



**Safety Management System (SMS) Implementation
Workshop for Air Navigation
Service Providers (ANSPs)**

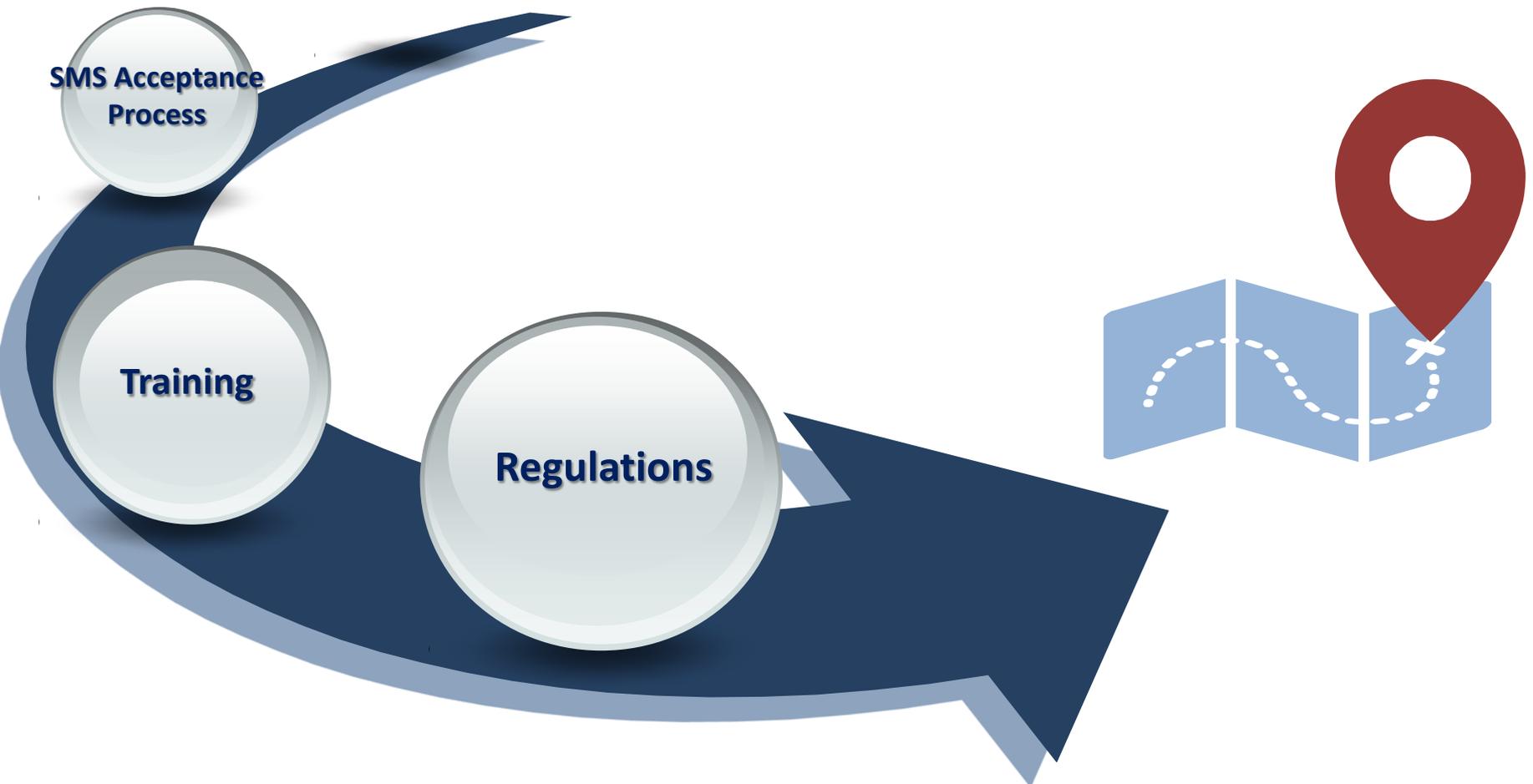
Mexico City, Mexico, 17 – 19 July 2018

SMS Acceptance

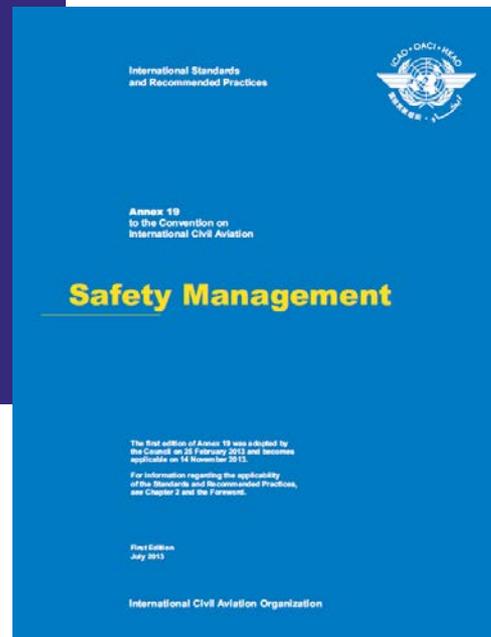
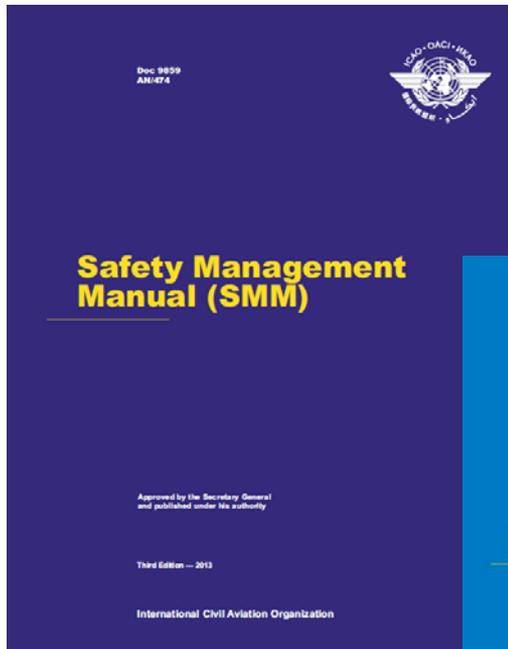
For Air Navigation Service Providers (ANSPs)



What we need as a State?



State's Regulations for the SMS Implementation



REPUBLICA DOMINICANA



Sistema de Gestión de la Seguridad Operacional (SMS)
RAD 110



SMS Framework



Phase 1 SMS Acceptance Process

Objective

Verify the SMS implementation basic planning and assignment of responsibilities.

Critical Success Factor



Accountable Executive Evaluation



Safety Manager Evaluation



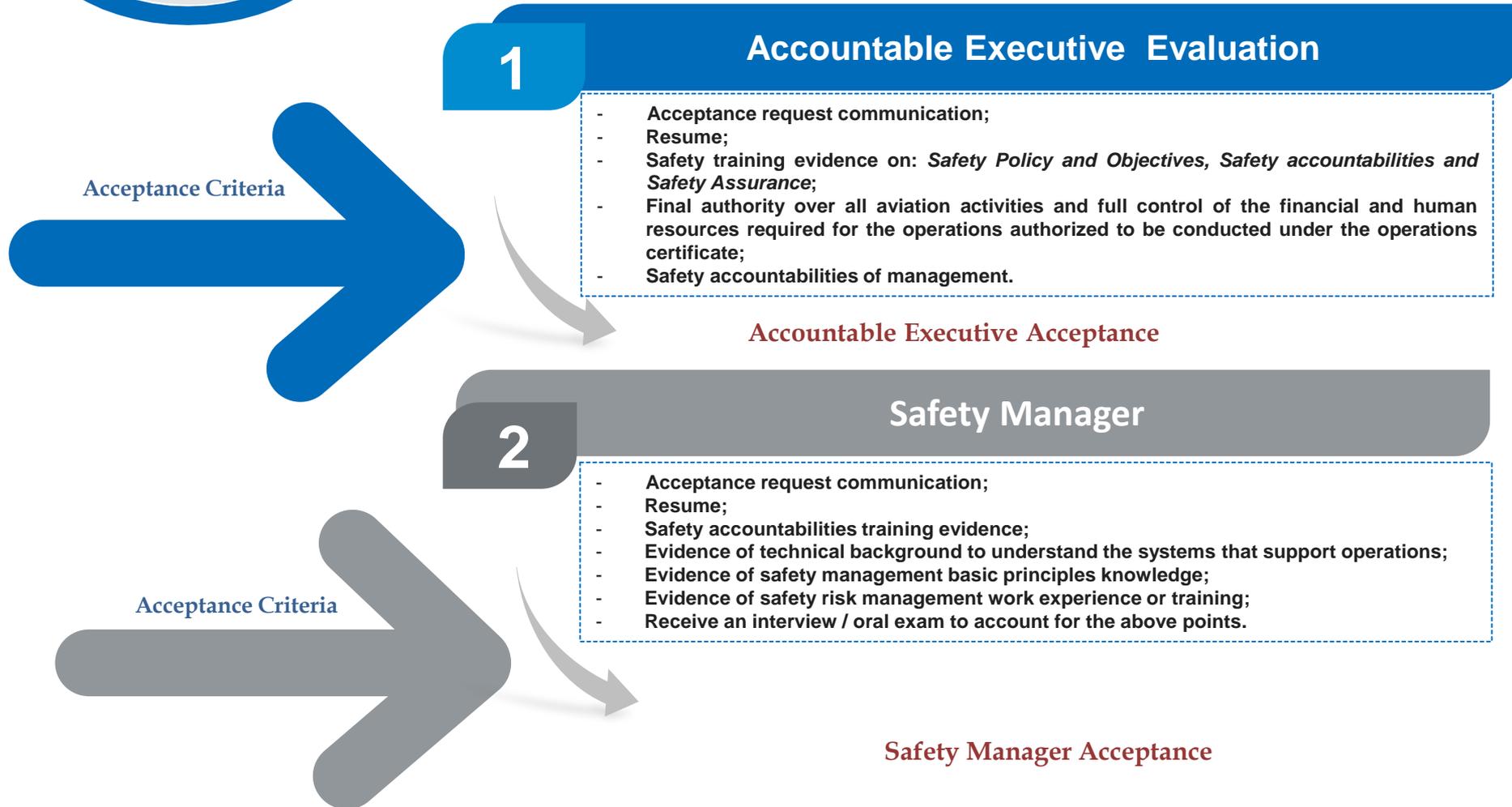
SMS Implementation Plan Acceptance



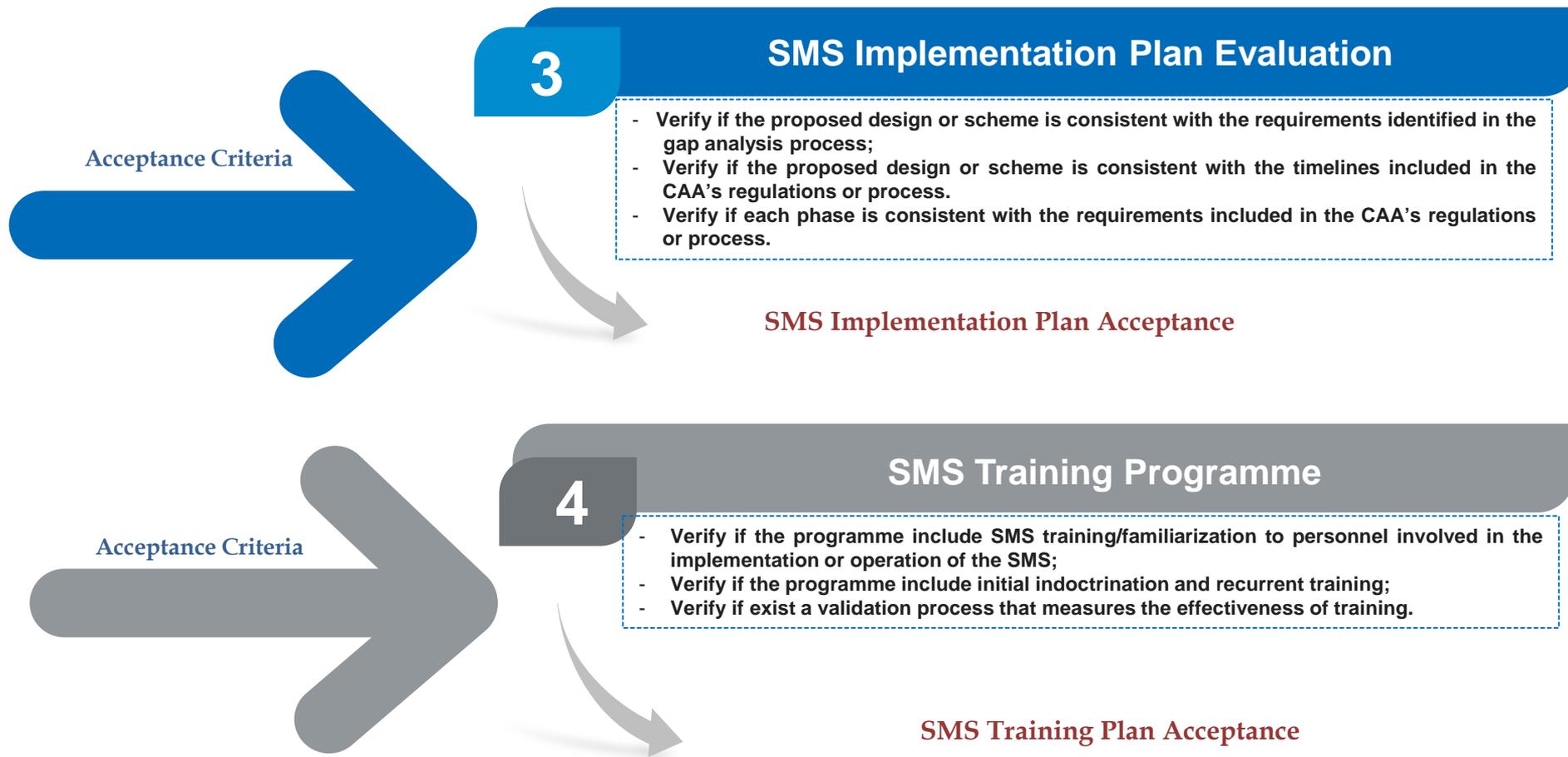
SMS Training Programme Acceptance



Phase 1 SMS Acceptance Process



Phase 1 SMS Acceptance Process



Phase 1 SMS Acceptance Process

10

Conformation of the Safety Office

Acceptance Criteria

Verify if the ANSP conformed a Safety Office

9

SMS Implementation Planning Group

8

Gap Analysis

Acceptance Criteria

Verify if the structure and processes existing in the ANSP are conducted against the ICAO SMS framework.

Acceptance Criteria

Members Accountabilities

System Description

5

Acceptance Criteria

Verify the SMS elements and their interface with existing systems and processes and the SMS interfaces within the ANSP, as well as pertinent interfaces with other external organizations such as subcontractors.

Definition of the Scope and applicability of the SMS

6

Acceptance Criteria

Verify if the ANSP has defined the scope its activities (departments/divisions) to which the SMS is applicable, through a process map.

Establishment of Safety Communication Means

7

Acceptance Criteria

Verify if the ANSP has established means to convey safety information through any of:

- 1) safety newsletters, notices and bulletins;
- 2) websites;
- 3) email.

Phase 2 SMS Acceptance Process

Objective

Verify the implementation of the fundamental safety management processes aimed to consolidate existing activities.

Coordinate with the service provider an on-site visit to verify phase 2.

Critical Success Factors



Safety Policy Evaluation



Safety Objectives Evaluation



Emergency Response Plan Evaluation



Phase 2 SMS Acceptance Process

Element 1.1

Management
commitment and
responsibility

Acceptance Criteria

- Verify that the safety policy statement is in compliance with the regulations of the ACC;
- Verify the inclusion of SMS requirements for the contracting and subcontractors process;

Element 1.2

Safety
Accountabilities

Acceptance Criteria

- Verify that the identified safety responsibilities are extended to all personnel, in accordance, according to the level of participation of the SMS.
- Verify the proposed outline regarding the conformation of the SMS Coordination Committee;

Coordination of
Emergency
Response Planning

Acceptance Criteria

- Verify that the Emergency Response Plan is in accordance with the requirements established in the regulations of the ACC;

SMS
Documentation

Acceptance Criteria

- Verify the SMS Manual in accordance with the requirements established in the AAC regulations;
- Verify that the SMS records system maintains the records in a way that provides a historical reference and indicates the current status of the SMS processes.

Element 1.4

Element 1.5

Phase 3 SMS Acceptance Process

Objective

Verify the implementation of risk management processes safety, ensuring the proper collection and analysis of safety data.

Coordinate with the service provider an on-site visit to verify phase 3.

Critical Success Factors



Verification of Voluntary Notification Procedure



Verification of Hazard Identification Process / Procedure



Verification of Safety Risk Management Process / Procedure



Verification of Internal Occurrence Reporting and Investigation Process/Procedure



Phase 3 SMS Acceptance Process

Objective

Verify the implementation of risk management processes safety, ensuring the proper collection and analysis of safety data.

Critical Success Factors

-  Verification of High Consequence Safety Indicators
-  Verification Management of Change Process/Procedure
-  Verification SMS Internal Audit Process / Procedure
-  Verification of Internal Occurrence Reporting and Investigation Process/Procedure



Phase 3 SMS Acceptance Process

Verification Internal
Occurrence Reporting and
Investigation Process /
Procedure

Safety Performance
Agreement

Verification of Hazard
Identification Process /
Procedure

Verification Management
of Change
Process/Procedure

Verification
Voluntary
Reporting
Procedure

Verification of Safety
Risk Management
Process / Procedure

Verification of High-
Consequence Safety Indicators

Verification SMS Internal Audit
Process / Procedure

Phase 3 SMS Acceptance Process

Verification
Voluntary
Reporting
Procedure

Acceptance Criteria:

Verify that the means by which voluntary notifications can be made are established, such as:

- Safety Reports
- Safety Mailbox
- Emails
- Others

Phase 3 SMS Acceptance Process

Acceptance Criteria:

- Verify that the essential characteristics of the operations have been taken into account to identify the hazards.
- Verify the formal means used for collection and feedback.
- Verify means combine reactive, proactive and predictive methods.

Verification of Hazard
Identification Process /
Procedure

Phase 3 SMS Acceptance Process

Acceptance Criteria:

- Verify that there are criteria for determining the probability and severity of events.
- Verify that there are criteria for the evaluation of tolerability.
- Verify that there are criteria to determine the need to implement safety controls.
- Verify that the safety reports are used to identify new hazards and that the associated risk is calculated.
- Verify that the risk assessment and mitigation contemplates operational hazards.



**Verification of Safety
Risk Management
Process / Procedure**

Phase 3 SMS Acceptance Process

Verification Internal
Occurrence Reporting and
investigation Process /
Procedure



Acceptance Criteria:

- Verify that internal investigations are conducted for certain reportable safety events in accordance with internal or regulatory requirements.**

Phase 3 SMS Acceptance Process

Verification Management of Change Process/Procedure

Acceptance Criteria:

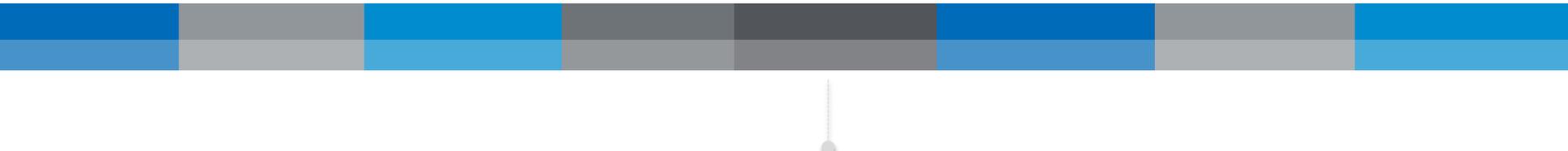
Verify that the process / procedure ensures that:

- Management of change procedures address the impact on existing safety performance and risk mitigation records before implementing new changes.
- Establish procedures to ensure that safety assessment of new aviation safety-related operations, processes and equipment are conducted (or accounted for) as applicable, before they are commissioned.

Phase 3 SMS Acceptance Process

Acceptance Criteria:

Verify that high-consequence safety indicators results have been included (for example, accidents and serious incidents).



**Verification of High-
Consequence Safety Indicators**

Phase 3 SMS Acceptance Process

Acceptance Criteria:

Verify that you take into consideration the following :

- An Annual internal SMS audit/assessment has been planned and carried out.
- Internal audits are carried out by people or departments that are independent of the functions that are evaluated.
- Internal evaluations or self-audits are carried out.



**Verification SMS Internal Audit
Process / Procedure**

Phase 3 SMS Acceptance Process

Safety Performance Agreement

Acceptance Criteria:

- Analyze safety events of the ANSP for the establishment of the baseline;
- Prioritize the areas of greatest risk;
- Establish Safety Performance Indicators

Some examples of these indicators would be:

- 1) Loss of Separation
- 2) Runway Incursion
- 3) Large Altitude Deviations (LHD)

Phase 4 SMS Acceptance Process

Objective

Verify the mature implementation of safety risk management and safety assurance.

Critical Success Factor



Verification of the Disciplinary Procedure/Policy



Verification of integration of hazard identification and risk management procedures with the subcontractor or customer SMS where applicable.



Verification of lower-consequence safety/quality indicators with target/alert level monitoring as appropriate (mature ALoSP).



Verification of the execution of SMS audits.



Phase 4 SMS Acceptance Process

Verification of the Disciplinary Policy

Verification hazard identification and risk management with the subcontractor process SMS interface

Verification of High Impact Safety Indicators

Verification of the execution of SMS Audits



Acceptance Criteria :

Verify that there is an interface for managing hazard identification between the SMS and the subcontractor.



Acceptance Criteria :

Verify that the results have been included lower consequence (ex. incidents, findings that noncompliant or irregularities).



Acceptance Criteria :

Verify that the audits have been carried out according to the audit plan and the internal SMS audit process.

Acceptance Criteria:

Verify that the policy considered accidental errors and deliberate violations.

Phase 4 SMS Acceptance Process

Execution SMS Acceptance Audit



Acceptance Criteria:

Verify that the ANSP complies with all applicable requirements of the national regulations.



Acceptance Criteria:

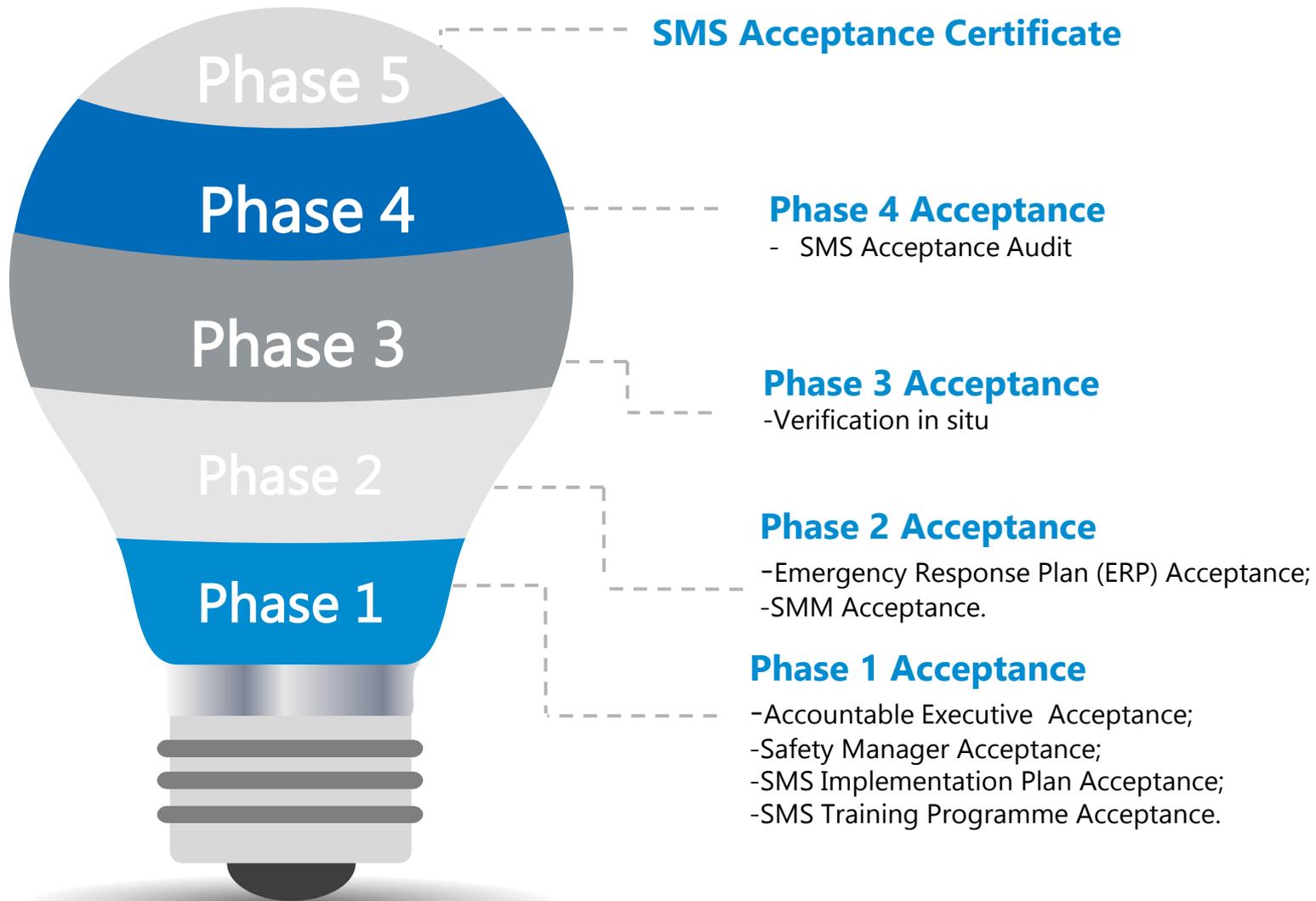
Verify that implemented processes are being executed in accordance with what is established in them.



Acceptance Criteria:

Verify that the ANSP complies with what is prescribed in its SMS Manual / ERP Manual.

SMS Acceptance Process Results





17/07/2018

Taller Implementación de SMS para
Proveedores de Servicios de Navegación
Aérea



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