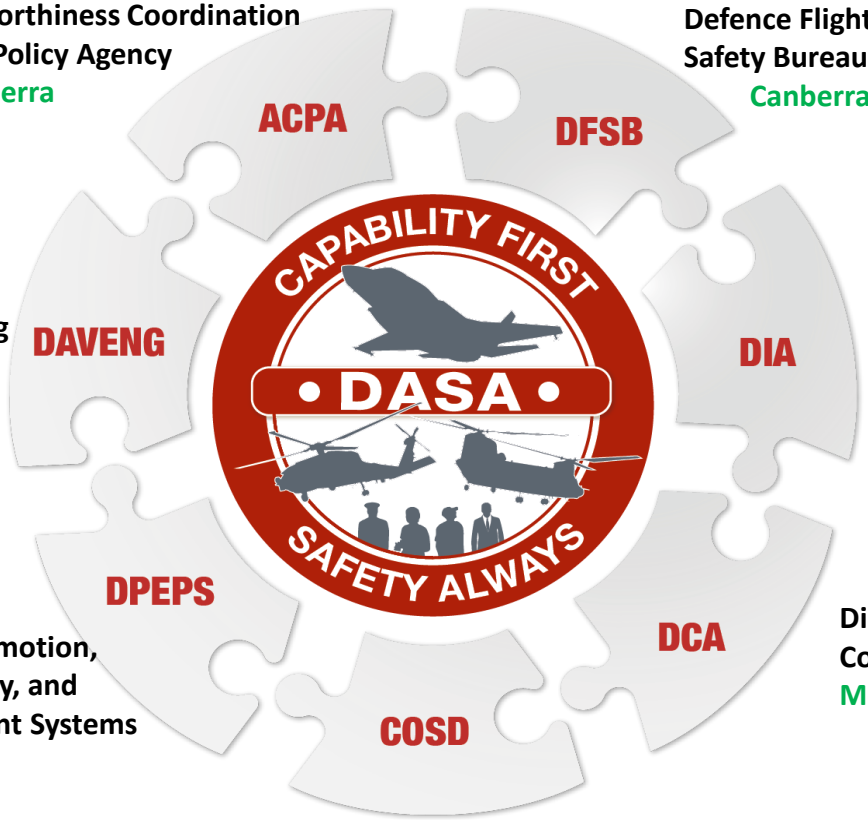
DEFENCE AVIATION SAFETY AUTHORITY

Airworthiness Coordination and Policy Agency
Canberra

Defence Flight Safety Bureau
Canberra



Directorate of Aviation Engineering
Melbourne

Directorate of Initial Airworthiness
Melbourne

Directorate of Promotion, Engagement, Policy, and Safety Management Systems
Melbourne

Directorate of Continuing Airworthiness
Melbourne

Chief of Staff Directorate
Melbourne

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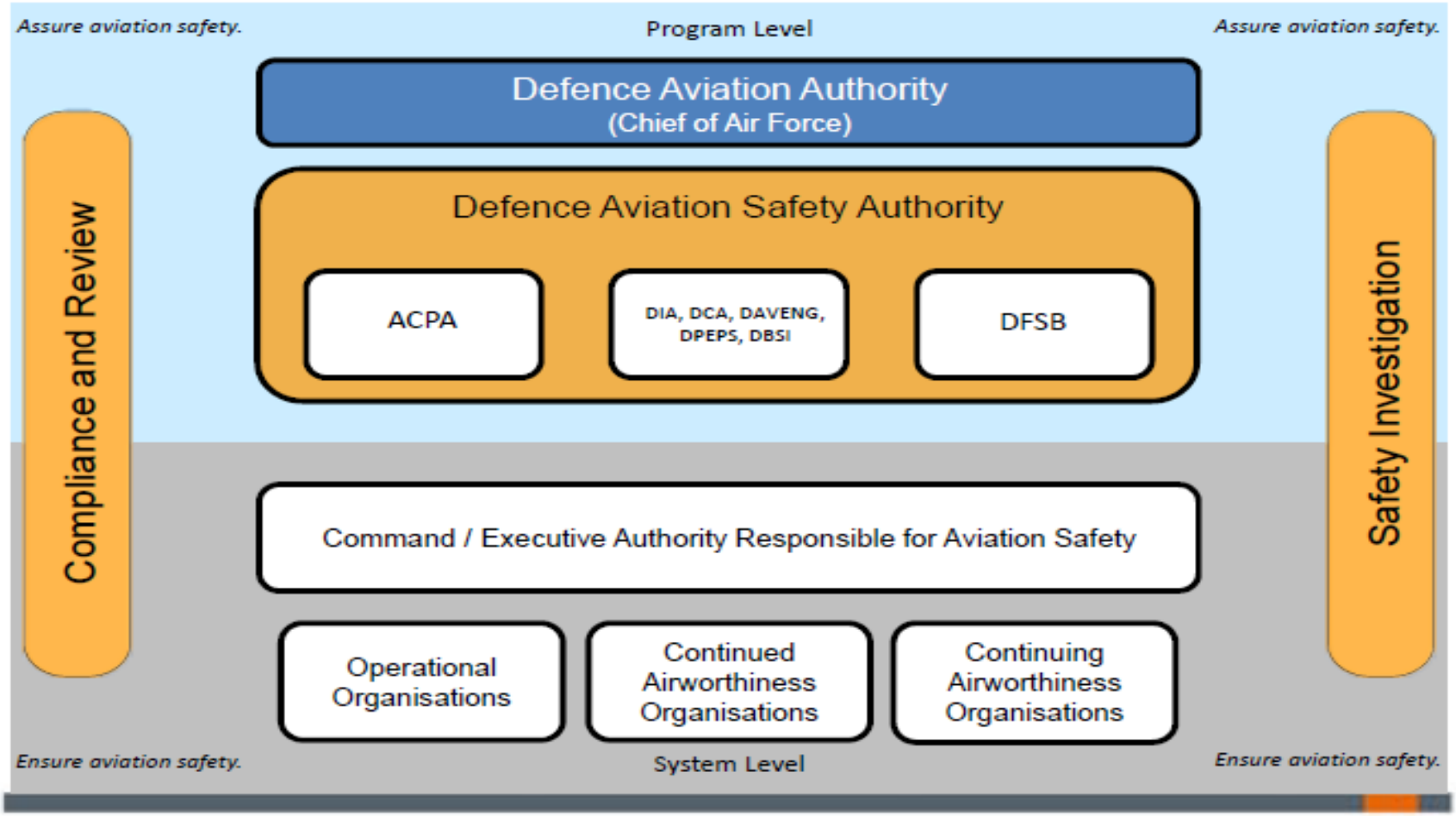
Defence Aviation Safety Framework



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DASR ASMS INTRODUCTION

DASR ASMS ORIGIN

- On 30 September 2016, a revised Defence Aviation Safety Framework (DASF) was introduced in accordance with Joint Directive 04/2018
  - transition to Defence Aviation Safety Regulations (DASR).

- The DASF can be traced back to International Civil Aviation Organization (ICAO) conventions that are in widespread use globally
  - **credible and defensible**.

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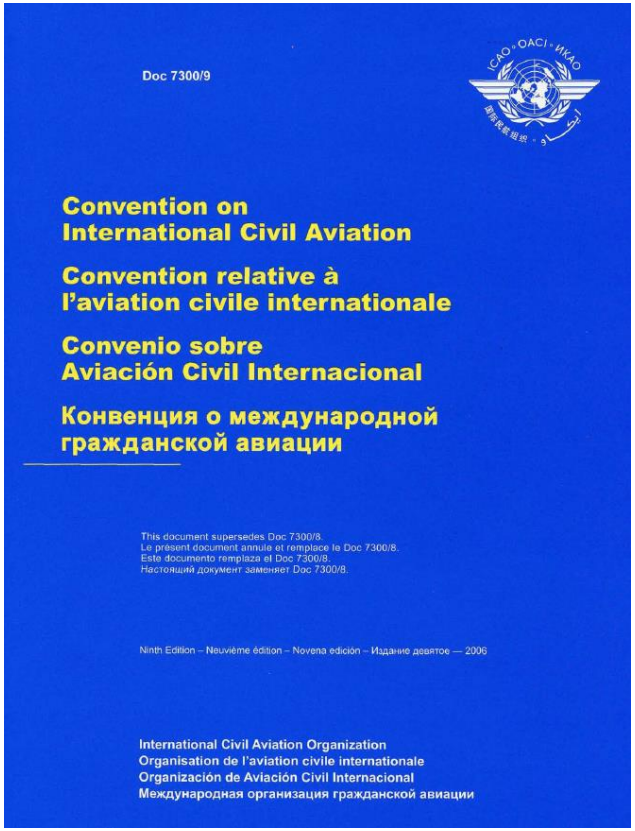
DASR ASMS ORIGIN

Convention on International Civil Aviation

- ICAO (International Civil Aviation Organisation) originally established 07 December 1944
- 96 Articles, 19 Annexes - **Standards and Recommended Practices (SARPs)**
- 192 contracting States (November 2017)
- DASRs derive from EMARs, EASA & ICAO



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DASR ASMS ORIGIN

Annexes to the Convention – SARPs

Annex 1 – *Personnel Licencing*

Annex 2 – *Rules of the Air*

Annex 3 – *Meteorological Services*

Annex 4 – *Aeronautical Charts*

Annex 5 – *Units of Measurement*

Annex 6 – *Operation of Aircraft*

Annex 7 – *Aircraft Registration*

Annex 8 – *Airworthiness of Aircraft*

Annex 9 – *Facilitation*

Annex 10 – *Aeronautical Telecommunications*

Annex 11 – *Air Traffic Services*

Annex 12 – *Search and Rescue*

Annex 13 – *Aircraft Accident and Incident Investigation*

Annex 14 – *Aerodromes*

Annex 15 – *Aeronautical Information Services*

Annex 16 – *Environmental Protection*

Annex 17 – *Security*

Annex 18 – *Safe Transport of Dangerous Goods*

Annex 19 – *Safety Management*

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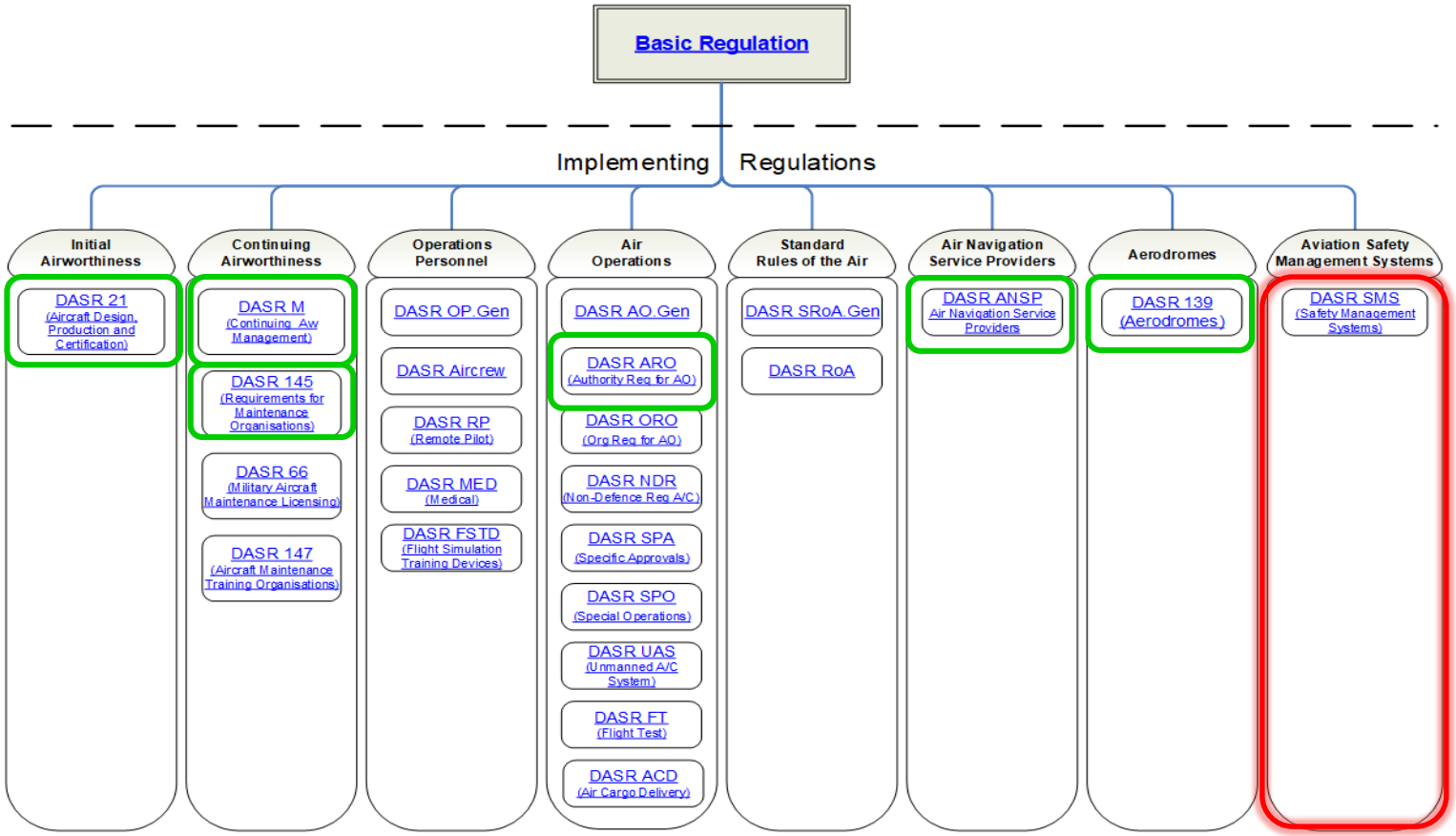
DASR ASMS APPLICABILITY

Defence Aviation Safety Regulation (DASR)



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QUALITY MANAGEMENT SYSTEM - INTRODUCTION

What is a QMS?

All activities of the overall management function that determine the quality policy, objectives and responsibilities and implement them by means such as quality planning, quality controls, quality assurance and quality improvement.

Reference: DASR Glossary

INTRODUCTION TO DASR ASMS

What is an ASMS?

A systematic approach to managing aviation safety, including the necessary organisational structures, accountabilities, policies and procedures.

Reference: DASR Glossary

QMS AND ASMS – INTERFACE

- QMS is for all business outcomes
- ASMS is focused on aviation safety outcomes
  - i.e. ASMS is a subset/amplification of the organisation QMS

- DASR is based on a management assurance philosophy.
  - Based largely on internal assurance
  - Independent/external assurance (less frequent)

- Functional and robust QMS and ASMS are both essential.

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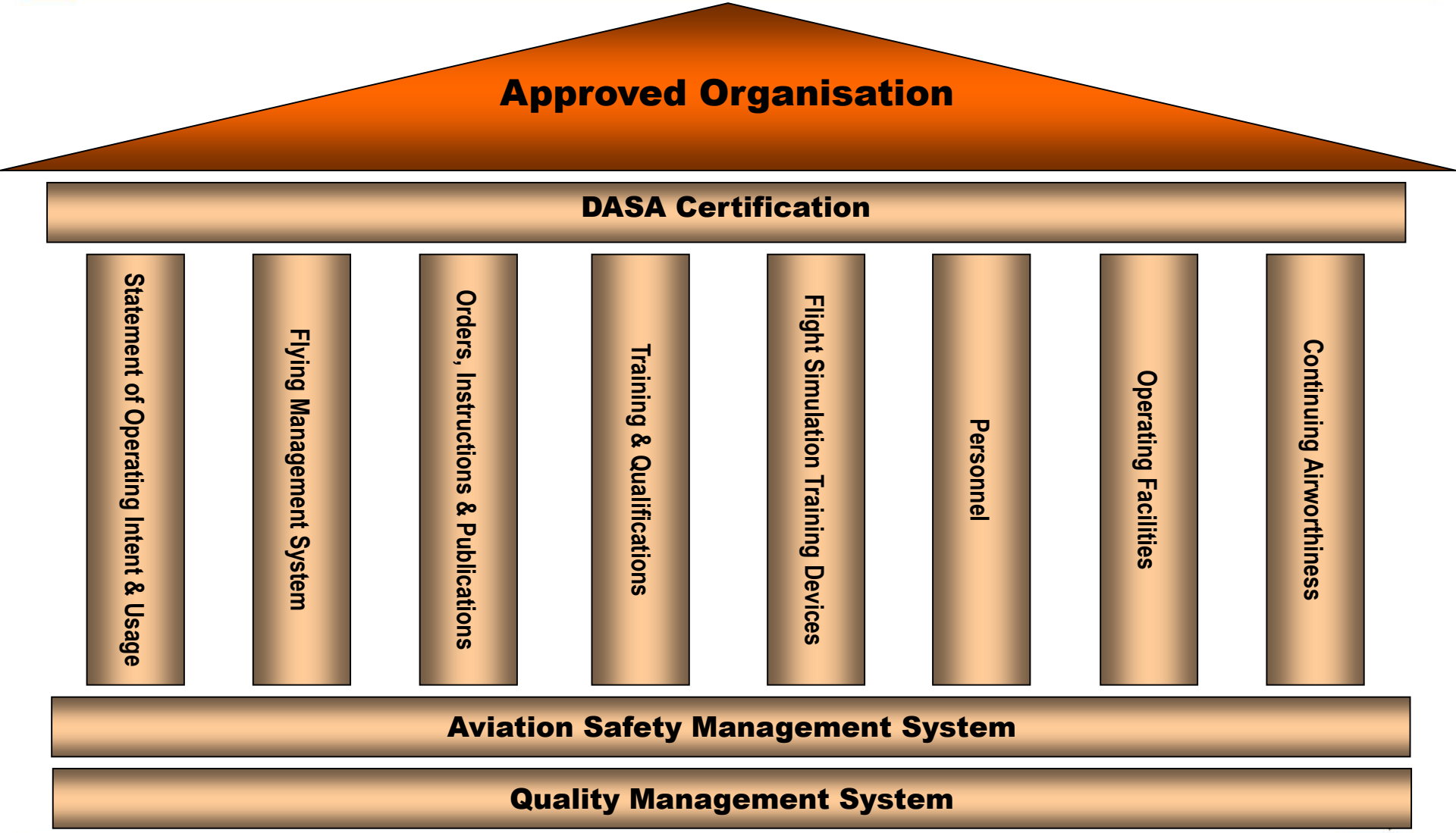
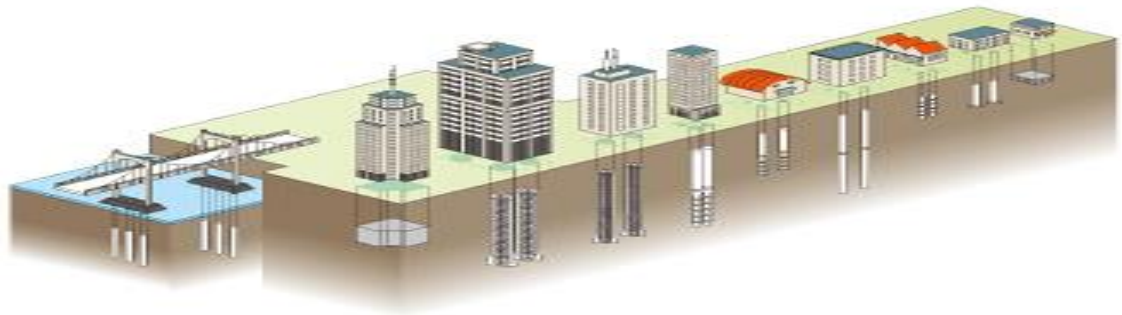
DASR ASMS AND QMS DEPENDENCY



INTRODUCTION TO DASR ASMS

- ASMS represents the foundation of the application of aviation safety risk management.
- The size, shape, and complexity of an ASMS depends on the nature, and risk profile of the business.
- ASMS enables organisations to manage and withstand the different environmental change.



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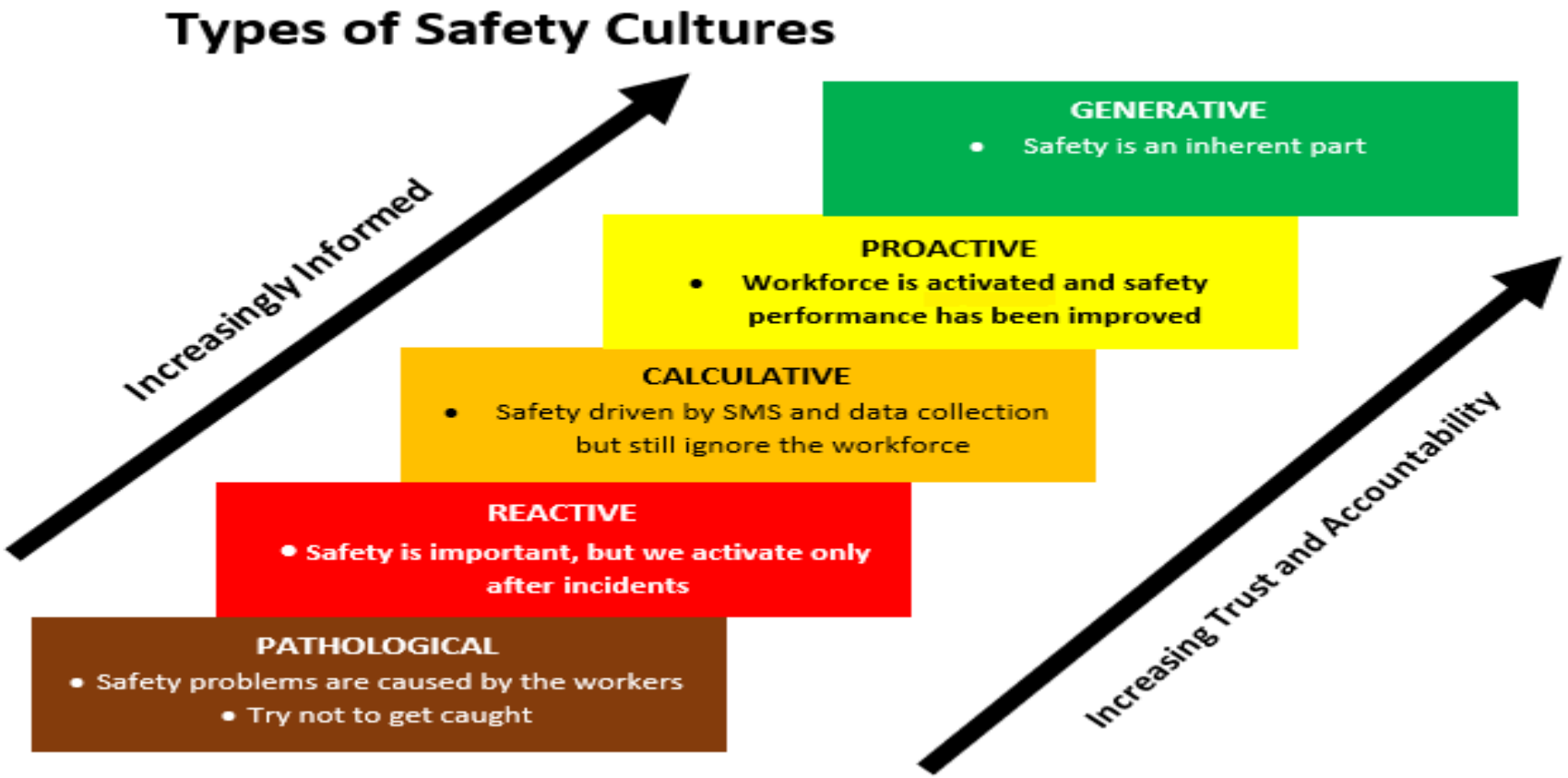
DASR ASMS – SAFETY CULTURE TYPES



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DASR ASMS – ORGANISATIONAL SAFETY CULTURE

'The five key ingredients of an effective safety culture'
James Reason's model

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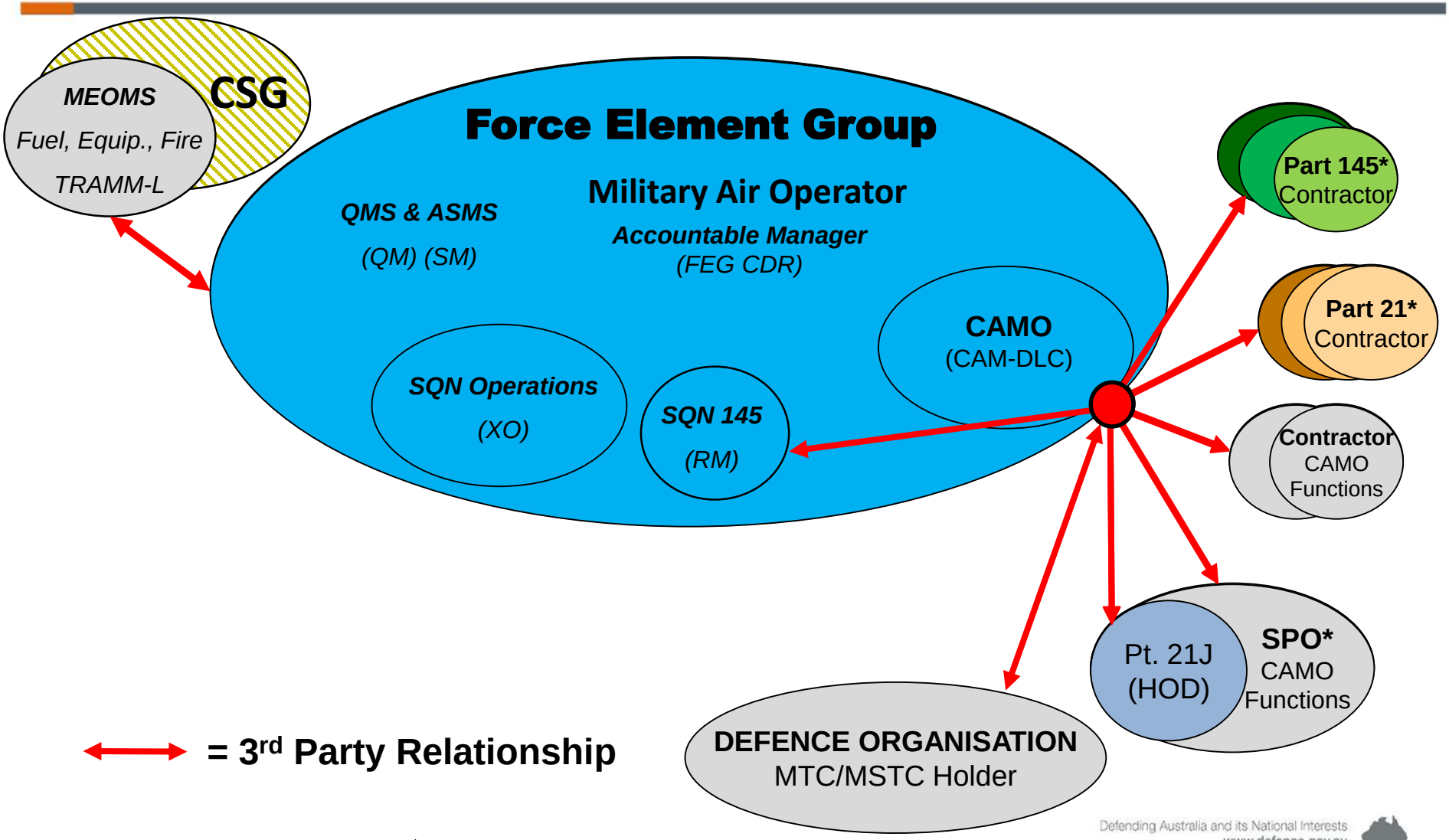
ASMS INTERFACE AND INTEGRATION



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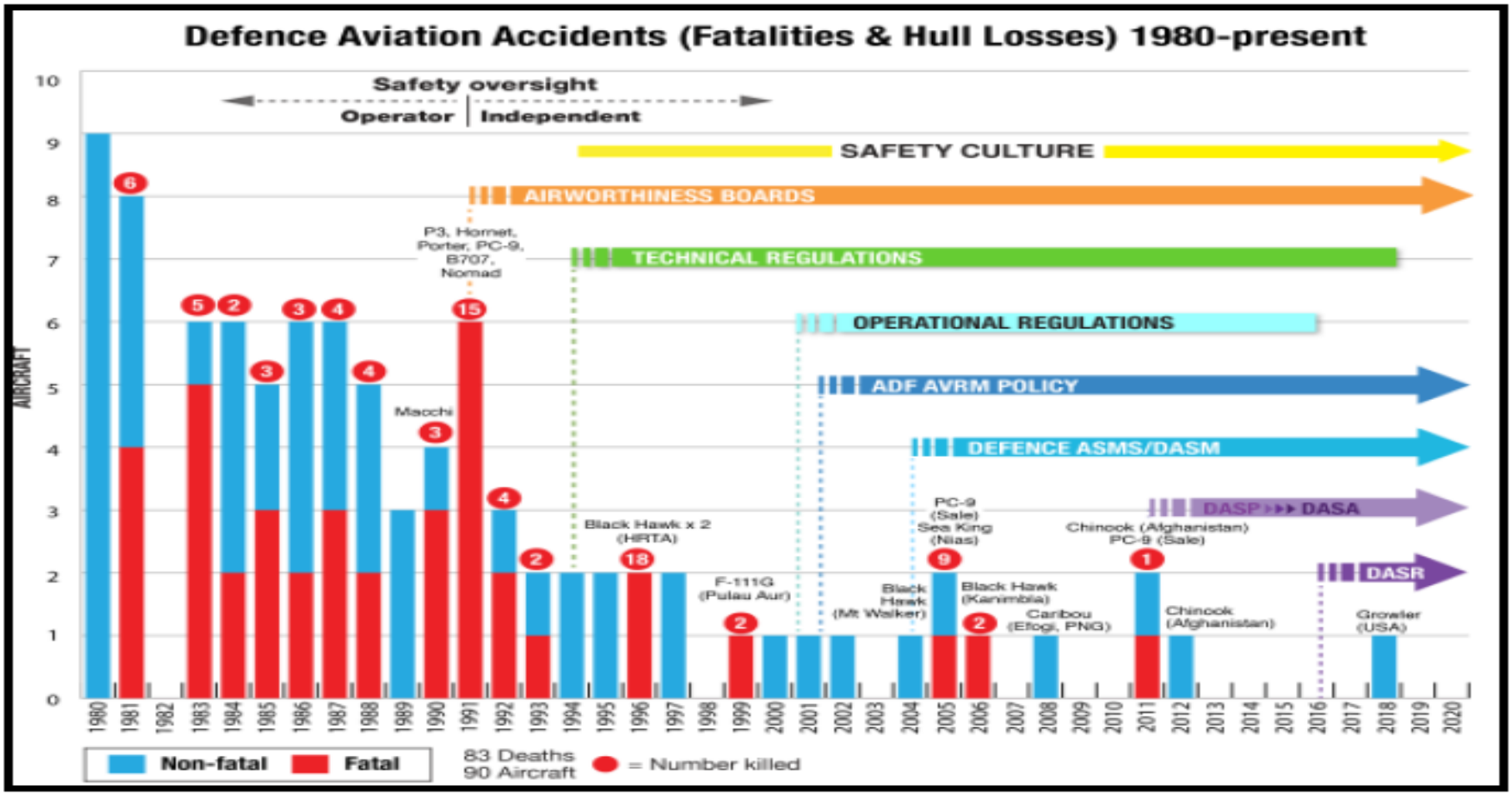
DASR ASMS



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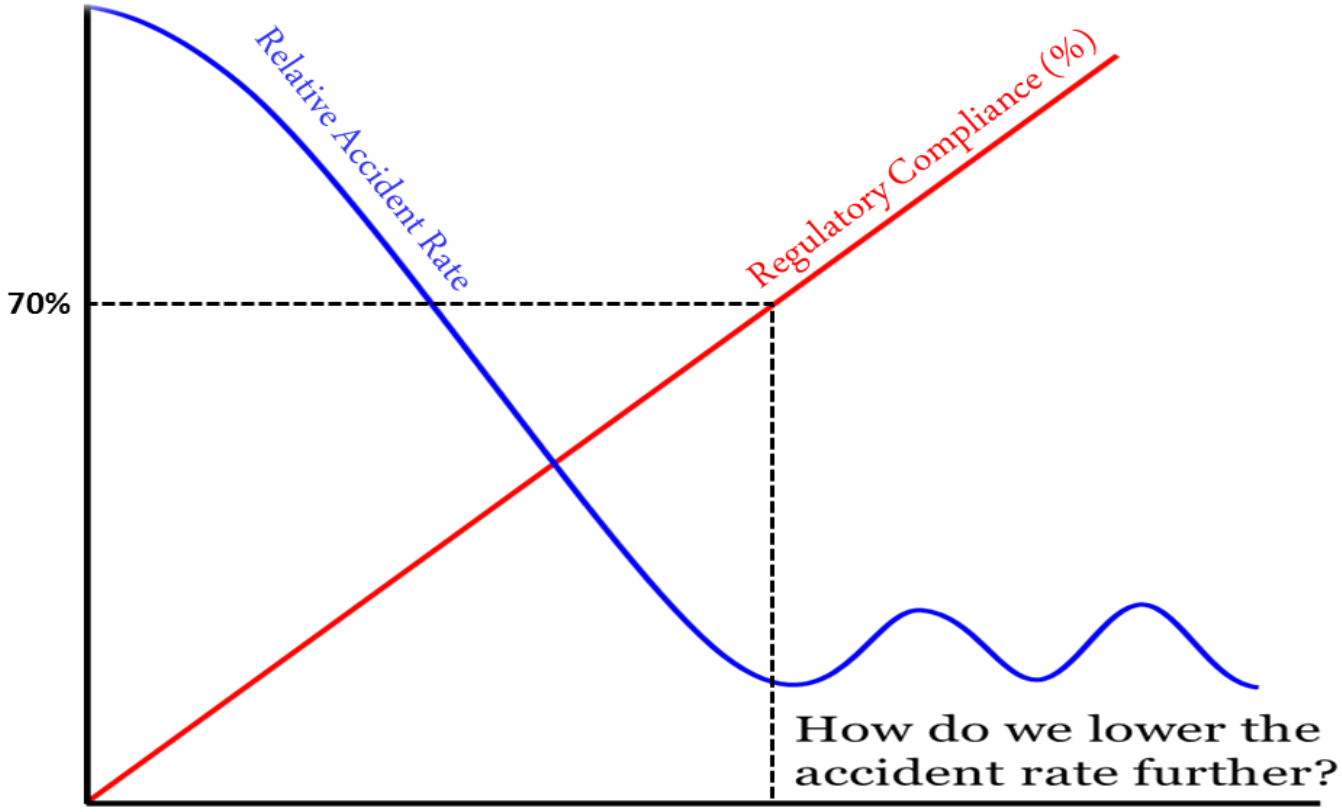
ICAO SAFETY DATA VS ASMS IMPLEMENTATION



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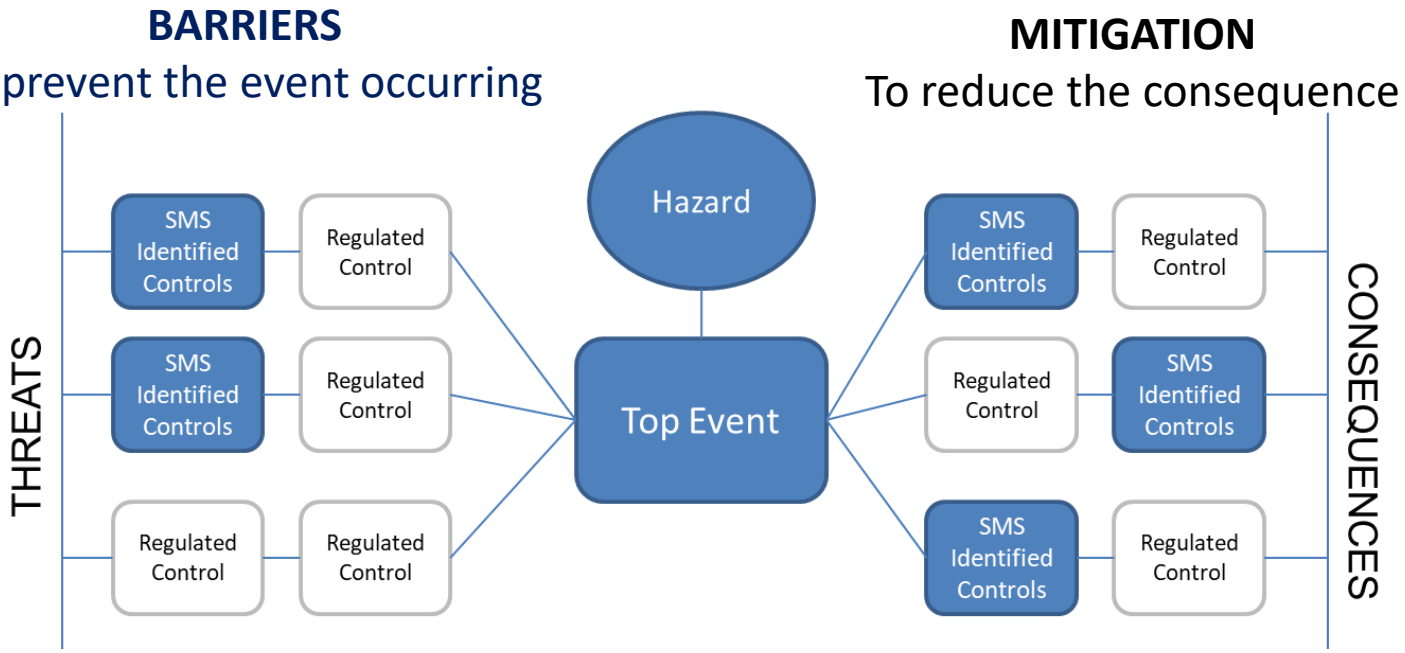
ASMS Rationale



Process regulation provides a minimum level of protection against hazards that threaten safety, with overall effectiveness limited by organisational, environmental and human factors. A safety management system provides a higher level of safety by supporting and extending the protection afforded through process regulation alone.

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AVIATION SAFETY MANAGEMENT SYSTEM

ASMS STRUCTURE AND ASSESSMENT

DASR ASMS – ASMS STRUCTURE.

The approved organisation shall establish and maintain an ASMS that shall:

- Be established with the 4 components and 12 elements.
- Be commensurate with the size of the organisation and complexity of its aviation products and/or services.
- Be maintained with a maturity level that is acceptable to the Authority.

Reference: DASR SMS.A.25.a

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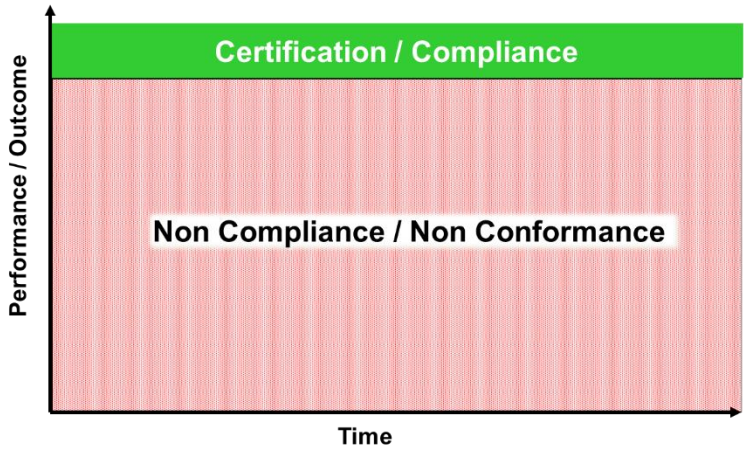
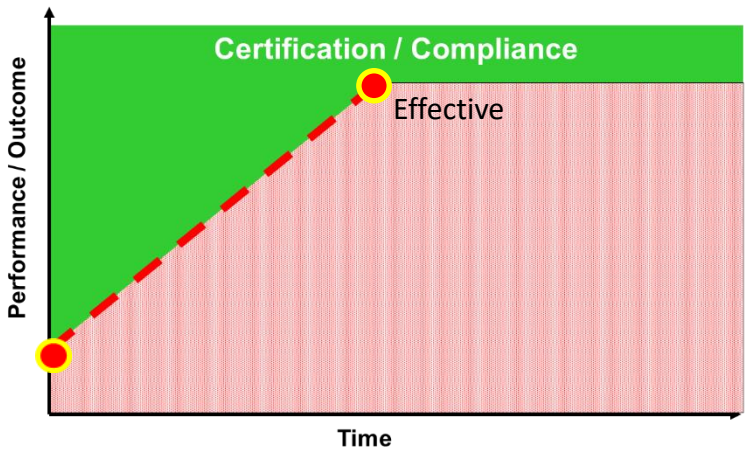
DASR ASMS – ACCEPTABLE LEVEL OF MATURITY

REG.A.XX– "*The organisation must / shall achieve the outcome of XXXX.*"



SMS.A.25 (a) 3 – "*The SMS of the approved organisation shall be maintained with a maturity level that is acceptable to the Authority.*"



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DASR ASMS – ASMS ASSESSMENT AND MATURITY

- Assessed by DCA, DIA and/or ACPA.
- Checklist of maturity indicators assessed as Present, Suitable, Operating or effective (PSOE).
- Summarises results, providing a graphical representation of ASMS maturity.

Membership of the SM ICG includes the NAA of Spain, Brazil, Netherlands, New Zealand, Singapore, Hong Kong, Australia, France, Italy, Switzerland, Ireland, Japan, United States, Canada, United Arab Emirates, United Kingdom and the European Aviation Safety Agency (EASA). Additionally, the International Civil Aviation Organization (ICAO) is an observer to this group.

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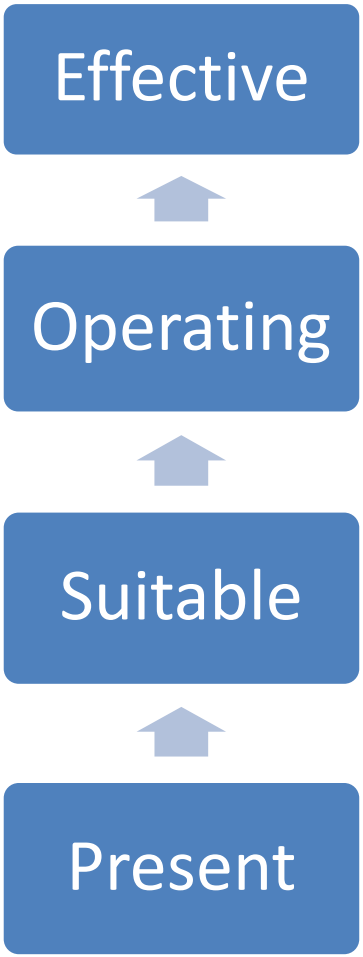
DASR ASMS – ASSESSMENT AND MATURITY



Effective
There is evidence that the indicator is effective and achieving the desired outcome.

Operating
There is evidence that the indicator is in use and an output is being produced.

Suitable
The indicator is suitable based on the size, nature, complexity of the organisation and the inherent risk in the activity, including consideration of the industry sector.

Present
There is evidence that the 'indicator' is clearly visible and is documented within the organisation's SMS Documentation.

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DASR ASMS evaluation tool Available Online

1. Safety policy and objectives

1.1. Management commitment

	DASR AMC reference	Indicators reference	Indicators	P	S	O	E	How it is achieved	Comments
Evaluation	AMC SMS.A.25 (b)(1)(1.1) Para 1.a.v Para 1.b.ii	1.1.1	There is a safety policy, signed by the Accountable Manager, which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices.						
	AMC SMS.A.25 (b)(1)(1.1) Para 1.a.ii Para 1.b.i	1.1.2	The safety policy includes a statement to provide appropriate resources and the organisation is managing resources by anticipating and addressing any shortfalls.						
	AMC SMS.A.25 (b)(1)(1.1) Para 1.a.iv	1.1.3	There are policies in place for safety critical roles relating to all aspects of Fitness for Duty (for example, Alcohol and Drugs Policy or Fatigue).						

The indicator

Evaluation Guidance	What to look for
	- Interview the Accountable Manager to assess their knowledge and understanding of the safety policy. - Check that the safety policy is reviewed periodically for content and currency. - Confirm that the safety policy meets the requirements. - Interview staff to determine to what extent the safety policy is known, as well as how readable and understandable it is. - Review available resources including personnel, equipment, and financial. - There are sufficient and competent personnel. - Review planned resources versus actual resources. - Check how a positive safety/just culture is encouraged and impacts the overall effectiveness.

What to look for (examples)

Present	Suitable	Operating	Effective
There is a safety policy, signed by the Accountable Manager, which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices. The safety policy includes a statement to provide appropriate resources. There is a safety policy, signed by the Accountable Manager, which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices. The safety policy includes a statement to provide appropriate resources.	The safety policy is easy to read. The content is customised to the organisation. There is a process for assessing resources and addressing any shortfalls. The safety policy is easy to read. The content is customised to the organisation. There is a process for assessing resources and addressing any shortfalls.	The safety policy is reviewed periodically to ensure it remains relevant to the organisation. The organisation is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls. The safety policy is reviewed periodically to ensure it remains relevant to the organisation. The organisation is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls.	The Accountable Manager is familiar with the contents of the safety policy and endorses it. The organisation is reviewing and taking action to address any forecasted shortfalls in resources. The Accountable Manager is familiar with the contents of the safety policy and endorses it. The organisation is reviewing and taking action to address any forecasted shortfalls in resources.

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DASR ASMS – MATURITY

1.1 Management commitment
1.2 Safety accountability and responsibilities
1.3 Appointment of key safety personnel
1.4 Coordination of emergency response planning
1.5 SMS documentation

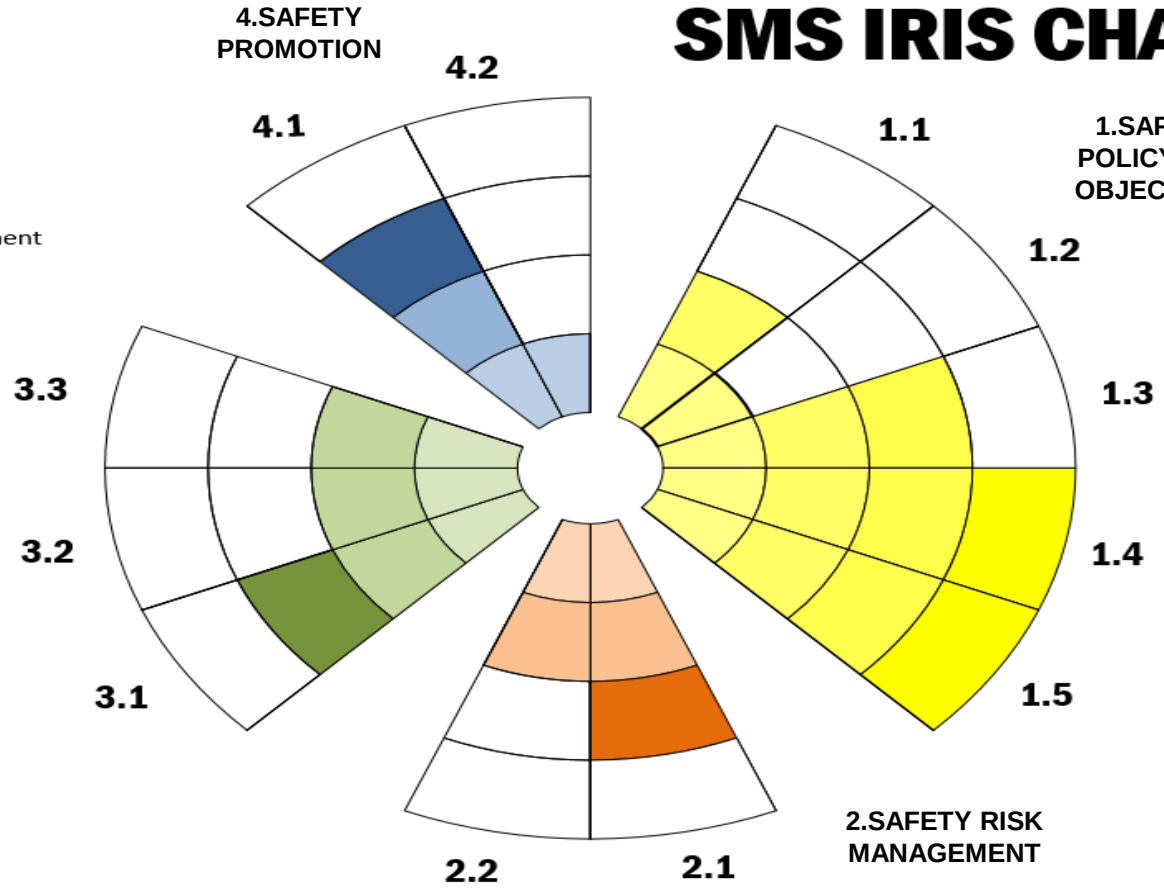
2.1 Hazard identification
2.2 Safety risk assessment and mitigation

3.1 Safety performance monitoring and measurement
3.2 The management of change
3.3 Continuous improvement of the SMS

4.1 Training and education
4.2 Safety communication

ASMS Evaluation Tool

SMS IRIS CHART



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DASR ASMS
COMPONENTS AND ELEMENTS

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DASR ASMS – COMPONENTS

1. Safety Policy and Objectives
2. Safety Risk Management
3. Safety Oversight and Improvement
4. Safety Promotion

1. Safety Policy and Objectives

1. Safety policy and objectives
1.1 Management commitment
1.2 Safety accountability and responsibilities
1.3 Appointment of key safety personnel
1.4 Coordination of emergency response planning
1.5 ASMS documentation

2. Safety risk management
2.1 Hazard identification
2.2 Safety risk assessment and mitigation

3. Safety oversight and improvement
3.1 Safety performance monitoring and measurement
3.2 The management of change
3.3 Continuous improvement of the ASMS

4. Safety promotion
4.1 Training and education
4.2 Safety communication

1.1 Management Commitment

The organisation must define its safety policy and safety objectives.

1.1 Management Commitment

What does that look like?

- **A safety policy, signed by the AM, that includes a commitment to continuous improvement, observes all applicable legal requirements and standards and considers best practices.**
- **The safety policy includes for the provision of appropriate resources.**
- **There are policies relating to Fitness for Duty.**
- **Safety policy is communicated.**

1.1 Management Commitment

What does that look like? (Cont.)

- **The safety policy encourages reporting.**
- **Positive safety/just culture policy and principles have been defined.**
- **Safety objectives have been established.**
- **Defence Aviation Safety Programme (DASP) is being considered.**

1. Safety policy and objectives

1.1. Management commitment

Evaluation	DASR AMC reference	Indicators reference	Indicators	P	S	O	E	How it is achieved	Comments
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Evaluation Guidance	What to look for			
	- Interview the Accountable Manager to assess their knowledge and understanding of the safety policy. - Check that the safety policy is reviewed periodically for content and currency. - Confirm that the safety policy meets the requirements. - Interview staff to determine to what extent the safety policy is known, as well as how readable and understandable it is. - Review available resources including personnel, equipment, and financial. - There are sufficient and competent personnel. - Review planned resources versus actual resources. - Check how a positive safety/just culture is encouraged and impacts the overall effectiveness.			
	Present	**Suitable**	**Operating**	**Effective**
	There is a safety policy, signed by the Accountable Manager, which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices. The safety policy includes a statement to provide appropriate resources. There is a safety policy, signed by the Accountable Manager, which includes a commitment to continuous improvement; observes all applicable legal requirements and standards; and considers best practices. The safety policy includes a statement to provide appropriate resources.	The safety policy is easy to read. The content is customised to the organisation. There is a process for assessing resources and addressing any shortfalls. The safety policy is easy to read. The content is customised to the organisation. There is a process for assessing resources and addressing any shortfalls.	The safety policy is reviewed periodically to ensure it remains relevant to the organisation. The organisation is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls. The safety policy is reviewed periodically to ensure it remains relevant to the organisation. The organisation is assessing the resources being provided to deliver a safe service and taking action to address any shortfalls.	The Accountable Manager is familiar with the contents of the safety policy and endorses it. The organisation is reviewing and taking action to address any forecasted shortfalls in resources. The Accountable Manager is familiar with the contents of the safety policy and endorses it. The organisation is reviewing and taking action to address any forecasted shortfalls in resources.

1.2 - Safety Accountability and Responsibilities

The organisation must appoint an Accountable Manager and develop an organisational safety structure with clearly defined lines of safety accountability and responsibilities.

1.2 - Safety Accountability and Responsibilities

What does that look like?

- **An Accountable Manager has been appointed with full responsibility and accountability for the ASMS.**
- **Accountable Manager is fully aware of their ASMS roles and responsibilities.**
- **Safety accountabilities, authorities, and responsibilities are defined and documented throughout the organisation and staff understand their own responsibilities.**

1.3 - Appointment of Key Safety Personnel

The organisation must allocate responsibilities to key safety personnel for the implementation and maintenance of the SMS. Depending on the size of the organisation and the complexity of its aviation products or services, the key safety personnel may be an individual or a group within the organisation.

1.3 - Appointment of Key Safety Personnel

What does that look like?

- **A safety manager has been appointed with a direct reporting line to the Accountable Manager.**

- **The organisation has allocated sufficient resources to manage the SMS including,**
  - competent staff for safety investigation,
  - analysis,
  - auditing, and
  - promotion.

- **The organisation has established appropriate safety committee/s.**

1.4 - Coordination of Emergency Response Planning

The organisation must, if required, establish and maintain an emergency response plan for accidents and incidents in aircraft operations and other aviation emergencies.

1.4 - Coordination of Emergency Response Planning

What does that look like?

- **An emergency response plan (ERP) has been developed that defines the procedures, roles, responsibilities, and actions of the various organisations and key personnel.**

- **ERP is periodically tested .**

1.5 - ASMS Documentation

The organisation must produce and maintain its Safety Management System (SMS) documentation in a way that is accessible and useable to all relevant personnel.

1.5 - ASMS Documentation

What does that look like?

- **Includes the policies and processes that describe the organisation's safety management system.**
- **ASMS documentation is regularly reviewed.**

2. Safety Risk Management (SRM)

1. Safety policy and objectives

1.1 Management commitment
1.2 Safety accountabilities and responsibilities
1.3 Appointment of key safety personnel
1.4 Coordination of emergency response planning
1.5 SMS documentation

2. Safety risk management

2.1 Hazard identification
2.2 Safety risk assessment and mitigation

3. Safety oversight and improvement

3.1 Safety performance monitoring and measurement
3.2 The management of change
3.3 Continuous improvement of the ASMS

4. Safety promotion

4.1 Training and education
4.2 Safety communication

2.1 – Hazard Identification

Focus: Aviation Safety Hazards

ASMS is designed to identify:

Aviation safety hazards

"Hazards and risks associated with airworthiness and safe flight of State aircraft" *DASA AC 003/18: para 2.2.1*

2.1 – Hazard Identification

The organisation must develop and maintain a process to identify hazards associated with its aviation operations, products or services.

2.1 – Hazard Identification

What does that look like?

- **A confidential reporting system to capture errors, hazards, and near misses.**
- **A system that provides feedback to the reporter and/or organisation.**
- **Personnel express confidence and trust in the reporting policy.**
- **Hazards are identified through reactive and proactive methods (inclusive of human performance hazards).**
- **Safety data and safety information are analysed for trends.**
- **Safety investigations are carried out by appropriately trained personnel to identify root causes.**
- **Internal and external interfaces are documented.**

2.2 – Safety Risk Assessment and Mitigation

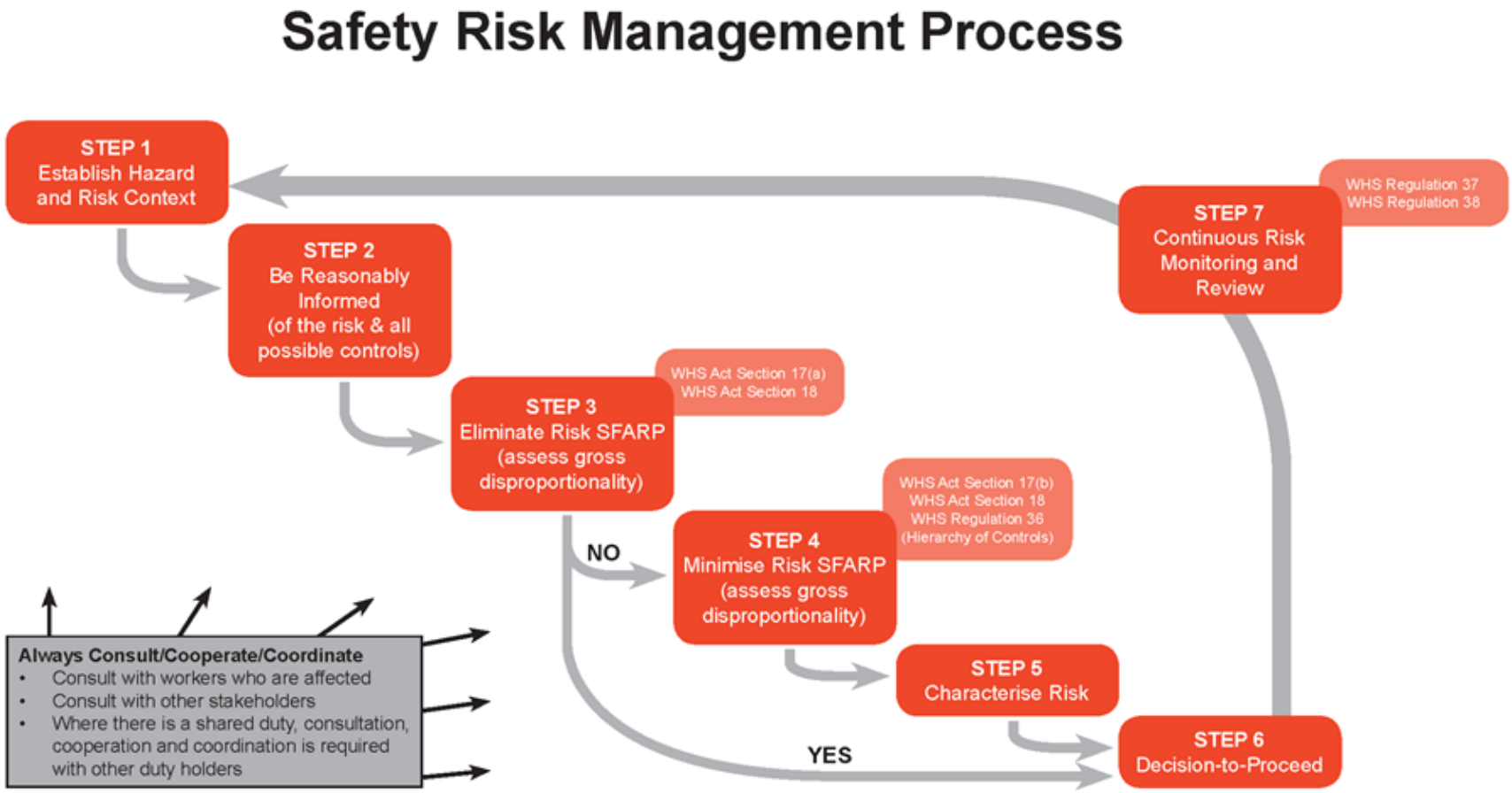
Risks to health and safety must be managed in accordance with the requirements contained within the Work Health and Safety Act 2011 and the Work Health and Safety Regulations 2011.

2.2 – Safety Risk Assessment and Mitigation

What does that look like?

- **Analysis and assessment of are expressed in terms of likelihood and severity (or alternative methodology).**
- **Criteria for evaluating the residual level of risk the organisation is managing.**
- **Risk controls are applied and effective.**
- **Senior management has visibility of medium and high risk hazards and their mitigations.**

2.2 – Safety Risk Assessment and Mitigation



"AC 003/2018 – Risk Management in the Defence Aviation Safety Program"

3. Safety Oversight and Improvement

1. Safety policy and objectives

1.1 Management commitment
1.2 Safety accountabilities and responsibilities
1.3 Appointment of key safety personnel
1.4 Coordination of emergency response planning
1.5 ASMS documentation

2. Safety risk management

2.1 Hazard identification
2.2 Safety risk assessment and mitigation

3. Safety oversight and improvement

3.1 Safety performance monitoring and measurement
3.2 The management of change
3.3 Continuous improvement of the ASMS

4. Safety promotion

4.1 Training and education
4.2 Safety communication

3.1 – Safety Performance Monitoring & Measurement

The organisation must develop and maintain the means to verify the safety performance of the organisation and to validate the effectiveness of safety risk controls.

RISK MANAGEMENT

SAFETY OVERSIGHT AND IMPROVEMENT

3.1 – Safety Performance Monitoring & Measurement

What does that look like?

- **Safety performance indicators (SPIs) have been defined, promulgated, and are being monitored and analysed for trends.**
- **Risk mitigations and controls are being verified/audited .**
- **Directly contracted organisations are included.**
- **Safety regulations management is defined and documented.**
- **There is an internal audit programme.**
- **Audit outcomes identify causal factors and corrective/preventive actions are taken.**
- **Responsibilities and accountabilities for the internal audit process (audit personnel have direct access to the Accountable Manager).**

3.2 – The Management of Change

The organisation must develop and maintain a process to identify and treat new or different risks that may arise from changes at the workplace.

3.2 – The Management of Change

What does that look like?

- **Identification of changes that have an impact on safety and to manage any identified risks.**
- **Human Factor (HF) issues have been considered as part of the change management.**

3.3 – Continuous Improvement

The organisation must develop and maintain a process to ensure continuous improvement of the performance of the ASMS.

3.3 – Continuous Improvement

What does that look like?

- **The organisation is continuously monitoring and assessing its SMS processes to maintain or continuously improve the overall effectiveness of the SMS.**

4. Safety Promotion

1. Safety policy and objectives

1.1 Management commitment
1.2 Safety accountabilities and responsibilities
1.3 Appointment of key safety personnel
1.4 Coordination of emergency response planning
1.5 ASMS documentation

2. Safety risk management

2.1 Hazard identification
2.2 Safety risk assessment and mitigation

3. Safety oversight and improvement

3.1 Safety performance monitoring and measurement
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3.3 Continuous improvement of the ASMS

4. Safety promotion

4.1 Training and education
4.2 Safety communication

4.1 – Training and Education

The organisation must establish a process to ensure that **all personnel are trained and competent** to perform their ASMS duties.

4.1 – Training and Education

What does that look like?

- **There is a training programme for SMS in place that includes initial and recurrent training.**
- **Training effectiveness is measured.**
- **Training includes human and organisational factors.**
- **An individual's competence is evaluated.**
- **Competence of trainers is defined and assessed.**

4.2 – Safety Communication

The organisation must establish a process to ensure that personnel, internal and external to the organisation, have current and pertinent safety information.

4.2 – Safety Communication

What does that look like?

- **Safety critical information is communicated throughout the organisation, as relevant including contracted organisations/personnel.**

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ASMS ENGAGEMENT

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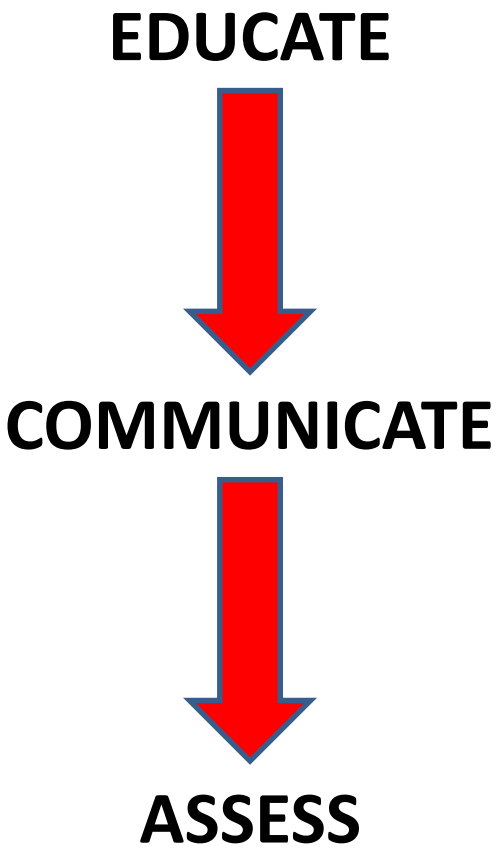
DASR ASMS – ENGAGEMENT AND OVERSIGHT

- **2020 – Engaged by DASA**
  - Educated Safety Managers (ongoing)
  - Assisted self-determine current state
  - Communicated expectations
  - Impacted by COVID-19
- **2021(+) – Full Assessments by DASA**
  - Onsite assessments
  - Review evidence of operation
  - Establish future expectations



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DASR ASMS – ENGAGEMENT

ASMS Practitioner Course

- Targeted at Safety Managers.
- Additional ASMS Practitioner Courses will be scheduled as required to meet demand based on nomination submissions into the future.
- Delivery mode depends on COVID-19 restrictions.

DASA ASMS Group Mailbox

- For all ASMS inquiries or engagement requests, contact dasa.asms@defence.gov.au

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DASR ASMS – OVERSIGHT ROADMAP

4 weeks prior to on-site audit

Notification Minute

- Scope
- Schedule
- PERS
- LOG
- POCs
- etc..

Establish Comms & Send Documentation

2 weeks prior to on-site visit

Desktop Oversight

- ASMS Evaluation Tool
- Compliance Only (Presence and Suitability)
- Collecting Evidence and Making Discoveries
- Looking through all received relevant documentations (ASMS Manual, Procedures, Safety reports, SIs, AHRBs, RMPS, Risk register etc.
- Request more evidences if necessary

Communicate Preliminary Discoveries

On-Site Oversight

- Conformance (operating and Effective)
- Interviews with various Safety and non-Safety staff
- Collecting Evidence and Making Discoveries

3 weeks after on-site audit

Report

- Summary
- IRIS Chart
- Evaluation Tool
- Findings if applicable

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ASMS REFERENCES

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DASR ASMS – REFERENCES

- DASR ASMS including Acceptable Means of Compliance (AMC) and Guidance Material (GM).
- DASA – ASMS Webpage.
- ICAO Safety Management Manual (Doc. 9859) Annex 19.
- DASA ASMS Evaluation Tool.
- DASA AC 003/2018 – Risk Management in the DASP.
- DASA AC 002/16 – Aviation Command Responsibility under Defence Aviation Safety Regulations.

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THANK YOU FOR YOUR ATTENTION

QUESTIONS?