Operational Safety Culture and your SMS

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Civil Air Navigation Services Organisation

- Global voice of ATM worldwide – CANSO Members support over 85% of world air traffic

- Members share information and develop new policies

- International forum for development and exchange of ideas

- International network for ANS experts

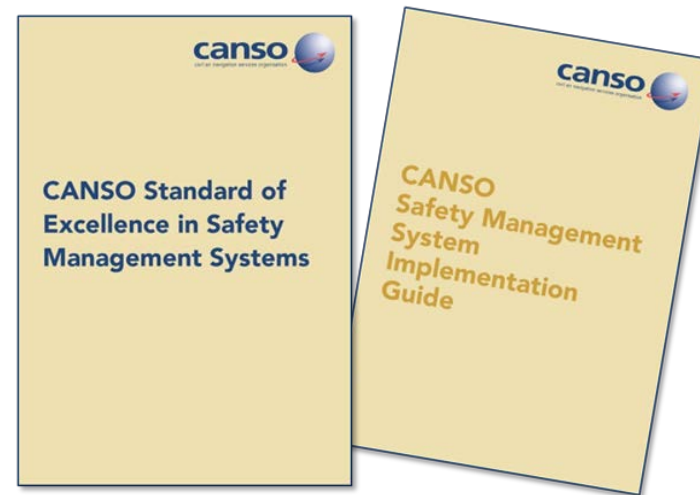- Represent views/interests of Members

Safety Management Systems

"An organized approach to managing safety, including the necessary organizational structures, accountabilities, policies and procedures."

- CANSO Standard of Excellence in SMS

The **CANSO Standard of Excellence in Safety Management Systems** is aligned to **ICAO Annex 19, Safety Management.**

CANSO also provides an Implementation Guide for Members.

Why do we have Safety Management Systems?

Because of disasters such as Chernobyl, Space Shuttle Challenger and Tenerife Airport…

… And to mitigate losses when accidents happen

canso
civil air navigation services organisation

Ultimately, the goal of your SMS is to make air travel safe for those who depend on you.

Safety Management Systems

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- CANSO Standard of Excellence in SMS

The **CANSO Standard of Excellence in Safety Management Systems**, available online for free, contains 17 Study Areas for a world class SMS -- the very first Study Area is Safety Culture.

https://www.canso.org/canso-standard-excellence-safety-management-systems

SMS Simplified

Collect   Find   Fix

REPORT → COMPILE → ANALYZE → IDENTIFY → IMPROVE

Safety Management Systems

Collect **Find** **Fix**

REPORT → COMPILE → ANALYZE → IDENTIFY → IMPROVE

You must have a positive Safety Culture for your SMS to be effective.
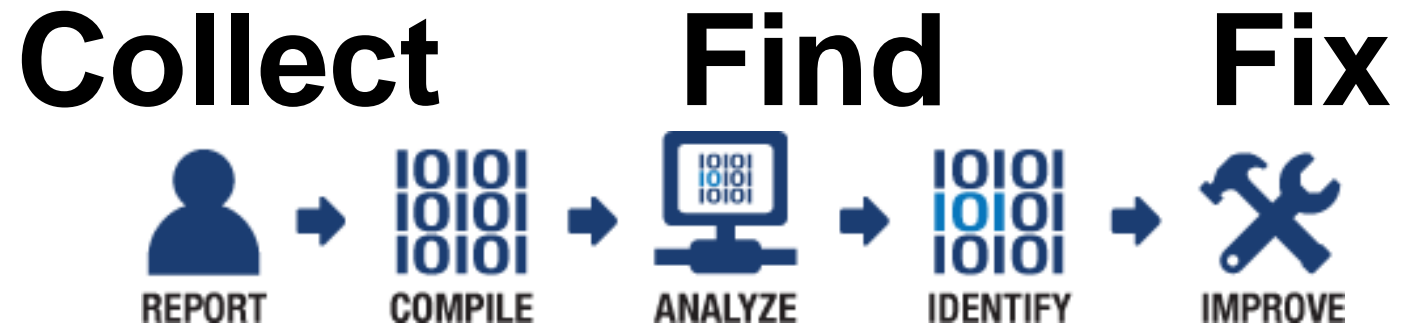
What is *Safety Culture*?

The enduring **value**, **priority** and c**ommitment** placed on **safety** by *every individual* and *every group* at *every level* of the organization. Safety culture reflects the individual, group and organizational attitudes, norms and behaviors related to the safe provision of air navigation services

- CANSO Standard of Excellence in SMS

What is Safety?

According to ICAO Annex 19: Safety Management

- *Safety* is the state in which *risks* associated with aviation activities, related to, or in direct support of the operation of aircraft, are *reduced* and *controlled* to an *acceptable level.*

What is Culture?

- Culture binds people together as members of groups and provides clues as to how to behave in both normal and unusual situations.

- Culture influences the values, beliefs and behaviours that people share with other members of various social groups.

Three cultures…

Components of a Safety Culture
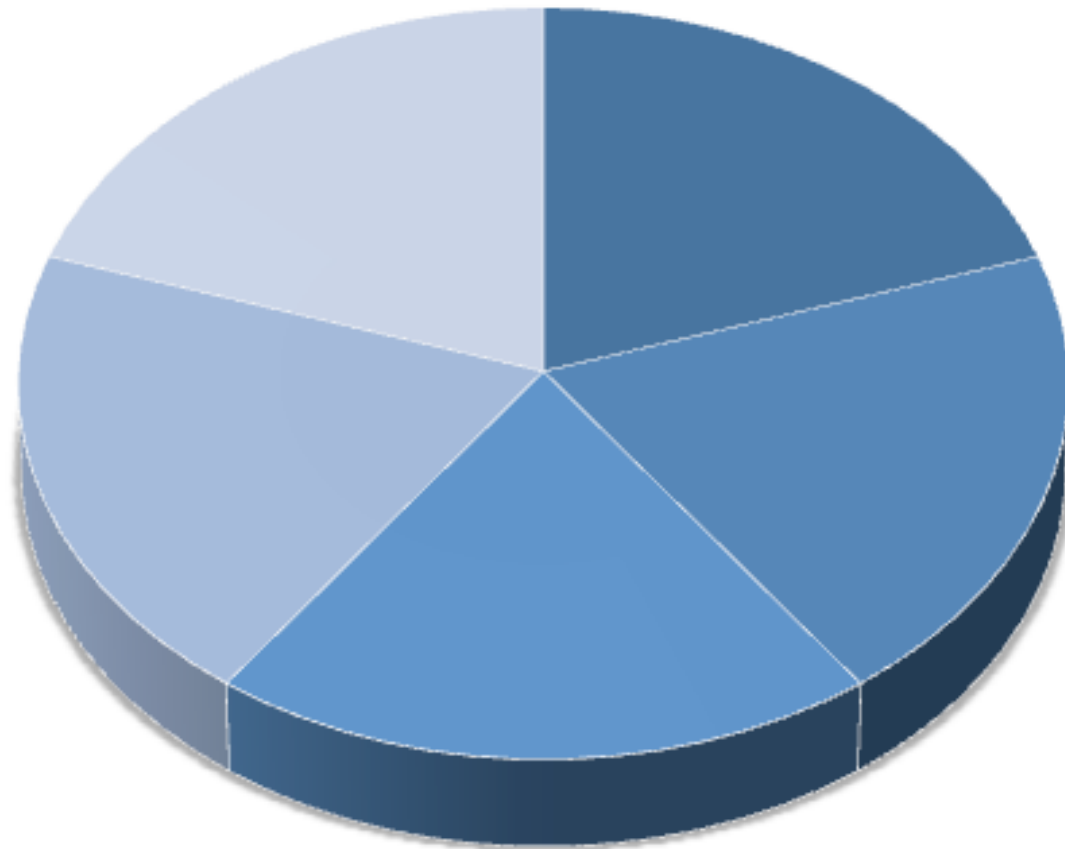
- Learning Culture
- Informed Culture
- Just Culture
- Flexible Culture
- Reporting Culture

Just Culture

A **Just Culture** exists in an atmosphere of trust in which people are encouraged, and even rewarded, for providing essential safety-related information, but in which they are also clear about where the line is drawn between acceptable and unacceptable behavior.

https://www.youtube.com/watch?v=sWBGWRb3b5U

https://www.youtube.com/watch?v=nGcbivj3wqg

CANSO Guidelines on Just Culture

CANSO Guidelines on Just Culture
Version 1.0
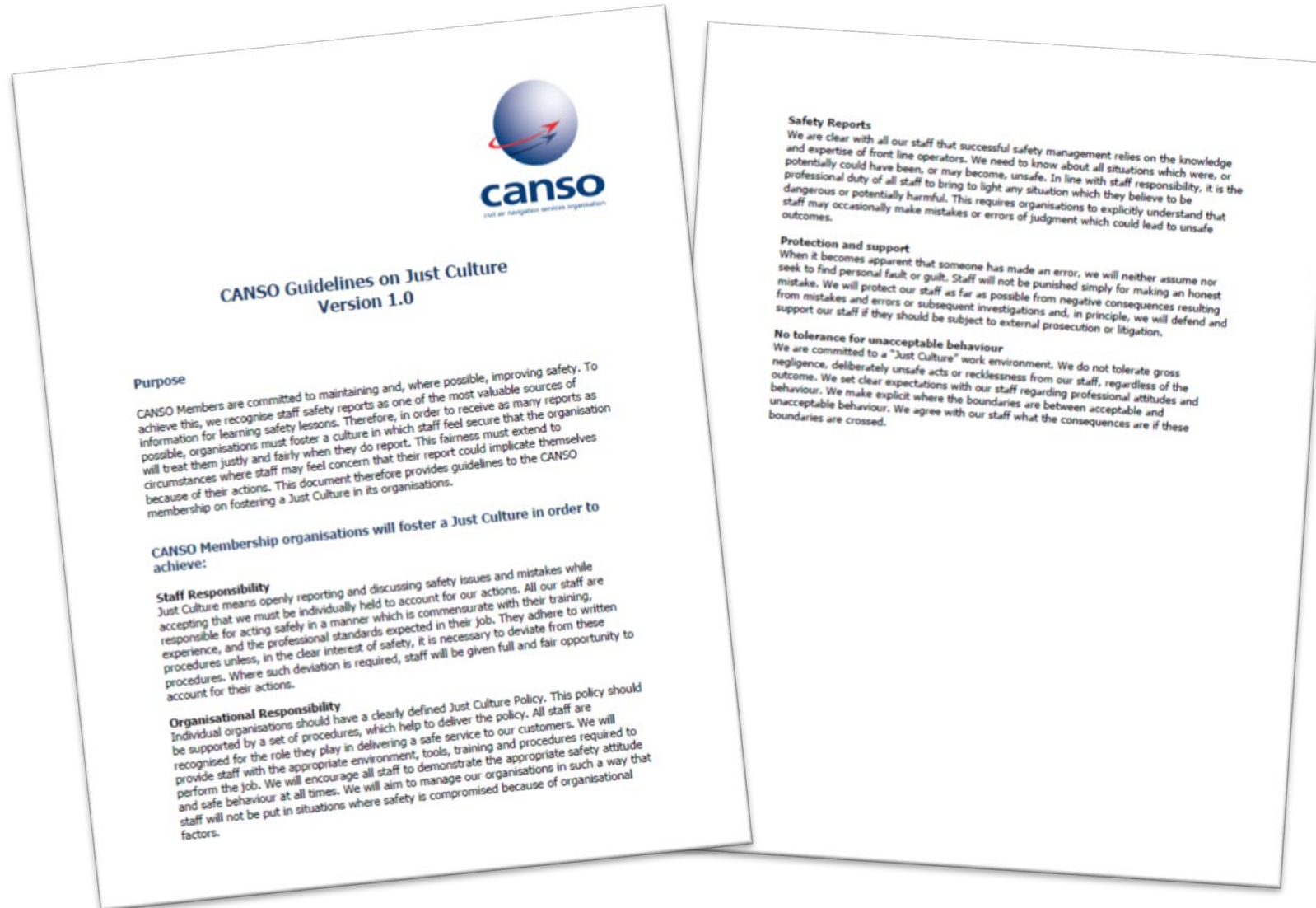
Purpose

CANSO Members are committed to maintaining and, where possible, improving safety. To achieve this, we recognise staff safety reports as one of the most valuable sources of information for learning safety lessons. Therefore, in order to receive as many reports as possible, organisations must foster a culture in which staff feel secure that the organisation will treat them justly and fairly when they do report. This fairness must extend to circumstances where staff may feel concern that their report could implicate themselves because of their actions. This document therefore provides guidelines to the CANSO membership on fostering a Just Culture in its organisations.

CANSO Membership organisations will foster a Just Culture in order to achieve:

Staff Responsibility
Just Culture means openly reporting and discussing safety issues and mistakes while accepting that we must be individually held to account for our actions. All our staff are responsible for acting safely in a manner which is commensurate with their training, experience, and the professional standards expected in their job. They adhere to written procedures unless, in the clear interest of safety, it is necessary to deviate from these procedures. Where such deviation is required, staff will be given full and fair opportunity to account for their actions.

Organisational Responsibility
Individual organisations should have a clearly defined Just Culture Policy. This policy should be supported by a set of procedures, which help to deliver the policy. All staff are recognised for the role they play in delivering a safe service to our customers. We will provide staff with the appropriate environment, tools, training and procedures required to perform the job. We will encourage all staff to demonstrate the appropriate safety attitude and safe behaviour at all times. We will aim to manage our organisations in such a way that staff will not be put in situations where safety is compromised because of organisational factors.

Safety Reports

We are clear with all our staff that successful safety management relies on the knowledge and expertise of front line operators. We need to know about all situations which were, or potentially could have been, or may become, unsafe. In line with staff responsibility, it is the professional duty of all staff to bring to light any situation which they believe to be dangerous or potentially harmful. This requires organisations to explicitly understand that staff may occasionally make mistakes or errors of judgment which could lead to unsafe outcomes.

Protection and support

When it becomes apparent that someone has made an error, we will neither assume nor seek to find personal fault or guilt. Staff will not be punished simply for making an honest mistake. We will protect our staff as far as possible from negative consequences resulting from mistakes and errors or subsequent investigations and, in principle, we will defend and support our staff if they should be subject to external prosecution or litigation.

No tolerance for unacceptable behaviour

We are committed to a "Just Culture" work environment. We do not tolerate gross negligence, deliberately unsafe acts or recklessness from our staff, regardless of the outcome. We set clear expectations with our staff regarding professional attitudes and behaviour. We make explicit where the boundaries are between acceptable and unacceptable behaviour. We agree with our staff what the consequences are if these boundaries are crossed.

CANSO Just Culture Statement

CANSO Members are committed to maintaining and, where possible, improving safety. To achieve this, **we recognize staff safety reports** as one of the most **valuable sources of information** for learning safety lessons.

CANSO Just Culture Statement

In order to receive as many reports as possible, organizations must foster a culture in which staff feel secure that the organisation will treat them justly and fairly when they do report.

This fairness must extend to circumstances where staff may feel concern that their report could implicate themselves because of their actions.

Reporting Culture

Managers and operational personnel freely share critical safety information without the threat of punitive action.

https://www.youtube.com/watch?v=4KcuChuRiqU

Learning Culture

An organization must possess the willingness and the competence to draw the right conclusions from its safety information system and the will to implement major reforms.

https://www.youtube.com/watch?v=MxugB1pxYc4

Flexible Culture

A culture in which an organisation is able to reconfigure themselves in the face of high tempo operations or certain kinds of danger – often shifting from the conventional hierarchical mode to a flatter mode.

https://www.youtube.com/watch?v=PcUxbtRv07k

Informed Culture

Those who manage and operate the system have current knowledge about the human, technical, organizational and environmental factors that determine the safety of the system as a whole.

https://www.youtube.com/watch?v=NM4fMG6aKdk

Aviation Occurrence through Unit Investigation

Operational Example of
Just Culture application
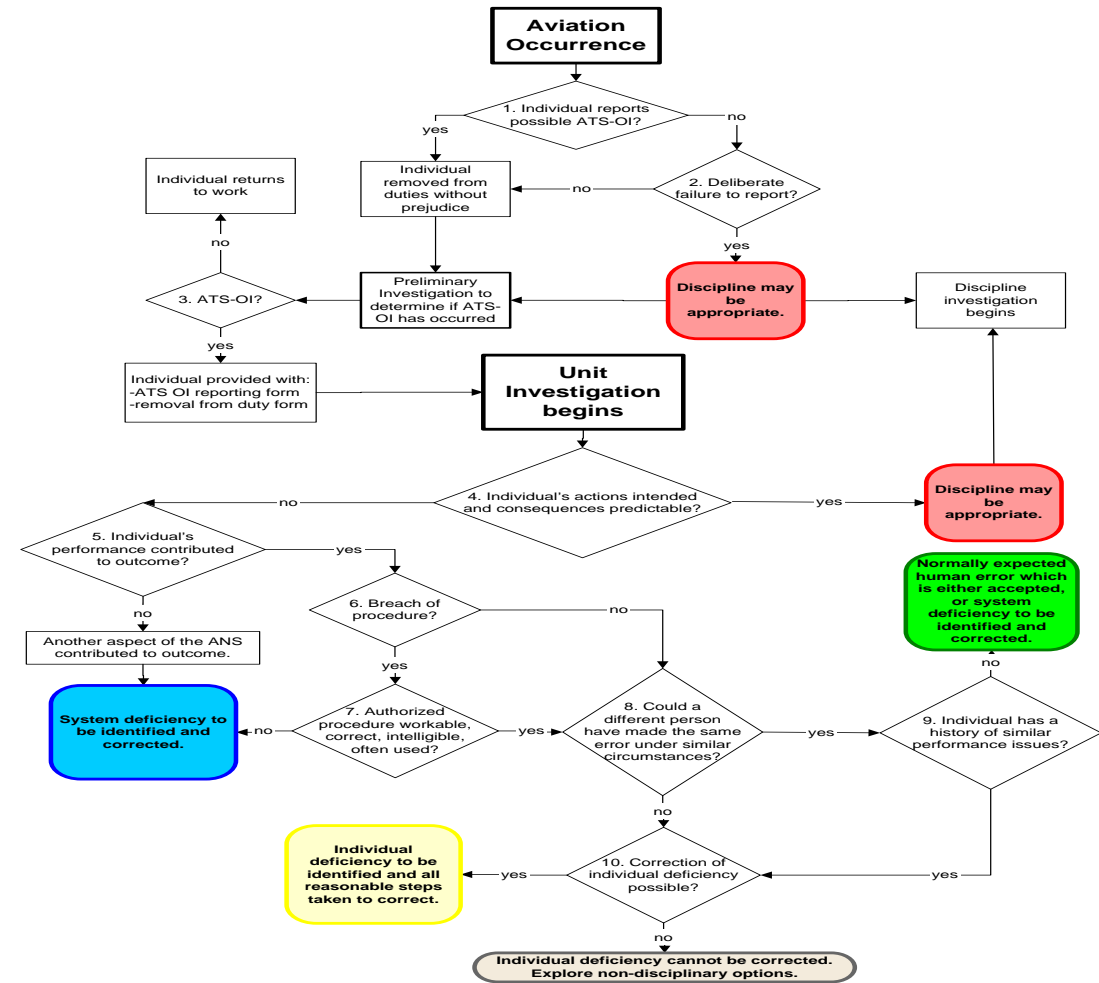
Safety Culture Components - IATA

Positive culture

Source: David Marx

Informed culture
People are knowledgeable about the human, technical, organizational and environmental factors that determine the safety of the system as a whole.

Flexible culture
People can adapt organizational processes when facing high temporary operations or certain kinds of danger, shifting from the conventional hierarchical mode to a flatter mode.

Reporting culture
People are prepared to report their errors and experiences

Positive culture

Learning culture
People have the willingness and the competence to draw conclusions from safety information systems and the will to implement major reforms.

Just culture
People are encouraged (even rewarded) for providing essential safety-related information. However, there is a clear line that differentiates between acceptable and unacceptable behaviour.

IATA Training & Development Institute

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We have SMS, why do we need Safety Culture?

- A Safety Management System represents an organization's competence in the area of safety, and it is important to have an SMS and competent safety staff to execute it.

- But such rules and processes may not always be followed, particularly if people in the organisation believe that, for example, 'moving traffic' is the real over-riding priority, even if risks are occasionally taken.

- Where would people get such an idea?

Why have both an SMS and a Safety Culture?

- The answer, ultimately is from their peers, but more so their **superiors**, including the person at the helm of an organization.

- To ensure the required commitment to safety, organizational **leaders must show that safety is their priority**.

- Organizations need both a SMS and a healthy Safety Culture in order to achieve acceptable safety performance.

CANSO SMS Maturity 2017

Safety Culture & SMS—A Global Perspective

- CANSO does a global measurement of SMS Maturity Levels each year using the ***EUROCONTROL/CANSO Standard of Excellence in Safety Management Systems Maturity Questionnaire***.

- Safety Culture has the **biggest weighting** on the score.

- ANSPs with the **best safety cultures** score higher.

Safety Performance Benchmarking Background

- The Safety Performance Benchmarking measures SMS Maturity Levels every year, with the help of EUROCONTROL
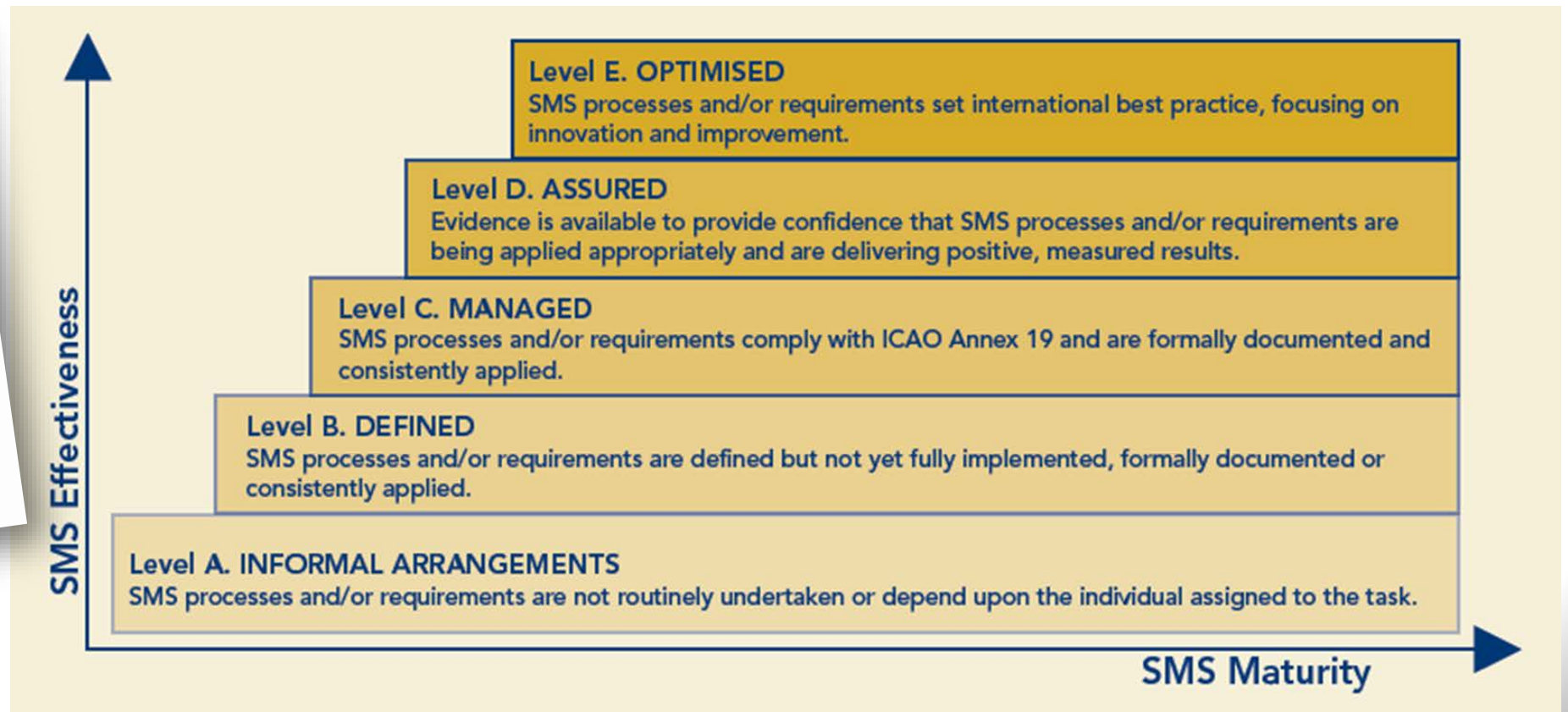
Participation Over the Years...

Legend

- ■ = CANSO Member, but has not reported since 2011
- ■ = Reported 1–2 years since 2011
- ■ = Reported 3 years since 2011
- ■ = Reported 4 years since 2011
- ■ = Reported 5 years since 2011
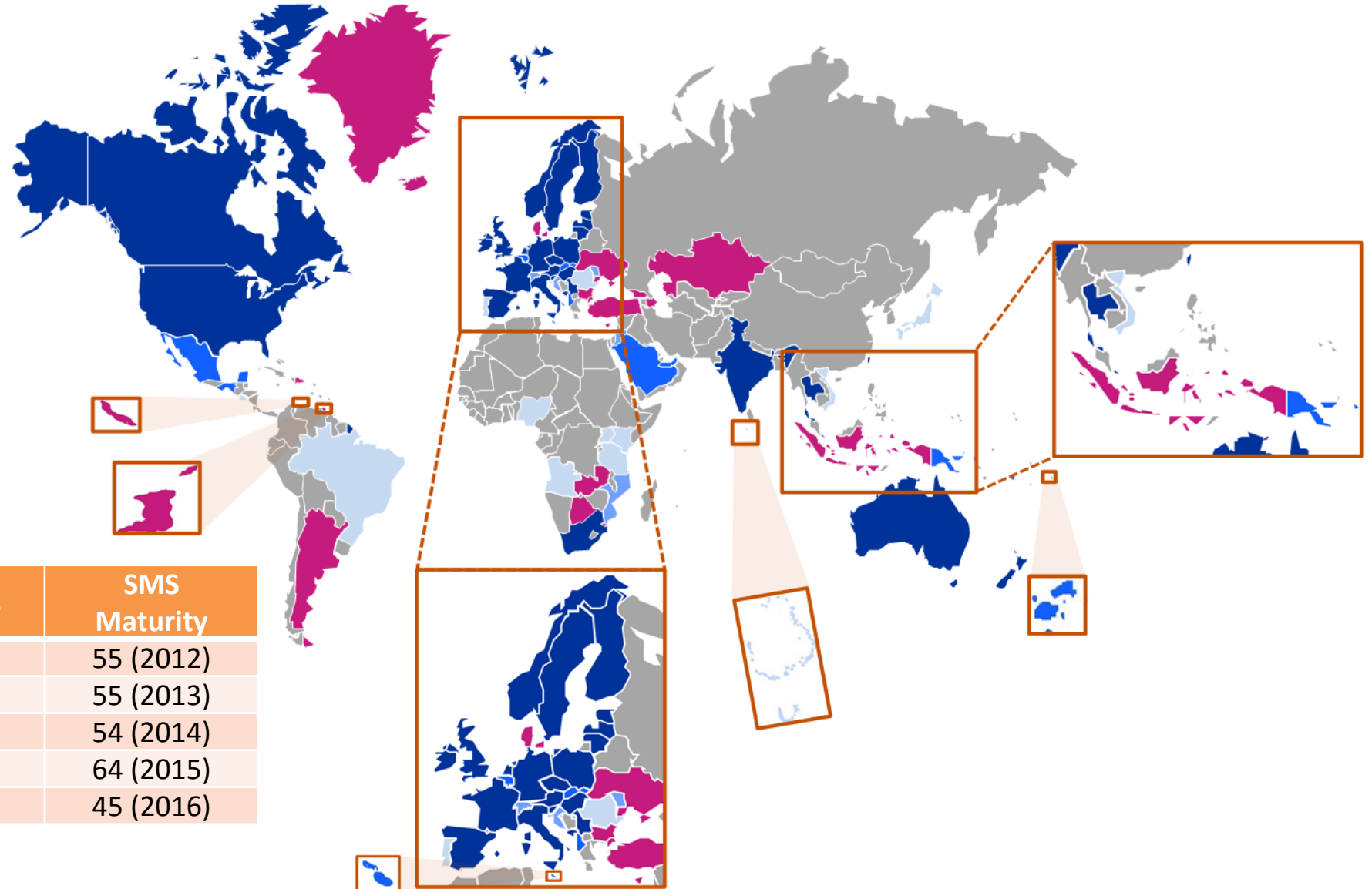
Data Year	IFR-IFR LOSs	RIs	SMS Maturity
2011	33	29	55 (2012)
2012	40	42	55 (2013)
2013	43	42	54 (2014)
2014	44	41	64 (2015)
2015	42	42	45 (2016)

Rates of Participation
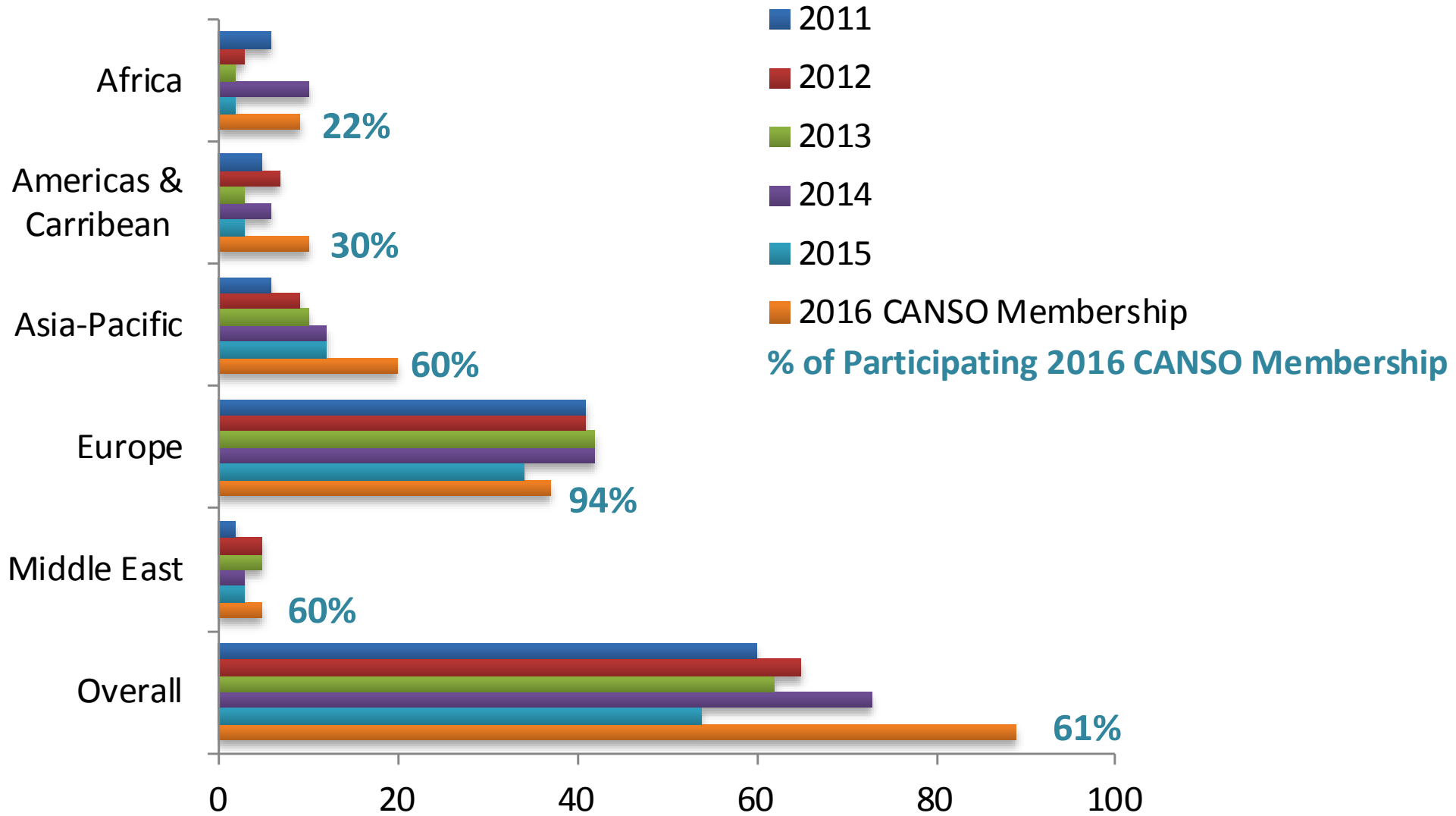
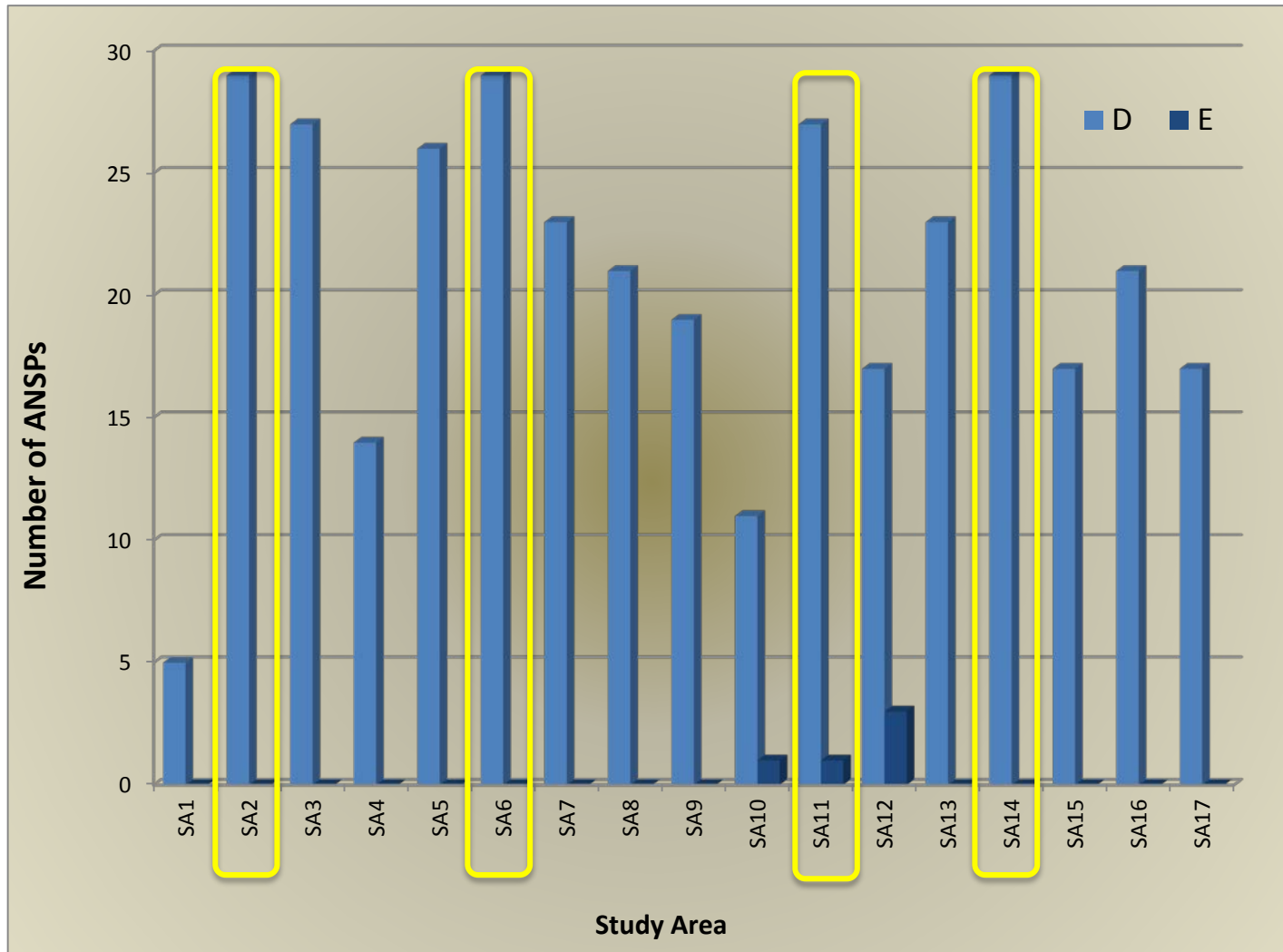# Scores by Level and Percentage 2017
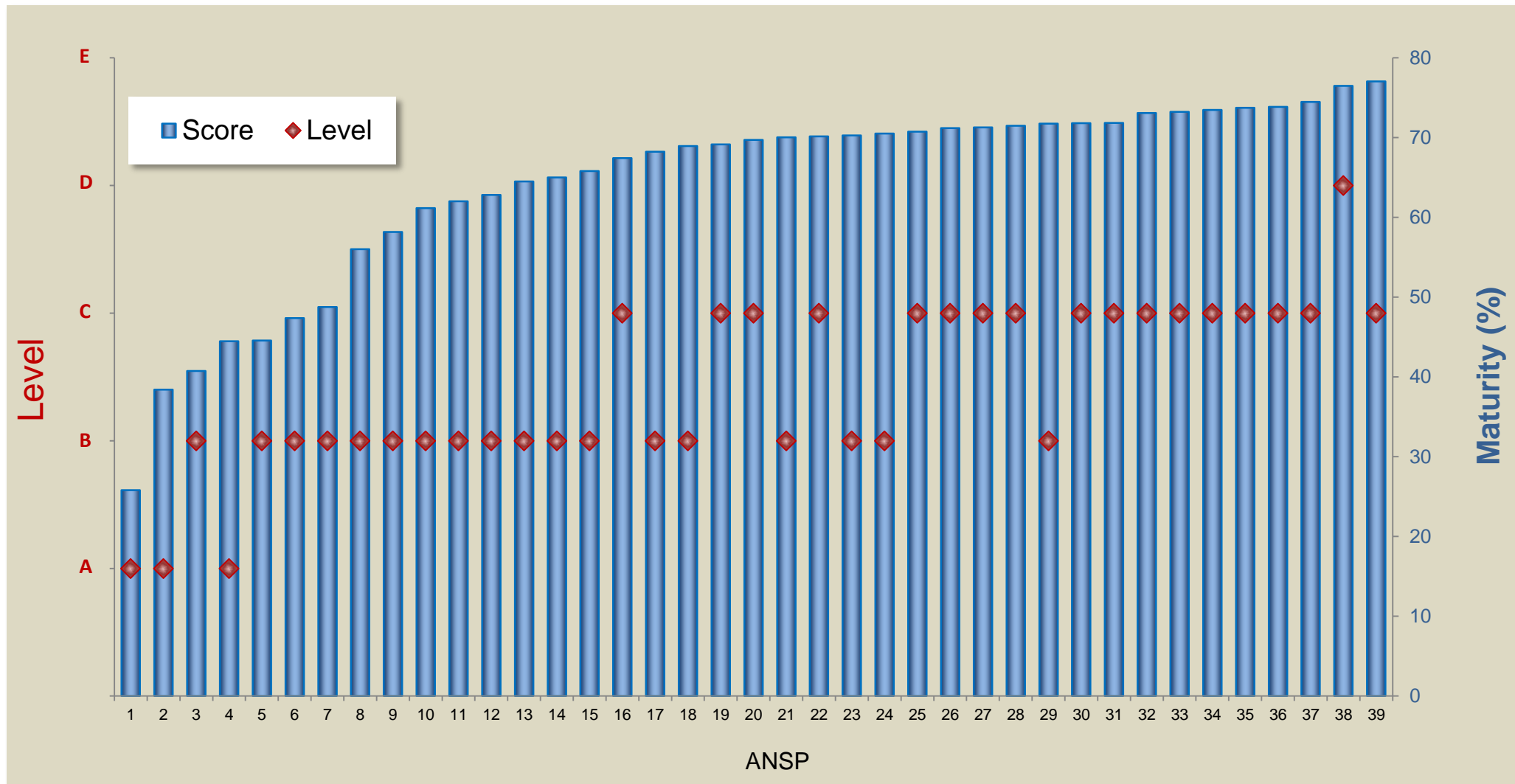
Weakest Study Area Globally: SA10 (Fatigue)

Study Area 10: Fatigue Risk Management
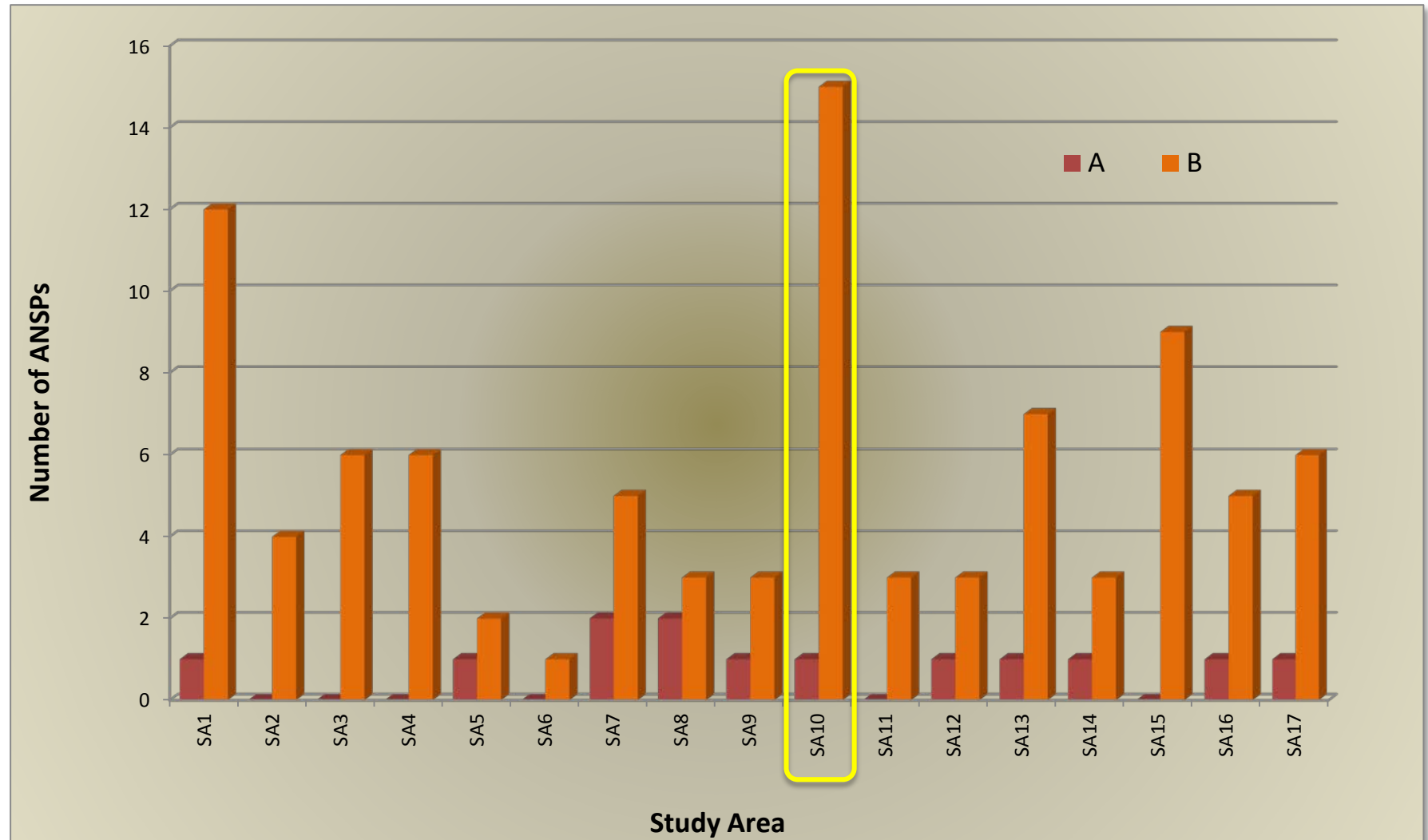
Strongest Study Areas Globally

SA 2: **Safety Policy**

SA 6: **Compliance with International Obligations**

SA 11: **Safety Reporting, Investigation and Improvement**

SA 14: **Management of Change**

Conclusion

Safety Culture is the **single biggest driver** of your Safety Management System.

The more **positive** your **safety culture**, the more **effective** your SMS will be.

YOU can make a difference in your operational safety culture. So make a decision to be that difference.

THANK YOU for keeping aviation safe for all of us!

For More Information…

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Visit the CANSO Website: https://www.canso.org/

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