



ICAO

International Civil Aviation Organization  
North American, Central American and Caribbean Office

**Safety Management System (SMS) Implementation Workshop for Air Navigation Service Providers  
(ANSPs)**

Mexico City, Mexico, 17 – 19 July 2018

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**Summary of Discussions**

<b>Date</b>	17 – 19 July 2018
<b>Location</b>	Mexico City, Mexico
<b>Opening Ceremony</b>	<p>The workshop was attended by 22 participants from 8 States and 2 International Organizations.</p> <p>The list of participants is shown in <b>Attachment</b>.</p>
<b>1.</b>	<p><b>References</b></p> <ul style="list-style-type: none"><li>• Annex 19</li><li>• Annex 11</li><li>• Safety Management Manual</li><li>• ICAO Safety Management Website</li></ul>
<b>2.</b>	<p><b>Objectives</b></p> <ul style="list-style-type: none"><li>- Establish the necessary actions to promote the SMS implementation amongst ANSPs in the NAM/CAR Regions.</li><li>- Support the development of acceptance and supervision programmes of the SMS for ANSPs by Civil Aviation Authorities, as part of their SSP.</li><li>- Identify common challenges for SMS implementation and acceptance of ANSPs and propose regional solutions.</li><li>- Sharing safety information and best practices for SMS implementation and oversight.</li></ul>
<b>3.</b>	<p><b>Introduction</b></p> <ul style="list-style-type: none"><li>• SMS implementation for air traffic services (ATS) providers is one of the requirements for Annex 19. This is not a new requirement; this has been a requirement in Annex 11 since 2001. However, little progress is shown for the acceptance of the SMS for ANSPs by the CAAs in the CAR Region.</li><li>• The ICAO NACC Regional Office is working to develop a strategy to enhance the SMS implementation and acceptance of SMS for ANSPs, providing the right support to States to move forward with the implementation. This will significantly enhance the safety and efficiency in the ATS provision in the NAM/CAR Regions.</li></ul>
<b>4.</b>	<p><b>Workshop Schedule and Activities</b></p> <p>The workshop webpage is located at: <a href="https://www.icao.int/NACC/Pages/meetings-2018-smsansp.aspx">https://www.icao.int/NACC/Pages/meetings-2018-smsansp.aspx</a></p>

5.

5.1

**Outcomes/Recommendations**

**Regional Implementation and Acceptance of SMS for ANSPs.**

- The majority of States and ANSPs in the CAR Region are in the initial steps for the implementation.
- Accordingly, ICAO NACC initiatives should focus on providing support for SMS implementation in the ANSP and acceptance by the regulator.
- It was identified, as a key enabler for regional implementation, the need to define the role the ICAO NACC Office will play to promote regional implementation and collaboration.
- The actions of the ICAO NACC Office should take into consideration the need to obtain high level support for implementation at State level, in order to count with a proper allocation of resources for the implementation project and initial operation of SMS.
- ICAO should work to develop more detailed guidelines to assist ANSPs to develop the gap analysis for the SMS implementation and evaluate the true costs for operation.
- Participants raised the difficulties faced by small ANSPs to comply with all ICAO safety management requirements and the lack of resources for full implementation and maintenance of the SMS.
- ICAO should develop and/or share additional guidance to address this issue.

5.2

- Management Initiatives.
- One common challenge in the Region is the integration of multiple types of operation under the same SMS certificate. Some ANSPs of the Region provide both ATS and aerodrome services. There is some doubt on whether the CAA should ask for a SMS for each type of service. The same will happen with the implementation of Fatigue Risk Management Systems (FRMS), as required by Amendment 50 b of Annex 11. Given the fact that the implementation of the SMS and FRMS are two different ICAO requirements, some States ask for individual management systems to address each requirement.
- Clarification from ICAO is required.
- One additional challenge is the integration of the SMS with the Quality Management System, required or implemented by the ANSPs. It was noted the efficiency of identifying common processes for different management systems and integrating them.
- ICAO should develop and/or share additional guidance to address this issue.
- Participants raised questions regarding the requirements for ANSPs providing services on behalf of various States. It was noted the importance to have harmonized requirements for compliance, including Safety performance indicator (SPIs) and targets. COCESNA presents a good opportunity for collaboration on this subject.
- The ICAO NACC Office should be proactive by approaching Central America States and COCESNA to agree on actions to comply with SMS requirements.
- Participants mentioned their difficulties to implement proactive and predictive safety management processes for ANS.
- Guidance from ICAO would be helpful.

**5.3**

**Opportunities for Regional Collaboration.**

- Participants brought to the attention of ICAO NACC Regional Office on the lack of a Regional platform for sharing of best practices amongst ANSPs. It was noted the importance of having a regional forum to share experiences, problems and possible solutions.
- ICAO should promote and raise awareness in the Region of the existing Safety management website and sharing platform.
- As a response for the previous point, participants suggested the creation of a safety network to promote collaboration amongst safety offices. This network could serve to promote work for SMS implementation, but also to develop common regional indicators, work on regional emergency response planning and possibly for ANS data sharing.
- Participants considered the GREPECAS Scrutiny Group (GTE) as an initial platform for the establishment of this kind of group. This could enhance, as well, the timely sharing of safety information amongst neighbouring Flight Information Regions (FIRs).
- In order to gain organizational support for SMS, participants identified that reaching to union representatives could be a good strategy. Convince operational personal as to the importance of SMS to improve the services they provide facilitates the required change.
- Participants identified the lack of clear guidelines to implement specific SMS elements for ANSPs as a common challenge.
- ICAO should promote and raise awareness in the Region of the existing Safety management website and sharing platform.

**5.4**

**Safety Reporting.**

- One common challenge for the Region is the establishment of safety reporting systems (mandatory and voluntary).
- Participants expressed the benefits of having additional guidance for the establishment of these systems and developing templates for harmonized safety reports in the Region.
- Additionally, participants expressed the normal resistance by operational personnel to use the reporting systems. The expectation of retaliation from management is a common deterrent.
- The role of ICAO to raise awareness of the importance of having a clear balance for accountability is considered very important.

**5.5**

**Change management.**

- Participants discussed on the need of more guidance for implementation of change management processes, especially taking into consideration considerable changes expected in the ANS systems of the region. PBN implementation and major infrastructure projects may require ICAO's intervention.

**5.6**

**Safety Culture.**

- The main challenge faced by safety management implementation is the shift from a compliance-based mentality to a performance-based mentality.
- The region needs to work to enhance the safety reporting culture and to develop a harmonized decision-making process for responsibility of unsafe acts.

- In order to develop a positive safety culture, participants identified the need to use a common safety culture survey.
- ICAO should work to develop a safety culture survey for ANSPs or endorse existing surveys to be accepted in the Region.

5.7

**Personnel Competencies.**

- States and ANSPs are struggling to choose the right competencies required to implement an SMS in ANSPs. Participants identified that multidisciplinary teams, combining technical and management systems skills, bring great benefits to the implementation.
- ICAO should work in the region should work to raise awareness on this subject.

5.8

**Safety Promotion.**

- Participants expressed the need to share guidelines to develop safety bulletins and other safety promotion tools.

5.9

**Safety Performance Measurement.**

- Participants expressed the challenge for small States and ANSPs to gather enough safety data to identify trends.
- ICAO NACC Regional Office should seek for alternatives to encourage the regional data sharing.
- The need for guidance on the implementation of reactive processes, like incidents investigation and analysis, is still valid.
- ICAO should promote and raise awareness in the Region of the existing Safety management website and sharing platform.

6

**Follow-up Actions**

- Recommend the ICAO Safety Management Programme to collect and validate practical examples to support SMS implementation and operation in ANSPs to be uploaded in the ICAO Safety Management Website. These examples should take into consideration all sizes, stages of maturity and complexity of ANSPs.
- Request to the Safety and Air Navigation Oversight Audit Section (OAS) that, as part of their State Safety Programme (SSP) Implementation Assessments under the USOAP CMA, establish criteria for States regarding the integration of multiple types of operation under the same SMS certificate.
- Recommend the ICAO Safety Management Programme, to work with the Regional Offices to raise awareness and promote recent ICAO Safety Management initiatives to reach all Stakeholders.
- Suggest to the Integrated Aviation Analysis Section to develop a platform to allow small ANSPs to share safety performance data, in order to enhance regional safety performance measurement.



North American, Central American and Caribbean Office (NACC)  
Oficina para Norteamérica, Centroamérica y Caribe (NACC)

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**Safety Management System (SMS) Implementation Workshop for Air Navigation Service Providers (ANSPs)**  
**Taller de Implementación de Sistemas de Gestión de la Seguridad Operacional (SMS) para Proveedores de**  
**Servicio de Navegación Aérea (ANSP)**  
**(SMSxANSP)**

Mexico City, Mexico, 17 – 19 July 2018 / Ciudad de México, México, 17 – 19 de julio de 2018

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