

GROUP 3

Consistent use of Safety Management System (SMS)

Focus Area 7

Report of the Maputo Workshop
2-4 Dec 08

Focus Area 7 – Best Practice Implementation

| Best Practices | Metrics | Implementation |
|--|--|--|
| <p>BP 7a-1 – <u>Organizations within all sectors and disciplines of the aviation industry have their own formal SMS.</u></p> <ul style="list-style-type: none"> • The SMS of the Organization includes the suppliers of goods and services that impact upon aviation safety | <p>a. Existence of organization's SMS as per ICAO requirement.</p> | <ul style="list-style-type: none"> <input type="checkbox"/> highly evolved <input type="checkbox"/> changes in work <input type="checkbox"/> Areas identified for improvement <input type="checkbox"/> Developing <p>Discussion: Most States have not communicated SMS requirements to the industry.</p> <p>Recommended action: Increase awareness of SMS Include SMS regulations Expand scope and use COSCAP to monitor SMS implementation Establish deadlines for establishment of SMS system</p> |

Focus Area 7 – Best Practice Implementation

| Best Practices | Metrics | Implementation |
|--|---|---|
| <p>BP 7b-1 – <u>Audit processes drive consistency in use of SMS both within and across industry sectors and disciplines.</u></p> <p>a. The ICAO USOAP audits implementation and application of SMS to drive consistency in application amongst states.</p> <p>b. The IOSA audits implementation and application of SMS to drive consistency within and across industry sectors and regions.</p> <p>c. Other recognized audit programs audit implementation and application of SMS and drive consistency in their use.</p> | <p>a. Modified USOAP.</p> <p>b. IOSA Standards Manual 2nd Edition, Effective March 2007.</p> <p>c. Tailored audit processes in place.</p> | <p><input type="checkbox"/> highly evolved</p> <p><input type="checkbox"/> changes in work</p> <p><input type="checkbox"/> Areas identified for improvement</p> <p><input checked="" type="checkbox"/> Developing</p> <p>Discussion: Lack of regulations to enforce SMS Lack of training of inspectors Inadequate State surveillance programme</p> <p>Recommended action: Encourage other industry sectors to develop own BPs in addition to ICAO SARPS Organize workshops on SMS for State and industry Use ICAO guidance material to develop SMS</p> |

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Focus Area 7 – Best Practice Implementation

| Best Practices | Metrics | Implementation |
|--|---|---|
| <p>BP 7c-1 – <u>An organization's SMS recognizes external interfaces and contains the necessary procedures to manage them effectively.</u></p> <p>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.</p> <p>b. Procedures should be established within the SMS to ensure that risk assessment of change takes place in an integrated manner.</p> | <p>a. Communication process in place.</p> <p>b. Procedures in place</p> | <p><input type="checkbox"/> highly evolved</p> <p><input type="checkbox"/> changes in work</p> <p><input type="checkbox"/> Areas identified for improvement</p> <p><input checked="" type="checkbox"/> Developing</p> <p>Recommended action: Develop safety reporting database Report in service occurrences to organisation responsible for type design.</p> |

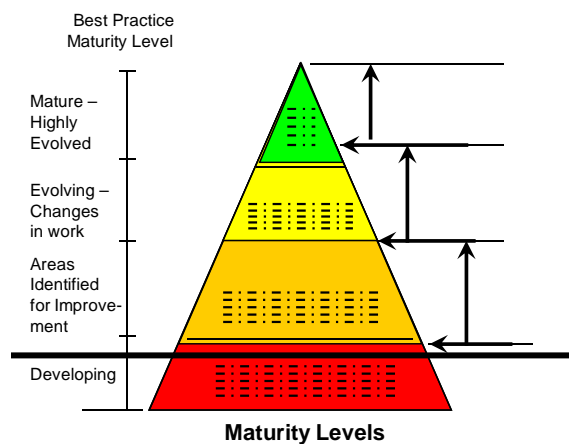
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Focus Area 7 – Other Discussions items

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|--|--|
| <p>Other discussions derived from the risk assessment steps 1 to 4</p> | <ul style="list-style-type: none"> Establish a Regional Aviation Safety Team Establish Regional Safety Oversight Organization Expedite regional implementation of CNS ICAO to raise awareness of SMS at the highest political levels States to update laws and regulations to incorporate SMS |
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Regional Maturity level Focus area 7



Identify Potential Recommended Actions

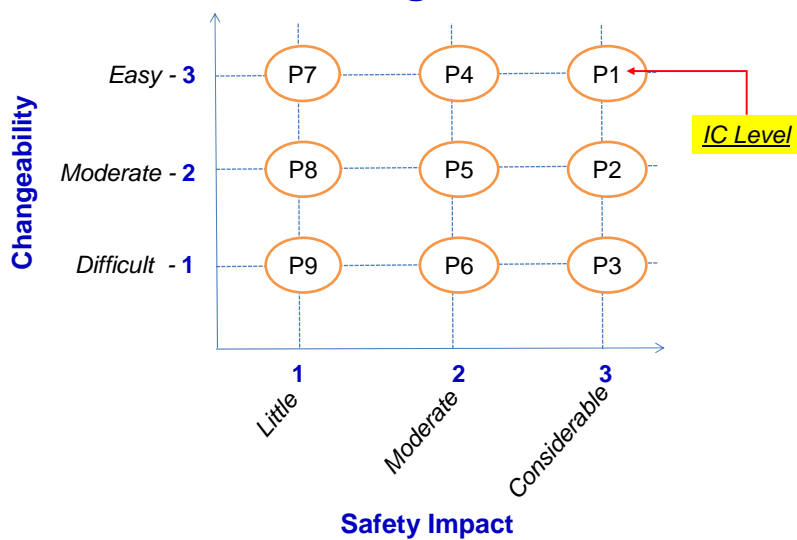
Recommended Actions

1. Expand scope and use COSCAP to monitor SMS implementation
2. States to establish deadlines for establishment of SMS system
3. Encourage other industry sectors to develop own BPs in addition to ICAO SARPs
4. Launch training programme to aid in SMS implementation (COSCAP)
5. ICAO to organize workshop on SMS for State and industry
6. States to Use ICAO guidance material to develop SMS
7. Develop safety reporting database
8. States to enforce Industry in service occurrences reporting system to organizations responsible for type design.
9. Establish a Regional Aviation Safety Team
10. Establish Regional Safety Oversight Organization
11. Expedite regional implementation of CNS
12. ICAO to raise awareness of SMS at the highest political levels
13. States to update civil aviation laws and regulations to incorporate SMS

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Determine the Impact-Changeability Level Using the Chart



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Prioritize the Recommended Actions Using the Impact-Changeability Level as a Guide

| Recommended Action | Impact | Change-ability | IC Level | Selected Priority |
|--|--------|----------------|----------|-------------------|
| 1. Expand scope and use COSCAP to monitor SMS implementation | 3 | 1 | P3 | 8 |
| 2. States to establish deadlines for establishment of SMS system | 2 | 2 | P5 | 11 |
| 3. Encourage other industry sectors to develop own BPs in addition to ICAO SARPs | 2 | 1 | P6 | 13 |
| 4. Launch training programme to aid in SMS implementation (COSCAP) | 3 | 3 | P1 | 3 |
| 5. ICAO to organize workshops on SMS for State and industry | 3 | 3 | P1 | 2 |
| 6. States to Use ICAO guidance material to develop SMS | 3 | 2 | P2 | 6 |
| 7. Develop safety reporting database | 3 | 2 | P2 | 7 |
| 8. States to enforce Industry in service occurrences reporting system to organizations responsible for type design | 2 | 3 | P4 | 10 |
| 9. Establish a Regional Aviation Safety Team | 2 | 2 | P5 | 12 |

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Prioritize the Recommended Actions Using the Impact-Changeability Level as a Guide

| Recommended Action | Impact | Change-ability | IC Level | Selected Priority |
|---|--------|----------------|----------|-------------------|
| 10. Establish Regional Safety Oversight Organization | 3 | 1 | P3 | 9 |
| 11. Expedite regional implementation of CNS | 3 | 2 | P2 | 5 |
| 12. ICAO to raise awareness of SMS at the highest political levels | 2 | 3 | P4 | 1 |
| 13. States to update civil aviation laws and regulations to incorporate SMS | 3 | 2 | P2 | 4 |
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