SMM 3rd Edition Highlights
(Doc 9859, advance version)
ICAO-SARO SSP-SMS-RST Meeting

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Integrated Safety Management (ISM)

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SMM 3rd Edition Highlights - *Agenda*

1. Introduction

2. SMM 3rd Edition - Contents overview

3. Twenty-six enhancements

4. Summary

5. Q & A

SMM 3rd Edition - *Introduction*

➢ SMM 1st & 2nd editions in 2006 & 2009

➢ SMM 3rd edition (advance version) posted on 28 May 2012

➢ SMM 3rd edition final version estimated by 1Q 2013

➢ Purpose of this presentation

SMM 3ʳᵈ Edition – *Contents overview*

4 Chapters:

CHAPTER 1 - SAFETY MANAGEMENT FUNDAMENTALS

CHAPTER 2 - ICAO SAFETY MANAGEMENT SARPs

CHAPTER 3 - STATE SAFETY PROGRAMME (SSP)

CHAPTER 4 - SAFETY MANAGEMENT SYSTEM (SMS)

(previous SMM 2ⁿᵈ Edition 2009 had 11 Chapters)

Browse SMM 3ʳᵈ Edition <u>Contents Page</u>

1. Definitions:

✓ *List of Definitions included* (new) [DEFNS]

2. Safety Culture [1.6]:

✓ *Organization risk profile assessment* (new) [C1A3]

Safety Management Fundamentals

3.   Hazards [1.12]:

✓ *Hazards prioritization procedure* (new) [C1A1]

✓ *Distinguishing Aviation & OSHE hazards* (new)

4.   Safety Risk Management (SA) [1.15]:

✓ *Basic risk mitigation tool* (enhancement)

5.   Prescriptive & Performance-based Requirements [1.16]

✓ *Performance-based requirements and its oversight*

1. SARPs [2.2; 2.3]:

✓ *Consolidation and overview of current safety management SARPs* (new)

2. Annex 19 [2.4]:

✓ *Introduction to Annex 19 development status* (new)

1. SSP framework elements overall guidance improvements:

Enforcement Policy (1.4) [App 3 & 4]:

➢ *Clarity between enforcement policy & enforcement procedures* (enhancement)

Agreement on service provider safety performance (2.2)

➢ *Agreement on SPIs and associated target & alert settings* (enhancement)

Safety data collection, analysis and exchange (3.2) [App 9, 11 & 12]:

➢ *Mandatory & voluntary reporting systems* (new);

➢ *Safety information protection* (enhancement)

Safety-data driven targeting of oversight on areas of greater concern or need (3.3) [Fig 3.3-1]:

➢ *Safety data and risk based surveillance process* (enhancement) [Fig 3.3-1]

2. SSP Gap Analysis & Implementation Plan [3.3.2; App 1]

✓ *Updated gap analysis questions, including main text references* (enhancement) [C3A1TA]

✓ *Improved documentation for gap analysis outcomes and tasks implementation* (new) [C3A1TB&C]

3.   SSP Implementation – Phased Approach [3.4; Table A]

✓ *Guidance on 4-phased progressive implementation of SSP elements & processes* (new)

[C3.4-TA]

4. Safety Indicators & Acceptable level of safety performance (ALoSP) [3.3.4; App 6]

✓ *Guidance on ALoSP measurement and monitoring through State aggregate SPIs and associated Target and Alert levels* (new) [C3A6]

In essence - A State defines its ALoSP through:

➢ A selected package of aggregate SPIs;

➢ Set Target and Alert levels for each SPI; and

➢ Monitor & measure individual & consolidated SPIs' Target achievement & Alert avoidance (Yes/ No) outcomes.

SPI Alert & Target settings and a State's ALoSP:

- ✓ *An Alert level ensures attention is drawn to a SPI anytime its trending is statistically worse off than its recent performance*

- ✓ *A Target level ensures a planned endeavor to drive a SPI to improve on its own recent average performance*

- ✓ *Alert exceedance & Target achievement incidence count is a data-based performance measure of a package of SPIs - hence the expression and measure of a State's ALoSP*

5. SMS Acceptance/ Assessment [App 7]

✓ *Initial SMS regulatory acceptance as well as routine SMS audit checklists* (new) [C3A7]

6. SSP Document/ Manual Contents [App 10]

✓ *Guidance on SSP Manual Contents development* (new)

1. SMS framework elements overall guidance improvements:

Emergency Response Planning (1.4) [App 4]

✓ *Enhanced guidance on emergency response planning* (enhancement)

SMS Documentation (1.5) [App 3]

✓ *Guidance on development of a SMS Document/ Manual* (new)

Hazard Identification (2.1) [App 7]

✓ *Guidance on SMS voluntary and confidential reporting system* (new)

Risk Assessment & Mitigation (2.2) [C1-App 2]

✓ *Basic Safety Assessment Tool* (new) [C1- App 2] Latest version>

2. Integration of Management Systems [4.4.2]

✓ *Enhanced guidance, especially on SMS-QMS integration* (enhancement)

3. SMS Gap Analysis & Implementation Plan [4.4.3/4; App 2]

✓ *Updated gap analysis questions, including main text references* (enhancement)

4. SMS Safety Indicators & Safety Performance
   {4.4.5; App 6]

✓ *Safety performance measurement through SPIs' target and alert settings*

1. *List of Definitions*

Chapter 1 (Safety Management Fundamentals):
2. *Organization risk profile assessment*
3. *Hazards prioritization procedure*
4. *Distinguishing Aviation & OSHE hazards*
5. *Basic risk mitigation tool*
6. *Performance-based requirements and its oversight*

Chapter 2 (Safety Management SARPs):
8. *Consolidation of current safety management SARPs*
9. *Introduction to Annex 19 development status*

Chapter 3 (State Safety Program):

10. *Clarity between enforcement policy & procedures*

11. *Agreement on SPIs, Targets & Alert settings*

12. *Mandatory & voluntary reporting systems*

13. *SPI & ALoS development*

14. *Safety information protection*

15. *Safety data and risk based surveillance process*

16. *Updated GAQs, including main text references*

17. *Documentation for gap analysis & tasks implementation*

18. *4-phased progressive implementation of SSP*

19. *ALoSP measurement through SPI Target and Alert levels*

Chapter 4 (SMS):

20. Guidance on emergency response planning

21. Guidance on development of a SMS Document/ Manual

22. Guidance on SMS voluntary reporting system

23. Basic Safety Assessment Tool

24. SMS-QMS integration guidance

25. Updated GAQs, including main text references

26. Safety performance measurement through SPI target and alert settings

So, out of these 26 items, what would you consider as that necessary guidance material which is not yet addressed in this SMM 3rd edition? (in relation to SSP/ SMS implementation)

Q & A

(10:30)