Focus Area 7 – Best Practice Implementation

Best Practices	Metrics	Implementation
BP 7a-1 – <u>**Organizations within all sectors and disciplines of the aviation industry have their own formal SMS.**</u> • The SMS of the Organization includes the suppliers of goods and services that impact upon aviation safety	a. Existence of organization's SMS as per ICAO requirement. Annexes 14, 11, and 6	☐ Complete ☐ Somewhat X☐ Little/None ☐ Not Applicable Discussion: Levels of implementation differ at airlines, airports, states. Airlines: Little/none-ranging to Complete Airports: Somewhat States: Little/none

Focus Area 7 – Best Practice Implementation

Best Practices	Metrics	Implementation
BP 7b-1 – <u>**Audit processes drive consistency in use of SMS both within and across industry sectors and disciplines.**</u> a. The ICAO USOAP audits implementation and application of SMS to drive consistency in application amongst states. b. The IOSA audits implementation and application of SMS to drive consistency within and across industry sectors and regions. c. Other recognized audit programs audit implementation and application of SMS and drive consistency in their use: ISO, OGP (Oil and Gas Producer), IASA, Internal company audits.	a. Modified USOAP. b. IOSA Standards Manual 2nd Edition, Effective March 2007. c. Tailored audit processes in place.	☐ Complete ☐ Somewhat X☐ Little/None ☐ Not Applicable Discussion:

Focus Area 7 –
Best Practice Implementation

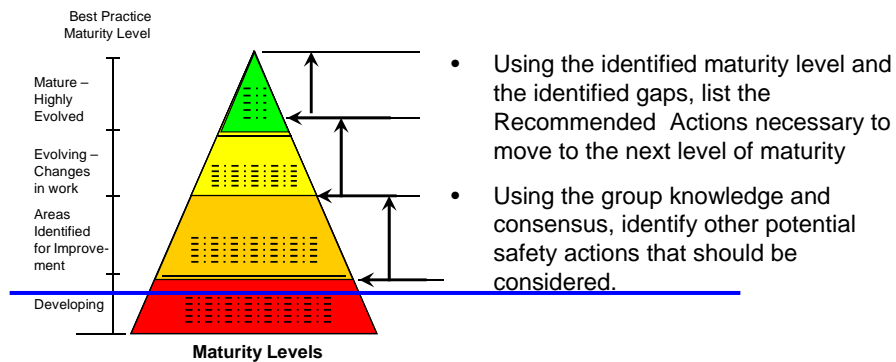| Best Practices	Metrics	Implementation
BP 7e-1 –<u>**An organization's SMS recognizes external interfaces and contains the necessary procedures to manage them effectively.**</u> a. Processes should be established within the SMS to ensure that regular communications take place between the different sectors and disciplines to address safety issues across the interface. b. Procedures should be established within the SMS to ensure that risk assessment of change takes place in an integrated manner.	a. Communication process in place. b. Procedures in place	☐ Complete ☐ Somewhat X☐ Little/None ☐ Not Applicable Discussion: For a) Little/none For b) Little/none

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Focus Area 7 –
Other Best Practices

Best Practices	Metrics	Implementation
Other Best Practices oEnvironmental Safety integrated in SMS oOccupational Safety Integrated in SMS oWildlife Management integrated into SMS Security Integrated with SMS		☐ Complete ☐ Somewhat X☐ Little/None ☐ Not Applicable Discussion:

Focus Area 7 Maturity Model

Maturity Level	Capability
Level 1 – Developing	**States** – Current ICAO SMS requirements are not implemented and are not communicated to industry. **Industry** – SMS not implemented.
Level 2 – Areas Identified for Improvement	**States** – Current ICAO SMS requirements are communicated to industry sectors / disciplines. **Industry** – SMS implemented in those sectors and disciplines for which it is currently mandated.
Level 3 – Evolving – Changes in work	**States** – National legislation / regulations require all sectors and disciplines to implement an SMS. **Industry** – SMS implementation programs are developed for sectors and disciplines not previously covered by SMS requirements.
Level 4 – Highly Evolved	**States** – • ICAO USOAP audit process covers the topic of SMS. • SMS is regulated according to ICAO provisions and industry best practices. • States and Regulatory Authorities facilitate the sharing of SMS best practice as it evolves. **Industry** – • Organizations within all sectors and disciplines of the aviation industry, including suppliers of goods and services that impact upon aviation safety, have their own formal SMS. • Both internal and independent Audits of the SMS take place. • All sectors and disciplines work together effectively in an integrated manner to manage risk across boundaries. • SMS best practice is shared across sectors as it evolves.

Identify Potential Recommended Actions

Best Practice
Maturity Level

Mature – Highly Evolved

Evolving – Changes in work

Areas Identified for Improve-ment

Developing

Maturity Levels

- Using the identified maturity level and the identified gaps, list the Recommended Actions necessary to move to the next level of maturity

- Using the group knowledge and consensus, identify other potential safety actions that should be considered.

Identify Potential Recommended Actions

Recommended Actions
•Cost/benefit Analysis
•States Implement Non-punitive reporting legislation
•States and Industry Implement best practices 7 a through e
•Consider Implementing Additional best practices
•Train employees so they understand reporting systems
•COSCAP BAG introduces standard reporting system for member states in full compliance with ICAO requirements
•ECCAIRS
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