Effective Safety Investigations and SMS

Marc St-Laurent

AIG Vision

The ultimate and overall goal is to help States

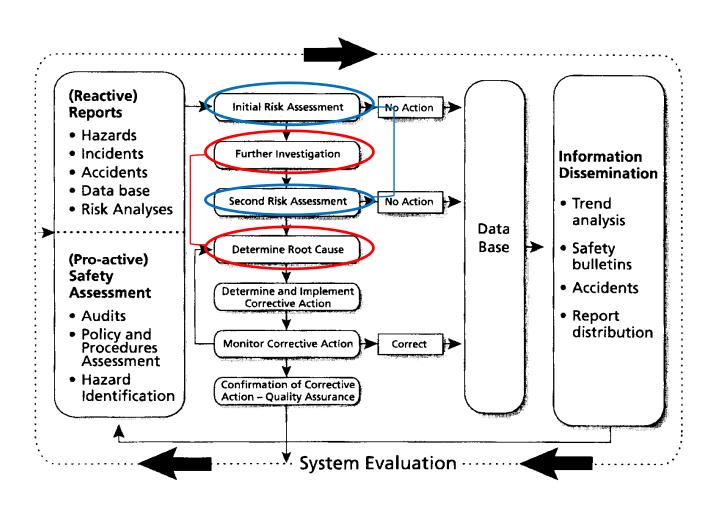
- Establish adequately resourced and staffed Investigation Authorities to respond to and conduct investigations into accidents and incidents or potential safety issues in a competent, and independent and objective manner,
- With the view to actively assume their key role within the States SSP to effectively Identify Hazards and communicate their related Findings in a way that results in prompt and effective Safety Actions being taken by key risk stakeholders to prevent losses from damage or injury and improve aviation safety overall.

Where do investigations fit within SMS?

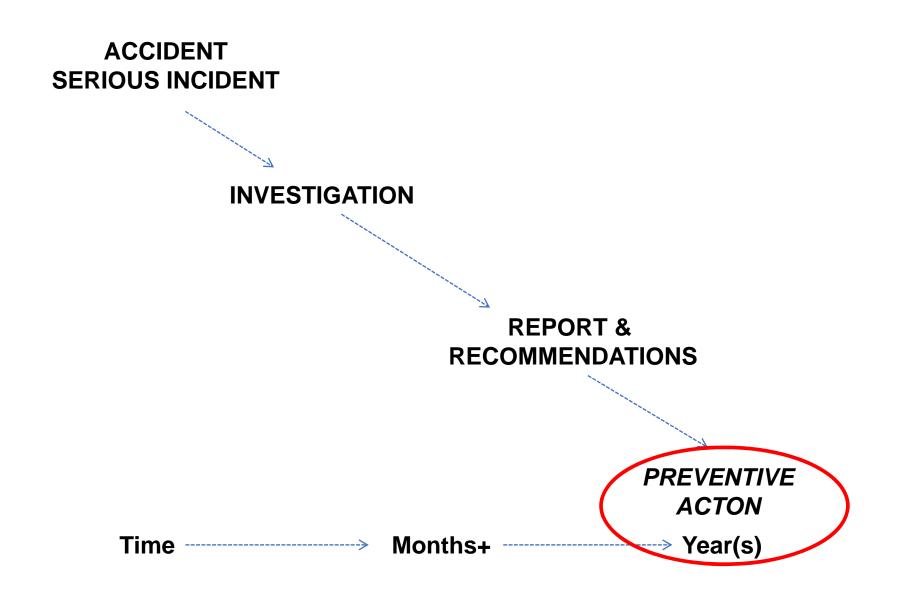
1. Safety policy and objectives

- 1.1 Management commitment and responsibility
- 1.2 Safety accountabilities
- 1.3 Appointment of key safety personnel
- 1.4 Coordination of emergency response planning
- 1.5 SMS documentation
 - 2. Safety risk management
- 2.1 Hazard identification
- 2.2 Risk assessment and mitigation
 - 3. Safety assurance
- 3.1 Safety performance monitoring and measurement
- 3.2 The management of change
- 3.3 Continuous improvement of the SMS
 - 4. Safety promotion
- 4.1 Training and education
- 4.2 Safety communication

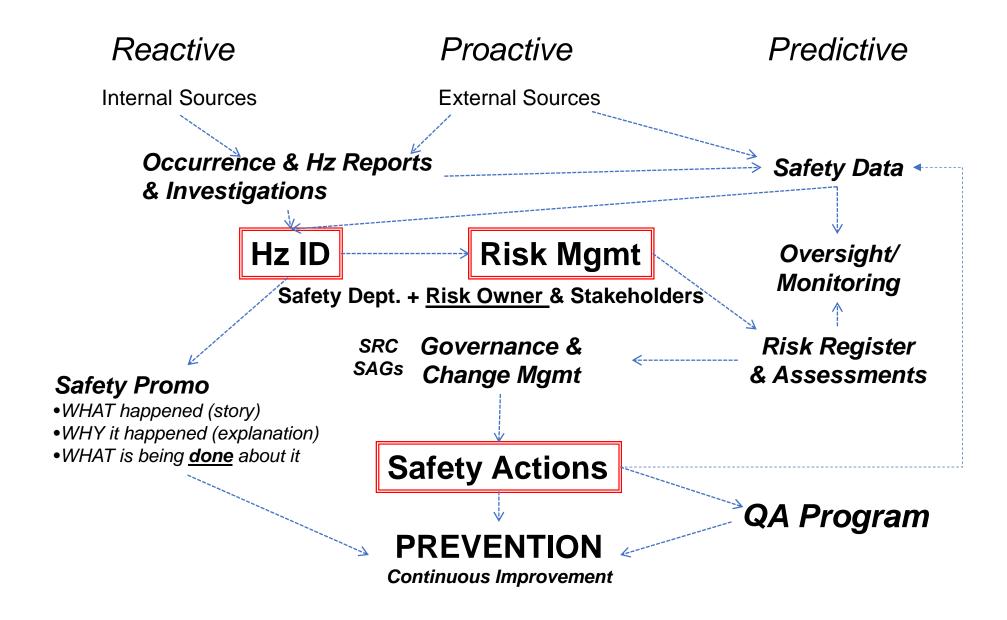
SMS Process Flow (TC c.2000)



Accident Investigations



Safety Action Process



To do something about these issues

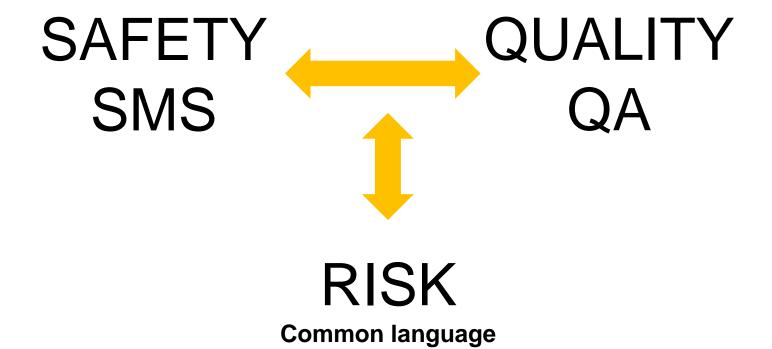
"If you always do what you've always done, you always get what you've always gotten."

Jessie Potter (c.1981, "The Milwaukee Sentinel")

It's all about effecting CHANGE!

When one UNDERSTANDS what are the issues, one will DO something about them!

Safety & Quality



Safety Culture comprises

INFORMED CULTURE

Those who manage and operate the system have current knowledge about the human, technical, organisational and environmental factors that determine the safety of the system as a whole.

REPORTING CULTURE

An organizational climate in which people are prepared to report their errors and near-misses.

FLEXIBLE CULTURE

A culture in which an organisation is able to reconfigure themselves in the face of high tempo operations or certain kinds of danger - often shifting from the conventional hierarchical mode to a flatter mode.

JUST CULTURE

An atmosphere of trust in which people are encouraged (even rewarded) for providing essential safety-related information, but in which they are also clear about where the line must be drawn between acceptable and unacceptable behaviour.

LEARNING CULTURE

SAFETY

CULTURE

An organisation must possess the willingness and the competence to draw the right conclusions from its safety information system and the will to implement major reforms.

HK CAD

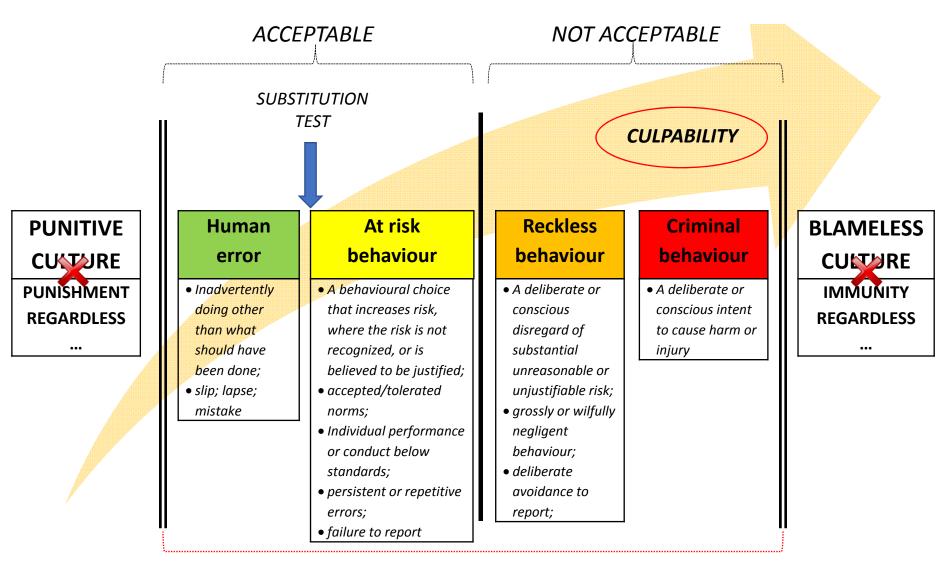
CAD 382 - The Mandatory Occurrence Reporting Scheme

- Where a safety report indicated an unpremeditated or inadvertent lapse (i.e. error or mistake) by a crew, the CAD expects organizations to act responsibly and share the CAD view that free and full reporting is the primary aim, and that every effort should be made to avoid action that may inhibit reporting.
- Except to the extent that action is needed to ensure safety, and except in cases of gross negligence or recklessness, the CAD expects organizations to refrain from disciplinary or punitive action which might inhibit the crew or staff from duly reporting incidents.

Just Culture Policy (example)

- The Company wishes to make it clear that the purpose of the safety investigation is to **establish facts and contributory factors** and not to apportion blame or liability. Although specialist cultures and tasks vary from department to department, the common elements of this policy are:
 - Every employee is obliged to report all accidents, serious incidents, incidents and hazards that compromise the safety of our operation and work environment.
 - The reporting of unpremeditated or inadvertent errors will not result in disciplinary or punitive action being taken against the reporter.
 - Those occurrences involving dereliction of duty, reckless behaviour, persistent breaches of company standards, or deliberate failure to report, will be handled in accordance with individual department disciplinary procedures.

JUST CULTURE



Balanced Approach

The Three Behaviors

Human Error

Product of Our Current System Design and Behavioral Choices

Manage through changes in:

Console

- Choices
- Processes
- Procedures
- Training
- Design
- Environment

At-Risk Behavior

A Choice: Risk Believed Insignificant or Justified

Manage through:

- Removing incentives for at-risk behaviors
- Creating incentives for healthy behaviors
- Increasing situational awareness

Coach

Reckless Behavior

Conscious Disregard of Substantial and Unjustifiable Risk

Manage through:

- Remedial action
- Punitive action

Punish

Disciplinary

Non Disciplinary

Questions?