

SMS Implementation

Myths and misconceptions about SMS

Northwest Chapter AAE – Spokane, Washington

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Today's Presentation

- CPI's background working with SMS
 - Wrote the first version of this SMS Implementation Plan (SMSIP) in 2003
 - First of four SMS implementations 2004
 - Most recent 2008 – 2009 – San Antonio, TX
- Not an SMS Plan but a plan to develop SMS Plan
 - Not required by FAA
 - Learn while you plan

SMSIP

- Ask questions as we go
- A guide to get you started
 - Use or modify as you like
- Creates your written plan to develop SMS
- Works for all size airports, the elements are the same for Denver as they are for Billings or Cheyenne
- Makes you think about the tasks
 - What must be done
 - When must it be done

SMSIP Chapter I - General Principals of SMS – SMS Overview

■ Introduction to SMS

- Purpose
- Background
- What is a SMS
- What does it take to build a SMS
- What does a SMS do for your organization
- How does a SMS differ from traditional approaches
- Challenges of SMS implementation

■ Consequences of implementation

- Must set safety goals
- Must implement a safety planning process
- Must document the safety system
- Must establish performance criteria
- Must create a system to measure performance
- Must begin integrating SMS into work practices.
- Must realize that SMS is a MAJOR change to the way business is done
- Must train employees about SMS
- Must develop a risk management process

SMSIP Chapter II - The elements of a SMS – SMS requirements

- Senior management commitment
- Safety policy
- Safety information
- Safety as a core value
- Safety goals
- Risk management
- Safety reporting system
- Safety audit mechanism
- Accident / incident investigation
- Training
- Emergency response
- Documentation

SMSIP Chapter III - Developing a Safety Culture

- **Safety Culture**
 - An informed culture
 - A just culture
 - A reporting culture
 - A learning culture

SMSIP Chapter III - Developing a Safety Culture

■ Consequence of Implementation

- Develop training for employees that allows them to understand hazards and risks involved with their own operation
- Teach staff to continuously identify and overcome work related safety threats
- Develop a Just Culture philosophy and practice in dealing with safety issues
- Develop a reporting culture where people are encouraged and rewarded to report safety issues
- Encourage employees to be creative in their approach to solving problems
- Develop in senior management an attitude that requires safe practices as its foremost consideration
- Develop sufficient resources, personnel and financial to properly operate the SMS
- Develop a system for management to acknowledge safety concerns
- Develop a system to provide feedback on safety related issues of concern for both airport employees and non-employees

SMSIP Chapter IV - Responsibilities and Accountabilities

■ Who is involved in a SMS

- Senior management
- SMS Manager (Safety Officer)
- Safety committee(s)
- Tenants
- Vendors
- FAA
- Employees

■ Consequence of Implementation

- Develop and appoint of Safety Officer to oversee the SMS program.
- Develop an organizational structure(so) to support SMS
- Develop a Safety Committee process that can assist the Safety Officer with Risk Management analysis and recommendations
- Develop SOP's for the Safety Officer and Safety committee such as:
 - meeting minutes
 - membership in the Safety Committee
 - other practices of the Safety Committee
- Determine the makeup of the Safety Committee.
- Develop systems, procedures, practices, and policies to disseminate safety related information to staff

SMSIP Chapter V - SMS Organizational Structure

- **Accountable Executive**
- **Responsible Executive**
- **Consequence of Implementation**
 - Identify key positions
 - Identify reporting relationships
 - Develop an organizational chart for the SMS Plan Manual
 - Define roles and the responsibilities in the SMS Manual.

SMSIP Chapter VI - Risk Assessment, Establish Targets for Safety Performance and Risk Management

- Hazards and Risks
 - What is a hazard and what is a risk?
 - When is the formal Risk Assessment process initiated?
- Hazard Identification Process
- Risk Management Process
- Risk Management Matrix (RMM)
- Risk Management Evaluation Team
- Reduction, Elimination and Mitigation and Risk Avoidance – Defenses
- Risk Management Matrix (RMM)
- Risk Management Evaluation Team
- Reduction, Elimination and Mitigation and Risk Avoidance – Defenses
- Staff Training
- Systems Review (Audit)

SMSIP Chapter VI – cont.

■ **Consequence of Implementation**

- Develop risk management policies, practices, and procedures
- Form risk management evaluation teams (RMET)
 - Establish a process to gather information at each of the airports
- Training RMET members should be a priority
- Airport RMET should initiate a process to identify risks
- Airport should adopt a risk management tool or process
- Develop processes for auditing the procedures they implement to resolve risk management issues

SMSIP Chapter VI – Factors Affecting Safety Management

- Reporting System to Record Hazards, Risks and Actions Taken
- Investigation and Verification of Data
- Just Culture
 - Developing a Just Culture
- Just Culture Principles
 - Accountability
- Confidentiality of Records
- Communications with Staff

SMSIP Chapter VII – Factors Affecting Safety Management

- Reporting System to Record Hazards, Risks and Actions Taken
- Investigation and Verification of Data
- **Just Culture**
 - Developing a Just Culture
- **Just Culture Principles**
 - Accountability
- **Confidentiality of Records**
- Communications with Staff

SMSIP Chapter VII – cont.

■ Consequence of Implementation

- Must commit to making safety number one business goal
- Must train managers about Just Culture and insist that they use the concepts in dealing with employees
- Must begin processes to embrace the concept of Just Culture into the workplace
- Must begin to foster procedures to encourage employees to bring forward safety concerns in their area of expertise or in areas where they see what appear to be unsafe practices
- Must continually work to improve the safety of the airport systems and proactively seek to find and repair system safety issues
- Must begin fostering continuous SMS training for all employees of the airport
- Must seek input and concerns from all stakeholders
- Must regularly audit its SMS
- Must consider the confidential treatment of records

SMSIP Chapter VIII – Safety Management Policies and Practices

■ Policy Development

- **Just Culture Policy**
- SMS Training Policies and Practices
- **Hazard Reporting Practices and Procedures**
- **Confidentiality of Report Procedures and Practices**
- Risk Assessment Procedures, Policies and Practices
- Risk Management Practices
- Goal Setting and Performance Review Policy
- Procedures to Support Safety Planning
- Procedures for Annual Review of SMS Plan Manual
- Develop Universal Reporting Formats
- Develop Procedures, Policies and Practices to Share Safety Information with Employees of the Airport
- Quantity Safety Training Programs, Set Policies on Initial and Recurrent Training
- Policies, Practices and Procedures for Operation and Management of the Airport Safety Committee
- Procedures, Policies and Practices to Investigate Reported Hazards or Problems

■ Consequence of Implementation

- Develop policies, practices and procedures to support and effectuate SMS as the SMS Plan Manual is developed
- Set safety objectives and processes to implement the objectives

SMSIP Chapter IX – Developing, Gathering and Tracking of Safety Related Data

- **System for Reporting Hazards, Events or Safety Concerns**
- **What Should Be Reported**
- **Who Should Report Hazards**
- **How are the Reports Made**
- **Report Investigation and Analysis**
- **Corrective Action**
- **How to Respond to the Reports**

SMSIP Chapter IX – Developing, Gathering and Tracking of Safety Related Data – cont.

- **Consequence of Implementation**
 - Develop its information gathering systems at the airport
 - Educate the reporting population about the DBMS. (What is a hazard, how to report it, what is available to them to report, etc.)
 - Develop feedback systems to provide information to reporters of safety information

SMSIP Chapter X – Auditing the Procedures and Oversight Processes

- **Develop Audit Process**

- Internal audits
- External audits

- **Consequence of Implementation**

- Develop an internal auditing system for SMS as part of its SMS Plan

SMSIP Chapter XI – SMS Training

■ SMS Training Program

- General Principals of Safety Management System (SMS Overview)
- The Elements of a Safety Management System (SMS Requirements)
- Developing a Safety Culture
- Responsibilities and Accountabilities
- SMS Organizational Structures
- Risk Assessment, Establishing Targets for Safety Performance and Risk Management
- Factors Affecting Safety Management
- Safety Management Policies and Practices
- Developing, Gathering, and Tracking of Safety Related Data
- Auditing the Procedures and Oversight Processes

■ Consequence of Implementation

- Educate employees on SMS
- Develop recurrent SMS training for employees
- Develop initial SMS training for employees
- Develop safety policies and policy training for employees
- Foster a safety culture within the airport

SMSIP Chapter XII – SMS Implementation Schedule

- 5 to 10 year SMS development schedule
- Consequence of Implementation
 - Develop a schedule that can be updated and adjusted

Myths

- I'm already doing SMS
- SMS is for the airfield only
- SMS is the same at every airport
- SMS is an unfunded mandate
- SMS costs a lot

The beginning and the end

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