

# Establishing and Maturing a Safety Management System

## Air Traffic Organization

**Presented to:** Safety Management Implementation  
Workshop for Air Navigation Service Providers

**Presented by:** Federal Aviation Administration

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Federal Aviation  
Administration



# SMS: Chronological Overview

2000

SMS Gap Analysis conducted

2003

ATO SMS implementation begins

2004

SRM Integration Plan completed; first SMS Manual published

2005

CAA mandated ATO to implement an SMS in five years

2007

CAA validated minimum requirements; ATO published first ATO SMS order

2009

Over 28k employees completed SMS training; ATO began implementation of Voluntary Safety Reporting Program

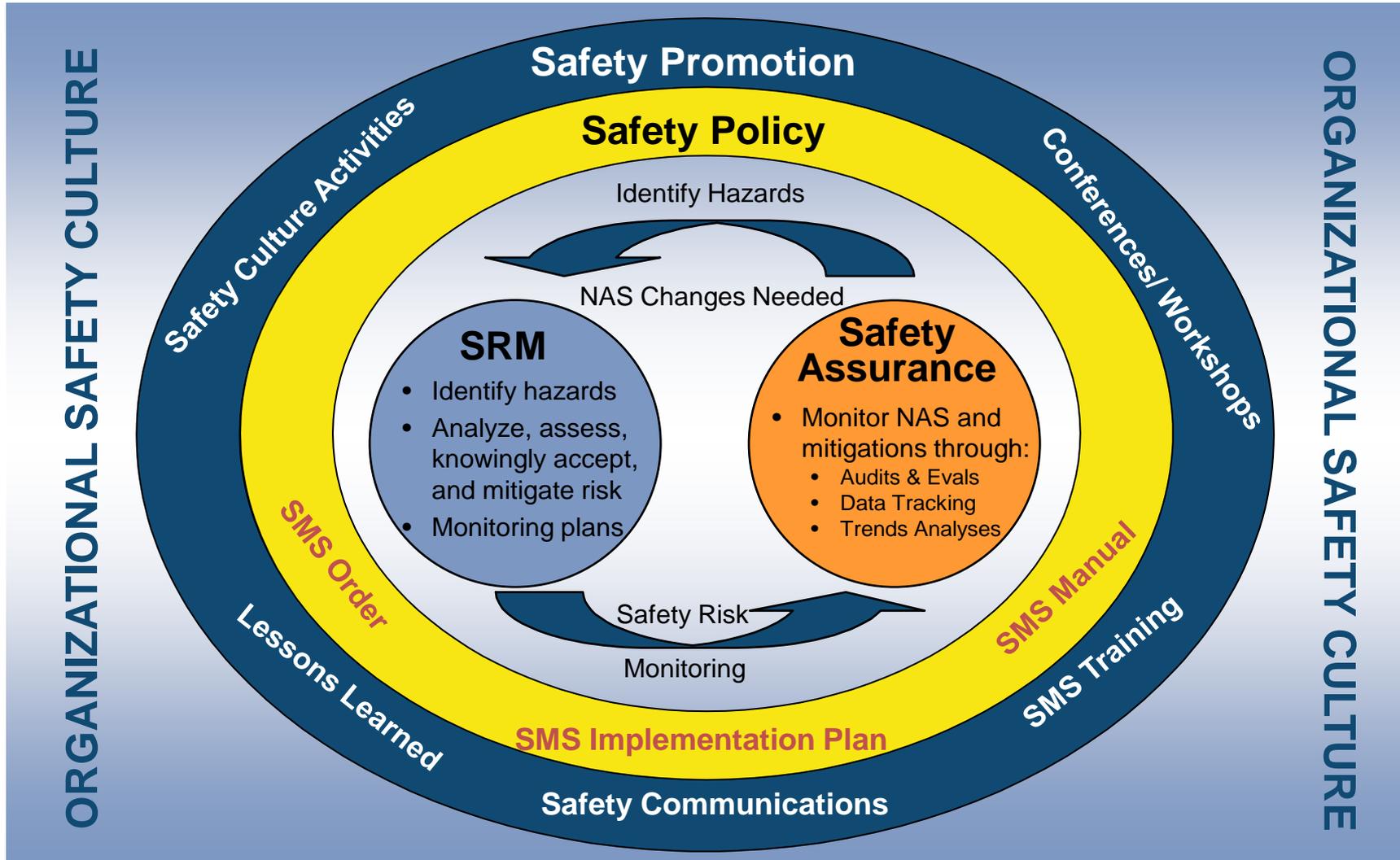
2010

ATO SMS approved by CAA

Today

Level C Maturity – CANSO Standard of Excellence

# Air Traffic Organization SMS



# ATO Solutions to SMS Challenges



# Establishing a Safety Organization

Challenge	Solution
<b>Securing leadership commitment</b>	<ul style="list-style-type: none"><li>• Developed executive level training</li><li>• Establish key performance indicators</li><li>• Incorporated safety goals into business plan</li></ul>
<b>Resolving resource constraints</b>	<ul style="list-style-type: none"><li>• Address personnel and funding issues by hiring permanent safety staff</li></ul>
<b>Prioritizing safety and operational efficiency</b>	<ul style="list-style-type: none"><li>• Launch safety promotion efforts including training for frontline employees and managers</li></ul>

# Creating Consistent Policies and Processes

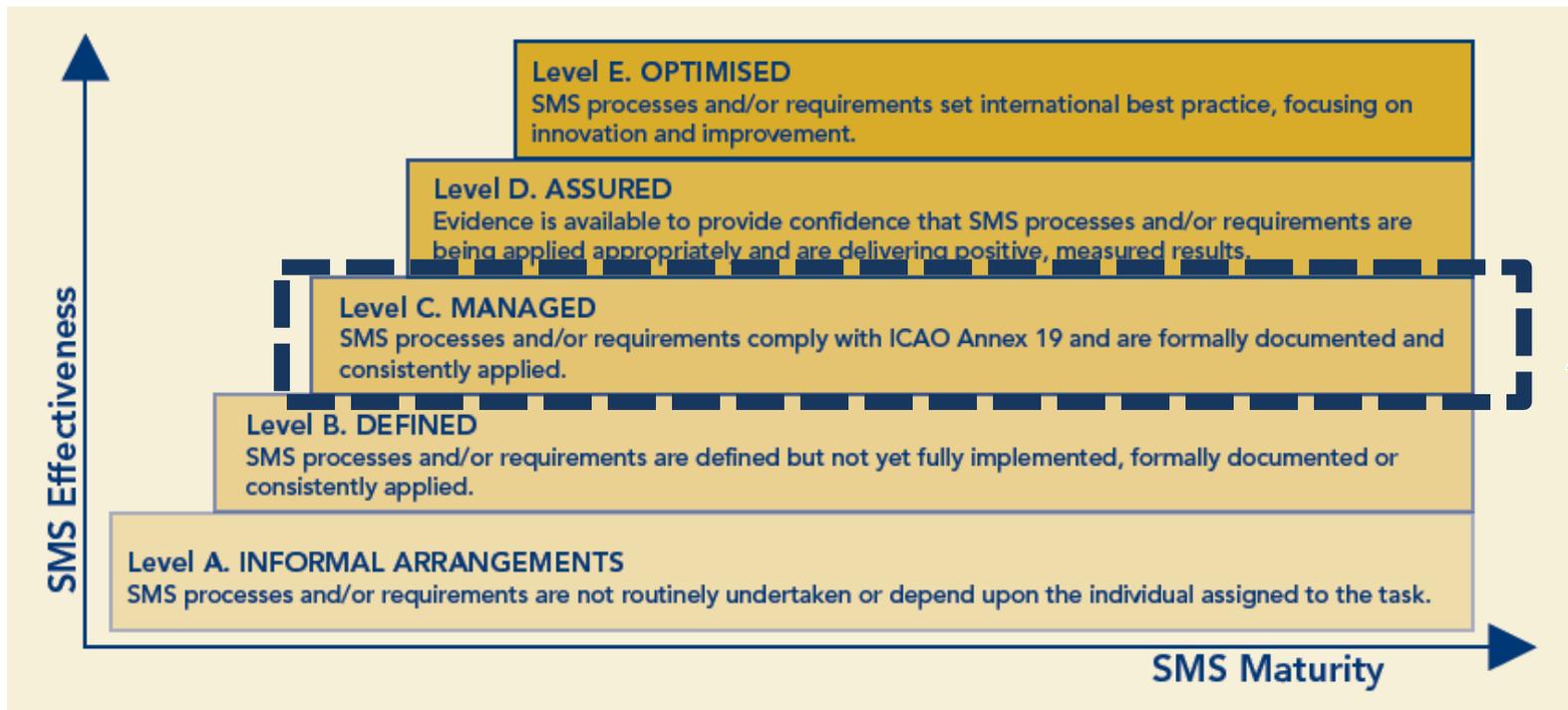
Challenge	Solution
<b>Integrating standardized processes into the ATO</b>	<ul style="list-style-type: none"><li>• Create and facilitate SMS familiarization courses and training for performing risk management</li><li>• Introduce structured, documented processes</li><li>• Develop SMS policy</li></ul>
<b>Managing and mitigating safety risk</b>	<ul style="list-style-type: none"><li>• Provide a methodology for risk assessment that is both quantitative and qualitative</li><li>• Create mechanism to accept/reject safety risk</li><li>• Mandate SRM at local facilities</li></ul>
<b>Using operational data as risk indicators</b>	<ul style="list-style-type: none"><li>• Establish link between operational performance and SRM</li></ul>

# Communicating and Reporting Safety

Challenge	Solution
<b>Creating management-level communication channels</b>	<ul style="list-style-type: none"><li>• Create conduits for managing safety (Safety Managers Forum, Change Advisory Group, SMS Committee, SMS Executive Council, Safety Collaboration Team, etc.)</li></ul>
<b>Implementing non-punitive reporting mechanisms</b>	<ul style="list-style-type: none"><li>• Administer safety culture survey</li><li>• Create awareness of what a positive safety culture is through roadshow briefings</li><li>• Implement a voluntary safety reporting program</li></ul>
<b>Coordinating SMS and safety issues with CAA</b>	<ul style="list-style-type: none"><li>• Proactively work with regulator to manage safety concerns</li></ul>

# SMS Maturity

- Every year, we assess our maturity using the CANSO Standard of Excellence



ATO