



ICAO

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

NAM/CAR Safety Management System (SMS) Implementation Workshop for Air Navigation Service Providers (ANSPs)

Mexico City, Mexico, 13 – 15 August 2019

Summary of Discussions

Date	13 – 15 August 2019
Location	ICAO NACC Regional Office
Opening Ceremony	The workshop was attended by 23 delegates from 9 States and two International Organizations from the NAM/CAR Regions. The list of participants is shown in the Attachment .

1. References

- Chicago Convention
- Annex 11.– Air Traffic Services
- Annex 19 – Safety Management
- Doc 9859 – Safety Management Manual

2. Objectives

- Provide SMS implementation guidelines for Air Navigation Service Providers
- Support acceptance of SMS for ANSPs in the NAM/CAR Regions
- Provide guidelines to allow regional safety performance measurement
- Follow up on the status of previously identified challenges
- Assess progress on SMS implementation for ANSPs in the CAR Region

3. Introduction

3.1 SMS implementation in air traffic service providers is part of the requirements of Annex 19, which, despite the efforts made to promote its implementation, has not provided the expected progress.

3.2 In 2018, the ICAO NACC Regional Office held the first workshop to support the implementation of SMS in ANSPs, which had a good participation from States and Territories of the Region. At the same time, the ICAO NACC Regional SSP Implementation Strategy was approved, prioritizing the actions to support implementation for States according to their level of progress in establishing their safety oversight system.

3.3 Taking these actions as a reference, the 2nd SMS implementation workshop for ANSPs was organized, addressing the previously identified challenges, enhancing our support for Accident Investigation, safety data analysis and safety performance measurement.

4. Workshop Schedule and Activities

4.1 The workshop webpage is located at:

<https://www.icao.int/NACC/Pages/meetings-2019-smsansp.aspx>

5. Outcomes/Recommendations

5.1 Participants reviewed the progress for implementation and acceptance of ANSPs' SMS for States/Territories and International Organizations attending the Workshop.

5.2 Although the progress identified is very limited, the main difficulty is related to the lack of development, by the authority, of guidance material and clear acceptance criteria for SMS of ATS providers.

5.3 Participants expressed that some elements of the SMS framework presented an additional challenge for implementation. It was noted that CANSO has already available, for CANSO members, specific tools and surveys that could help the ANSPs on the implementation of SMS.

5.4 Participants expressed the interest of the Region in receiving guidance from ICAO on the implementation of systems or requirements related to SMS, such as Fatigue Risk Management Systems in the provision of air traffic control services.

5.5 It was noted the agreement reached by the Dutch Caribbean – Air Navigation Service Providers (DC-ANSPs) with the Dutch Territories they provide ATS services, regarding the common requirements and acceptance for their SMS with.

5.6 It was recommended that, as part of the ICAO NACC Regional SSP Implementation Strategy, the ICAO NACC Regional Office proposes model regulations, harmonized criteria and processes for the acceptance of SMS for ANSPs by CAAs.

5.7 The ICAO NACC Regional Office will develop a survey to assess the regional progress in the implementation and acceptance of SMS for ANSPs. This survey will assess the progress achieved from two perspectives:

- the CAA progress to regulate, guide and accept the SMS; and
- the ANSP progress on implementation.

6. Accomplishments

6.1 Within the framework of the workshop, the SMS implementation plan in the Costa Rican ATS service provider was reviewed, and the Authority worked on the initial development of the acceptance criteria.



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

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

Mexico City, Mexico, 13 – 15 August 2019 / Ciudad de México, México, 13 – 15 de agosto de 2019

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