



**WORKING PAPER**

**ASSEMBLY — 38TH SESSION**

**TECHNICAL COMMISSION**

**Agenda Item 28: Aviation Safety - Standardization**

**PROPOSALS TO IMPROVE SUPPORT FOR THE IMPLEMENTATION  
OF THE SMS**

(Presented by the Bolivarian Republic of Venezuela)

**EXECUTIVE SUMMARY**

Feedback from the industry concerning small organizations that are implementing safety management systems indicates that there is a need for guidelines, training and more simple and more pragmatic requirements.

**Action:** The Assembly is invited to:

- a) take note of the information presented in this working paper; and
- b) call upon ICAO to take the necessary action to:
  - i) develop, with the support of experts from various States, materials providing additional official guidance from ICAO targeted to the establishment of the SMS in small organizations that support the activities of the aviation industry; and
  - ii) promote the holding of seminars or workshops in the different regions to advise and assist States encountering difficulties in supporting the implementation of the SMS by small organizations in the aviation industry.

<i>Strategic Objectives:</i>	This working paper relates to the Safety Strategic Objective.
<i>Financial implications:</i>	Not applicable.
<i>References:</i>	Annex 1 — <i>Personnel Licensing</i> Annex 6 — <i>Operation of Aircraft</i> Annex 8 — <i>Airworthiness of Aircraft</i> Annex 11 — <i>Air Traffic Services</i> Annex 14 — <i>Aerodromes</i> Doc 9859 — <i>Safety Management Manual (SMM)</i> A37-WP/141

<sup>1</sup> Spanish version provided by Venezuela.

## 1. INTRODUCTION

1.1 The provisions contained in the ICAO Standards and Recommended Procedures (SARPs) issued in recent years envisage the establishment of a safety management system (SMS) by various kinds of organizations and service providers (air carriers, aerodrome operators, air traffic services, maintenance companies, training firms, and production and design firms) as a means of improving each State's acceptable level of safety and enhancing the impact of those safety levels at the regional and global level.

1.2 In addition, recent revisions to Doc 9859 *Safety Management Manual (SMM)* provide further general information that serves to guide States in developing their State safety programmes and criteria and guidelines for the development of the SMS by service providers.

1.3 States have made individual and collective efforts within their regions, with support from ICAO regional offices, to provide training for State officials and industry professionals through courses on the safety management system.

1.4 This working paper, like working paper A37-WP/141, submitted to the 37th session of the ICAO Assembly, contains proposals for improving the implementation of the SMS.

## 2. DEVELOPMENT

2.1 The experience of States in monitoring the progressive implementation of the SMS by service providers in the aviation industry shows that:

- a) the process has not been uniform across the industry. A substantial number of States are planning their SSPs with the objective of more effective assistance to and monitoring of the industry in mind. Other States that have embarked upon the establishment of their SSPs have encountered difficulties in identifying the differences between organizations engaged in the same activity for reasons of scale and/or complexity that could potentially impact the proper conduct of their risk management processes and, in consequence, the implementation of their SMS. As a result, some States have opted to develop pilot plans for such small enterprises in view of the limitations on applying the provisions of the SMS to the entire universe of such enterprises;
- b) some change is needed in the approach to training in the SMS during the start-up phase. The courses on the safety management system are adequate and educational as a means of imparting to participants the basic knowledge that they require. However, in monitoring the implementation of the SMS by service providers, States are finding that staff responsible for implementing the SMS within their organizations are having difficulties putting into practice what they have learned. Hence, the need to move towards an adult education (andragogical) model, which makes use of practical teaching methods based on the principles of participation and peer-to-peer learning and in which the process, guided by the facilitator with the aim of promoting synergies in view, allows for enhanced thinking, greater self-management, a better quality of life and greater creativity on the part of the organization's employees. All of this serves to create more options for complying with the requirements for the implementation of the SMS that are tailored to the real conditions in each individual enterprise, especially small enterprises; and

- c) priority has been given to organizations that need to implement their SMS. In the development of safety objectives and targets and in gathering safety data, the State pays greater attention to organizations that have the greatest impact on the industry in terms of their volume of operations, strategic importance and direct impact on commercial air operations, and to those that are bigger and/or more complex. The State gives priority to monitoring such organizations and concentrates its financial and human resources on securing the implementation and achievement of its goals. It is in the State's interest that all enterprises are monitored, including the smallest of them; consequently, implementation requirements and processes need to be simpler and more pragmatic, if implementation is to be achieved at all levels.

### 3. CONCLUSION

3.1 The implementation of the SMS is a complex process that requires constant feedback between the industry and the State. Venezuela's experience with the implementation of the SMS has helped to identify difficulties and this may be useful by interested working groups, organizations and States.

3.2 Promoting the holding of workshops for States and the industry will provide partial or total remedies for the weaknesses identified in the implementation of the SMS and in exchanges of experience. This will bring inestimable benefits in terms of resource management, which will allow for appropriate risk management in the industry, particularly in the smaller companies

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