Session No. 4
Implementing Service Providers SMS
Implementing the State's Safety Programme

SMS Senior Management Workshop
Rome, 21 May 2007

Why a Phased Approach to SMS?

- ➢ To provide a manageable series of steps to follow in implementing an SMS
- ➢ To effectively manage the workload associated with SMS implementation
- ➢ To pre-empt a "ticking boxes" exercise
  - ✓ Four implementation phases are proposed
  - ✓ Each phase is based upon the introduction of specific SMS elements

Phase 1

➤ Provides a blueprint on how the SMS requirements will be met and integrated to the organization's work activities

➤ Provides an accountability framework for the implementation of the SMS

Phase 1

1. Identify the accountable executive and the safety accountabilities of managers

    Elements 1.1 and 1.2

2. Identify the person (or planning group) within the organization responsible for implementing the SMS

    Element 1.3

3. Describe the system (Air operator, ATC services provider, approved maintenance organization, certified aerodrome operator)

    Element 1.4

Phase 1

4. Conduct a gap analysis of the organization's existing resources compared with the requirements for establishing a SMS.

    Element 1.4

5. Develop an SMS implementation plan on the basis of national requirements and international SARPs, the system description and the results of the gap analysis.

    Element 1.4

6. Develop documentation relevant to safety policy and objectives

    Element 1.6

7. Develop and establish means for safety communication

    Element 4.2

Phase 2

Puts into practice those elements of the SMS implementation plan that refer to:

1.   Safety risk management component – Reactive processes

Elements 2.1, 2.2 and 2.3

Phase 2

2. Training relevant to:

   ➢ The SMS implementation plan components

   ➢ The safety risk management component (Reactive processes)

   Element 4.1

3. Documentation relevant to:

   ➢ The SMS implementation plan components

   ➢ The safety risk management component (Reactive processes)

   Elements 1.4 and 1.6

Phase 3

Puts into practice those elements of the SMS implementation plan that refer to:

1. Safety risk management component – Proactive and predictive processes
   Elements 2.1, 2.2 and 2.3

2. Training relevant to proactive and predictive processes.
   Element 4.1

3. Documentation relevant to proactive and predictive processes.
   Elements 1.4 and 1.6

Phase 4

1. Operational safety assurance
   - ➤ Development of acceptable level (s) of safety
   - ➤ Development of safety indicators and targets
   - ➤ SMS continuous improvement.

   Elements 3.1, 3.2, and 3.3

2. Training relevant to operational safety assurance

   Element 4.1

3. Documentation relevant to operational safety assurance.

   Element 1.6

CAAs – Four Steps for SMS Implementation

STEP 1

State's safety programme

➢ Conduct a gap analysis vis-à-vis the current status in the State of the following:

  ✓ Safety regulation

  ✓ Safety oversight (capabilities and planning)

  ✓ Accident/incident investigation

  ✓ Mandatory/voluntary/confidential reporting systems

  ✓ Safety data analysis

  ✓ Safety promotion

➢ Develop the State safety programme around four components of the ICAO SMS framework

CAAs – Four Steps for SMS Implementation

STEP 2

Implementation SMS SARPs

➢ Develop SMS regulations for service providers
  ✓ Refer to the SMS components and elements as per the ICAO SMS training course

➢ Prepare guidance material for SMS implementation
  ✓ Refer to ICAO Doc 9859 and the ICAO SMS training course

➢ Operators/service providers may need to use third party assistance to implement their SMS

CAAs – Four Steps for SMS Implementation

STEP 3

CAA training programme

➢ Develop a training programme for CAA officers to
- ✔ provide knowledge of safety management concepts and ICAO SARPs on safety management in Annexes 6, 11 and 14, and related guidance material; and
- ✔ develop knowledge to certify and oversee the implementation of key components of an SMS, in compliance with the national regulations and relevant ICAO SARPs

CAAs – Four Steps for SMS Implementation

STEP 4

CAA enforcement policy

➢ Revision of enforcement policy

- ✓ Operators/service providers allowed to deal with deviations/minor violations internally, within the context of the SMS, to the satisfaction of the authority

- ✓ Gross negligence, willful deviation and so forth to be dealt through established enforcement procedures

Safety Programme – SMS Harmonization

State's safety programme components

1. Safety policy and objectives
2. Safety risk management
3. Safety assurance
4. Safety promotion

State Safety Programme Components

1. Safety policy and objectives

➤ How the CAA will oversee the management of safety in the State

  ✔ A definition of CAA requirements, responsibilities and accountabilities regarding the State safety programme

  ✔ Similar to the equivalent SMS component

State Safety Programme Components

2. Safety risk management

➤ Establishment of controls which govern how service providers SMS will operate

  ✔ Requirements for service providers SMS
  ✔ Same processes as SMS (Hazard identification and risk management)
  ✔ Different outputs
    ☑ New/modified rules and/or regulations (i.e., controls) which govern how service providers SMS operate.

State Safety Programme Components

3. Safety assurance

➢ Ensuring that the operation of service providers SMS follows established controls (requirements)

✓ Oversight, inspections and audits

✓ Data tracking and analysis

☑ Data driven targeting of oversight on areas of greater concern/need

State Safety Programme Components

4. Safety promotion
- ➢ Support the integration of the State safety programme with the operation of service providers SMS
  - ✓ Training, communication and dissemination of safety information
  - ✓ Dual-track promotion
    - ☑ Within the CAA
    - ☑ Among service providers it oversees

The Final Objective – Integration

Safety programme + SMS = State integrated safety management system

Protection

Production

Objective: Public safety

State safety programme

Oversight

Acceptance Oversight

Objective: Manage and control safety risk

Organization's safety management system (SMS)

Risk management Safety assurance

Organization's production processes

Objective: Achieve commercial goals and customer satisfaction