

SMS Overview for Management

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What we shall Review

- Management's Role in Safety Management System based on ICAO standards and best industry practice
- Management's impact on Safety Culture

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What is SMS ?

A systematic approach to managing safety, including the necessary

organizational structures,
accountabilities,
policies and procedures.

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SMS COMPONENTS AND ELEMENTS

❶ **Safety policy and objectives**

- 1.1 – Management commitment and responsibility
- 1.2 – Safety accountabilities
- 1.3 – Appointment of key safety personnel
- 1.4 – Coordination of emergency response planning
- 1.5 – SMS documentation

❷ **Safety risk management**

- 2.1 – Hazard identification
- 2.2 – Risk assessment and mitigation

❸ **Safety assurance**

- 3.1 – Safety performance monitoring and measurement
- 3.2 – The management of change
- 3.3 – Continuous improvement of the SMS

❹ **Safety promotion**

- 4.1 – Training and education
- 4.2 – Safety communication

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Safety policy and objectives

1.1 – Management commitment and responsibility

The service provider shall define the **safety policy** of the organization which shall

- 1) Be in accordance with international and national requirements
- 2) Reflect **organizational commitments** regarding safety, including the promotion of a **positive safety culture**
- 3) Include a clear statement about the provision of the **necessary resources** for implementation;
- 4) Include the **safety reporting procedures**

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1.1 – Management commitment and responsibility

• ... **safety policy** shall (cont'd)

- 1) Clearly indicate types **unacceptable operational behaviours**
- 5) include the circumstances under which **disciplinary action would not apply**
- 6) Be signed by the Accountable Manager
- 7) Be communicated, with visible endorsement, throughout the organization
- 8) be **periodically reviewed** to ensure it remains relevant

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Safety Objectives

- Define what the service provider aims to achieve in respect of safety outcomes.
- Form the basis for safety performance monitoring and measurement
- Should be short, high-level statements of the organization's **safety priorities** and should address its most significant safety risks.

E.g. Increase staff participation in Hazard Identification and Risk Management by 30% by end of year 2025.

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1.2 – Safety accountabilities

- Identify the **Accountable Manager** with **ultimate responsibility and accountability** for the **SMS**
- Define lines of safety accountability including **direct accountability** on the part of senior management.
- Identify the **responsibilities of all members of management** with respect to the safety performance of the organisation
- define the levels of management with authority to make **decisions regarding safety risk tolerability**.

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Management personnel responsibility

- Safety responsibilities should be clearly documented
- Responsibility for the day-to-day operation of the SMS can be delegated
- But the **Accountable Manager cannot delegate accountability for the system** nor can decisions regarding safety risks be delegated.

Experience shows that Effective SMS (and QMS) is only as good as the leadership and its participants.

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1.3 – Appointment of key safety personnel

The organization shall identify a **safety manager** to be the responsible individual and focal point for the implementation and maintenance of an effective SMS

Functions include

- Managing the SMS implementation plan on behalf of the accountable executive
- Facilitating hazard identification and safety risk analysis and management
- Providing periodic reports on safety performance

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Management Review and Safety Review Board

ISSA ORG 4.1.1 The Operator shall have a process to **review the management system** at intervals not exceeding one year to ensure .. effectiveness in the management and control of operations and associated risks.

- Typically conducted by senior management committee.
- SMS Review may be conducted separately (SRB)

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SAFETY ACTION GROUP (SAG)

- A committee within the SMS that comprises designated line managers and representatives of front-line personnel;
- Should be chaired by a designated manager;
- Takes strategic direction from the SRB and addresses the implementation and effectiveness of risk control actions in operations.

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2. Safety risk management

Hazard Identification

Accidents and Serious Incidents are rare

Focus on Latent conditions for SMS data

Three methodologies:

- Reactive – Accident and Incident reports
- Proactive – Hazard Reports, Safety audits
- Predictive – Normal operations data

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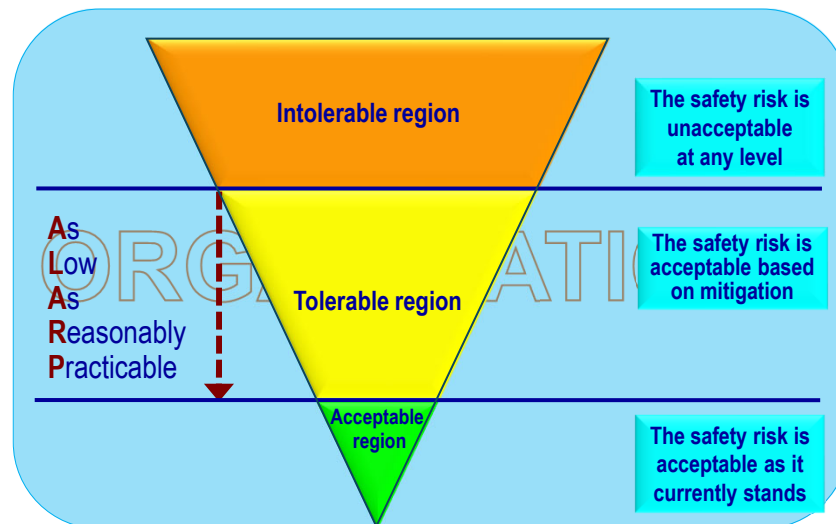
Risk Assessment

- Risk assessment – The assessment, expressed in terms of predicted **probability** and **severity**, of the **consequence(s) of a hazard** taking as reference the worst foreseeable situation

Risk probability	Risk severity				
	Catastrophic A	Hazardous B	Major C	Minor D	Negligible E
Frequent 5	5A	5B	5C	5D	5E
Occasional 4	4A	4B	4C	4D	4E
Remote 3	3A	3B	3C	3D	3E
Improbable 2	2A	2B	2C	2D	2E
Extremely improbable 1	1A	1B	1C	1D	1E

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Risk Tolerability



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3.2 Management of Change

The service provider shall develop and maintain **a process to identify and manage changes** which may affect the level of safety risk

Changes to be managed include:

- expansion, or new area of operations;
- new equipment;
- new procedures;
- significant organisation structure changes.

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ORGANIZATIONAL/CORPORATE CULTURE

- Sets the boundaries for **acceptable behaviour in the workplace** by establishing norms and limits.
- Provides a frame work for managerial and employee decision-making
 - ***“This is how we do things here, and how we talk about the way we do things here”.***
- Organizational culture shapes – among many others – **safety reporting procedures and practices by operational personnel.**

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Just Culture

- A healthy safety culture relies on **trust and respect between personnel and management** as created and **supported at the senior management** levels.
- Personnel must believe that they will be supported in any decisions made in the interest of safety.
- But they must also understand that intentional breaches of safety policy will not be tolerated.

Without it management may not know what's going on

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Senior Management Safety Training

- Accountable Manager and senior managers should be trained and knowledgeable on SMS.
- Nominee post holders should be able to demonstrate a sound knowledge of SMS (and QMS) principles and practices and how these are applied in their role.
- The training should include, amongst others, the topics highlighted in this presentation.

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In summary, some key SMS Roles

- The accountable executive is accountable for establishing the SMS and allocating resources to support and maintain an effective SMS;
- Management is responsible for implementing, maintaining and adhering to SMS processes in their area;
- Employees are responsible *and must be encouraged to* identify hazards and report them.

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Remember ..

“An organization without purpose manages people and resources

An organization with purpose mobilizes people and resources.”

- Sherry Hakimi, Fast Company (monthly business magazine)

LET OUR PURPOSE BE A HEALTHY SAFETY CULTURE !

ASANTE SANA !