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Agenda Item 3: Global and Regional Air Navigation Plans
3.4 Other Global/Regional Air Navigation Developments

NAM/CAR SMS IMPLEMENTATION STRATEGY FOR ANS

(Presented by Secretariat)

EXECUTIVE SUMMARY	
This Working Paper presents initial steps to develop a Regional strategy to support SMS implementation in ANSPs, in order to improve compliance to Annex 19 requirements and enhance safety performance levels for ANS provision.	
Action:	The Suggested Actions are presented in Section 4.
Strategic Objectives:	<ul style="list-style-type: none">• Safety• Air Navigation Capacity and Efficiency• Economic Development of Air Transport
References:	<ul style="list-style-type: none">• Annex 11 to the Convention on International Civil Aviation — Air Traffic Services• Annex 19 to the Convention on International Civil Aviation, Safety Management.• Summary of discussions of the Safety Management System (SMS) Implementation Workshop for Air Navigation Service Providers (ANSPs), Mexico City, Mexico, 17 – 19 July 2018 https://www.icao.int/NACC/Pages/meetings-2018-smsansp.aspx

1. Introduction

1.1 Safety management seeks to proactively mitigate safety risks before they result in aviation accidents and incidents. Through the implementation of safety management, States can manage their safety activities in a more disciplined, integrative and focused manner. Possessing a clear understanding of its role and contribution to safe operations enables a State, and its aviation industry, to prioritize safety risks and more effectively manage its resources for the optimal benefit of aviation safety.

1.2 A State shall require that an SMS is developed and maintained by service providers under its authority, to continuously improve safety performance by identifying hazards, collecting and analysing data, and continuously assessing and managing safety risks. As identified in Annex 19 — Safety Management, as part of their SSP, States shall require that air traffic services (ATS) providers under their authority implement an SMS. States should ensure that safety performance indicators and targets established by service providers and operators are acceptable to the State.

2. Background

2.1 Safety management implementation for ATS is not something new.

- The initial requirement for States to implement systematic and appropriate ATS safety management programmes to ensure that safety is maintained in the provision of ATS within airspaces and at aerodromes became applicable in November 2001.
- As of 27 November 2003, States were required to establish the acceptable level of safety and safety objectives applicable to the provision of ATS within airspaces and at aerodromes. In that same amendment to Annex 11, it was expected that safety levels and safety objectives were established on the basis of regional air navigation agreements.
- With amendment 44 to Annex 11, applicable on November 2006 came the requirement for SMS implementation in air traffic services provider.

2.2 It is important to note that although these Standards have evolved with the adoption in 2013 of Annex 19 — Safety Management and subsequent Amendment 1 which becomes applicable on 7 November 2019, the original applicability date continues to apply.

2.3 Almost 12 years later, very few States have put in place a State safety programme (SSP) or established safety management system (SMS) requirements for service providers which fall under Annex 19 applicability.

2.4 Although some ANSPs in the NAM and CAR Regions have implemented (or partially implemented) SMS, the acceptance and monitoring of the SMS by the regulator remains a challenge.

3. Recent NACC experience

3.1 In July 2018 the ICAO NACC Regional Office organized a Safety Management System (SMS) Implementation Workshop for Air Navigation Service Providers (ANSPs).

3.2 The purpose of this event was to establish the necessary actions to promote the Safety Management Systems (SMS) implementation among Air Navigation Service Providers (ANSPs) and support the development of acceptance and supervision programmes of these management systems by Civil Aviation Authorities, as part of their SSP.

3.3 22 participants from 10 States, Territories and International Organizations of the NAM/CAR Regions attended the event.

3.4 The objectives of this event were:

- Establish the necessary actions to promote the SMS implementation amongst ANSPs in the NAM/CAR Regions.
- Support the development of acceptance and supervision programmes of the SMS for ANSPs by Civil Aviation Authorities, as part of their SSP.
- Identify common challenges for SMS implementation and acceptance of ANSPs and propose regional solutions.
- Sharing safety information and best practices for SMS implementation and oversight.

3.5 The outcomes and recommendations were in the following lines:

- The majority of States and ANSPs in the CAR Region are in the initial steps for the implementation. Accordingly, ICAO NACC initiatives should focus on providing support for SMS implementation in the ANSP and acceptance by the regulator.
- One common challenge in the Region is the integration of multiple types of operation under the same SMS certificate. Some ANSPs of the Region provide both ATS and aerodrome services. There is some doubt on whether the CAA should ask for a SMS for each type of service. The same will happen with the implementation of Fatigue Risk Management Systems (FRMS), as required by Amendment 50 b of Annex 11. Given the fact that the implementation of the SMS and FRMS are two different ICAO requirements, some States ask for individual management systems to address each requirement.
- Participants raised questions regarding the requirements for ANSPs providing services on behalf of various States. It was noted the importance to have harmonized requirements for compliance, including Safety performance indicator (SPIs) and targets.
- As a response for the previous point, participants suggested the creation of a safety network to promote collaboration amongst safety offices. This network could serve to promote work for SMS implementation, but also to develop common regional indicators, work on regional emergency response planning and possibly for ANS data sharing.

- Participants considered the GREPECAS Scrutiny Group (GTE) as an initial platform for the establishment of this kind of group. This could enhance, as well, the timely sharing of safety information amongst neighbouring FIRs.

4. Suggested Actions

4.1 The Meeting is invited to:

- a) Recommend the ICAO NACC Regional Office to continue working to support the initial implementation of SMS in the Regions' ANSPs and the acceptance on behalf of the regulators;
- b) recommend States and Territories of the NAM/CAR Region work to harmonize SMS requirements for ANSPs, including Safety Performance Indicators; and
- c) suggest the GREPECAS GTE to consider expanding its scope to include among its activities the establishment of a safety information exchange network related to safety performance measurement of air navigation services.