



ICAO

UNITING AVIATION

SMS and Dangerous Goods

Oversight System

Safety Management Systems (SMS)

- What is SMS?
- SMS Components
- State Safety Programme (SSP)
- Governing Documents
 - Annex 19
 - ICAO SMM
 - Annex's 6 and 18 (for Dangerous Goods)

SMS Definition

- SMS is a systematic approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures.

The Four Components of SMS

- Safety Policy
- Safety Risk Management (SRM)
- Safety Assurance (SA)
- Safety Promotion

Safety Policy

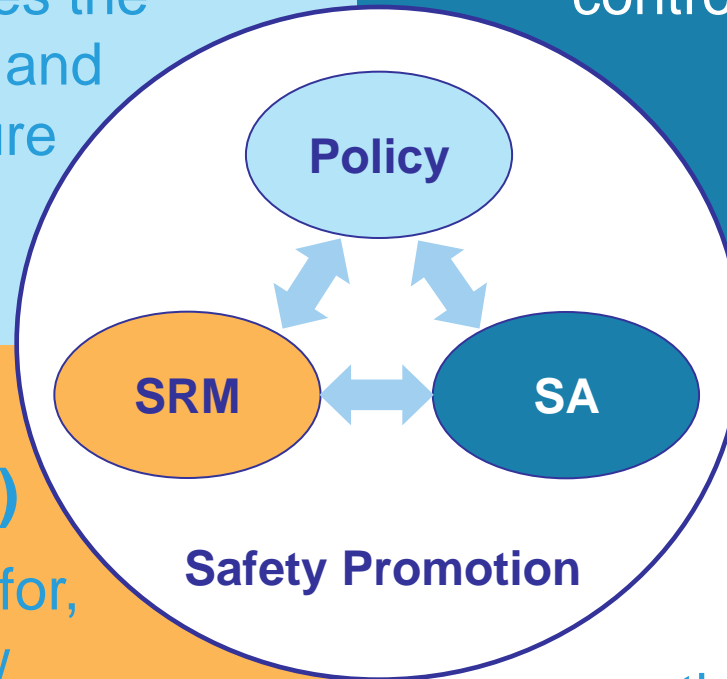
Establishes senior management's commitment to continually improve safety; defines the methods, processes, and organizational structure needed to meet safety goals

Safety Assurance (SA)

Evaluates the continued effectiveness of implemented risk control strategies; supports the identification of new hazards

Safety Risk Management (SRM)

Determines the need for, and adequacy of, new or revised risk controls based on the assessment of acceptable risk



Safety Promotion

Includes training, communication, and other actions to create a positive safety culture within all levels of the workforce

Annex 19 – Safety Management

- Highlights the **importance of safety management** at the State level;
- Enhances safety by **consolidating safety management provisions** applicable to multiple aviation domains
- Facilitates the **evolution of safety management** provisions;
- An opportunity to **further promote the implementation of SMS and SSP** provisions; and
- A process established to **analyze feedback** received regarding Annex 19 and safety management implementation.

Why SMS?

- Global Aviation system is changing rapidly
- Repetitive, recurrent common cause accidents (low hanging fruit) essentially eliminated
- Increase in system demand and complexity
- Dangerous Goods pose a risk to global aviation
- Continuous evolution in application of system safety concepts in the aviation system
- Provides a comprehensive, systemic, and consistent approach supporting:
 - The identification of systemic issues
 - Proactive approach to safety risk management and decisions based on risk rather than in reaction to an accident or incident

State Safety Programme (SSP)

- Required by Annex 19
 - Appendix A contains framework
- *Guidance to States on SSPs is contained in the Safety Management Manual (SMM) (Doc 9859)*

ICAO Definition of SSP

- Integrated set of regulations and activities aimed at improving safety
- Management system for management of safety by the State
- Designed to achieve an acceptable level of safety performance
- SSP framework includes SMS requirements for Product/Service Providers

ICAO Annex 18 and 19 Interface

- **Annex 18 CHAPTER 8. OPERATOR'S RESPONSIBILITIES**
 - *Note 1.— Annex 19 includes safety management provisions for air operators. Further guidance is contained in the Safety Management Manual (SMM) (Doc 9859).*
 - *Note 2.— The carriage of dangerous goods is included in the scope of the operator's safety management system (SMS).*
 - *DGP 24, November 2013*

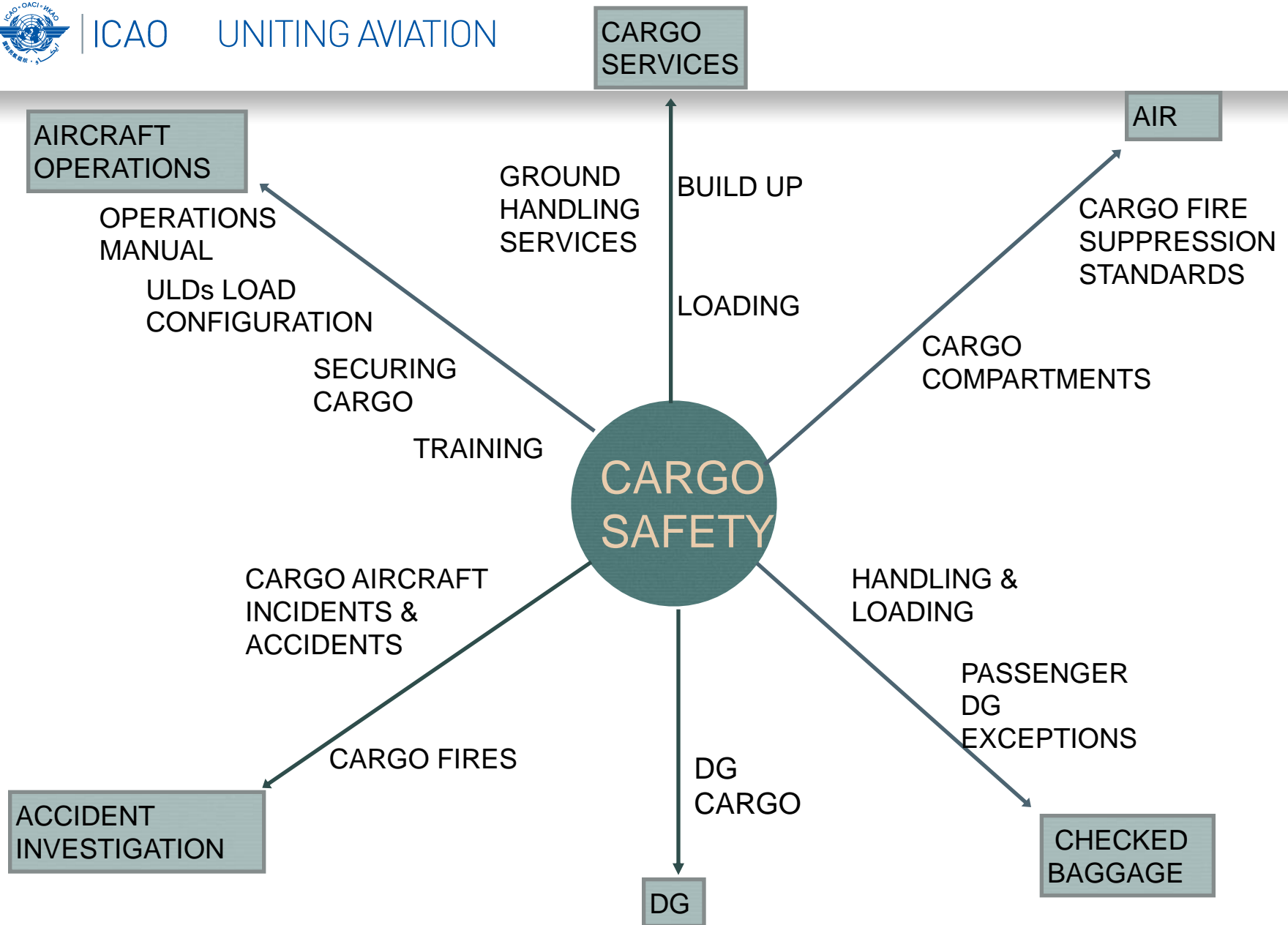
SMS and Dangerous Goods

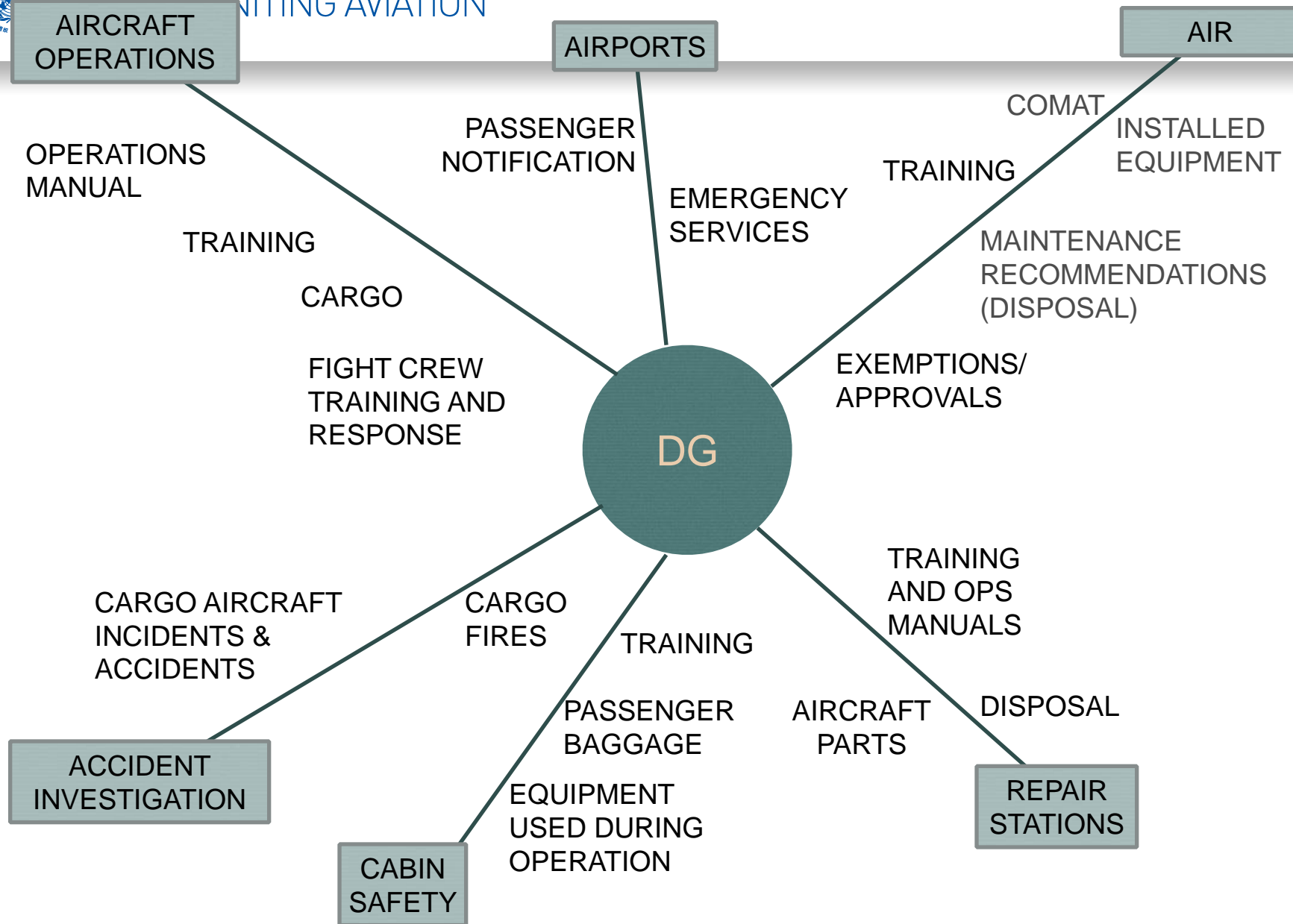
- Annex 6
 - Contains SARPs for State and Operator Responsibilities
 - Chapter 14, Dangerous Goods
 - Appendix K – Dangerous Goods

- **FAA and SMS/SSP**
- **Safety Oversight Operations**
 - Collaboration between Dangerous Goods and Flight Operations
 - Data Collection and Analysis
 - Air Operators SMS Approvals
 - Affirmation of Dangerous Goods System Performance as part of SMS
 - Risk based decision making

- **State Oversight for Dangerous Goods**
 - State Legislation in place requiring Operators to implement SMS
 - Scheduled Inspections Based on Risk
 - Dangerous Goods Inspectors coordinate with Flight Safety Inspectors on safety oversight inspection outcomes and information.
 - All data is entered into a single database. This eliminates database duplication and provides a framework for analysis and risk management.
 - Already realizing the benefits of this approach with safety related data results in identifying systemic issues with Dangerous Goods transportation

- **Dangerous Goods Inspections**
- System Design Assessments (Manuals and Training Programs)
 - Policies, Processes, Procedures and Training
- System Performance Assessments (Compliance Inspections)
 - Compliance with accepted or approved procedures and regulations.





- **Data Collection for Dangerous Goods**
 - The data collection is directed at gathering information on the system functions of Acceptance, Rejection, Handling, Storage, DG COMAT, Loading and Training.
 - The data collected allows us to focus on specific areas of concern or interest to evaluate system performance.
 - Risk based decision making to determine future inspection activity or targeted actions is based on data.



- Continue to collaborate with Flight Safety Organization
- Continue development of safety oversight systems and data collection methodologies
- Continue developing and improving FAA SMS



Contacts

Janet McLaughlin

Director, Hazardous Material Safety Program

Janet.mclaughlin@faa.gov

202-267-9419

Thomas Kenny

Aviation Safety Specialist

Thomas.l.kenny@faa.gov

425-766-4497