Safety Management Systems . . . .
. . . . the Road to Implementation

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Manhattan, New York
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MISTAKES

It Could Be that the Purpose of Your Life Is Only to Serve as a Warning to Others.
What did SMS look like when ACTS began to get involved?

- Transport Canada only had ideas of what they wanted
- They briefed us on the goals, and we started to build it
- Expertise from the branches all contributed to "where we thought we needed to be"
- But our world was really our world
Where are we today?

So far, as an independent within ACE we have:

- Re-aligned to match our new corporate structure
- Established a quality-safety monitoring team(s)
- Published our SMS manual(s)
- Defined the data collection system requirements

• In my opinion, we’re about here:

   ![DONE]
Corporate Structure ????

Air Canada Legacy structure

Board
ACTS

Board
Mainline
Tech Ops
Customer Services
Airports

Board
Jazz
Flight Ops
Airport Ramp
Others

Board
Aeroplan

AE’s

President & CEO
Regional??

Legislation & guidance now caters to this – it’s the future of the industry
What we’re gonna do today

• QA - AOSH & the rest
• Making it really work
• Group Mechanics
• Building Common Understanding
Common Misconception:
- Quality Assurance only deals with production quality issues

Reality:
- collect
- analyze
- report
Any exception can be used as an input
AOSH & the rest

Are you prepared to provide the answers?

- CARs
- Advisory
- Guidance
- CLC II
**SMS – OSH – where should we go**

Companies need to develop a *want to* strategy

– Managers need to understand these rules
– We need to get predictive in data collecting

We need to **DO SOMETHING** with the reports:

– reports should feed the SMS database to implement & track corrective actions
What we’re gonna do today

- QA - AOSH & the rest
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- Building Common Understanding
So what’s the real secret

• Keeping the principles straight, and allowing for variances as needed.

• So what is the key principal:
  – the production areas must be accountable and responsible for safety
What is one thing SMS is not?

An excuse to build a corporate safety committee (*spelled e-m-p-i-r-e*) that:

– usurps accountability from established management channels

– acts as the “safety cops”

– dictates policy downwards
SMS can be here only if:

a) it’s role is limited to data collection & reporting
b) all reports are filed with branch management for handling
c) other than trends, nothing gets to the corporation unless all attempts to fix it within the branch have been exhausted.
An ideal situation would be for each branch to handle its own SMS issues.
Or maybe a hybrid is required
What we’re gonna do today

- QA - AOSH & the rest
- Making it really work
- Group Mechanics
- Building Common Understanding
The Need

? UNDERGROUND

MIND THE GAP
Group Mechanics

- perceived hierarchies
- sub-group dynamics
- degree of exposition
- areas of expertise
Group Mechanics - perceived hierarchies
## Group Mechanics - degree of exposition

<table>
<thead>
<tr>
<th>Dept</th>
<th>Regulation</th>
<th>Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Flight Ops</td>
<td>highly regulated</td>
<td>moderately documented</td>
</tr>
<tr>
<td>Technical Ops</td>
<td>moderately regulated</td>
<td>highly documented</td>
</tr>
<tr>
<td>Corporate Safety</td>
<td>Becoming Note 1 regulated</td>
<td>slightly documented</td>
</tr>
<tr>
<td>Cargo Ops</td>
<td>not regulated</td>
<td>little documentation</td>
</tr>
<tr>
<td>Airport Ramp Ops</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Airport Counter Ops</td>
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</tbody>
</table>

Note 1: this requirement changed dramatically following 9/11
# Group Mechanics - sub-group dynamics

<table>
<thead>
<tr>
<th>Branch</th>
<th>Union</th>
<th>Relationship</th>
<th>Qualifications</th>
<th>Leadership</th>
</tr>
</thead>
<tbody>
<tr>
<td>Branch A</td>
<td>Yes</td>
<td>Cordial</td>
<td>Licensed</td>
<td>Command</td>
</tr>
<tr>
<td>Branch B</td>
<td>Yes</td>
<td>Partnership</td>
<td>Licensed</td>
<td>Collaborative</td>
</tr>
<tr>
<td>Branch C</td>
<td>No</td>
<td>N/A</td>
<td>Professional</td>
<td>Limited Consultation</td>
</tr>
<tr>
<td>Branch D</td>
<td>No</td>
<td>N/A</td>
<td>Licensed</td>
<td>Advisory</td>
</tr>
<tr>
<td>Branch E</td>
<td>Yes</td>
<td>Strained</td>
<td>Highly Trained</td>
<td>Command</td>
</tr>
<tr>
<td>Branch F</td>
<td>Yes</td>
<td>Strained</td>
<td>Some Training</td>
<td>Limited Consultation</td>
</tr>
</tbody>
</table>

**Union** - Yes/No

**Relationship** - Cordial/Partnership/Strained

**Qualifications** - Licensed/Professional/Licensed/Highly Trained/Some Training

**Leadership** - Command/Collaborative/Limited Consultation/Advisory/Limited Consultation
# Group Mechanics - areas of expertise

<table>
<thead>
<tr>
<th>Area</th>
<th>Expertise</th>
</tr>
</thead>
<tbody>
<tr>
<td>Flight Ops</td>
<td>Documented SOPs</td>
</tr>
<tr>
<td>Technical Ops</td>
<td>Quality Assurance &amp; Quality Systems</td>
</tr>
<tr>
<td>Corporate Safety</td>
<td>AOSH and environmental compliance</td>
</tr>
<tr>
<td>Flight Safety</td>
<td>Voluntary, non-punitive reporting</td>
</tr>
</tbody>
</table>
Group Mechanics - the result

Stimulus

Filters

Response

- attitudes
- values
- group filters
- past group history

Lots of room for misunderstandings
What we’re gonna do today

- SMS - what it is
- QA - AOSH & the rest
- Making it really work
- Group Mechanics
- Building Common Understanding
Building Common Experience

- Try to get to know the players, and determine how they think.
- This will require trust:
  - ask for it, until you’re proven wrong
  - explain the process you’ll be using
  - explain how things will be approved
Building Common Experience

- Use Covey: start with the end in mind
  - If you don’t know the end, share the principles with the team and develop the end
  - Do a GAP analysis
  - design the hole fillers
  - implement

- But what do you do about old history that they won’t let go?
Consider adopting a Parking Lot
Building Common Experience

• Put all controversial issues into the Lot
  – legitimate concerns that need to be fixed
  – “baggage” about how things went wrong before

• deal with legitimate items as your process develops

• at the end of the session, go to the Parking Lot & confirm all issues were handled.
Review - Here’s what we did today

• QA - AOSH & the rest
• Making it really work
• Group Mechanics
• Building Common Understanding
One last thing:

- For real safety to work, it must start at the very top & work its way down

  True

  False
Thank You