

The Role of the Regulator in SMS

ITF SMS Roundtable

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Paris, March 23, 2017

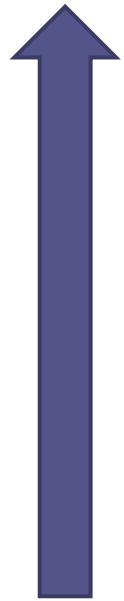
OUTLINE

- **Objective and assumptions**
- **Framework - SMS typologies**
- **Key recommendations and observations**

Objective & assumptions

- **Objective: to inform decision-makers**
- **Assumptions:**
 - general goal of regulatory programmes
 - accident causation
 - foundational role of regulatory authority *vis-à-vis* SMS
 - Importance of SMS being hazard- and risk-based

Risk-based



1

2

3

4

Prescribed



Performance-based

SMS Typologies

- 1 Compliance-based SMS
- 2 Compliance-based & limited system safety functionality SMS
- 3 Process-based
- 4 Integrated risk-based SMS

SMS Typologies

	Compliance -based	Compliance & system safety	Process -based	Integrated performance
Accident causation model	n/a	Reliability model	Reliable mgmnt of tech + ops systems	Organisational model & performance
SMS integrated with regulations	Stand-alone SMS	Limited - varies by jurisdiction	Generally – varies by jurisdiction	Completely: SMS is regulatory ‘umbrella’
SMS integrated with company mgmnt systems	n/a	At best, restricted to technical aspect	Limited – varies by jurisdiction	Completely: strategic safety goal aligned with enterprise management
Focus of SMS	Regulated requirements	Technical and operations	Tech, operational & SMS processes	Corporate safety performance
Proactive ID of hazards	n/a	Prescribed HAs of technical systems	HAs; RAs; hazard reports; limited HF	HAs & RAs; ID SSDs using multiple sources
Measurement of SMS	Components documented	SMS Components documented/used	Audit of SMS processes	Evaluation tools that measure company-wide safety management
Miscellaneous		QA; ‘engineered’ HF; investigate for tech & HF ‘failure’	Voluntary reports; SMS Office; process improvements.	SRM advice to executives; change management; human factors

Recommendations

- **Focus on objectives. Plan, communicate and engage stakeholders.**
- **Apply system safety concepts to enterprise. Leverage financial & insurance industries.**
- **Align safety-risk management terms and tools to identify and manage organisational factors.**

Selected observations

- **Defining and measuring 'system performance'**
- **Developing and employing regulatory tools**
- **Managing SMS-related data**
- **SMS & small service providers**

Conclusion