

# CANSO SMS Evolution Guide

DRAFT

## Background

At its conference in Budapest in 2016, the Safety Standing Committee (SSC) asked the Future Safety Development Working Group to action the following:

*Produce a plan for production of a Safety Management Evolution guide as a companion to the SMS Implementation Guide. The guide will focus on maturity Levels 'D' and 'E' of the SoE in SMS.*

*Produce a plan for developing for Safety II concepts, based on the exemplar presented in the Safety Performance Monitoring Chapter of the SMS Implementation Guide for inclusion in the Evolution Guide.*

*Promote best practices to deliver the ICAO requirements for Fatigue Risk Management*

The SSC recognised that to mature safety management practices, ANSPs would benefit from an improved understanding of what others were doing, and that there was the need to publish proposed practices which are based on contemporary thinking in the safety management sphere. These proposals have yet to be fully adopted by any ANSP, but they are viewed as having significant potential in the industry's efforts to evolve how safety is managed.

## Purpose

The purpose of this paper is to provide the SSC with draft examples of Evolution Guides and a strategy for how future Evolution Guides may be developed.

## Issues

1. The actions from the SSC required that the FSDWG produce both:
  - a. A plan for development of an Evolution Guide
  - b. An Evolution Guide that address both Maturity D and E, and a further guide proposed practices which have yet to be completed
2. The FSWG does not believe a single Evolution Guide is an appropriate way to document evolving safety management practices, rather that specific Evolution Guides are developed for specific SMS elements. The rationale for this opinion is:
  - a. In some cases, the SMS processes and practices are unlikely to evolve significantly (eg Safety Policy), so an Evolution Guide may not be warranted;
  - b. The advanced guidance should be easy to access and modify as they are likely require more updating as practices evolve, and our experience has been that the size of the Implementation Guide makes it a difficult document to both negotiate as a reader and difficult to modify for those drafting new text and undertaking technical editing.
3. In 2017, a number of Optimised Practices (Level E) have been identified. The optimized practices have been selected on the basis of their novelty, innovation or the recognition of their potential to manage operational risks. All of these ANSPs reported, in the submission of the practice for the review by the FSDWG, that they were happy to share their best practice.
4. Airservices approach to fatigue risk management was identified as an Optimised Practice, and as such delivers a means by which the FSWG can address the action *Promote best practices to deliver the ICAO requirements for Fatigue Risk Management*
5. It would be very difficult for the FSDWG to document the Optimised practices of an ANSP as they are unlikely to have sufficient appreciation of the practice to fully document the approach

4. ANSPs who have achieved Level D maturity are assuring that the implemented SMS is being applied appropriately, as such these practices don't necessarily present how an ANSP should evolve its SMS and should not feature in an Evolution Guide.

### **Proposed Approach**

1. Level D practices are not the focus of Evolution Guides (this counters the position put by the SSC in 2016).
2. Two Evolution Guides have been drafted as exemplars of both an existing and proposed optimised safety management practices, these being:
  - a. Airservices Australia's Fatigue Risk System which was identified as an Optimised practice; and
  - b. How Safety II concepts can be embedded in an existing SMS.
3. All ANSPs who have recognised optimised practices are asked to document these for publication on ATMNet. Those agreeing the document their practices would effectively be the plan called for by the SSC.

### **Recommendations**

The co-chairs of the FSDWG recommend:

- Two attached guides are endorsed for publication;
- All ANSPs whose practices have been recognised as Optimised in 2017 are asked to document them for future publication.