Establishing and Maturing a Safety Management System

Air Traffic Organization

Presented to: Safety Management Implementation Workshop for Air Navigation Service Providers

Presented by: Federal Aviation Administration

Date: July 2018
SMS: Chronological Overview

2000  SMS Gap Analysis conducted

2003  ATO SMS implementation begins

2004  SRM Integration Plan completed; first SMS Manual published

2005  CAA mandated ATO to implement an SMS in five years

2007  CAA validated minimum requirements; ATO published first ATO SMS order

2009  Over 28k employees completed SMS training; ATO began implementation of Voluntary Safety Reporting Program

2010  ATO SMS approved by CAA

Today  Level C Maturity – CANSO Standard of Excellence
Air Traffic Organization SMS

Organizational Safety Culture

Safety Promotion

Safety Policy

SRM
- Identify hazards
- Analyze, assess, knowingly accept, and mitigate risk
- Monitoring plans

Safety Assurance
- Monitor NAS and mitigations through:
  - Audits & Evals
  - Data Tracking
  - Trends Analyses

Safety Communications

SMS Implementation Plan

SMS Order
Lessons Learned
SMS Manual
SMS Training

Establishing and Maturing a Safety Management System
ATO Solutions to SMS Challenges

Establishing and Maturing a Safety Management System
## Establishing a Safety Organization

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<th>Challenge</th>
<th>Solution</th>
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<td>Securing leadership commitment</td>
<td>• Developed executive level training</td>
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<td>• Establish key performance indicators</td>
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<td>• Incorporated safety goals into business plan</td>
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<td>Resolving resource constraints</td>
<td>• Address personnel and funding issues by hiring permanent safety staff</td>
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<td>Prioritizing safety and operational efficiency</td>
<td>• Launch safety promotion efforts including training for frontline employees and managers</td>
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## Creating Consistent Policies and Processes

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| Integrating standardized processes into the ATO| • Create and facilitate SMS familiarization courses and training for performing risk management  
• Introduce structured, documented processes  
• Develop SMS policy |
| Managing and mitigating safety risk            | • Provide a methodology for risk assessment that is both quantitative and qualitative  
• Create mechanism to accept/reject safety risk  
• Mandate SRM at local facilities |
| Using operational data as risk indicators      | • Establish link between operational performance and SRM |
## Communicating and Reporting Safety

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<td>Creating management-level communication channels</td>
<td>• Create conduits for managing safety (Safety Managers Forum, Change Advisory Group, SMS Committee, SMS Executive Council, Safety Collaboration Team, etc.)</td>
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| Implementing non-punitive reporting mechanisms | • Administer safety culture survey  
• Create awareness of what a positive safety culture is through roadshow briefings  
• Implement a voluntary safety reporting program |
| Coordinating SMS and safety issues with CAA | • Proactively work with regulator to manage safety concerns |
SMS Maturity

• Every year, we assess our maturity using the CANSO Standard of Excellence