ICAO SAFETY

SMS acceptance, monitoring and supervision

Eddian Méndez

ATM/SAR Regional Officer
ICAO NACC Regional Office

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Objectives

- Provide guidelines to establish a SMS acceptance process and basic monitoring and supervision principles.

- This presentation takes as a reference a phased approach for SMS implementation.

Applicability and Scope

- The Regulation applicable to the service provider must prescribe, clearly and specifically, the requirement for the establishment, operation and maintenance of the SMS, as well as the minimum elements that will define it.
- The minimum requirements must include compliance with the entire national Aeronautical Regulation and any other system required by the Authority, in accordance with the applicable Regulations.
- Normally, the Regulation would allow the service provider to establish a greater scope or more strict requirements for its SMS.
- The Regulation should establish the responsibility of the service provider with respect to the assurance of the services or products contracted, subcontracted or acquired from other organizations.

Implementation Phases

- The Authority must prescribe the approach for the implementation and acceptance of the SMS.
- Normally, this approach is based on phases of implementation (and acceptance) of the SMS.
- Regardless of the implementation approach established by the Authority, it clearly establish SMS progress and implementation time.
- The Authority may, exceptionally, provide flexibility to the Service Provider to implement in accordance with its own implementation schedule, provided that it does not exceed the total prescribed implementation time.

Phase I: SMS Implementation Planning

1. Identification of the Responsible Executive and other safety responsibilities.
2. Appointment of the group within the organization responsible for the SMS Implementation.
3. Description of the system, according to the requirements established by the Authority.
4. Analysis of the missing implementation elements, taking as reference the requirements established by the Authority for the SMS.
5. Development of an SMS Implementation Plan, explaining how the Organization will implement the SMS, to comply with the requirements established by the Authority, the description of the system and the analysis of what is missing.
6. Coordination of the emergency response plan with the corresponding organizations that the Service Provider must interact during the provision of services.
7. Promulgation of the safety policy.
8. Establishment of safety procedures and means of communication.

Phase II: Execution of the reactive risk management elements of the Implementation Plan

In this phase, elements contained in the implementation plan, that refer to reactive safety risk management would be put into practice. Among these, the following can be listed:

1. Hazards identification and risk management applying reactive processes.
2. Instruction relevant to:
   a) SMS Implementation Plan Components; and
   b) Safety risk management (reactive processes).
3. Documentation relevant to:
   a) components of the SMS Implementation Plan; and
   b) safety risk management (reactive processes).

Phase III: Execution of the proactive risk management elements of the Implementation Plan

In this phase, elements contained in the implementation plan, that refer to proactive safety risk management would be put into practice. Among these, the following can be listed:

1. Hazards identification and risk management applying proactive processes.
2. Instruction relevant to:

   Safety risk management (proactive processes).
3. Documentation relevant to:

   Safety risk management (proactive processes).

Phase IV: External Audits

To conclude with the acceptance of the SMS, the service provider (who has completed the previous steps) must receive an audit from the Authority in which it will evaluate compliance with the established requirements.

At the end of this audit, the service provider must be able to show that it has established and has implemented the requirements prescribed by the Authority as an essential part of the operation of the SMS, including:

1. The development and agreement on safety performance indicators and safety performance objectives;
2. Mechanisms to ensure the continuous improvement of the SMS;
3. Instruction required for the operation of the SMS;
4. Documentation system for the operation of the SMS; and
5. Implementation and application of formal means for safety communication.

The Regulation must establish, in a clear and unambiguous manner, the minimum requirements for the acceptance or not of the SMS. In case the SMS is not accepted, the Regulation will establish the mechanisms and times to be able to definitively obtain the acceptance of the SMS.

Supervision of the SMS

- The Regulation will establish, in a clear and unambiguous manner, the periods for completion of internal and external audits, and the consequences in case of not properly maintaining the internal audit process.

- The Regulation will clearly and unambiguously establish the consequences in relation to the results of the external Audits carried out by the Authority.

- The Authority shall establish an SMS supervision plan, to comply with the requirements of the same Authority and those established for the service provider.

- This supervision plan should be harmonized with the prescriptive surveillance plans, but not be confused with them, until it has matured and prescribed for such purposes.

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