



Agenda Item 2: Analysis of global, inter and intra-regional activities

2.5: Implementation of safety management systems in the CAR/SAM States

ICAO SMS TRAINING PROGRAMME

(Presented by the Secretariat)

SUMMARY

This working paper contains information about the training courses on safety management systems (SMSs) provided by ICAO. It also contains information on the progress made by ICAO with regard to Key Activity A8 of its Strategic Objectives, the progress made with respect to the SMS training programme in the States, and the results expected from the implementation of SMS courses.

References:

- ICAO Annexes 6, 11, and 14;
- ICAO Strategic Action Plan/Strategic Objective A 2005-2010: Safety/Key Activity A8 SMS;
- Report of the World Conference of Directors General of Civil Aviation (DGCA/06); and
- ICAO Manual on Safety Management (Doc.9859).

1. Introduction

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

1.2 One of the objectives of this key activity is the conduction of seven SMS courses in each ICAO Region, in order to assist the States in the implementation of SARPs related to safety management contained in Annexes 6, 11, and 14 to the Convention. These courses are addressed to civil aviation administration officials, and their purpose is to:

- a) familiarise participants with SMS concepts;
- b) present ICAO SMS requirements contained in Annexes 6, 11, and 14 and related guidelines; and

- c) develop the necessary knowledge and skills to certify and monitor SMS implementation by operators and service providers.

1.3 The World Conference of Directors General of Civil Aviation (DGCA/06) recognised the importance of training, and requested the States (Recommendation 2/2) to cooperate with ICAO in the training programme inasmuch as possible and to exchange information in order to advance SMS implementation. It also requested the ICAO Council to continue with the development of training courses, guidelines, and other empowering elements that will help the contracting States to expedite SMS implementation.

1.4 On 30 June 2006, the ICAO Secretary General circulated State letter AN 12/46-06/52, informing the States of these matters and stating that ICAO would also provide, in addition to the seven regional courses, additional courses in the States to ensure adequate SMS training opportunities and compliance with Recommendation 2/2 of the DGCA/06 conference. Paragraph 6 of the aforementioned letter by the Secretary General lists the conditions under which SMS courses will be provided to the States that so request it. The text of this paragraph is reproduced in **Appendix A** to this working paper. The intention is that, with these courses, the States will be able to train instructors in order to proceed with the SMS implementation programme.

2. **Progress made by ICAO with respect to Key Activity A8**

2.1 Within the ICAO programme related to Under Key Activity 8, the three following results are expected:

- a) harmonised SARPs, development of guidelines on safety and SMS programmes;
- b) training for SMS implementation; and
- c) development of performance-based safety management regulations.

2.2 Activities aimed at achieving the results cited in 1 and 2 are underway. Thus, for example, the first harmonised SARPs for Annexes 6, 11, and 14 have been drafted, effective on 23 November 2006. The ICAO SMS Manual (Doc. 9859) was developed and published in 2006. However, the harmonisation activity continues and there are plans to submit new SMS requirements for these Annexes to the Air Navigation Commission in 2007. These new requirements are the result of work with the industry and feedback from training courses. On the other hand, the SMS course was designed. The objective of this course is stated in paragraph 1.2 above. The Air Navigation Commission is scheduled to review result 3 in 2009.

2.3 As part of the training programme, ICAO has been able to train SMS instructors, which improved significantly the implementation of SMS courses requested by the States. Thus, ICAO makes sure that the demand for national instructor training courses is met.

3. **Implementation of SMS training courses – Expected results**

3.1 The ICAO SMS training programme is being conducted globally with standard material. The programme comprises the seven regional courses and the instructor training courses requested by the States. The training course is currently available in Spanish, English, and French, and the ICAO Secretariat has sufficient resources to implement the SMS course in these three languages.

3.2 Regarding the CAR/SAM Regions, three regional courses will be held in 2007, two of them in the CAR Region. The first was held in Guatemala on 19-23 February (Spanish); the second, in Mexico City from 26 February to 2 March (English); and the third one in Caracas, in September (Spanish). Also, at the request of the States, SMS courses have been conducted in Brazil, El Salvador, Mexico, Panama, Dominican Republic, and Uruguay. Courses have been scheduled this year in Argentina, Bolivia, Chile, Colombia, Paraguay, Peru, and new courses in Colombia and Panama. There is also great interest in scheduling courses in all CAR States, to which end there is close coordination with the corresponding civil aviation authorities.

3.3 The regional experience gained by ICAO with the instructor training courses that have been conducted is quite good, and the States have expressed great interest in SMS implementation. Coordination mechanisms have worked quite smoothly and it is expected that the States will make use of this training to train instructors and skilled personnel, and thus achieve the objective of the courses, with a view to an effective SMS implementation.

3.4 In view of the aforementioned, the meeting could consider formulating the following conclusion:

CONCLUSION 14/XX- SMS INSTRUCTOR TRAINING COURSES

That the States that receive training in safety management systems (SMSs) through the regional courses or, at their request, through the ICAO training programme on this subject, establish the necessary human resources to continue with the training courses in order to achieve an effective SMS implementation, in keeping with ICAO SARPs.

4. **Suggested action**

4.1 The meeting is invited to take note of the information contained in this working paper and consider the formulation of the conclusion presented in paragraph 3.5, in order to foster the effective implementation of safety management systems (SMSs).

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APPENDIX A**IMPLEMENTATION OF SAFETY MANAGEMENT SYSTEMS (SMS) IN STATES**

Ref.: AN 12/46-06/52 of 30 June 2006

“6. ICAO will therefore deliver "train-the-trainer" courses on SMS to allow the development of resources in greater numbers than what the regional SMS training courses would allow. The objective of this training is to enable States to become self-sufficient both in SMS implementation as well as in imparting SMS training. It is further envisioned that States developing internal resources will engage in cooperation to assist other States in the implementation of SMS, thus achieving the cooperation recognized as necessary for the global implementation of SMS. This training will be delivered upon specific request from individual States or group of States, and under the following requirements and criteria:

- a) ICAO will provide training to officials from requesting States up to a maximum of thirty participants per course. This will include delivery of the ICAO course materials in electronic format to States. Presently, course delivery and course materials are available in English and Spanish, and activities to extend these to other ICAO languages are being advanced;
- b) the custodian of the ICAO course materials should be the civil aviation authority, or the designated official training institution of the requesting States;
- c) the requesting State or group of States should provide all travel and living expenses associated with training delivery for two ICAO instructors;
- d) once the training is completed and States' instructors endorsed, States may utilize the ICAO training course and its materials without restrictions;
- e) ICAO will provide States, in electronic format, with updated versions of the training course and course materials, as appropriate;
- f) States should formally agree that ICAO will conduct quality control of the course content and delivery in two-year cycles. All expenses associated with the quality control visits by one ICAO staff shall be borne by States; and
- g) when resource limitations so dictate, priority will be given to requests by groups of States over requests by individual States.

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