

## SMS Best Practice Submission

ANSP	NAV CANADA	Date of submission	August 2024
SoE Study Area	2.1 Safety Policy 6.2 Safety Risk Management		
Best Practice Title	Risk and Opportunity Based Corporate Safety Plan		
In use since	2018		
ANSPs using this practice	None		
<p>The Corporate Safety Plan has been a foundation for NAV CANADA's improvements in safety for over two decades. It provided the impetus for numerous improvements to operational safety, from the implementation of the Safety Management System (SMS) through to the Normal Operations Safety Survey, and the ongoing development of the NAV CANADA Safety Information System. These activities have led to the mature SMS that NAV CANADA has today, with well-defined and understood processes for the management of operational risks to a level as low as reasonably practicable.</p> <p>Over the years, the Corporate Safety Plan itself has remained consistent in concept; however, it focussed more on SMS issues and opportunities for improvement than operational issues which were addressed in other planning documents and processes. At the end of fiscal year 2016 with many Safety Plan goals scheduled to close, an opportunity arose to review the focus of the Plan to ensure the best support for the Company's intended direction. During fiscal years 2017 and 2018, NAV CANADA set out to modernize the Corporate Safety Plan and the reporting on its achievement.</p> <p>The results of this modernization effort were reflected in the FY2019 Corporate Safety Plan (produced in 2018). The effort resulted in the following enhancements:</p> <ul style="list-style-type: none"><li>• Includes activities to address the Company's top operational safety risks as well as implement SMS opportunities.</li><li>• Expressly demonstrates the link to corporate strategy, enterprise risk management, and other corporate processes.</li><li>• Has multi-year goals supported by annual initiatives relatable to operational, day-to-day activities.</li><li>• Has goal-driven measures including outcome measures (e.g., 75% of employees are aware of the top risks, reduction in fatigue risk metrics as compared to FY2019 Baseline, 75% of Safety Culture program measures have achieved target levels, etc.) as opposed to just transactional measures (e.g. project completed, system implemented, etc.).</li><li>• A targeted product for senior management and the Board of Directors; clearly capturing risks, SMS opportunities, multi-year goal measures, targets and annual initiatives, measures and targets.</li><li>• Structured quarterly reporting including full mid-cycle review with Goal Sponsors to make necessary course corrections and plan adjustments, and a year-end report clearly demonstrating achievement against the plan.</li><li>• A separate "face of safety" companion document, "Navigating Safety" targeted to all employees to key information.</li></ul> <p>The Safety Plan is the mechanism by which NAV CANADA fulfils its regulatory requirement to set, monitor and report on safety objectives and goals. It is prepared annually, and now contains:</p> <ul style="list-style-type: none"><li>• The safety goals that identify long-term (multi-year) improvements in safety performance to be achieved in a specific time; and</li><li>• An action plan for the respective fiscal year, to support achievement of those safety goals (i.e. Safety Initiative).</li></ul> <p>The Safety Plan is prepared for each NAV CANADA fiscal year (September-August), and the safety planning process is coordinated and aligned with the timing and structure of other enterprise-wide processes such as corporate strategic planning, and enterprise risk management.</p> <p>NAV CANADA's Safety Plan is organized into three main sections:</p> <ul style="list-style-type: none"><li>• Top Operational Safety Risks;</li><li>• SMS Opportunities; and</li></ul>			

- Closed /Monitored Goals.

The top operational safety risks are determined every two years by the Safety Risk Assessment (SRA) process that involves, among other things, significant input from operational personnel across the country. In the opposite year a full review with senior management is completed. Risk targets are set through the same SRA process, by the executive level risk owners.

These top operational safety risks remain in the Safety Plan until such time as the risk score reaches its target level, or if management deems it to be an ongoing risk requiring continued mitigation efforts (e.g., Cyber Security). The SMS opportunities are directly related to each of the six themes in NAV CANADA's Safety Strategy (released in Spring 2023) with supporting Initiatives identified through a variety of inputs including but not limited to the National Safety Trend Analysis, the SMS Management Review, and the CANSO SMS Standard of Excellence Maturity Assessment benchmarking exercise. Both the operational safety risks and the SMS opportunities must be related to one or more safety objectives (as documented in the corporate safety policy).

For each top operational safety risk and each SMS opportunity, long term (multi-year) goals are identified, and a goal statement supported by a short narrative describing the goal is documented. Goals related to the top operational safety risks are set to reduce these risks to a level as low as reasonably practicable. Goals related to SMS opportunities are meant to improve operational safety and the Company's Safety Management System. Each goal has a senior management level goal sponsor who identifies goal measures and targets. The action plan for the fiscal year is developed based on the multi-year goals, and contains the Initiatives (projects or activities) required to achieve the goal. Between FY18 and FY22, each initiative was assigned a priority level (high, medium, low) with high priority initiatives having a higher weight. In the summer of FY2023, to align with a new Corporate Planning approach, initiative prioritization was replaced with categorization as either Committed or Learning. Committed Initiatives are those that contribute to mitigating the Top Operational Safety Risks or seizing the SMS opportunity, meeting regulatory requirements, addressing a finding, directly supporting a corporate strategic initiative and/or are identified in other corporate or departmental plans. Committed initiatives are intended to ensure benefits are delivered through the implementation of the initiative. The deliverable is critical to safety improvement. Committed initiatives have a weighting of 60%. Learning Initiatives are those that help the Company improve its understanding of the risk / SMS opportunity. They are intended to ensure adequate time and effort is provided to learn, make decisions and establish a path forward for the next phase of the initiative. The deliverable improves the understanding of the potential paths forward to improve safety; and most often result in a report, recommendation or plan. Learning initiatives have a weighting of 40%.

Goal and Initiative measures and targets are set to assist in determining whether success has been achieved. They can be either output or outcome based (a combination of both is preferred) and can use leading and/or lagging indicators. If only one measure is listed for a Goal, it must be indicative of the expected outcome. For example, for a goal related to mitigating the risk of runway incursions, the rate of runway incursions (with a targeted reduction from a baseline) is preferred to the number meetings with stakeholders took place regarding runway incursions, because the meetings may or may not mitigate the risk.

As part of the evolution of the safety planning process, in 2022 a pilot project was conducted to better align risk drivers with goals and goal measures. For two of the company's top operational safety risks, a detailed review of the risk profiles was conducted to gain a more in-depth of the risk drivers and the risk mitigations necessary to address them. Demonstrating a clear link between the risks, the risk drivers, and the desired outcomes allows for the tracking of improvements over time and/or prompts to challenge the effectiveness of planned activities. The piloted methodology resulted in outcome measures that can demonstrate the impact of safety plan goals and initiatives on the top safety risks included in the FY23 Safety Plan. The methodology has been applied to additional safety risks and incorporated into safety plans in the FY24 Safety Plan.

The Safety Plan is updated to include the action plan, as well as any amendments reflective of a change in environment or new information, and is endorsed by the Executive Management Committee, and approved by the Board of Directors' Safety Committee. It is then published in both official languages and disseminated electronically to all staff.

Success of the Safety Plan is measured by a weighted completion rate of the percentage of Initiatives considered "completed/achieved" at year-end as assessed against the initiative's

measures. An initiative is marked as completed/achieved when all initiative measures have been achieved per the target. The Safety Plan is considered successfully completed if a weighted completion of 90% is achieved and approved by the Board of Directors Safety Committee. The Vice-President of Safety and Quality provides a year-end opinion regarding the achievement of the Safety Plan; however, it is the Board of Directors' Safety Committee that makes the final determination.

Quarterly reports on the Safety Plan are prepared and sent to the Executive Management Team as well as the Board of Directors' Safety Committee. These reports contain at minimum:

- the completion status of the Plan at the end of the quarter (YTD), as well as a forecast at fiscal year-end;
- a summary of initiatives completed during the quarter including (where possible) their impact on safety;
- identification of any issues / challenges realized during the quarter or expected to be encountered prior to fiscal year-end (heads-up); and
- requests for changes to the Safety Plan resulting from significant or exceptional changes to circumstances typically outside of Management's control.

These quarterly reports are prepared with input from Initiative Owners (OPIs) and Goal Sponsors, and evidence of completion/achievement of initiative measures is verified by NAV CANADA's Safety and Quality Department. Initiative Owners provide their input via an online tool (database). Safety and Quality provides oversight and review input and evidence provided by the OPIs. Safety and Quality's review is used as the main input to a PowerBI dashboard

As part of the Q2 reporting process, a meeting with all Goal Sponsors is held to review the Q2 status as well as the year-end forecast. This meeting is particularly important when the internal and/or external environment changes suddenly, as the impacts on the achievement of the Safety Plan will need to be discussed with the Board of Directors Safety Committee.

Mid-way through Q4, initiative OPIs are asked to update their year-end forecasts so that executive management can receive early indication of whether or not the completion target will be met; and can allocate additional resources (if available) to complete those initiatives at risk of not being completed.

As part of the Q4 reporting process, a detailed report providing a summary of the Plan including changes made throughout; year-end status of goal and initiative measures; year-end status of achievement against the overall weighted completion; detailed initiative tracking sheet for each quarter; detailed narrative on each and any initiative assessed as incomplete or not achieved; and recommendations for variances as necessary against measures or targets.

Lastly, *Navigating Safety* is prepared and published in both official languages, and disseminated to all employees as well as the Regulator. It is the mechanism used to close the feedback loop and includes the contents of the current year's Safety Plan, and highlights of achievement from the previous year's Plan.

In FY23, the following enhancements were made to the Corporate Safety Plan development and reporting:

- An introduction section was added to the Safety Plan to provide the reader with background and context.
- The SMS Opportunity section was fully aligned with the Company's newly released Safety Strategy. All initiatives included under SMS Opportunities must tie directly back to support the Safety Strategy's high level action plan.
- Goal measures were improved to be more outcome based.
- Guidelines were updated.

In the last year (FY24), the following enhancements were made:

- The approvals process was streamlined by eliminating the step to approve Goals in April. The entire Safety Plan (Goals and Initiatives) is now approved in July, which is a testament to the Board's trust in Management.
- Safety risks that are also enterprise risks (e.g., cyber, and business continuity) continue to be captured in the Safety Plan but have been moved to monitoring status to reduce duplication in reporting to the executive and the Board.

- The look and feel of the document were updated to make it more readable and user-friendly; moving from a lengthy Word/.pdf document to an online searchable clickable, menu-driven (drill-down) document that can also be printed in part or in full.

An example of a goal and associated initiative is provided below.

## GOAL OSR 9.3 Reduce the volume of old NOTAMs in force

**NEW!**

**GOAL SPONSOR:** Christopher Bowden

**GOAL DESCRIPTION:** This goal aims to reduce the number of old temporary and old permanent NOTAMs, thereby supporting a reduction in overall volume. The volume of old NOTAM fluctuates around 40% of the total number of NOTAMs in force. Efforts will promptly ensure the information is incorporated into the appropriate temporary or permanent product.

Goal Measures	Target	Target Completion
Number and percentage of NOTAM in force that are old (> 6 months) and very old (> 12 months)	Downward trend year over year against FY23 baseline	Reduce the number of old NOTAM in force by 15%; and Reduce the average age of old NOTAM by FY2026

### INITIATIVE OSR 9.3.1

Under the AIM modernization Program, enhance AIP Supplements and AIC to incorporate the NOTAM'd information in the appropriate temporary product promptly

This initiative involves several activities to support the reduction in the number of old NOTAMs. It will see the development of processes and related work instructions to reduce publication timelines of AIP SUPs and AICs. It will also improve the corporate website's AIP SUP / AIC page by including enhanced search capabilities. Additionally, the process and specifications for a Trigger NOTAM will be developed and documented, including updates to the Canadian NOTAM Operating Procedures (CNOP) manual. Relevant changes related to processes and concepts will be communicated to NOTAM / AIP SUP / AIC users and originators. The foundational work will be completed in FY23 for go-live in October 2023.

**TYPE:** Committed

**OPI:** Sharlene Hoftzyer

**INITIATIVE MEASURE:**

Trigger NOTAM specifications

**TARGET:** Standards and procedures related to trigger NOTAM are documented in CNOP.

**INITIATIVE MEASURE:**

Improved AIP SUP / AIC Page on Corporate Website

**TARGET:** Development and testing completed

**INITIATIVE MEASURE:**

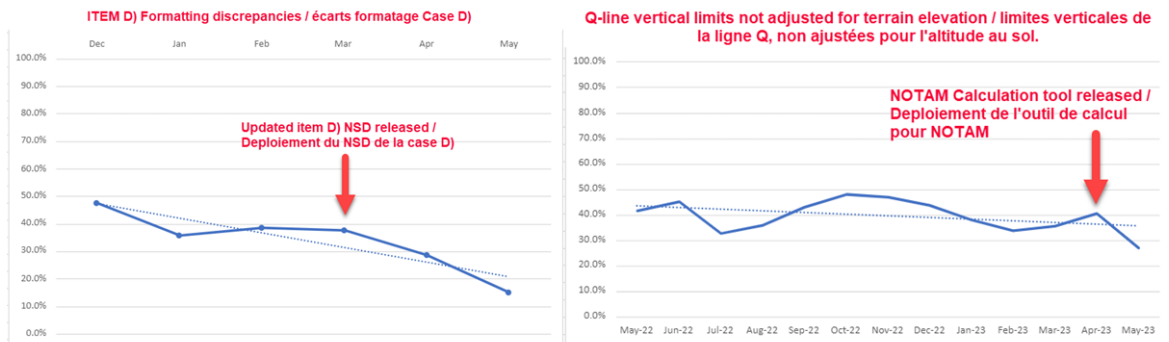
Updated relevant AIM work instructions.

**TARGET:** Developed and ready for publishing

The following two graphics demonstrate that the updated approach is having a positive impact; commonality and consistency in NOTAM makes it possible to improve filtering capabilities and outcomes and in turn help mitigate the risk of NOTAM. Within two months of the release of the reworked ITEM D) NSD, there has been a significant decline in NOTAM formatting issues. Similarly,



there was a reduction of vertical limits not adjusted for ground elevation, only a few days after the roll-out of the NOTAM tool.



**By submitting this document, your organisation is willing for the proposed Best or Good Practice to be shared with other ANSPs.**

For Optimised Practices, this document should be sent together with the SoE in SMS questionnaire, to: [soe\\_2023@eurocontrol.int](mailto:soe_2023@eurocontrol.int)

Submissions for consideration as Good Practices may be sent by the above date. They may also be identified during the survey interview sessions with the survey team, following which a Good Practice submission document will be requested.