



SMS Update – April 30, 2007

RDIMS # 2339340



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Agenda

- SMS Implementation - Phase 2 Update
- SMS Implementation - Phase 3
- Small Operators – SMS Pilot Project
- SMS Implementation for Airports
- Questions

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CAR Part	Gazette I Publication	Gazette II Publication	Planned In-Force
Part I	Completed - March 2005	Completed - June 2005	In-Force: May 31, 2005 Published: June 15, 2005
Part III			
Airports (Group 1)*	Forecast – Apr. 2007	Forecast – Oct. 2007	Dec 2007
Airports (Group 2)*	Forecast – Apr. 2007	Forecast – Oct. 2007	Dec 2008
Heliports	Forecast – June 2008	Forecast – Dec. 2008	Dec 2008
Water Airports	Forecast – June 2008	Forecast – Dec. 2008	Dec 2008
Part IV			
Aeroplane and Helicopter FTIs	Forecast – Mar. 2008	Forecast – Sept. 2008	Sept. 2008
Part V			
AMO (705 only)	Completed - March 2005	Completed - June 2005	In-Force: May 31, 2005 Published: June 15, 2005
Approved Maintenance Organization (AMO)	Forecast – March 2008	Forecast – Sept. 2008	Sept. 2008
Aircraft Certification	Forecast – Sept. 2009	Forecast – Jan. 2010	January 2010
Part VII			
702, 703, 704	Forecast – March 2008	Forecast – Sept 2008	Sept 2008
705	Completed - March 2005	Completed - June 2005	In-Force: May 31, 2005 Published: June 15, 2005
Part VIII	Forecast – April 2007	Forecast – Oct. 2007	Dec 2007



Who is implementing SMS?

- An AMO maintaining aircraft (not components) operated under CAR 705; or
- An Air Operator certified under CAR 705, then the *published* SMS requirements apply to you.

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Milestones

Date	Action
September 29, 2006	<p>No later than this date, certificate holders had to submit to the Minister documentation that demonstrates that they have developed and documented the following:</p> <ul style="list-style-type: none">(a) The Safety Management Plan component (all elements);(b) The following elements of the Safety Oversight component:<ul style="list-style-type: none">(i) Reactive Processes;(ii) Investigation and Analysis; and(iii) Risk Management;

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Milestones

Date	Action
September 29, 2006	<p>(c) Training for personnel assigned duties under the SMS that are relevant to the components and elements referred to in (a) and (b).</p> <p>(d) Documented policies and procedures that are relevant to the SMS components and elements referred to in (a), (b) and (c).</p>

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Milestones

Date	Action
July 31, 2007	No later than this date, Transport Canada shall perform, to the extent necessary, an on-site review to confirm that the certificate holders have the required elements in place to proceed to Phase 3.
August 29, 2007	No later than this date, the Minister shall issue a 30-day notice of suspension to certificate holders that fail to meet the requirements of Phase 2 of the exemption.

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SMS Implementation - Phase 2 Update

- 100% of companies have submitted their documentation by the September 29, 2006 deadline
- TC has completed the documentation reviews and manual approvals
- On-site reviews are now underway
- Phase 2 acceptance before Phase 3 validation

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SMS Implementation - Phase 3

- By September 30, 2007, certificate holders must demonstrate that, in addition to the components already implemented during Phase 2, they also have a process for the proactive identification of hazards (including associated methods of data collection, storage, evaluation and distribution)

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SMS Small Operator Pilot Project



Safety Management Systems Small Operator Pilot Implementation Project Final Report

Civil Aviation
Fall 2006
RDIMS 2030163

- Final report posted on the web on October 6, 2006



This report should in no way be interpreted as an assessment of the industry participants' compliance with developing Transport Canada Civil Aviation Safety Management Systems.

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Objectives

- Identify cross-section of small operators, FTUs and AMOs, taking into account number of employees, aircraft types and/or ratings, scope and type of operation, operating environment, etc.
- Review regulations, tools, guidance material, and implementation plan for suitability to small operations
- Make recommendations regarding any changes that may be required
- Provide a written report within a practical timeframe to allow project recommendations to be considered

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Executive Summary

- Results from the project indicate that Safety Management Systems can be successfully implemented in, and become a positive addition to, small operations. However, the industry/Transport Canada project team identified the need to continue to develop and/or update infrastructure in the following areas:
 - implementation procedures;
 - guidance material;
 - data management; and
 - training

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SMS Implementation for Airports

- Work plan Ratification and Implementation Activities
- Development of Implementation document for airports
- Exemptions
- Guidance material
- Communication

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ICAO and SMS - ANNEX 6

From **1 January 2009**, States shall require, as part of their safety programme, that an operator implement a safety

management system acceptable to the State of the Operator

that, as a minimum:

- a) identifies safety hazards;
- b) ensures that remedial action necessary to maintain an acceptable level of safety is implemented;
- c) provides for continuous monitoring and regular assessment of the safety level achieved; and
- d) aims to make continuous improvement to the overall

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level of safety.

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The CARs vs ICAO Requirements

1. Safety Management Plan

- Safety Policy
- Non-punitive Safety Reporting Policy
- Roles, Responsibilities & Employee Involvement
- Communication
- Safety Planning, Objectives & Goals
- Performance Measurement
- Management Review

2. Document Management

- Identification & Maintenance of Applicable Regulations
- SMS Documentation
- Records Management

3. Safety Oversight

- Reactive Processes
- Proactive Processes
- Investigation and Analysis
- Risk Management

4. Training

5. Quality Assurance

6. Emergency Preparedness

PLAN: Safety Policy and objectives

- Management commitment and responsibility
- Safety accountability of managers
- Appointment of key personnel
- SMS implementation plan

PLAN: Safety Assurance -

- Safety performance and measurement
- Management of change

PLAN: Safety Promotion - safety communication

DOCUMENTATION -Documentation

SAFETY OVERSIGHT:

Safety Hazard Identification & Risk Management

- Hazard identification process
- Risk assessment and mitigation
- Internal safety investigation

TRAINING: Safety Promotion - Training and Education

QUALITY ASSURANCE: Safety Assurance - Audits and surveys

- Safety performance measurement
- Audits and surveys

Safety Hazard Identification & Risk Management – Continuous improvement

EMERGENCY RESPONSE PREPAREDNESS -

Development of ERP



The FAA and SMS

- AC 120-92 – Introduction to Safety Management Systems for **Air Operators**
- AC 150/5200-37 - Introduction to **Safety Management Systems** (SMS) for Airport Operators
- Pilot Projects about to commence
- Outreach teams located in the regions; policy guidance from Headquarters
- Regulatory activity will be forthcoming

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Questions?

Websites

Safety Management Systems:

www.tc.gc.ca/CivilAviation/sms/menu.htm

Small Operators Pilot Project:

www.tc.gc.ca/CivilAviation/sms/SmallOperator/Menu.htm

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