



ASSEMBLY — 41ST SESSION

TECHNICAL COMMISSION

Agenda Item 30: Aviation Safety and Air Navigation Policy

30.3 Relevant Outcomes of the High-level Conference on COVID-19, Safety Stream (HLCC 2021)

SUPPORT STRATEGY FOR THE IMPLEMENTATION AND DEVELOPMENT OF SMS

(Presented by Venezuela (Bolivarian Republic of) with the support of Argentina, Costa Rica, Panama and the Dominican Republic)²

EXECUTIVE SUMMARY

This working paper elaborates on and emphasizes the importance of a support strategy for States in respect of the implementation and development of Safety Management Systems (SMS) for industry service providers, in the light of the objectives of State Safety Programmes (SSP).

Action: The Assembly is invited to:

- a) take note of the information set out in this working paper;
- b) consider the suggestions made in this paper as forming part of the strategy for implementation and development of SMS in organizations in States and Regions that have experienced difficulties in implementing the SMS;
- c) encourage and share successful experiences in States and Regions on the application of SMS implementation and development strategies; and
- d) consider developing or introducing standardized guidance material for States and Regions.

<i>Strategic Objectives:</i>	This working paper relates to the Strategic Objective of Safety
<i>Financial implications:</i>	None
<i>References:</i>	ICAO Doc 9859, <i>Safety Management Manual</i> . Fourth edition

¹ Spanish version provided by Venezuela (Bolivarian Republic of).

² Member States of the Latin American Civil Aviation Commission (LACAC).

1. INTRODUCTION

1.1 Experience with implementation processes and the outcomes expected from the development of SMS in the industry presuppose an understanding of their requirements, size scalability and organizational complexity, the necessary culture change, and the activities of individuals and work teams involved in these processes.

1.2 Doc 9859 in its different editions provided guidance material for the establishment and application of SMS components and elements serving to generate deliverables such as: manuals, methodologies, systems, tools, etc. The States and RSOOs have also produced regulations, circulars and procedures, together with criteria, requirements and recommendations, as appropriate, contributing to SMS implementation.

1.3 Early experience with implementation involved an approval process focused on fulfilment of industry organization requirements, although this did not necessarily lead to the achievement of an SMS capable of generating tangible safety outcomes.

2. DEVELOPMENT

2.1 In response to this challenge, which entailed not only ensuring compliance with Safety Management System (SMS) requirements, but also simultaneously promoting an impact on the organizations' safety culture, support for organizations during implementation was adopted as a promotion strategy of the State.

3. SUPPORT FOR INDUSTRY

3.1 Set out below are the steps and considerations applied to the process of State support for an organization needing to implement its SMS and the subsequent acceptance process.

3.2 *Key preliminary meeting with the organization's senior management*

3.2.1 A preliminary meeting is held with the senior management of the organization to which general guidance on SMS implementation is to be offered. The key purpose of this meeting is to impart a clear understanding of the benefits of the system to be implemented, so as to drive home the point that an "investment" in safety will be required, not an "expenditure".

3.2.2 Emphasis is placed on the commitment to be made and, depending on the size and complexity of the organization, how to organize its work team.

3.2.3 Senior management and stakeholders in the organization should envisage and organize implementation as a project: clear activities, responsibilities, resources, time, deliverables, etc.

3.3 *Guidance sessions (coaching for management teams)*

3.3.1 Meetings are arranged with the organization, to be attended by the managers and their teams, as appropriate, to deal with areas of uncertainty in relation to the interpretation and "practical application" of the SMS elements agreed for discussion.

3.3.2 As far as possible, consideration is given to topics of genuinely systemic concern within the operational areas of the organization, requiring application of the different elements of the SMS.

3.3.3 In the course of the meetings the required culture change is defined and the individuals or groups with key responsibilities who are to help disseminate this culture change (preferably fully credentialed leaders) are identified.

3.3.4 The management team is instructed to acquaint workers, after the meetings, with the practical application of the elements of the SMS and the expected cultural shift.

3.3.5 Between meetings internal practical application tasks are agreed in relation to the operational realities of the organization. Once they have been demonstrated, the first practical applications go forward to the subsequent guidance meetings.

3.3.6 Potential **agents of change** are selected and trained in key functions. Depending on the size and complexity of the organization, these include a coordination team, teams of training managers and/or “process organizers” (leaders, guideline motivators, trouble-shooters). Each agent of positive change in safety culture shall seek to generate interest in the groups, to promote participation in change and to foster acknowledgement of the need for change.

3.4 ***Monitoring and diagnostic analysis of implementation status in the organization***

3.4.1 As implementation moves forward, a review of progress on deliverables shall be made at each meeting:

- a) Manuals and development or revision of associated procedures;
- b) The first registers of implementation of the elements;
- c) The first reregisters of safety promotion; and
- d) Assessment of initial impact and progress in cultural change.

3.4.2 The diagnostic analysis helps us to pinpoint the discrepancies between the organization’s perceptions and its expectations.

3.4.3 Throughout the period, a variety of communication strategies will be used periodically to provide information on outcomes and future strategies; this will serve to facilitate communication at all levels of the organization. Various channels of communication can be used, such as: internal communiqués, meetings, emails, data processing, meetings (improvement teams), meetings of all staff, etc.

3.5 ***Initial SMS acceptance process***

3.5.1 When the elements are found to have been established and early evidence of implementation is available, agreement shall be reached on initiating the formal process of documentary evaluation of the SMS in accordance with the State’s regulations and procedures.

3.5.2 Once compliance with the requirements of the civil aviation authority has been formalized, the service provider receives initial acceptance of the SMS.

3.5.3 In the case of new organizations under the system of four stages of implementation, and in the case of organizations already operating at the time when the requirement of SMS implementation processes was introduced, with an implementation timescale of no longer than two years.

3.6 *System development and continuous improvement*

3.6.1 Post hoc visits shall be conducted to verify consolidation of the safety culture, implementation of SMS elements and of the Safety Data Collection and Processing System (SDCPS), and to continue providing guidance on new challenges or circumstances faced by the organization in its process of development and continuous improvement.

4. **CONCLUSION**

4.1 This proposal seeks to provide for a possible strategy of SMS implementation and culture change, and to ensure its effective application and development in States and Regions that have experienced difficulties in implementing their SMS.

4.2 The culture change strategy could not only be applied, if necessary, in the area of SMS implementation, but could also be envisaged during SMS development.

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