



International Civil Aviation Organization
North American, Central American and Caribbean Office
**First Caribbean Working Group Meeting
(CAR/WG/1)**
Port of Spain, Trinidad and Tobago, 21 to 23 June 2007

CAR/WG/1 - WP/08
04/06/07

Agenda Item 2: ATM Developments
**2.4 Follow-up on implementation programmes related to Air Traffic
 Management (ATM) safety management**

SMS IMPLEMENTATION AND RELATED ATM SAFETY MANAGEMENT PROGRAMMES

(Presented by the Secretariat)

SUMMARY This Working Paper presents a summary on the activities carried out in the Caribbean Region on the ICAO SMS Courses programmed for 2006 and 2007, in conjunction with the ATM Safety Management implementation in the CAR Region.
References: • ICAO Annexes 6, 11 and 14. • ICAO Manual on ATM Safety Management, Doc 9859, 2006. • Report of the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety (DGAC/06) (Montreal, Canada, 20 – 22 March 2006). • Report of GREPECAS/14 Meeting (San José, Costa Rica, 16 to 20 April 2007).
Strategic Objective: A: Safety – Key Activity A8 – SMS implementation.

1. Introduction

1.1 In 2004, the ICAO Council approved the ICAO Strategic Objectives for 2005-2010. Objective A: Safety, comprises Key Activity A8: *“Support the implementation of a safety management system (SMS) across all safety-related disciplines, in all States.”*

1.2 ICAO Annexes 11 and 14 through its standards required that ATS providers to implement a SMS programme in November 23, 2006. ICAO published in December 2005 Doc 9859, *Safety Management Manual*, to assist in this implementation.

1.3 In accordance to State Letter AN 1146-06152 sent on 30 June 2006, by the Secretary General and in support of the SMS implementation in States, the ICAO NACC Office has programmed several regional activities related to the ICAO Action Plan - Strategic Objective A8, for the period 2005 – 2010. Among these activities, the SMS Course stands out and is being carried out by ICAO to all States as so requires.

2. Discussion

ICAO SMS Courses in the CAR Region

2.1 The ICAO NACC Office has developed, in jointly collaboration with ICAO Headquarters, a training programme for the period 2007-2009 with SMS courses aimed at specialists proposed by States. To accomplish this programme, the ICAO NACC Office prepared two of its Regional Officers as ICAO SMS Instructors. Among the objectives of SMS programme assistance to the NAM/CAR States are the following:

- a) identify assistance and priorities to conduct training courses for additional groups of specialists for better understanding of SMS guidelines at the regional, sub-regional and national levels;
- b) guide and encourage the transition and implementation at the national level for an integrated, system-wide approach to safety;
- c) increase broad dissemination of knowledge and the level of awareness in both regulatory and operational fields;
- d) foster harmonized implementation of a safety culture for operations, airworthiness, airport security inspectors, air traffic services, and aircraft accident and incident investigation;
- e) identify and address the means, procedures and all related aspects associated with SMS; and,
- f) take advantage of currently qualified personnel in order to have additional instructors available for SMS training within the States;

2.2 During 2006 and 2007 the NACC Office, in collaboration with ICAO Headquarters, held 2 regional SMS courses, 3 courses in the States and 1 Seminar for the Directors General in the NAM and CAR Regions. ICAO has received request from 3 States and one International Organization to impart 5 additional courses as the implementation backup in their Administration.

2.3 Some of the State's specialists, will also receive OJT/SMS training, to conduct SMS Courses on behalf of ICAO. In late 2007, it is expected that a minimum of 300 specialists and 6 regional instructors will be trained on SMS by ICAO. The following table summarizes relevant information related to the courses carried out and programmed in the Region for the period 2006-2007:

State/Territory	2006	2007	Number. of participants
Costa Rica	xx	27-31 Aug 3-7 Set	TBD TBD
Cuba	30 Oct / 3 Nov	xx	35
Dominican Republic	xx	19-23 Nov	TBD
El Salvador	xx	25-29 June	40
Guatemala	xx	19-23 Feb	42
Mexico	xx	TBD	TBD
NACC Office	xx	27 Feb / 2 Mar	25
United States	xx	Jan 2007	33
COCESNA	xx	TBD	TBD

2.4 GREPECAS/14 was provided with detailed explanation on the implementation of the SMS training programme developed by ICAO, comprising regional courses as well as those requested by the States, pursuant to State Letter AN 12/46-06/52 of the Secretary General, dated June 2006. In view of the above, the Meeting formulated Conclusion 14/4.

2.5 The training course is currently available in Spanish, English, and French. It is expected that the States receiving the courses will be able to train instructors and develop national courses based on the training material provided by ICAO, in order to create an SMS culture and develop a programme to be implemented according to the corresponding applicable SARPS.

2.6 As per training related to ATM safety risk evaluation, GREPECAS recognized the need that States should have their own group of ATM safety experts, in order that the States, Territories and International Organizations implement a safety management system in the medium-term.

2.7 For this purpose, GREPECAS agreed Conclusion 14/45, requesting to schedule a regional course/workshop in the ICAO NACC Office on collision risk evaluation for air traffic management or flight operations experts.

2.8 In compliance with these conclusions, the NACC Office is coordinating with ICAO Headquarters two more events on SMS implementation: “Workshop – Regional SMS Implementation” and the “Seminar on SMS Implementation”, to be held between 2007 and 2008.

2.9 The ATM safety management depends on an adequate evaluation and risk management process. The provisions to evaluate the ATM risk are indicated in Annex 11 and Doc 4444. Therefore, it is important that the States foster SMS training among ATS providers. Some of the new required programmes related to ATM operational safety are: runway operational safety, bird hazard prevention, human resources and training planning, and aeronautical language proficiency.

3. Conclusion

3.1 In spite of the regional initiatives to implement SMS, there are States/Territories that still have not yet received ICAO SMS Courses nor programmed for 2007, meaning that all efforts to implement SMS, are insufficient. The States/Territories/International Organizations should enhance the SMS regional training efforts, in order to implement programmes related to the ATM safety management.

4. Suggested Action

4.1 The Meeting is invited to take note of the information contained in this working paper and propose actions as deem necessary.

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