AOPA AIR SAFETY INSTITUTE *SCALABLE SAFETY FRAMEWORK*

A PRACTICAL SAFETY FRAMEWORK FOR GENERAL AVIATION (GA) ORGANIZATIONS

1. **What is a Safety Management System (SMS)?**

- Extensive program for large aviation organizations to ensure safe operations
- Mandatory for:
  - Part 121 (air carrier operations)
  - Part 135 international operators
  - Part 139 Airports
- Full SMS = hundreds of pages
- *Not practical for typical general aviation!*

2. **Solution for General Aviation**

- Scalable Safety Framework (SSF) for GA organizations
- Focus on SMS essentials only:
  - Leadership commitment
  - Clear authority and accountability
  - Risk identification and assessment
  - Reporting system – analysis and action
  - Culture

3. **Leadership Commitment**

- Committed to safety first
- Modeling right behavior
- Dedicating resources
- Emphasize affirmative culture, not punitive

4. **Roles and Responsibilities**

- All participants must:
  - Understand components of operation
  - Understand everyone's role and authority (pilots, dispatchers, mechanics, safety officers, the organization, etc.)
  - Be accountable
- Authority
  - What authority level does each role have?
  - Who can do what?
  - Who can approve flights?
  - Who can ground/cancel flights?

5. **Identifying and Assessing Risks and Issues**

- Assess all risks (potential problems) and issues (existing problems)
    - What's acceptable and unacceptable?
    - What's our risk appetite (e.g., speed limit) and tolerance (e.g., acceptable speeds in excess of limit)?
    - What's our response to each risk?
        - Mitigate
        - Accept
        - Transfer, etc.
    - What should be reported?
    - Actions to mitigate risks
    - Flight Risk Assessment Tool (FRAT)

6. **Reporting System – Analysis and Action**

- Establish system to report issues/risks
- Take appropriate risk-response action
- Follow up on reports
- Share with stakeholders (reports and actions taken)
- Identify and analyze trends
- Continually assess new risks and issues

Identification
Write down all the threats and risks you can think of, and ask for ones from other stakeholders.

Assessment
Evaluate each risk by determining the likelihood of it happening and the level of impact it'd have.

Mitigation
Implement process changes to reduce the impact of each risk and a response plan for if it happens.

Monitoring
Review the progress of the plan and check if a risk has occurred but was missed on a continuous basis.

Reporting
Communicate the effectiveness of the risk plan to stakeholders to keep engagement up.

7. **Safety Culture**

- Earn buy-in; get stakeholders involved in creating and evangelizing the process
- Embrace a safety culture
- Encourage reporting
- Reward safe actions and behaviors
- Keep the organization (not just the leaders) engaged and involved in correcting issues

8. **Group Sessions and Discussions**

Note: Participants can break into groups with each group taking one of the four areas listed below, or they can remain as one group and discuss together.

A. Roles and Responsibilities
   - Select stakeholders who are involved and their impact on safety
   - Create list of responsibilities to ensure safe operations
   - Designate appropriate levels and areas of authority

B. Risks and Issues
   - Identify risks and issues
   - What's acceptable/unacceptable
   - Risk appetite and tolerance for acceptable risks
   - Determine risk responses (accept, mitigate, transfer, etc.)

C. Safety Reporting
- Implement reporting system/format
- Designate owner and responsibilities
- De-identify reports (if appropriate)
- Method of distributing information
- Encourage and incentive reporting
- Analyze, report, and resolve trends

D. Safety Culture
- People want to co-create and be part of the process
- Go after and celebrate quick wins
- Maintain constant feedback loops with community to learn needs, concerns, interests
- Foster transparency, accountability, openness